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Command Policy

THE INSPECTION SYSTEM



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This instruction implements and expands on the guidance in AFD 90-2, *Inspector General—The Inspection System* and AFI 90-201, *Inspector General Activities*, setting policy and establishing procedures for the AFRC Inspection System. It applies to all Air Force Reserve Command (AFRC) units, functions, and activities. The implementation and application of procedures outlined by this instruction are not a basis for a change in number, type, and kind of manpower requirements or authorizations. This instruction requires the Inspector General (IG) to collect and maintain information protected by the Privacy Act of 1974, authorized by 10 U.S.C. 8013, Secretary of the Air Force: powers and duties; delegation by, and 10 U.S.C. 8020, Inspector General.

This is the initial publication of AFRCI 90-201. It incorporates and consolidates requirements from related Unit Compliance Inspection (UCI) Discrepancy Closure Process Review, dated 11 December 2001; AFRC Reserve Command Self-Inspection Policy, dated 8 February 2002; and Command Policy: Inspection Reporting and Corrective Action Plans, dated 14 November 2002.

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Chapter 1

THE INSPECTION PROGRAM

1.1. General. Inspection teams conduct formal inspections directed by higher authority and report results to that authority. An inspection is an official review of representative mission capability, programs, and mission support operations. Personnel performing inspections examine the ability of AFRC units to carry out their assigned missions. Inspectors evaluate and report on the effectiveness, efficiency, and economy of Air Force organizations and functions. They investigate those areas directed by the Secretary of the Air Force, the Chief of Staff of the Air Force, and the AFRC Commander. The inspection system extends into every field of AFRC affairs.

1.2. Objectives. The inspection program is designed to assess and improve the capability of the command and its assigned units to perform their missions and to provide feedback to HQ AFRC, Numbered Air Force (NAF), and unit commanders. Specifically, the inspection system will:

- 1.2.1. Assess by-law and mission compliance areas identified by senior Air Force and Major Command (MAJCOM) leadership.
- 1.2.2. Ensure command priorities are communicated and are being met.
- 1.2.3. Measure effectiveness and efficiency of units, functions, programs, and guidance.
- 1.2.4. Validate and compare management information reported through other staff agencies.

1.3. Concept of the AFRC Inspection System.

1.3.1. Oversight is the responsibility of each level of command.

1.3.1.1. Wing/Group oversight responsibilities. The foundation of the command's oversight program is effective Management Control Programs in each Wing/Group. Management controls are developed according to AFI 65-201, *Management Control*, and include the Self-Inspection Program outlined in **Chapter 5** of this instruction. Each Wing/Group's annual Statement of Assurance, required as part of the Management Control Program, will address the effectiveness of controls for all programs in **Attachment 2** of this instruction.

1.3.1.2. NAF oversight responsibilities. AFRC Numbered Air Forces provide the intermediate level of oversight by conducting Staff Assistance Visits (SAV), Readiness Assistance Visits (RAV) and Functional Area Visits (FAVs). These visits enhance compliance and readiness through continuous process improvement.

1.3.1.3. HQ AFRC/IG provides the final level of oversight by conducting the following inspections:

1.3.1.3.1. Unit Compliance Inspections (UCI) are conducted to assess areas mandated by law, as well as mission areas identified by senior Air Force and MAJCOM leadership as critical or important to assess and assure the health and performance of organizations. The AFRC IG Team uses sampling during these inspections to reduce the inspection footprint.

1.3.1.3.2. Special Interest Item (SII) Inspections evaluate areas of special interest to the Air Force, AFRC or gaining MAJCOMs.

- 1.3.1.3.3. Contracted Support Activity Inspections (CSAI) ensure support activities accomplished by contractors meet Air Force standards.
- 1.3.2. HQ AFRC/DOV conducts the Air Traffic System Evaluation Program (ATSEP).
- 1.3.3. Gaining MAJCOM IG teams conduct Operational Readiness Inspections (ORI) and Single Integrated Operational Plan (SIOP) inspections.
- 1.3.4. Active Duty gaining NAFs conduct Aircrew Standardization and Evaluation Visit (ASEV) and Standardization and Evaluation Team (SET) visits.
- 1.3.5. Air Force Inspection Agency conducts Health Services Inspections (HSI).
- 1.3.6. HQ AFRC/LG conducts Phase 1 of the Maintenance Standardization Program (MSP) in conjunction with AFRC Unit Compliance Inspection.
- 1.3.7. HQ AFRC/IG coordinates with all applicable inspection agencies to avoid overlapping of inspection areas.

1.4. Inspection Scheduling and Notification.

- 1.4.1. HQ AFRC/IGI schedules AFRC IG inspections and coordinates HSI schedules and gaining MAJCOM inspections such as ORI, ASEV and SET. Factors which influence the schedule include AEF requirements, inspection interval, mission priority, NAF or command-wide focus areas, and Air Force requirements. In order to reduce the inspection footprint and minimize the time an entire AFRC unit must focus on inspections, HQ AFRC/IGI makes every effort to group similar inspections such as the UCI, HSI, ASEV and SET.
- 1.4.2. Scheduling Conference. HQ AFRC/IG conducts an inspection scheduling conference twice a year. During this conference all known inspection activity is deconflicted and scheduled. This meeting is hosted by AFRC/IGIO and attended by NAF/XPs. These conferences are usually held in August and February.
- 1.4.3. Scheduling Message. HQ AFRC/IG publishes a Command-Wide Inspection Schedule Message twice a year in January and July. This schedule identifies all UCI, ORI, SIOP, ASEV, SET, and HSI inspections for the following 18 months.
- 1.4.4. The Command-Wide Inspection Schedule Message is maintained on the AFRC/IG webpage and updated as changes occur.
- 1.4.5. HQ AFRC/IG will always attempt to provide a minimum of six months notice for UCIs. However, at the direction of the AFRC/CC, inspection notification may be as short as five days.
- 1.4.6. Once an inspection is published in the AFRC Scheduling Message, the NAF/CC approval is required for all changes.

1.5. Gatekeeper Program.

- 1.5.1. HQ AFRC, along with other Air Force, DoD, and non-DoD agencies, conduct numerous inspections, award visits, and staff assistance visits (SAV) to field units. HQ AFRC/IG is responsible for monitoring and tracking these activities under the AF Gatekeeper Program. Each AFRC host installation is required to assign a gatekeeper who will coordinate with the MAJCOM gatekeeper to deconflict visit activities and keep unit commanders informed. The HQ AFRC gatekeeper is required

to track and deconflict all visits to AFRC host units to minimize impacts and lessen the visit footprint. Both the MAJCOM and host-base gatekeepers are required to evaluate visit notifications to determine if they are duplicative, or can be consolidated or eliminated. The HQ AFRC gatekeeper ensures coordination with visiting agencies prior to making decisions for visit rescheduling, consolidation or possible elimination. Visits to tenant units located on another MAJCOM's installation should be coordinated through the host-base MAJCOM gatekeeper. A current list of AFRC, National Guard Bureau (NGB), and other Air Force MAJCOM gatekeeper contacts can be found on the HQ AFRC/IG Gatekeeper Website.

1.5.2. HQ AFRC, gaining MAJCOM, Air Force, DoD, and non-DoD visiting agencies are required to contact the gatekeeper and deconflict visit activity. Visits will be categorized and prioritized accordingly into one of the following four groups: *Combat Readiness*, *Resource Management*, *Awards*, and *Others*.

1.5.2.1. Combat Readiness includes visits like ORI, SIOP, ASEV, SET, UCI, HSI and other readiness-related compliance inspections.

1.5.2.2. Resource Management includes visits such as Staff Assistance Visits, Environmental Compliance Assessment and Management Program, Air Force Audit Agency Audits, Information Protection and Awareness Program visits, Vulnerability Assessment Program visits, and Air Force Inspection Agency EAGLE LOOK Management Reviews.

1.5.2.3. Award visits include Innkeeper, Curtain, and Base Appearance Programs.

1.5.2.4. The Others category includes visits related to Army and Air Force Exchange Service, band, community, congressional or any other visits that do not fit in the above categories.

1.5.3. NAF and headquarters staff attached to units for flying training (such as currency or ground training) are exempt from all gatekeeper notification requirements. However, NAFs will notify the gatekeeper regarding its SAV schedule. Inspections scheduled, approved, and notified via the semi-annual AFRC Command-Wide Inspection Schedule message and EAGLE LOOK Management Reviews are automatically included in the AFRC gatekeeper process. Notify the gatekeeper as soon as possible if a significant change in the number of visitors or visit duration occurs. The wing commander at the host installation may deny visits to AFRC bases not cleared through the gatekeeper process.

1.5.4. HQ AFRC/IGIO is the HQ AFRC Gatekeeper, DSN 497-1504.

1.5.5. HQ AFRC, gaining MAJCOMs, Air Force, DoD, and non-DoD visiting agencies will provide the command gatekeeper (HQ AFRC/IGIO) a copy of their proposed visit schedule for each upcoming fiscal quarter, 30 days prior to start of affected quarter. For short-notice visits, provide advance notification/visit requests as soon as possible to allow time for deconfliction. E-mail or fax visit request data to HQ AFRC/IGIO, DSN 497-0511. Include the following:

1.5.5.1. Visiting Agency (including POC name, office, and telephone number).

1.5.5.2. AFRC unit or activity being visited (including POC name, office, and phone number if known).

1.5.5.3. Purpose of visit.

1.5.5.4. Approximate number of personnel visiting the unit.

1.5.5.5. Visit dates.

1.5.5.6. Source document (e.g., AFI, AFRCI, etc.) directing the visit or documentation of unit requesting the visit.

1.6. Inspection Initiation, Termination, and Feedback.

1.6.1. Initiation. IG inspections officially begin when the first HQ AFRC/IG inspector arrives at the inspection site.

1.6.2. Termination. The IG team chief will inform inspected unit leadership when the inspection is officially terminated.

