

**30 October 1998**

**Command Policy**



**WING SELF INSPECTION PROGRAM**

**COMPLIANCE WITH THIS PUBLICATION IS MANDATORY**

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OPR: CC440 AW/CCE  
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This instruction implements and extends the guidance of AFPD 90-2, *Inspector General - The Inspection System*. This instruction establishes a Self-Inspection Program (SIP) for the 440th Airlift Wing (440 AW). It outlines responsibilities, establishes time tables for conducting the inspections, and provides guidance in the organization and content of the SIP. It also contains procedures for dissemination of cross feed information and inspection reports from other units. This instruction applies to all self-inspection monitors and managers at General Mitchell IAP ARS WI.

**SUMMARY OF REVISIONS**

Changed AFRES to AFRC in paragraphs **2.1.2.**, **6.2.1.7.3.**, and **8.3.** Changed Air Combat Command to Air Mobility Command in paragraph **7.3.** Added AFRC Home Page address to paragraphs **7.2.**, **7.3.**, and **8.3.** Revised **Attachment 1** to reflect AMC and UCIs. A (I) indicates revisions from the previous edition.

**1. Responsibilities for Self-Inspection :**

1.1. Wing Commander. The 440 AW/CC has overall responsibility for establishing a SIP. He will designate, in writing, a Wing SIP Manager for day-to-day management of the program. The 440 AW/CC will also direct each group, squadron, flight commander and staff agency to develop SIP for each respective organization. Special Interest Item (SII) process owners will also be assigned by the 440 AW/CC as needed. The 440 AW/CC will ensure each wing organization conducts a semi-annual Self-Inspection (SI). Reports will be forwarded to the 440 AW/CC for his review and concurrence.

1.2. Wing Self-Inspection Program Manager (440 AW/CCE). Individual appointed in writing by the 440 AW/CC who is responsible for monitoring the wing program. The wing monitor will also be responsible for:

1.2.1. Training squadron, flight and agency SIP monitors.

1.2.2. Conducting SIP meetings with program monitors.

1.2.3. Preparation of a consolidated Wing SI Report for review/approval by the 440 AW/CC.

1.2.4. Reviewing cross feed inspection reports and disseminating information to unit monitors.

1.2.5. Assisting unit commanders and section chiefs in the management of their SIPs.

1.3. Group commanders. 440 AW Group Commanders will ensure SIPs in units under their supervision are in compliance with this directive. Group commanders should also review unit SI programs and their semi-annual self-inspection reports before forwarding to the Wing SIP Monitor. Group commanders may appoint (at their discretion) a Group SI Monitor to assist unit monitors with the management of their programs.

1.4. Unit Commanders/Division Chiefs. Squadron and flight commanders and staff agency chiefs are responsible for appointing, in writing, a primary and/or alternate unit SIP Monitor, (see **Attachment 2**). This letter will be sent to the Wing SIP Monitor. Commanders and division chiefs are also responsible for day-to-day management of the SIP in their respective organizations. Commanders will ensure the SIP Monitor performs the assigned duties as outlined in this instruction. Commanders will also review their unit programs on at least a semi-annual basis for inaccuracies and noncompliance, and ensure their programs are proactive in design and application. They will also ensure corrective action is initiated to remedy deficient areas.

1.5. Unit SIP Monitors. Individuals appointed, in writing, by commanders are responsible for SIP management. Additionally, unit monitors will be responsible for:

1.5.1. Creation and management of the unit SIP binder.

1.5.2. Reviewing cross feed reports and related SIP materials for inclusion in unit programs.

1.5.3. Conducting semi-annual SI of their units.

1.5.4. Preparing semi-annual SI Reports as outlined in this directive, for routing through their commanders and group commanders to the Wing SIP Monitor.

1.5.5. Attending SIP meetings.

1.5.6. Developing SI checklists.

1.5.7. Identifying discrepancies and initiating corrective action.

## **2. Self-Inspection Program Binder :**

2.1. Unit monitors will develop and maintain SI Binders for their organizations. The contents of the binders are outlined below. The exact formatting of each book is left to the discretion of the individual unit monitor, but must contain the following:

2.1.1. SECTION I. Appointment letters of unit, group and wing-level SI monitors. This section would also contain any specific unit guidance.

2.1.2. SECTION II. SI Checklists and Process Guides (AFRC and unit developed).

2.1.3. SECTION III. Discrepancies (440 AW Form 4).

2.1.4. SECTION IV. Previous Inspection Reports. A copy of the last inspection report for the unit (Unit Compliance Inspection).

2.1.5. SECTION V. Cross feed Reports. Extracts of inspection reports from other units of importance to respective units. (May be cross-referenced to another file or maintained on computer disk).