1.6.3. Feedback. The team chief normally conducts a formal in-brief with senior leadership when an inspection begins and provides periodic feedback during the inspection. The team chief will conduct an informal out-brief at the conclusion of an inspection and a formal out-brief, as appropriate. IG inspectors provide feedback to their functional counterparts throughout the inspection.

1.7. HQ AFRC Staff and IG Responsibilities.

1.7.1. HQ AFRC staff will:

1.7.1.1. Develop inspection criteria, write the self-inspection checklists, and revise as necessary.

1.7.1.2. Identify Common Core Compliance Areas.

1.7.2. HQ AFRC/IG will:

1.7.2.1. Maintain a list of all units and activities within the command and inspect all except those exempted.

1.7.2.2. Identify inspection support requirements to inspected units. Requirements may include billeting, transportation, work areas, etc.

1.7.2.3. Request augmentation from the HQ or NAF staff, other IGs or AFRC units, when required. Provide TDY funds for augmentation personnel and Headquarters Support man-days for Reserve augmentation personnel.

1.7.2.4. Inform SAF/IG of inspection schedules and changes.

1.7.2.5. Provide the inspected unit an entry authority list (EAL) that includes all team members and augmentation personnel for the installation security forces to authenticate. EALs must be completed according to AFI 31-101, *The Air Force Installation Security Program*.

1.7.2.6. Plan and conduct the UCI, CSAI, and SII Inspections in accordance with AFI 90-201 and AFRCI 90-201.

1.7.2.7. Provide feedback to inspected units and command and staff agencies at all levels.

1.7.2.8. Carefully review and edit each inspection report to ensure security protection (i.e., proper classification and application of markings). Consult DoD Regulation 5400.7-R, *DoD Freedom of Information Act Program*, for marking document/pages containing "For Official Use Only" information.

1.7.2.9. Analyze inspection findings and report results to the AFRC/CC and staff.

1.7.2.10. Write and post an electronic copy of inspection reports on the IG web site, allowing access by authorized units. Provide hardcopy reports to the AFRC/RE.

1.7.2.11. Provide augmentation support to other agencies, when possible.

1.7.2.12. Coordinate updates to this instruction annually.

1.8. Inspected Unit Responsibilities.

1.8.1. Designate a project officer upon inspection notification to act as the single focal point.

1.8.2. During the inspection in-brief, provide to the IG team a safety briefing covering unique local driving hazards, laws, flight line driving procedures and a Force Protection Awareness Briefing.

1.8.3. Coordinate support with the IG team administrative representative. The administrative representative will identify specific support requirements prior to scheduled arrival. See AFRC/IG webpage for specific information on support requirements.

1.8.4. Grant unescorted entry into unit controlled/restricted areas to Air Force and AFRC inspectors who fulfill requirements of AFI 31-101. The AF Form 1199-series and an EAL for supporting verification satisfy unescorted entry requirements for inspectors. Do not subject inspectors to any identification or search requirements not imposed on unit personnel. Additionally, grant access to information for which an inspector has a need-to-know to complete an inspection.

1.8.5. Reporting:

1.8.5.1. Upon the arrival and departure of all IG Teams, accomplish Operational Reporting according to AFRCI 10-203, *United States Air Force Reserve (USAFR) Command and Control*.

1.8.5.2. Inspection results.

1.8.5.2.1. Wing and Group commanders will immediately notify their NAF/CC of all inspection results.

1.8.5.2.2. Overall grade less than "Satisfactory". When a unit or Unit Type Code receives an ORI, SIOP, ASEV, SET, or HSI overall grade of less than "Satisfactory" or less than "Mission Ready," the NAF/CC will personally notify AFRC/CC/CV. Units will also report the results according to AFMAN 10-206 AFRC Sup 1, *Operational Reporting*.

1.8.5.2.3. Overall grade of "Unsatisfactory." Units that receive an overall grade of "Unsatisfactory" will report the results according to AFMAN 10-206.

1.8.5.2.4. Commanders will review and comply with Air Force, Air Force Reserve Command, and gaining MAJCOM operational and inspection reporting requirements.

1.8.6. Corrective Action:

1.8.6.1. Units that receive a unit or Unit Type Code overall grade of less than "Satisfactory" or less than "Mission Ready" for an ORI, SIOP, ASEV, HSI or SET will take immediate action to correct the discrepancies. The inspected unit commander will submit a corrective action plan to the NAF/CC within 15 workdays of the inspection. The NAF/CC will review, comment upon, and forward the plan to AFRC/CC/CV within five workdays of receipt. Units will continue quarterly reporting to their NAF until the corrective action is deemed sufficient by the NAF/CC.

1.8.6.2. When a unit or Unit Type Code receives ORI, SIOP, ASEV, HSI, SET or UCI sub-area grades of less than "Satisfactory", NAF/CC will direct corrective action response.

1.8.6.3. Commanders will review and comply with all gaining MAJCOM corrective action plan requirements.

1.8.6.4. Commanders will correct validated deficiencies identified during all inspections.

1.9. Inspector Requirements and Augmentation Procedures.

1.9.1. Inspectors will be fully qualified and highly experienced in their functional areas. Inspectors will meet dress and appearance requirements according to AFI 36-2903, *Dress and Personal Appearance of Air Force Personnel*.

1.9.2. HQ AFRC Staff, NAFs, AFRC units, and direct reporting units (DRU) should provide personnel with special skills to assist with inspections when requested. HQ AFRC/IG will provide TDY funds and man-days for augmentation personnel.

1.9.3. HQ AFRC/IG will train all inspectors and augmentees and send them to the one-day USAF Inspector's course.

1.10. Observer Program.

1.10.1. Purpose. The observer program provides AFRC units with an opportunity to observe how the HQ AFRC/IG team conducts an inspection. The goal of the observer program is to assist units in designing effective management control and self-inspection programs to improve compliance and readiness.

1.10.2. Restrictions. Units may observe only one UCI per inspection cycle. To encourage long range preparation for compliance inspections, unit personnel may observe a UCI no later than six months prior to their inspection. Requests to observe will be prioritized based on such factors as projected inspection dates, date of request, number of observer requests from that unit, and rank/position of the observer. The IG restricts wings to a maximum of two observer positions for any given inspection. HQ AFRC/IGI will make the final determination of which observers have been approved no later than 30 days prior to the inspection. All observers who have applied will be notified of their status and issued a yellow badge upon arrival. No more than four total observer positions per inspection will be approved. Due to the limited number of observer spaces available, unit representatives should make the best use of the opportunity by planning to observe as much of the inspection as possible. Additional guidance on observer policy is maintained on the AFRC/IG webpage.

1.10.3. Procedures. To observe an AFRC/IG UCI, units will submit an E-mail or fax (DSN 497-0511) to IGIO no later than 45 days prior to the site visit date. Requests must contain the following for each observer:

1.10.3.1. Last name, first name, and middle initial.

1.10.3.2. Rank.

1.10.3.3. Social Security Number.

1.10.3.4. Current organization/office symbol, duty phone, and E-mail address.

1.10.3.5. Inspection the observer would like to visit (i.e. UCI at 507 ARW, Tinker AFB OK)

NOTE: The HQ AFRC/IG will annotate observer information on its team composition list to be used by the inspected unit as an EAL.

1.10.4. Observers are required to fund and arrange for their own travel, billeting, and ground transportation.

1.10.5. Observers will attend the UCI in-brief and immediately following the in-brief, meet with the Team Chief, Project NCO, and administrator for a briefing on their responsibilities and limitations. Observers must not interfere in any way with the operations of the inspected unit or the IG team. Due to the sensitive nature of material presented for discussion, unit-level observers will not be permitted to attend IG team meetings.

1.10.6. Units who desire to send observers to gaining MAJCOM inspections will coordinate with their NAF/XP who will work directly with the gaining MAJCOM IG office.

1.11. Inspection Reports and Briefings.

1.11.1. The AFRC/IG produces a report after every inspection identifying discrepancies and areas of excellence. The AFRC/IG distributes all inspection reports electronically to inspected units and parent NAF/CC. AFRC units may access inspection reports on the AFRC IG web site.

1.11.2. HQ AFRC/IG will brief the AFRC/CV and the HQ AFRC staff monthly on results of ORI, HSI, SET, UCI and SIOP Inspections.

Chapter 2

UNIT COMPLIANCE INSPECTIONS (UCI)

2.1. General. UCIs are conducted to assess areas mandated by law, as well as mission areas identified by senior Air Force and MAJCOM leadership, as critical or important to assess/assure the health and performance of organizations. A unit's failure to comply with the established directives in these areas could result in significant legal liabilities, penalties or significant mission impact.

2.2. Purpose. The AFRC IG Team will conduct UCIs to evaluate AFRC Common Core Compliance Areas (CCCA) (see [Attachment 2](#)).

2.3. Criteria. AFRCI 90-201, [Attachment 2](#), is the source reference for the AFRC Common Core Compliance Areas. The AFRC IG will base UCIs on by-law requirements, executive orders, DoD directives, and Air Force, AFRC, and gaining MAJCOM instructions. Links to Self-Inspection checklists, developed by the HQ AFRC staff, are posted on the AFRC/IG Website.

2.4. Frequency. AFRC/IG will conduct UCIs in AFRC units every four years (approximately three AEF cycles).

2.5. Grading. AFRC/IG does not provide an overall grade for UCIs. Sub-areas will be rated "Satisfactory" or "Unsatisfactory."

2.6. Scheduling. HQ AFRC/IG will attempt to conduct UCIs concurrently or consecutively with other inspections (HSI, SET, ASEV or ATSEP). If it is not possible to schedule inspections concurrently or consecutively, UCIs will be completed as stand-alone inspections. Units should expect the IG to inspect all mandated CCCAs in 3-5 days.

2.7. Unit-Led Exercises . During the UCI, the inspected unit will be tasked to conduct various exercises. The AFRC IG Team will evaluate the effectiveness of the Exercise Evaluation Team (EET), as well as the execution of each exercise. The evaluation will focus on realistic planning, effective inputs during the exercise, thoroughness of the post-exercise debrief, and nature of after action taskings.

2.7.1. Three weeks prior to the inspection, the inspected unit will send the AFRC IG Team the following in the UCI Unit-Led Exercise Package. Please ensure you coordinate the select exercise scenario with appropriate agencies, especially those external to your wing. Before sending, coordinate contents of the package with HQ AFRC/IGIS (DSN 497-1508).

2.7.1.1. Full Spectrum Threat Exercise Scenarios applicable to the inspected installation. (See AFI 10-2501, *Full Spectrum Threat Response (FSTR) Planning and Operations* for applicability and scope)

2.7.1.1.1. Exercise scenario to exercise a major accident.

2.7.1.1.2. Exercise scenario to exercise the terrorist use of Weapons of Mass Destruction (WMD).

2.7.1.1.3. Exercise scenario to exercise a natural disaster.

2.7.1.1.4. Exercise scenario to exercise an enemy attack.

2.7.1.2. Force protection awareness exercise scenarios (AFI 10-245, *Air Force Antiterrorism Standards*).

2.7.1.2.1. Include three scenarios that exercise how personnel from the unit population, other than the Security Forces, react to a force protection threat.

2.7.1.3. Fuel Cell Emergency Response Exercise Scenario (Technical Order 1-1-3).

2.7.1.3.1. Scenario should address response under worst-case conditions.

2.7.1.4. Base grid map (size 1:400 and 1:800)

2.7.1.5. Full Spectrum Threat Response (FSTR) Plan 10-2.

2.7.1.6. Disaster Control Group checklists for functional areas involved in each exercise.

2.7.1.7. Risk Management Worksheet used for each exercise.

2.7.2. The inspected unit is responsible for accomplishing all coordination with agencies outside the unit that are required to participate in a comprehensive exercise.

2.7.3. The IG Team will review the exercise scenarios and select the FSTR and Force Protection Awareness scenarios for the inspected unit to execute. Immediately following the UCI inbrief, the inspected unit EET chief and select EET members will become trusted agents and will be notified of the selected scenarios and exercise start times.

2.8. Discrepancies . The IG Team documents discrepancies in three categories: Findings, Observations, and Systemic Issues.

2.8.1. Finding. “A finding is specific, focused, and based on non-compliance with an established DoD, USAF, MAJCOM or Wing directive. A finding documents an oversight process deficiency. Oversight is the processes/procedures unit leadership uses to ensure (to the appropriate level) when mission/supporting processes are meeting requirements. A finding identifies an adverse or potentially adverse condition existing within a unit process and is based upon fact. All findings will include a reference to the appropriate guidance. Findings are answerable by the Wing Commander to the NAF and HQ AFRC. See closure process in paragraph 2.15 and [Attachment 4](#).

2.8.2. Observation. An observation is specific, focused, and based on non-compliance with an established DoD, USAF, MAJCOM or Wing directive. An observation documents a localized symptom of a possibly larger process deficiency, which could lead to noncompliance without proper oversight. Observations are typically confined to a squadron or lower organization, and the result of the lack of proper oversight. All observations will include a reference to the appropriate guidance. The NAF/CC determines which observations must be answered to the NAF staff.

2.8.3. Systemic Issues. A systemic issue is a discrepancy within a process that is beyond a single unit's capability to correct and requires higher headquarters action (NAF, AFRC or higher) to resolve. AFRC/IG will identify the proposed systemic issues and validate with applicable HQ AFRC Functional Area Managers. Systemic issues are closed by the AFRC/CV. (See [Chapter 6](#) for systemic issue resolution process)

2.9. Commendables . During UCIs, members of the IG Team look for processes that can help other AFRC units excel. Although these processes may not rise to the level of an Air Force Best Practice, other AFRC units can benefit from the innovation. The IG Team identifies these processes as commendables in the UCI report.

2.10. Recognition. The AFRC IG Team recognizes the following awards of excellence: Superior Performer, Superior Performer Team, and Outstanding Courtesy, Dress, and Appearance. These individuals' names are listed in the inspected unit's UCI report and each Superior Performer and Superior Performer Team member is presented a certificate.

2.10.1. Superior Performers are individuals at any level in the organization whose individual performance is well above his/her peers and whose management excellence significantly contributes to accomplishing the unit's mission.

2.10.1.1. Inspectors identify Superior Performers by direct observation during a UCI.

2.10.1.2. While there is no grade restriction on who may be selected as a superior performer, all military nominees must comply with the dress and appearance standards outlined in AFI 36-2903 must not be currently enrolled in the weight and body fat management program, and must not have an Unfavorable Information File.

2.10.2. A Superior Performer Team consists of individuals whose collective performance significantly contributes excellence.

2.10.2.1. During the UCI, inspectors identify Superior Performer Teams by direct observation or review of the teams' accomplishments and impact on the unit's mission.

2.10.2.2. While there is no grade restriction on selecting a superior team, all military personnel must comply with all USAF standards.

2.10.3. A military member recognized for Outstanding Courtesy, Dress, and Appearance displays exceptional military courtesy, dress, and appearance. The nominee exceeds standards listed in AFI 36-2903 and military bearing exudes excellence.

2.11. Responsibilities.

2.11.1. HQ AFRC/IG will:

2.11.1.1. Maintain links to the self-inspection checklist developed by HQ AFRC Staff.

2.11.1.2. Coordinate HQ AFRC changes to AFRCI 90-201 and AFI 90-201.

2.11.1.3. Forward any newly proposed AFRC CCCAs to AFRC/CC for approval prior to incorporation into AFRCI 90-201. HQ AFRC/IG will forward proposed CCCAs with applicability across the Air Force to SAF/IG for possible incorporation into AFI 90-201.

2.11.1.4. Conduct inspections on all established CCA items unless responsibility for inspections has been coordinated with another agency.

2.11.1.5. Update HQ AFRC/IG web site with current UCI guidance.

2.11.2. HQ AFRC Staff will:

2.11.2.1. Submit proposed CCA changes. AFRC directors notify HQ AFRC/IG, in writing, of specific requirements for AFRC CCA sub-areas. Requests will contain the title, purpose, scope,

background, actions required, inspection guide, units or functions of applicability, project officer or OPR, to include rank, office symbol, and DSN contact number.

2.11.2.2. Develop inspection guide for identified CCCAs once they have been appointed as OPR. (NOTE: Prior to inspection guide development, SAF/IG must approve AF-wide CCCAs/sub-areas for inclusion in AFI 90-201 or AFRC CCA sub-area must be approved by AFRC/IG and AFRC/CC for inclusion in AFRCI 90-201.)

2.11.2.3. Augment HQ AFRC/IG to accomplish compliance inspections when necessary.

2.11.3. Numbered Air Force Staffs will:

2.11.3.1. Appoint a POC to:

2.11.3.1.1. Monitor status of open findings at assigned units.

2.11.3.1.2. Coordinate NAF functional review and HQ AFRC functional review of unit finding closure action.

2.11.3.2. Augment HQ AFRC/IG to accomplish compliance inspections, when necessary.

2.11.4. Inspected units will:

2.11.4.1. Have required program material and/or personnel available during the inspection period.

2.12. Reporting.

2.12.1. Operational Reporting. Inspected units will accomplish Operational Reporting according to AFRCI 10-203 upon the arrival and departure of the AFRC IG Team.

2.12.2. Inspection Results. Wing and Group commanders will immediately notify their NAF/CC of all inspection results.

2.13. Immediate Corrective Actions. Units that receive an “Unsatisfactory” grade for any sub-area must take immediate action to correct discrepancies. The NAF/CC will direct corrective action response.

2.13.1. Re-inspection. Sub-areas that receive an “Unsatisfactory” grade may be re-inspected at the direction of the AFRC/CC, AFRC/CV or NAF/CC.

2.14. Closing Findings . When Findings are identified in the UCI report, the inspected unit should immediately begin to take corrective action. Process improvement is required to prevent recurrence.

2.14.1. Inspected Wing/Group administrative responsibilities in closing findings:

2.14.1.1. Wings/Groups with open findings will provide their NAF quarterly updates on their progress toward developing effective process improvement to close findings.

2.14.1.2. Unit recommendation to close a finding must address specific improvement in the ineffective process that led to the finding. Closure documentation must provide evidence the process improvement has been in place for a period of time and there has been no recurrence of the conditions in the finding.

2.14.1.3. Use the letter format in **Attachment 3** to send quarterly updates or recommendations to close findings. Use a separate letter in a separate computer file to recommend closure of each find-

ing. All updates and recommendations to close findings will be signed by the Wing/Group commander.

2.14.2. NAF Staff responsibilities:

2.14.2.1. NAFs will use an electronic AF Form 1768, Staff Summary Sheet (SSS), to coordinate finding closures. Coordinate closure for only one finding on each SSS. **Attachment 4** is an example of how to develop the SSS.

2.14.2.2. NAF Functional Area Manager (FAM) will review the proposed process improvement to ensure it is consistent with NAF policies. The NAF FAM review provides an opportunity to share the solutions across the NAF.

2.14.2.3. When the NAF has no FAM for the applicable functional area, the HQ AFRC FAM will be the only functional review of the process improvement.

2.14.3. HQ AFRC Functional Area Manager (FAM) review responsibilities

2.14.3.1. HQ AFRC FAM review should verify that the proposed closure action is consistent with corrective actions developed by organizations across the entire MAJCOM. FAM review at HQ AFRC keeps the headquarters actively involved with working the key issues across the MAJCOM. HQ AFRC FAMs will complete the review in 10 workdays.