2.1.6. SECTION VI. Special Interest Items. Current SIIs for your respective unit along with the completed checklists and any supporting documentation.

2.1.7. SECTION VII. Miscellaneous. This section is optional and can be used to maintain other pertinent information. Items typically found in this section include copies of meeting minutes, training certificates, notes, etc.

### 3. Completing a Self Inspection :

3.1. Unit SIP monitors will complete SIs on a semi-annual basis. SIs will be completed in March and September of each year. (The Contracting Office is on a January and July schedule). Unit SIP monitors will ensure functional area monitors in their units complete the semi-annual inspections in a timely manner so as to complete the entire unit by the March and September deadline (end of January and July deadline for LGC). For large units, this may mean they have to start their semi-annual SIs a few months prior to the semi-annual deadlines.

3.2. Semi-annual SIs will include a check of all SIP binders, and a complete check of all checklists and process guide items with a review of all commanders, Fraud, Waste and Abuse and SIIs. Commanders may direct a SI at any time, especially if a higher headquarters inspection or assessment is imminent. Record identified discrepancies on the 440 AW Form 4, **IG/Self Inspection Discrepancy** (one discrepancy per form), and review and update the status of any previously opened 440 AW Form

4. When completing a SI, remember the following points:

3.2.1. Start early. Give yourself and your functional area monitors plenty of time to complete the tasks. Don't wait until the March or September Unit Training Assembly (UTA) to start your SI.

3.2.2. Be objective, not subjective in your evaluation. In order for a SI to be successful, units must objectively evaluate their operations. The program is designed to self-identify areas requiring attention or corrective action.

3.2.3. Thoroughly evaluate deficiencies and corrective actions. This means you may have to do a little research to find the true cause of the problem. Look at instructions, plans, directives, historical records, reports and trends. It may be a simple problem that can be corrected with minimum effort. Or, it may be a little problem that upon further investigation shows signs of more severe deficiencies in the organization. In either case, look at all possible causes and potential solutions. Make sure proposed solutions will correct the deficiencies.

3.2.4. Give realistic estimated completion dates and corrective actions. Don't write yourself up and give yourself six months or a year to correct a simple deficiency. If it is something that can be easily fixed, give yourself a month or two to correct it. If you have a complex problem involving training quotas, funding, equipment, etc., you will want to give your organization plenty of time to correct it.

3.2.5. Review previous SI reports to update discrepancies. Make sure previously identified deficiencies are updated during the semi-annual SI. This includes higher headquarters and self-identified deficiencies.

3.3. If discrepancies are identified and corrected on the spot, a 440 AW Form 4 is not required.

#### 4. Completing 440 AW Form 4 :

4.1. The 440 AW Form 4 is used to identify and document deficiencies discovered during a SI or during a higher headquarters assessment or inspection. Use the following procedures when completing a Form 4:

- 4.1.1. A separate 440 AW Form 4 will be used for each discrepancy.
- 4.1.2. Be descriptive in identifying the problem/deficiency.
- 4.1.3. Cite regulatory sources for the deficiency in the “Discrepancy” block of the form.
- 4.1.4. Describe the corrective action in the “corrective action” block of the form. Remember to be specific and complete in your corrective action description.
- 4.1.5. Give a realistic estimated completion date (ECD) to remedy the situation. The ECD should be tailored to the deficiency, not the report.
- 4.1.6. State whether the deficiency is “OPEN” or “CLOSED” after the ECD.
- 4.1.7. Identify the date problem was discovered in the “Date Found” block. Use military format (1 Mar 97).
- 4.1.8. Identify the date follow up action was completed on the discrepancy in the “Follow Up Date” block. This date should not be after the ECD unless the corrective action has been updated to reflect the change and the reason for the late follow up.
- 4.1.9. Identify the process owner in the “OPR” block. Use the specific three- or four-digit office symbol.
- 4.1.10. Initial the “Semi Annual” block upon completion of updating the 440 AW Form 4. If the 440 AW Form 4 has three corrective action updates, there should be four sets of initials; one for the initial identification of the problem and three for the subsequent updates.
- 4.1.11. Identify each 440 AW Form 4 with a control number. For example, “CCE-01”. Unit monitors are requested to post this number in the discrepancy block of the 440 AW Form 4.

#### 5. Completing a Self Inspection Report :

5.1. Once you have reviewed cross feed reports (see paragraph 6.), the *TIG Brief* and *IG Cross feed Newsletter*, and completed an objective unit SI, you are now ready to complete your SI Report. The report serves to compile the findings of your SI and properly document findings. A sample report is shown in **Attachment 3**. The report will document the results of the semi-annual SI. Included in the report are the number of discrepancies in the current and previous report, percentage of change from the previous report, average number of discrepancies per area, discrepancies which will most impact unit readiness, discrepancies which would result in a repeat finding and the status of SIIs.