2.14.4. NAF/CC responsibilities:

2.14.4.1. The NAF/CC will review recommendations from NAF and HQ AFRC FAMs and determine if proposed process improvement will prevent recurrence of the process failure that caused the finding.

2.14.4.2. The NAF/CC will close the finding or return it to the unit for additional action as appropriate.

2.14.4.3. When coordination on the process improvement is complete, the NAF commander will sign the SSS closing the finding and forward the package to HQ AFRC/IG.

2.14.5. HQ AFRC/IG administratively closes the finding.

Chapter 3

SPECIAL INTEREST ITEM (SII) INSPECTIONS

3.1. General. HQ AFRC/IG and other AFRC staff agencies inspect SIIs established by SAF/IG, HQ AFRC, and the gaining MAJCOMs. The purpose of an SII is to determine the extent and impact of known or suspected problems, identify specific deficiencies, or to confirm that a problem has been resolved.

3.2. Effective SIIs. An SII will be used as a last resort, not to address administrative matters. To be effective, the SII program must meet a rigid set of criteria and be kept to a minimum number to facilitate both the execution and evaluation of SIIs. The HQ AFRC staff should use the criteria below for review and development of SIIs:

3.2.1. Does the SII directly impact AFRC mission readiness?

3.2.2. Are there any other ways to emphasize a review of the process other than through a SII? For example, could a message, staff assistance visit or computer programs provide the same information?

3.2.3. Does IG have the resources, i.e., manpower and time, to properly validate the SII? HQ AFRC/IG functional personnel should determine this when the SII is initially coordinated. HQ AFRC staff augmentation to IG may be required in order to accomplish the actual SII field assessment.

3.3. Establishing SIIs. AFRC directors notify HQ AFRC/IG, in writing, of specific requirements for AFRC SIIs. SII requests will contain the title, purpose, scope, background, actions required, inspection checklist, effective period, units or functions of applicability, project officer or OPR, to include rank, office symbol, and DSN contact number. HQ AFRC/IG will forward the proposed AFRC SIIs to AFRC/CV for approval prior to release by IG.

3.4. Effective Period. The period covered by an AFRC SII will not exceed 12 months unless approved by HQ AFRC/IG. Justification for SIIs longer than 12 months must accompany the SII. OPRs will send extension requests for existing SIIs to HQ AFRC/IG a minimum of 30 days prior to the quarter in which the SII expires. HQ AFRC functional managers should continually review all SIIs and provide any changes to HQ AFRC/IGIS.

3.5. Inspection Scheduling. AFRC/IG will conduct its SII inspections during Unit Compliance Inspections.

3.6. Inspection Procedures. Each SII has a designated AFRC staff agency appointed as OPR. Units will complete SII checklists prior to IG team arrival; the IG will validate results during the inspection. Copies of current SII checklists and other information are available from the AFRC/IG webpage.

3.7. Grading. The IG assigns grades for each SII. The overall grade for each SII will be: "Satisfactory" or "Unsatisfactory."

3.8. Corrective Actions. Units that receive a grade of "Unsatisfactory" for any SII must immediately begin actions to correct the discrepancy and the unit commander must submit a corrective action plan to the NAF commander, appropriate HQ AFRC staff agency, and a courtesy copy to HQ AFRC/IG, describ-

ing the corrective actions taken/being taken. The suspense for submitting this plan is 15 workdays after the inspection out-brief.

3.9. Re-inspection. After reviewing the corrective action plan and actions taken, the HQ AFRC staff agency will recommend to the AFRC/CV the need for any re-inspection. The AFRC/CV will coordinate with the IG on who will conduct the re-inspection (NAF staff or IG). When the NAF/CC determines the corrective action is sufficient to clear the discrepancy, the NAF/CC will notify the AFRC/CV and the IG will update the SII database to reflect action complete.

3.10. SII Listing.

3.10.1. Webpage. Information on applicable SIIs is maintained on the AFRC/IG webpage.

3.10.2. Defense Message System (DMS) message. During the October, January, April, and July time-frames, HQ AFRC/IGI (SII administrator) releases a DMS message with the quarterly SII listing identifying all applicable USAF, AFRC, and gaining MAJCOM SIIs.

3.11. HHQ and Gaining MAJCOM Reporting . At the end of each quarter, HQ AFRC/IGI will report the results of USAF SII inspections to SAF/IG and the results of gaining MAJCOM SII inspections to the applicable MAJCOM SII administrator.

Chapter 4

CONTRACTED SUPPORT ACTIVITY INSPECTIONS (CSAI)

4.1. General . The objective of a CSAI is to provide commanders an independent assessment of operations and maintenance (O&M) funded contracted services. HQ AFRC/IG will conduct a CSAI when a contractor is responsible for performance in a Common Core Compliance Area (CCCA) and the contract was written by an AFRC contracting activity.

4.1.1. CSAIs assess the contractor's performance as determined through functional readiness for mission accomplishment.

4.1.2. CSAIs will assess the government's overall contract management of the CCCA services.

4.2. Inspection Procedures .

4.2.1. The CSAI is structured around the CCCA guidance in DoD, USAF, and MAJCOM publications, as well as the AFRCI 90-201. The CSAI reviews only CCCA requirements.

4.2.2. Normally CSAIs will take place during a UCI.

4.2.3. Contractor Relations:

4.2.3.1. The IG inspectors will provide a copy of their inspection schedule to the contractor's project manager to avoid unreasonable interruptions of contractor performance. The inspection schedule will also be provided to the Quality Assurance Evaluator (QAE) and Accountable Officer (AO).

4.2.3.2. The IG will not direct contractor performance, nor will they direct the contractor to correct deficiencies. Only the Contracting Officer (CO) can take formal action against the contractor for noncompliance or direct contractors to correct deficiencies identified during the CSAI. If an inspector notes an imminent danger to personnel or equipment, he or she will take immediate action to mitigate the hazard.

4.2.3.3. During the inspection of the applicable CCCA, the applicable QAE must accompany the IG inspectors. If available, the applicable Contracting Officer should also be present.

4.2.3.4. If a contractor accomplishes a function that is not a CCCA as identified in [Attachment 2](#), the AFRC IG team will not conduct a CSAI on that function.

4.3. Report . Although the CSAI will be conducted in conjunction with the UCI, a separate CSAI report will be published.

4.3.1. The CSAI report must address contracted support activities associated with all CCCAs identified in [Attachment 2](#). Contracting itself is a CCCA with reporting through both the CSAI and UCI. Contracting activities specifically associated with the CSAI functional areas under review will be included as part of the CSAI report. All other areas of contracting will be reported in the UCI report.

4.3.2. The CSAI report will summarize the CCCAs provided by the contractor.

4.3.2.1. Each CCCA will be assessed individually.

4.3.2.2. Contractors will not be mentioned by name.

4.3.2.3. Findings and Observations will be validated in accordance with paragraph 4.3.2.4. prior to inclusion in the CSAI report.

4.3.2.4. Report Validation:

4.3.2.4.1. The Contracting Officer , Functional Area Chief (FAC), Quality Assurance Evaluator and Accountable Officer shall participate in the validation process to ensure only deviations from contractual requirements are identified as deficiencies.

4.3.2.4.2. After identification and government validation, the QAE will validate findings and observations with the contractor's project manager. CO involvement is highly encouraged.

4.3.2.4.3. The office of primary responsibility (OPR) for any Finding or Observation in the CSAI will be the FAC, AO or QAE, as applicable. The CO will be the office of collateral responsibility (OCR).

4.3.2.5. Report Distribution.

4.3.2.5.1. The AFRC/IG produces a report after every inspection identifying discrepancies and areas of excellence. The AFRC/IG distributes all inspection reports electronically to inspected units and parent NAF/CC. AFRC units may access inspection reports on the AFRC/IG web site.

4.3.2.5.2. The CSAI will be released to the contractor by the CO.

4.3.2.6. Report Response: The response to Findings must address formal government actions taken in response to deficiencies identified during the CSAI and adequacy of corrective actions taken by contractors.

4.4. Briefings:

4.4.1. Entrance Briefing: The IG contracting inspector will brief the onsite CO, QAE, FAC, AO and the contractor's project manager before commencing the inspection. The briefing should cover the purpose, scope and conduct of the inspection.

4.4.2. Functional/Contractor Area Exit Briefing: Attendance at the Wing briefing is at the discretion of the Wing Commander. At a minimum, a table top discussion of significant deficiencies identified during the inspection will be held amongst the inspection team, QAE, FAC, AO, onsite CO and contractor's project manager.

4.5. Grading and Criteria .

4.5.1. Each CCCA sub area will be graded at the functional level utilizing the CSAI checklist. The checklist is matrixed from the Contract Management Assistance Visit (CMAV) checklist utilized by the HQ AFRC functional representatives. Since this is an assessment of performance of the function, there will not be an overall grade when multiple functions are performed by the same contractor.

4.5.2. Each CCCA sub area will be graded either SATISFACTORY or UNSATISFACTORY. Ratings of UNSATISFACTORY must be coordinated with the CO prior to publication in the CSAI report.

Chapter 5

SELF-INSPECTION

5.1. General - Self-inspection is an internal tool commanders at all levels use to assess processes. It is an integral part of every Commander's Management Control Program and will be documented in each commander's annual Statement of Assurance (SOA). There is no requirement to up-channel discrepancies discovered in the annual Self-Inspection. When the ability to resolve a discrepancy is beyond the capability of the unit commander, the issue will be raised to the next level of command.

5.2. HQ AFRC Staff Directorate Responsibilities .

5.2.1. Designate a primary and alternate Self-Inspection Program Manager.

5.2.2. Designate an administrator to maintain and publish a web-based repository of functional checklists on the directorate web site and provide the web address of web-based repositories to the HQ AFRC/IGI.

5.3. HQ AFRC Directorate Self-Inspection Program Monitor Responsibilities .

5.3.1. Ensure self-inspection checklists are developed for each functional area or program within their directorate responsibility. Ensure checklists address process or program implementation at all levels of command.

5.3.2. Coordinate with directorate web administrator to ensure all functional checklists are included in the directorate web repository.

5.3.3. Ensure web-based repositories include the current revision/review date of all checklists.

5.3.4. Ensure checklists are reviewed annually or immediately when policy or guidance changes.

5.3.5. Certify accuracy of checklist to the AFRC/IG by 30 January each year.

5.4. HQ AFRC/IG Responsibilities .

5.4.1. Ensures all HQ AFRC directorates have certified compliance with annual checklist reviews.

5.4.2. Designates an administrator to maintain and publish an AFRC self-inspection web site. Ensure the web site provides all AFRC self-inspection program guidance and links to all directorate and NAF self-inspection web sites.

5.5. NAF Commander Responsibilities .

5.5.1. Designate primary and alternate Self-Inspection Program Monitors.

5.5.2. Designate an administrator to maintain and publish a web-based repository of NAF supplemental checklists on the NAF web site and provide the web address of web-based repositories to the HQ AFRC/IGI.

5.5.3. Self-Inspection Oversight.

5.5.3.1. Ensure the SAV process reviews unit Self-Inspection Program effectiveness.

5.5.3.2. NAF commanders will document self-inspection effectiveness of subordinate commanders in their annual Statement of Assurance.

5.5.3.3. Report to HQ AFRC Functional Area Manager and IG evidence of ineffective functional checklists.

5.6. NAF Self-Inspection Program Monitor Responsibilities .

5.6.1. Ensure NAF supplemental checklists are developed as required.

5.6.2. Ensure NAF supplemental checklists are reviewed annually or when policy or guidance changes.

5.6.3. Coordinate with NAF web administrator to ensure all supplemental checklists are included in the NAF web repository. Ensure web-based repositories include the current revision or review date of all posted checklists.

5.6.4. Collect and provide feedback from subordinate units on AFRC Self-Inspection checklists to the appropriate HQ AFRC Self-Inspection Program Monitor.

5.7. Wing or Geographically Separated Unit (GSU) Commander Responsibilities.

5.7.1. Designate primary and alternate Self-Inspection Program Monitors.

5.7.2. Ensure assigned units conduct self-inspections NLT 31 July of each year and document in the annual Statement of Assurance (SOA). Ensure discrepancies beyond unit control are documented in the SOA and elevated to the next level of command.

5.8. Wing or GSU Self-Inspection Program Monitor Responsibilities.

5.8.1. Ensure supplemental Self-Inspection checklists are developed as required.

5.8.2. Ensure supplemental checklists are reviewed annually or when policy or guidance changes.

5.8.3. Collect and provide feedback from subordinate units on HQ AFRC Self-Inspection checklists to the appropriate NAF Self-Inspection Program Monitor.

Chapter 6

SYSTEMIC ISSUES

6.1. General - A systemic issue is a discrepancy within a process that is beyond the control of a single unit's capability to correct and requires higher headquarters action (NAF, AFRC or higher) to resolve. AFRC/IG will identify the proposed systemic issues and validate with applicable HQ AFRC Functional Area Managers. Systemic issues are closed by the AFRC/CV.

6.2. HQ AFRC/IG Responsibilities .

6.2.1. The AFRC IG Team will identify possible systemic issues during inspections.

6.2.2. Within two weeks of returning from the inspection, AFRC/IGI will use an electronic AF Form 1768, *Staff Summary Sheet (SSS)* to coordinate approval of the proposed systemic issue with the appropriate HQ AFRC directorate(s). The SSS will identify proposed HQ AFRC directorate OPR and OCR(s).

6.3. HQ AFRC Directorate Responsibilities .

6.3.1. After AFRC/CV approves the systemic issue, the applicable HQ AFRC directorate(s) will assign a POC to resolve the issue.

6.3.2. HQ AFRC directorate will provide AFRC/ACV quarterly updates on the status of open systemic issues.

6.3.3. Final Closure. The HQ AFRC directorate working the approved systemic issue will prepare an AF Form 1768 (SSS) to coordinate formal closure of the systemic issue. HQ AFRC/IG will be a coordination addressee.

6.4. HQ AFRC/CV Responsibilities .

6.4.1. AFRC/CV will approve initiating all systemic issues and identify directorate responsible to resolve the issue.

6.4.2. AFRC/ACV will brief HQ AFRC Staff and CV quarterly on the status of all open systemic issues.

6.4.3. AFRC/CV will review and approve final actions to close all systemic issues.

Chapter 7

BEST PRACTICES

7.1. Best Practice . A best practice is defined as a superior method or innovative practice that contributes to improved performance of the process.

7.2. HQ AFRC/IG Responsibilities .

7.2.1. The IG Team will identify possible best practice candidates during inspections.

7.2.2. Within two weeks of returning from the inspection, IGI will use an electronic AF Form 1768 to coordinate approval of the proposed best practice candidate with the appropriate HQ AFRC Functional Area Manager (FAM).

7.2.3. If the HQ AFRC FAM approves the proposal as a best practice, AFRC/IG will notify the submitting unit, post the best practice to the AFRC IG web site, add the addendum to the UCI report, and forward the proposal to the AF Best Practice Clearinghouse.

7.2.4. If the HQ AFRC FAM does not approve the proposal as a best practice, AFRC/IG will notify the submitting unit. Although some proposals may not rise to the high standard of best practice, the proposals may be considered “Good Ideas” and useful to other units. If the functional area manager recommends recognizing the proposal as a “Good Idea”, AFRC/IG will post the proposal to the HQ AFRC/IG webpage.

7.3. HQ AFRC Directorate Functional Area Manager Responsibilities.

7.3.1. Assign a POC to review the best practice proposal.

7.3.2. Determine if the best practice candidate meets the factors outlined in AFH 38-210, *Air Force Best Practice Clearinghouse*, paragraph 3.1.

7.3.3. If the HQ AFRC FAM disapproves the proposal as a best practice, the FAM should provide a summary of the reason the proposal should not be identified as a best practice.

7.4. AFRC Unit Responsibilities .

7.4.1. Notify the AFRC IG team member of possible best practice candidates.

7.4.2. The unit process owner or best practice POC will work with the IG team member to complete the Best Practice Reporting form. (See AFI 90-201, Attachment 7).

7.4.3. When notified by HQ AFRC that the proposal was approved, the POC in the unit, according to AFH 38-210, paragraph 5.2, will work directly with the systems manager at the AF Best Practice Clearinghouse to ensure the practice is currently being used; do a safety, security, readiness and environmental check; determine releasibility; and categorize the practice.

Chapter 8

HIGHER HEADQUARTERS INSPECTIONS

8.1. General.

8.1.1. HQ AFRC is subject to various DoD, USAF, and other higher headquarters visits that may involve any staff agency or directorate. Examples of such visits are Air Force Inspection Agency conducted EAGLE LOOK management reviews or Air Force Audit Agency audits.

8.1.2. Release of information in Inspector General reports is subject to restrictions according to applicable regulations and this instruction.

8.2. Prior-Notice Actions. When notified of a scheduled visit to HQ AFRC:

8.2.1. HQ AFRC/IGI will notify the AFRC Command Section and appropriate staff agencies or directorates. AFRC Command Section will designate a lead agency in accordance with guidance listed below. Additional visited agencies will respond to the designated lead directorate as required.

8.2.2. The AFRC lead directorate for the visit will:

8.2.2.1. Appoint a project officer.

8.2.2.2. Notify HQ AFRC/IGI of name, rank, and telephone number of AFRC project officer.

8.2.2.3. Contact visiting team OPR for pertinent information.

8.2.2.4. Arrange for the team's local lodging and transportation.

8.2.2.5. Make appropriate arrangements for office space and clerical assistance as required.

8.2.2.6. Arrange the visiting team's in-briefing after coordination with the inspection team chief.

8.2.2.7. Notify the AFRC Command Section with the requested date and time of the briefing when the presence of AFRC/CV is requested at the out-briefing.

8.3. No Prior-Notice Actions. When a higher headquarters inspection team arrives at HQ AFRC on a no-prior-notice inspection, the staff agency first receiving the inspection team will:

8.3.1. Notify the AFRC gatekeeper (HQ AFRC/IGIO) of the inspection.

8.3.2. Arrange for a meeting between the inspection team chief and the HQ AFRC Inspector General, as required.

8.3.3. Comply with applicable team support requirements.

JAMES E. SHERRARD, Lt General, USAF
Commander

Attachment 1**GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION*****References***

See self-inspection checklists developed by HQ AFRC Staff for applicable references. Links to the Self Inspection checklists are posted on the AFRC/IG Website.

Abbreviations and Acronyms

AEF—Air Expeditionary Force

AFI—Air Force Instruction

AFIA—Air Force Inspection Agency

AFPD—Air Force Policy Directive

AFRC—Air Force Reserve Command

AGR—Active Guard and Reserve

AMC—Air Mobility Command

AO—Accountable Officer

ARW—Air Refueling Wing

ART—Air Reserve Technician

ASEV—Aircrew Standardization Evaluation Visit

ATSEP—Air Traffic System Evaluation Program

CCCA—Common Core Compliance Area

CO—Contracting Officer

CSAI—Contracted Support Activity Inspections

DOC—Designed Operational Capability

DoD—Department of Defense

DMS—Defense Message System

DRU—Direct Reporting Unit

EAL—Entry Authority List

FAC—Functional Area Chief

FSTR—Full Spectrum Threat Response

GSU—Geographically Separated Unit

HAZMAT—Hazardous Material

HSI—Health Services Inspection

IG—Inspector General
MAJCOM—Major Command
MSP—Maintenance Standardization Program
NAF—Numbered Air Force
NBC—Nuclear Biological and Chemical
NGB—National Guard Bureau
OPLAN—Operation Plan
OCR—Office of Collateral Responsibility
OPR—Office of Primary Responsibility
ORI—Operational Readiness Inspection
Prime BEEF—Prime Base Engineer Emergency Force
Prime RIBS—Prime Readiness in Base Services
QAE—Quality Assurance Evaluator
SAF—Secretary of the Air Force
SAV—Staff Assistance Visit
SET—Standardization and Evaluation Team
SII—Special Interest Item
SIOP—Single Integrated Operational Plan
SOA—Statement of Assurance
SORTS—Status of Resources and Training System
UCI—Unit Compliance Inspection
UTC—Unit Type Code
WMD—Weapons of Mass Destruction

Terms

Accountable Officer (AO)—Government representative responsible for efficient management of government resources, including funds, required in performance of contract.