5.2. The report should be signed by the unit SI Monitor and sent to the Wing SIP Manager (along with copies of the applicable Form 440 AW Form 4) by the suspense date. From the individual unit reports, the Wing SIP Manager will compile the overall wing report that is forwarded through the Group Commanders to the 440 AW/CC for review and approval.

#### 6. Procedures for Reviewing Inspection Reports of Other Units (Cross feeds):

6.1. When the 440 AW receives an inspection report from another Air Force unit, the report must be carefully reviewed by all SIP Monitors to determine if discrepancies, areas for improvement, strengths, or laudatory conditions identified in the report exist in their units. This is a process that should not be overlooked or taken lightly, as these reports, along with the *TIG Brief* and *IG Cross feed Newsletter*, clearly show what inspectors are looking for when they complete an inspection or validate an assessment. Reports from other units ("cross feeds" as they are commonly known) give individuals and organizations valuable information to prepare for inspections and improve the efficiency and effectiveness of their units. If organizations closely review these reports and objectively evaluate their operation for similar trends, conditions or findings, these deficient areas can be corrected. History has shown units that incorporate objective evaluations of cross feed reports into their SIPs achieve higher ratings on inspections due to being better prepared.

6.2. When a report is received by the wing SIP Manager, the report will be distributed in one of two ways:

6.2.1. Normally, the report will come to the unit via the AFRC Local Area Network (LAN). The wing SIP Manager will forward the report along with a cover memo via the LAN to unit SIP monitors. If a unit does not have access to the LAN, then a disk copy of the report will be sent to the unit. It is the responsibility of the unit SIP monitor to provide a formatted disk to the 440 AW/CCE for copying the report. When a unit SIP Monitor reads his or her LAN mail, electronic confirmation of receipt will be sent to the CCE automatically. If unit SIP Monitors review the reports and determine that a 440 AW Form 4 is needed, they will then forward a copy of the 440 AW Form 4 to 440 AW/CCE.

**NOTE:**

This format is the preferred process for distributing reports, SIIs, and related cross feed material. If the report is received by 440 AW/CCE in hard copy, then the process will be as outlined in paragraph 7.2.

6.2.1.1. GROUP COMMANDERS/WING COMMANDER. A copy of each report with a routing slip will be circulated among the Wing and Group Commanders. The report will be forwarded back to 440 AW/CCE once the review is complete.

**7. Special Interest Items (SIIs) :**

7.1. SIIs are specific programs or procedures that have been identified by the Inspector General (IG) as requiring special attention. SIIs normally run for a period of approximately two years, but may be extended at the discretion of the IG. The source of SIIs are often findings in inspections, audits or investigations from agencies such as the IG, General Accounting Office (GAO), Office of the Secretary of Defense or Congress. Each SII will have a specific purpose, background, action required, reply instructions, inspection period and headquarters point of contact. A checklist for the SII is also included.

7.2. SIIs are normally received in the 440 AW via the LAN. Other SIIs may come through normal distribution or message traffic. SIIs are also available at the AFRC Home Page (<http://www.afrc.af.mil/>) under Inspector General. Upon receipt of an SII, a process owner is assigned in the 440 AW. Commanders also have responsibility to ensure the SIIs are being complied with in their organization.

7.3. Air Force, Air Mobility Command and AFRC SIIs are applicable in the 440 AW. The *IG Cross feed Newsletter* (distributed through the LAN), and the AFRC Home Page (<http://www.afrc.af.mil/>) under Inspector General, contains the current list of SIIs.

#### **8. TIG Brief and IG Cross feed Newsletter :**

8.1. The *TIG Brief* and *IG Cross feed Newsletter* are publications written and published by the Air Force IG. The *TIG Brief* is a bimonthly magazine and the *IG Cross feed Newsletter* is a quarterly publication.

8.2. The purpose of these publications is to provide valuable, current information on trends and issues affecting Air Force personnel and organizations. Close scrutiny of these publications by commanders, supervisors and SI Monitors is encouraged because they give organizations first-hand information on trends, issues and problems that the IG considers important. By reviewing the publications and acting upon the trends and issues, organizations will be better prepared for the IG inspection.

8.3. Unit publication monitors should establish requirements for these publications. The *TIG Brief* (AFRP 90-1) can be ordered through the unit CAR, and the *IG Cross feed Newsletter* (AFRCRP 90-1) can be ordered by contacting HQ AFRC Chief, Inspection Division. The *IG Cross feed Newsletter* is also available at the AFRC Home Page (<http://www.afrc.af.mil/>) under Inspector General.