Air and Space Expeditionary Force (AEF)—An organization comprised of aerospace capabilities that provides tailored force packages to meet theater commander needs across the full spectrum of military operations. Capable of performing any number of the Air Force's basic functions to include a full complement of Expeditionary Combat Support forces.

Commendable—During UCIs the IG Team identifies processes that can help other AFRC units excel. Although these processes may not rise to the level of an Air Force best practice, other AFRC units can benefit from the innovation and experience. The IG Team identifies these processes as commendables in the UCI report.

Common Core Compliance Areas (CCCA)—Areas under the Compliance Inspection program that mandate inspection(s) based on by-law requirements, executive orders, DoD directives, and Air Force, MAJCOM, and applicable AFRC instructions.

Finding—“A finding is specific, focused, and based on non-compliance with an established DoD, USAF, MAJCOM or Wing directive. A finding documents an oversight process deficiency. Oversight is the processes/procedures unit leadership uses to ensure (to the appropriate level) when mission/supporting processes are meeting requirements. A finding identifies an adverse or potentially adverse condition existing within a unit process and is based upon fact. All findings will include a reference to the appropriate guidance. Findings are answerable by the Wing Commander to the NAF and HQ AFRC. See closure process in paragraph 2.15 and [Attachment 4](#).

Full Spectrum Threat Response (FSTR)—Physical threats facing military installations including major accidents, natural disasters, hazardous material (HAZMAT), terrorist use of WMD, enemy attack and a broad spectrum of planning, response and recovery actions.

Functional Area Chief (FAC)—Government representative responsible for a functional area in which the services are provided by a contractor. Normally the program manager, laboratory director, test facility manager, or equivalent.

Observation—An observation is specific, focused, and based on non-compliance with an established DoD, USAF, MAJCOM or Wing directive. An observation documents a localized symptom of a possibly larger process deficiency, which could lead to noncompliance without proper oversight. Observations are typically confined to a squadron or lower organization, and the result of the lack of proper oversight. All observations will include a reference to the appropriate guidance. The NAF/CC determines which observations must be answered to the NAF staff.

Operation Plan (OPLAN)—A plan for the conduct of joint operations that can be used as the basis for development of an operations order. An OPLAN identifies the forces and supplies required to execute a theater commander’s Strategic Concept and a movement schedule of these resources to the theater of operations.

Quality Assurance Evaluator (QAE)—Government representative appointed by the requiring activity and approved by the contracting officer, responsible for monitoring, evaluating and reporting contractor’s performance. QAEs may be assigned for specific contract areas, entire contracts or multiple contracts.

Status of Resources and Training System (SORTS)—The Joint Chiefs of Staff controlled and automated system which provides authoritative identification, location, and resource information to the National Command Authorities and the Joint Staff.

Systemic Issue—A systemic issue is a discrepancy within a process that is beyond the control of a single unit's capability to correct and requires higher headquarters action (NAF, AFRC or higher) to resolve. AFRC/IG will identify the proposed systemic issues and validate with applicable HQ AFRC Functional Area Managers. Systemic issues are closed by the AFRC/CV. (See [Chapter 6](#) for systemic issue resolution process)

Unit Compliance Inspection (UCI)—AF program to inspect items requiring actions by US laws, executive orders, DoD directives, and safety that, if not complied with, could result in significant legal liabilities, penalties, or mission impact. See AFRCI 90-201, Attachment 2 for a list of CCCA items.

Unit Type Code (UTC)—A five-character alphanumeric designator that identifies a specific capability package. The UTCs for all Air Force packages are found in Volume III of the War Mobilization Plan and

are used by unified and specified commands, HQ USAF, and the JCS to identify forces required to support contingency plans.

Attachment 2

COMMON CORE COMPLIANCE AREA (CCCA)

A2.1. Common Core Compliance Area Application. The following Air Force-level CCCAs, as supplemented by HQ AFRC, represent key processes, procedures, and requirements based on by-law requirements, executive orders, DoD directives, and Air Force, MAJCOM Instructions.

A2.1.1. (AFRC) Management Control Program

A2.1.1.1. Ensure management controls are in place and assess the effectiveness of Management Control Plans.

A2.1.1.2. Review annual Statement of Assurance to ensure material weaknesses are reported.

A2.1.2. Operational Risk Management (ORM) Program

A2.1.2.1. Assess whether commanders, at all levels, have tailored ORM application and techniques to accommodate the unique mission needs of their organization.

A2.1.2.2. Evaluate the unit ORM Implementation and Sustainment Plan, at all levels, to ensure it directs ORM integration into all operational decision-making processes.

A2.1.3. Performance Management

A2.1.3.1. Assess the data contained in the Wing Performance reports by validating applicable wing performance measures based on reserve-unique needs and gaining MAJCOM task list.

A2.1.4. Information Protection Assessment/Assistance Program (IPAP)

A2.1.4.1. Evaluate the actions the wing has taken in response to semiannual self-assessment of wing COMSEC operations and annual Information Protection self-assessments.

A2.1.5. (AFRC) Aircrew Standardization and Evaluation Program (Stan/Eval)

A2.1.5.1. Evaluate Stan/Eval processes to include Stan/Eval board (SEB), review and certification board (R&C), flight evaluation folders (FEF), flight manuals program (FMP), flight crew information file, and Stan/Eval administration.

A2.1.6. (AFRC) Environmental Compliance Assessment and Management Program (ECAMP)

A2.1.6.1. Assess the effectiveness of the unit's Internal ECAMP oversight process across all functional areas.

A2.1.6.2. Assess compliance with Qualitative Nuclear Biological and Chemical (NBC) Fit Training, Mobility, and other readiness programs.

A2.1.7. Occupational Health.

A2.1.7.1. Assess how the organization adheres to occupational health guidelines and procedures to include applicable Occupational Safety and Health Administration (OSHA) standards not covered by the HSI.

A2.1.8. (AFRC) Flight Safety.

A2.1.8.1. Assess the oversight of the unit's flight safety program and ensure integration of its programs within the organization and local flying community.

A2.1.9. Ground Safety.

A2.1.9.1. Evaluate the effectiveness of the unit's ground safety program and ensure compliance at all levels within the organization.

A2.1.10. Explosives Safety.

A2.1.10.1. Evaluate the unit's explosive safety program to ensure it is comprehensive, effective, and aggressively implemented.

A2.1.11. (AFRC) Fire Protection.

A2.1.11.1. Evaluate Base Operating Support (BOS) and Reserve units compliance with National Standards and DoD, Air Force, and AFRC directives and supplements.

A2.1.11.2. Evaluate BOS and Reserve Fire Fighters' ability to effectively provide fire suppression, rescue, hazardous materials, emergency medical, and other emergency services for DoD personnel, facilities, aircraft, vehicles, and equipment.

A2.1.11.3. Evaluate documentation supporting training requirements, vehicle, and equipment inspections, safety, and other related compliance items.

A2.1.12. Supply

A2.1.12.1. Evaluate stock control management processes (to include the Regional Supply Squadron, if applicable) used to support weapon system spares and the base missions.

A2.1.12.2. Assess repair cycle management to ensure tracking, status accuracy, and turn-in methods for all unserviceable assets in maintenance, including the execution of Air Force weapon system warranty processing.

A2.1.12.3. Evaluate management of mission capable (MICAP) requisitions and reporting system processes (to include the Regional Supply Squadron, if applicable).

A2.1.12.4. Assess physical control, accountability, serviceability, and efficient management of the Readiness Spares Packages (MRSP/IRSP) and Mission Support Kits (e.g. MSK/HPMSK).

A2.1.12.5. Assess the Mobility Element's control, accountability, serviceability, and efficient management of mobility assets to include assets decentralized throughout the wing (i.e., mobility bags and weapons).

A2.1.12.6. Assess facility and equipment inspection and preventative maintenance programs.

A2.1.12.7. Assess confined space, hazardous communication training/awareness, environmental compliance practices pertaining to fuel servicing operations, receipts, transfers, and inventory management.

A2.1.12.8. Evaluate Fuels Management Team's ability to train, maintain, receive, store, issue, and account for quality bulk petroleum products, cryogenic fluids, and missile propellants in a safe and timely manner.

A2.1.12.9. Assess equipment accountability to comply with supply discipline responsibilities across all functional areas.

A2.1.13. Transportation.

A2.1.13.1. Evaluate wing personnel deployment training (aircraft load planning, cargo processing/handling/loading, passenger processing, and other applicable deployment training).

A2.1.13.2. Assess the maintenance and management of vehicle assets.

A2.1.13.3. Evaluate HAZMAT management procedures, processes, and safeguards (Vehicle Maintenance, Aerial Port, Shipment/Receipt).

A2.1.13.4. Ensure all surface freight shipments are properly packaged, labeled, and shipped in required time standards.

A2.1.14. Munitions (Non-Nuclear).

A2.1.14.1. Assess available munitions maintenance handling equipment and tools to meet mission requirements.

A2.1.14.2. Assess munitions inspection procedures.

A2.1.14.3. Assess the operations, control, and security of munitions, to include ordering, storage, and issuing procedures.

A2.1.15. Financial Management.

A2.1.15.1. Evaluate leadership, quality assurance, Non-Appropriated Funds oversight, systems access controls, Federal Managers Financial Integrity Act (FMFIA) and audit liaison responsibilities in accordance with applicable laws, directives, and instructions (self-inspection checklist is available to assist MAJCOM/IGs and units as applicable).

A2.1.15.2. Evaluate pay, travel, accounting, and disbursing functions in accordance with applicable laws, directives, and instructions (self-inspection checklist is available to assist MAJCOM/IGs and units as applicable).

A2.1.15.3. Evaluate planning, programming, budgeting, and analysis functions in accordance with applicable laws, directives and instructions (self-inspection checklist is available to assist MAJCOM/IGs and units as applicable).

A2.1.15.4. Evaluate organization capability and training to conduct Independent Review Official and Economic Analysis duties in accordance with published guidance (AFPD 65-5, *Cost Estimate* AFI 65-501, *Economic Analysis*, AFMAN 65-506, *Economic Analysis*, AFI 65-502, *Inflation*, AFI 65-503, *US Air Force Cost and Planning*).

A2.1.16. (AFRC) Government Travel Card.

A2.1.16.1. Assess training, guidance and commanders' policies, as well as adherence to the Air Force standard of not exceeding the maximum 4.5 percent delinquency rate.

A2.1.16.2. Ensure compliance with policy guidance from OSD, Air Staff, and Command.

A2.1.17. (AFRC) Government Purchase Card.

A2.1.17.1. Ensure compliance with AFI 64-117, *Air Force Government-wide Purchase Card Program*, and related regulations. Assess Agency Program Coordinator oversight of cardholders through records reviews.

A2.1.17.2. Ensure compliance with policy guidance from the Office of the Secretary of Defense, Air Staff and HQ AFRC.

A2.1.18. Flying Incentive Pay.

A2.1.18.1. Ensure compliance with the DoD Financial Management Regulation, Volume 7A.

A2.1.19. (AFRC) Leave Accounting-ART/AGR.

A2.1.19.1. Assess the timeliness and accuracy of leave input into the Defense Finance and Accounting Service (DFAS) system.

A2.1.20. Contracting.

A2.1.20.1. Evaluate if acquisition planning, contract award, and contract administration procedures are conducted according to applicable laws, executive orders, Federal Acquisition Regulations (FAR), Defense Federal Acquisition Regulations Supplement, Air Force Federal Acquisition Regulation Supplement, directives, instructions, and applicable Army FAR Supplement.

A2.1.20.2. Assess units' plan for continuation of contractor services during crises as required by DoDI 3020.37, *Continuation of Essential DoD Contractor Services During Crisis*, AFI 63-124, *Performance-Based Service Contracts (PBSC)*, AFPD 10-4, *Operations Planning*, paragraph 3.5, and AFM 64-108.

A2.1.21. Services.

A2.1.21.1. Assess unit mortuary affairs planning and support (to include plans, memorandum of understanding, support agreements, and case files).

A2.1.21.2. Assess appropriated fund food service operations (to include cash control, contract management, subsistence accountability, and adherence to sanitation standards).

A2.1.21.3. Assess lodging operations (to include cash control; financial management; adherence to Air Force furnishing, amenities, and service standards; and quarters utilization).

A2.1.21.4. Assess fitness facility operations (to include cash control, adherence to equipment and operation standards, and evaluation of programs).

A2.1.21.5. Assess Dram Shop training in Services activities.

A2.1.21.6. (AFRC) Assess Prime Readiness In Base Services (RIBS) training.

A2.1.22. (AFRC) Flying Supervision.

A2.1.22.1. Assess unit's supervision of flight operations.

A2.1.22.2. Assess the unit's Supervisor of Flying (SOF) program and ensure SOFs are properly trained, meet currency requirements, effectively monitor flying activities, and have required equipment available.

A2.1.23. Aircrew Protection (AFI 11-301, Aircrew Life Support Program) .

A2.1.23.1. Evaluate the wing/unit's Aircrew Life Support (ALS) training program. Assess the unit's accomplishment of performance-based evaluations to ensure each aircrew member's capability to fully utilize their ALS and survival equipment in realistic scenarios they are likely to encounter.

A2.1.23.2. Assess ALS equipment availability, serviceability, configuration, unit funding, accountability, and management. Assess whether ALS unit and supporting agency equipment inspection and preventative maintenance practices are compliant with applicable technical orders and higher headquarters instructions/directives in accordance with published guidance (AFI 11-301).

A2.1.23.3. Evaluate the unit's Survival, Evasion, Resistance, and Escape (SERE) program for compliance with applicable directives.

A2.1.24. Plans and Programs.

A2.1.24.1. Assess War Readiness Materiel (WRM) management.

A2.1.24.2. Assess the Base Support Plan process adequacy for meeting OPLAN tasking (Part II).

A2.1.24.3. Assess the base's deployment planning process for all host and associate unit OPLAN taskings to include Unit Type Code (UTC) management.

A2.1.25. Full-Spectrum Threat Response (Civil Engineer, Security Forces, Communications, Public Affairs, Services, etc.).

A2.1.25.1. Evaluate whether the base exercise program complies with AFI 10-2501, *Full Spectrum Threat Response (FSTR) Planning and Operations*.

A2.1.25.2. Assess the ability of the base Exercise Evaluation Team (EET) to plan and conduct exercises to train the unit to respond to major accidents, natural disasters and force protection threats.

A2.1.26. Status of Resources and Training System (SORTS) .

A2.1.26.1. Assess the wing and unit's compliance with the rules and procedures pertaining to SORTS.

A2.1.26.2. Assess the timeliness, accuracy, and validity of the wing and subordinate unit's SORTS data.

A2.1.27. Intelligence Oversight (Executive Order 12333, *United States Intelligence Activities*; DoD Directive 5240.1, *DoD Intelligence Activities*; AFD 14-1, *Intelligence Applications and Requirements Planning*; AFI 14-104, *Oversight of Intelligence Activities*).

A2.1.27.1. Assess the intelligence unit's and staff's compliance with the rules and procedures pertaining to collecting, retaining, and disseminating intelligence on US persons (reference the checklist in AFI 14-104).

A2.1.27.2. Evaluate whether intelligence units and staffs have an adequate intelligence oversight program (reference AFI 14-104).

A2.1.28. Personnel.

A2.1.28.1. Assess Military Personnel Flight (MPF) to include: Personnel Relocation and Employment (includes personnel relocations, personnel employment and base training), Personnel Systems, Personnel Readiness, and Customer Support (includes customer service and career enhancement).

A2.1.28.2. Assess the commander's Support Staff, e.g., Public Affairs, Chaplain, etc.

A2.1.28.3. Assess the Mission Support Squadron to include military and civilian equal opportunity, family support, base education services, etc.

A2.1.29. Physical Fitness Program.

A2.1.29.1. Assess the organization's compliance with the Physical Fitness Program.

A2.1.30. Weight and Body Fat Management .

A2.1.30.1. Assess the effectiveness of the organization's management and documentation of the WBFMP.

A2.1.31. Recruiting

A2.1.31.1. Evaluate Senior Recruiter/Recruiters' compliance with AFRCI 36-2001, *AFR Recruiting Procedures*.

A2.1.31.2. Evaluate recruiter training and strategic plans to ensure recruiters will be able to meet present and future goal requirements.

A2.1.32. (AFRC) Retention and Participation.

A2.1.32.1. Assess the effectiveness of the organization's management and deployment of the retention and participation programs.

A2.1.33. (AFRC) Mentoring.

A2.1.33.1. Assess the effectiveness of how commanders and supervisors are implementing the Air Force mentoring program.

A2.1.34. Sexual Harassment Education and Prevention (*Secretary, Joint Staff Directive on Department of Defense Policy on Sexual Harassment, 21 Oct 98*).

A2.1.34.1. Evaluate sexual harassment education and training.

A2.1.34.2. Evaluate whether military and civilian leaders are personally involved in training.

A2.1.34.3. Assess whether training includes instruction in understanding accountability and responsibility; characteristics of and prevention of hostile work environments; quid pro quo harassment; reprisal prevention; and the relationship between leadership and a professional organizational climate. Training should be provided to military members, civilian employees, and local national employees at overseas locations when practicable.

A2.1.34.4. Evaluate whether instructors are provided with skills and competencies necessary to deliver credible training.

A2.1.35. Homosexual Conduct Policy (*Undersecretary of Defense, Personnel and Readiness Memorandum on Implementation of Recommendations Concerning Homosexual Policy, 12 Aug 99; CSAF Memorandum on Homosexual Policy Guidance, 10 Mar 00*).

A2.1.35.1. Evaluate the training of all those charged with implementing the homosexual conduct policy.

A2.1.35.2. Assess commander, staff judge advocate, and investigator training on the DoD homosexual conduct policy.

A2.1.36. Training.

A2.1.36.1. Assess the organization's management procedures and processes for On-The-Job, Sustainment, Continuation and Ancillary Training programs.

A2.1.37. Voting Assistance Program. (DoD Directive 1000.4, *Federal Voting Assistance Program* (FVAP), National Defense Authorization Act of FY 02 (NDAA FY02), and DEPSECDEF Memo 2 May 2002, *Command Support for the Federal Voting Assistance Program*)).

A2.1.37.1. Determine if all Voting Assistance Officers are trained and equipped to provide assistance to Armed Forces members.

A2.1.37.2. Determine if commanders ensure timely, in-hand delivery of the Federal Post Card Application (FPCA) form for registration/absentee ballot requests to all Armed Forces members and their eligible family members.