#### **9. Form Prescribed . 440 AW Form 4.**

PAUL R. COOPER, Brig Gen, USAFR  
Commander

**Attachment 1****GLOSSARY OF REFERENCES*****Terms***

**AMC**—Air Mobility Command. AMC is the current parent major command for the 440th Airlift Wing.

**AFI**—Air Force Instruction. AFI 90-201, *Inspector General Activities*, replaced AFR 123-1, *The Inspection System* as the governing directive for the Air Force inspection system.

**AFRC**—Air Force Reserve Command.

**AW**—Airlift Wing.

**CAR**—Customer Account Representative. The CAR in each unit is responsible for ordering publications such as regulations and periodicals.

**CCE**—Air Force office symbol for the Executive Officer. AW/CCE is responsible for the day-to-day management of the 440 AW Self-Inspection Program.

**ECD**—Estimated Completion Date. The ECD is the projected date when a discrepancy or situation as identified on a Form XX is expected to be corrected.

**HSI**—Health Services Inspection. The HSI is an inspection of medical organizations such as the 440th Medical Squadron.

**IG**—Inspector General. The AFRC Inspector General is the office that inspects and evaluates the 440 AW during Quality Air Force Assessments. The ACC IG inspects the unit during Operational Readiness Inspections.

**IG Cross feed Newsletter**—A newsletter published by the Inspector General which gives organizations valuable information about trends and topics of interest the IG will evaluate in upcoming inspections.

**ORI**—Operational Readiness Inspection. The ORI is an evaluation of an organization's ability to execute its wartime mission.

**QAFA**—Quality Air Force Assessment. The QAFA has replaced the Unit Effectiveness Inspection (UEI) in the Air Force. The QAFA evaluates organizational leadership, efficiency, and performance as related to resources and capabilities. The QAFA has been replaced by Unit Compliance Inspection (UCI).

**SII**—Special Interest Item. The SII is a specific item, program or procedure identified by the IG, Air Force or Department of Defense as requiring special attention for a specific period of time.

**TIG Brief**—A bimonthly magazine published by the Inspector General who gives organizations and commanders first-hand information on trends, issues and problems that the IG considers important.

**UCI**—Unit Compliance Inspection. Replaced QAFA. The UCI ensures that Air Force units are performing all actions required by laws, executive orders, and Department of Defense directives.

**UEI**—Unit Effectiveness Inspection. The UEI measured organizational leadership and performance against allocated resources. This inspection was replaced with the QAFA.

**USA**—Unit Self-Assessment. This program is the implementation of the Quality Air Force criteria, which is based upon the civilian Malcolm Baldrige National Quality Award. No longer used.

Attachment 2

APPOINTMENT LETTER FOR SELF-INSPECTION MONITOR

(DATE)

MEMORANDUM FOR 440 AW/CCE

FROM: (UNIT)

SUBJECT: Self-Inspection Program Monitors

1. The following individuals are appointed the primary and alternate Self-Inspection Program monitors for the (UNIT) in accordance with 440 AWI 90-201, para 1.4.:

PRIMARY: Capt Ima Ontheball (RANK/NAME)  
440 XXX/XXX (UNIT)  
Extension BR549 (PHONE)

ALTERNATE: Sgt. Got Itcovered (RANK/NAME)  
440 XXX/XXX (UNIT)  
Extension BR549 (PHONE)

2. Please address any specific program questions to either of these individuals. This supersedes our previous letter dated (DD MMM YY).

IM N. CHARGE, Maj, USAFR  
Commander

**Attachment 3**

**SELF-INSPECTION DISCREPANCY REPORT**

(DATE)

MEMORANDUM FOR 440 AW/CCE

FROM: 440 XXX/XXX (UNIT)

SUBJECT: Self-Inspection Report

1. Attached are 440 AW Forms 4 identifying discrepancies found in this unit during our last semi-annual Self-Inspection.

2. Analysis is as follows:

a. Total discrepancies this report: 10.

b. Total discrepancies last report: 20.

c. Percentage of change since last report: 50%+.

d. Average number of discrepancies per functional area this report: 2.

e. Average number of discrepancies per functional area last report: 4.

f. Discrepancies which will most impact unit readiness. XXX-03, XXX-06, XXX-10 (List the control numbers of the applicable Forms 4).

g. Discrepancies which would result in a repeat finding. XXX-03 (List the control numbers of the applicable Forms 4).

h. Status of Special Interest Item(s). SIIs and accompanying checklists were reviewed for compliance. All actions required are being met at this time. Results of SIIs were submitted to 440 AW/CCE in letter dated DD MMM YY. (List any applicable SIIs and their current status).

SIGNATURE BLOCK