A2.1.37.3. Determine if there is one senior Voting Assistance Officer at each installation and at every level of command to coordinate subordinate unit and tenant command Voting Assistance Officer activities.

A2.1.37.4. Determine if Voting Assistance Officers at overseas installations ensure timely dissemination of the Federal Write-In Absentee Ballot (FWAB) to all locations.

A2.1.37.5. Determine if performance evaluation reports for Voting Assistance Officers comment on that individual's performance as a Voting Assistance Officer.

A2.1.37.6. Forward a consolidated report of Voting Assistance Program inspection results to SAF/IGI by the 10th of January each year addressing the DoD-mandated questions below. SAF/IGI will submit a report to DoD IG by 31 January.

A2.1.37.6.1. What is your assessment of your MAJCOM's overall compliance with DoD Directive 1000.4, AFI 36-3107, *Voting Assistance Program*, and the Uniformed and Overseas Citizens Absentee Voting Act?

A2.1.37.6.2. What was the scope of your Voting Assistance Program inspections?

A2.1.37.6.3. What procedures are used to ensure that all Unit Voting Assistance Officers received adequate training on the Federal Voting Assistance Program?

A2.1.37.6.4. What was the maximum number of voters represented by Unit Voting Assistance Officers in your command?

A2.1.37.6.5. How did you ensure command support, at all levels, for the Federal Voting Assistance Program?

A2.1.37.6.6. How did your command ensure adequate levels of voting materials were delivered to Unit Voting Assistance Officers?

A2.1.38. Civil Engineer.

A2.1.38.1. Assess whether Civil Engineers are meeting present and future facility and infrastructure requirements in accordance with the Civil Engineer Strategic Plan in the following areas:

A2.1.38.1.1. Real Property Maintenance Activities: Real Property Maintenance (Restoration and Modernization, Facilities Sustainment Model), Real Property Services, and Demolition/Consolidation.

A2.1.38.1.2. Work Information Management System (WIMS)/Automated Civil Engineering System (ACES).

A2.1.38.1.3. Real Property Accountability.

A2.1.38.1.4. Housing.

A2.1.38.2. Assess Prime Base Engineer Emergency Force (BEEF)/Rapid Engineer Deployable Heavy Operational Repair Squadron Engineer (RED HORSE) training and Air Force Specialty Certifications.

A2.1.38.3. Assess compliance with deployment requirements and other readiness programs.

A2.1.39. Communications and Information.

A2.1.39.1. Evaluate training to support mission critical communication systems.

A2.1.39.2. Assess the planning, configuration control, physical infrastructure/medium, management and maintenance of the base's communication infrastructure.

A2.1.39.3. Evaluate installation's Spectrum Management program.

A2.1.39.4. Evaluate command and control systems maintenance.

A2.1.39.5. (AFRC) Evaluate the effective employment of information life cycle management processes and workgroup management practices.

A2.1.40. Installation Security.

A2.1.40.1. Assess installation security at home stations. Installation security is comprised of physical security (Protection Level 1-3 resources), resource protection (Protection Level 4 resources), anti-terrorism/force protection, police services, entry control, and air base defense.

A2.1.40.2. Assess key Security Force (SF) support program areas to include training and standardization evaluation, Intrusion Detection Systems, and the SF armory.

A2.1.40.3. Assess Information, Personnel, and Industrial Security programs.

A2.1.40.4. Assess the adequacy of the wing Force Protection Augmentee Program.

A2.1.40.5. Assess Combat Arms support to wing personnel.

Attachment 3**EXAMPLE OF A WING COMMANDER'S ELECTRONIC MEMO RECOMMENDING FINDING CLOSURE**

MEMORANDUM FOR NAF/CC

Date

FROM: 767 ARW/CC

7500 Reserve Park Road

Any AFB IL 68113-4726

SUBJECT: Unit Compliance Inspection (UCI) Finding #4 Corrective Actions

1. The corrective action for Finding #4 identified during the Unit Compliance Inspection (UCI) of the 767 ARW 16-21 July 2002 is below.

FINDING #4 (INSTALLATION SECURITY)

CONDITION: Ineffective lines of communication with the 85 ABW resulted in an Information Security Program that did not meet USAF standards. (OPR: 767 ARW/CC)

- a. Six of the 7 squadrons inspected did not have an operating instruction regarding information security (REF: AFI 31-401, paragraph. 1.3.6.2)
- b. Six of the 7 inspected squadrons did not have a recurring training program on the Information Security Program for cleared personnel to include initial and annual refresher training. (REF: DoD 5200.1-R, 9-100, AFI 31-401, paragraph. 8.3, 8.4)
- c. Only one of the inspected squadrons had accomplished the semi-annual security self-inspection checklist in the last two years and none of them had the current checklist provide by the host wing.(REF: DoD 5200.1-R, paragraph 1.7, AFI 31-401, paragraph 1.4.3)
- d. The installation security program manager had not conducted a current security program review of the 7 inspected squadrons. (REF: AFI 31-401, paragraph. 1.4.2)

CORRECTIVE ACTION: We met with the 85 ABW to discuss the Information Security Program. The 85 SFS will provide oversight of the 767 ARW Information Security Program. On 1 October 2002, in coordination with the 85 SFSI, we published 767 ARW OI 31-1, Information Security Program. The OI outlines wing and squadron information security responsibilities, including a training program for cleared personnel and requirements for semi-annual security self-inspections. All squadrons have implemented the initial training program and are actively tracking the status to ensure all

assigned personnel receive annual refresher training. Each squadron has the current security self-inspection checklist provided by the 85 ABW and completed the checklist in Sept 2002. Checklists will be run in March and September of each year. The 85 SFSI conducted a program review of all 767 ARW squadron security programs 4-8 Oct 2002 and will annually review their security programs in May of each year. Information Security is now part of the Management Control Program for wing, group and squadron commanders. Training status is reviewed monthly in each squadron, quarterly at the group level and semi-annually at the wing level. Each month squadron commanders review the status of open discrepancies from the semi-annual self inspection and program reviews. Status of squadron security self-inspection programs is reviewed semi-annually at the group and wing levels and program reviews by the host wing are reviewed annually at the group and wing levels. The information security program at the 767 ARW is back on track and we have a sound process to ensure it stays on track.

2. Recommend this finding be closed. If there are any questions, please contact CMSgt James Dean, 767 ARW/SF, DSN 774-5800.

// Signed //

ROBERT C. CUMMINGS, Colonel, USAFR
Commander, 767th Air Refueling Wing

Questions on how to format electronic memos? Contact AFRC/IGIA, DSN 497-1498

Attachment 4**EXAMPLE OF ELECTRONIC SSS TO FORMALLY CLOSE A UCI FINDING**

(E-mail addressed to AFRC/IG Inspector General organizational E-mail account)

(Subject is in the "Subject" line of the E-mail, not in the in the body of the E-mail)

NAF/SF	Coord	Col Williams, 1 Nov2002
AFRC/SF	Coord	Col Smith, 8 Nov2002

Action Officer: Lt Col Holden (NAF POC Office Symbol) DSN 439-6560

Suspense: N/A

Coordination: NAF/SFI, AFRC/SFI

1. Purpose. To close Finding #4 identified during Unit Compliance Inspection (UCI) of the 767th Air Refueling Wing 16-21 July 2002. (Tab 1)

2. Discussion.

Finding #4. (INSTALLATION SECURITY)

CONDITION: Ineffective lines of communication with the 85 ABW resulted in an Information Security Program that did not meet USAF standards. (OPR: 767 ARW/CC)

- a. Six of the 7 squadrons inspected did not have an operating instruction regarding information security (REF: AFI 31-401, paragraph. 1.3.6.2)
- b. Six of the 7 inspected squadrons did not have a recurring training program on the Information Security Program for cleared personnel to include initial and annual refresher training. (REF: DoD 5200.1-R, 9-100, AFI 31-401, paragraph. 8.3, 8.4)
- c. Only one of the inspected squadrons had accomplished the semi-annual security self-inspection checklist in the last two years and none of them had the current checklist provided by the host wing.(REF: DoD 5200.1-R, paragraph 1.7, AFI 31-401, paragraph 1.4.3)
- d. The installation security program manager had not conducted a current security program review of the 7 inspected squadrons. (REF: AFI 31-401, paragraph. 1.4.2)

CORRECTIVE ACTION-767 ARW has initiated: We met with the 85 ABW to discuss the Information Security Program. The 85 SFS will provide oversight of the 767 ARW Information Security Program. On 1 Oct 2002, in coordination with the 85 SFSI, we published 767 ARW OI 31-1, Information

Security Program. The OI outlines wing and squadron information security responsibilities, including a training program for cleared personnel and requirements for semi-annual security self-inspections. All squadrons have implemented the initial training program and are actively tracking the status to ensure all assigned personnel receive annual refresher training. Each squadron has the current security self-inspection checklist provided by the 85 ABW and completed the checklist in Sept 2002. Checklists will be run in March and September of each year. The 85 SFSI conducted a program review of all 767 ARW squadron security programs 4-8 Oct 2002 and will annually review their security programs in May of each year. Information Security is now part of the Management Control Program for wing, group and squadron commanders. Training status is reviewed monthly in each squadron, quarterly at the group level and semi-annually at the wing level. Each month squadron commanders review the status of open discrepancies from the semi-annual self inspection and program reviews. Status of squadron security self-inspection program is reviewed semi-annually at the group and wing levels and program reviews by the host wing are reviewed annually at the group and wing levels. The information security program at the 767 ARW is back on track and we have a sound process to ensure it stays on track.

3. Recommendation. Close Finding #4, identified during UCI of the 767 ARW 16-21 July 2002.

//Signed//

Phillip M. Spaulding, Maj Gen, USAFR
Commander

Tab
767 ARW/CC Memo

Note the TAB is an attachment to the electronic memo E-mail