

11 AUGUST 2004



Command Policy

**THE INSPECTION SYSTEM/INSPECTOR
GENERAL ACTIVITIES**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

NOTICE: This publication is available digitally on the AFDPO WWW site at:
<http://www.e-publishing.af.mil>

OPR: NGB-IGD (Maj B. Salter)
Supersedes ANGI90-201, 11 October 2002

Certified by: ANGRC/CV (Lt Col S. Wassermann)
Pages: 49
Distribution: F

This instruction implements Air Force Policy Directive (AFPD) 90-2, *Inspector General--The Inspection System*, and supplements Air Force Instruction (AFI) 90-201, *Inspector General Activities* Air National Guard (ANG) unique requirements and contains procedures for State Headquarters inspections, and Unit Federal Recognition inspections. Send comments and suggested improvements to this publication on AF IMT 847, *Recommendation for Change of Publication*, through channels, to National Guard Bureau Air Inspections Division (NGB-IGD), 1411 Jefferson Davis Highway, Arlington, VA 22202-3132.

SUMMARY OF REVISIONS

This document is substantially revised and must be completely reviewed.

It corrects the title to correspond with Air Force (AF) level publications. Paragraphs have been rearranged to improve the logic flow throughout the publication. It clarifies the legal inspection authority. Updates the ANG mission priorities now called engagement strategies. It clarifies the requirement for publications to undergo ANG coordination in order to be applicable. Adds and expands on possible inspection events that may be part of an inspection. It describes non-inspection assessments and audits and identifies the appropriate office of responsibility. It separates the standard inspection intervals information and inspection notification policy into two paragraphs. It adds information on inspections for units gained by multiple Major Commands (MAJCOMs) and Geographically Separate Units. It expands information on the ANG Special Interest Item Program. It establishes the requirement for every ANG unit to establish a self-inspection program. It further defines the ANG augmentation program. It deletes the paragraphs on best practices and unique ANG inspection policies and incorporates the information elsewhere in the document. **Chapter 3**, "The Inspection Process", is added which defines general inspection processes common to all inspections. It calls for unit re-inspection of units that receive an unsatisfactory organizational grade. It clarifies the National Guard Bureau Office of the Inspector General position within the Organization and our relationship within the Air Force. It states the limitation on Inspector General additional duties. It further defines the duties of the National Guard Bureau (NGB) Inspector General Air Inspections Division. Deletes the chapter on State Headquarters inspections. It further explains the concept of

Federal Recognition. It states the office responsible for the Federal Recognition program. It describes where the Federal Recognition Inspection fits into the Federal Recognition process. It provides detailed instructions for conducting a Federal Recognition Inspection and the use of the NGB 113a, *Report of Inspection for Federal Recognition*. **Chapter 6** “Inspections of Other ANG Organizations” is added.

Chapter 1— AIR NATIONAL GUARD INSPECTION POLICY 5

- 1.1. Inspection Authority. 5
- 1.2. Purpose. 5
- 1.3. Inspections Point of Contact. 5
- 1.4. ANG Inspection Philosophy. 5
- 1.5. ANG Engagement Strategy. 6
- 1.6. Applicability of Non-ANG Publications. 6

Chapter 2— ANG INSPECTION PROGRAM ELEMENTS 7

- 2.1. Inspection Responsibility. 7
- 2.2. Applicable Inspections. 7
- 2.3. Applicable Assessments and Audits. 10
- 2.4. Standard Interval between Inspections. 11
- 2.5. Notification Policy for ANG Inspections. 11
- 2.6. Inspection Grading System. 12
- 2.7. Inspection Criteria. 12
- 2.8. ANG C&SRL Policy. 12
- 2.9. Inspections for Units Gained by Multiple MAJCOMs. 12
- 2.10. GSU Inspections. 13
- 2.11. Inspections under Special Circumstances Policy. 13
- 2.12. Special Interest Item (SII) Program. 15
- 2.13. Self-Inspection Program. 17
- 2.14. ANG Augmentation on MAJCOM Inspection Teams. 17
- 2.15. The Inspection Observer Program. 19

Chapter 3— THE INSPECTION PROCESS 21

- 3.1. The Inspection Scheduling Process. 21
- 3.2. The Inspection Notification Process. 21
- 3.3. Inspection Costs and Funding. 21
- 3.4. Pre-Inspection Activity. 21

3.5.	IG Support Requirements.	21
3.6.	Inspection Execution.	22
3.7.	Post-Inspection Activity.	23
3.8.	Inspection Reports.	23
3.9.	Answering a Finding.	23
3.10.	Inspection Grades That Fall Below Satisfactory Ratings.	24
3.11.	Processing Inspection Tailoring/Postponement Requests.	25

Chapter 4— NGB INSPECTOR GENERAL RESPONSIBILITIES 26

4.1.	NGB-IG Chain of Command.	26
4.2.	NGB-IG Responsibilities.	26
4.3.	NGB-IG Technical Channels.	26
4.4.	ANG Inspection Policy and Guidance.	26
4.5.	Education.	26
4.6.	Gatekeeper Function.	26
4.7.	Coordination of Inspection Dates.	27
4.8.	Trusted Agent.	27
4.9.	Coordination of Inspection Criteria.	27
4.10.	Inspection Report Analysis.	27
4.11.	Inspection Report Handling/Release.	27
4.12.	Historical Inspection Records.	28
4.13.	Finding Resolution Coordination.	28
4.14.	Augmentee Coordination.	28
4.15.	Observer Coordination.	28
4.16.	Eagle Look Coordination.	28
4.17.	Audit Oversight.	28
4.18.	Response to Requests for Inspection Information.	28
4.19.	Division Budget Management.	28
4.20.	Restriction on Additional Duties.	28
4.21.	Assistance and Complaints Program.	29

Chapter 5— FEDERAL RECOGNITION INSPECTIONS (FRIS) 30

5.1.	Authority.	30
5.2.	Policy.	30

5.3.	Administration and Program Oversight.	30
5.4.	Establishing Units.	30
5.5.	FRI Procedures.	31
5.6.	NGB 113a Instructions.	32
Table 5.1.	Federal Recognition Personnel Manning Criteria	34
5.7.	Effective Date of Federal Recognition.	35
5.8.	Non recommendation for Federal Recognition.	35
5.9.	Placing Units on Probation.	36
5.10.	Granting a Probation Waiver.	37
5.11.	Withdrawal of Federal Recognition.	37
Chapter 6—	INSPECTION OF OTHER ANG ORGANIZATIONS	38
6.1.	Introduction.	38
6.2.	Joint Force Headquarters- State Inspections.	38
6.3.	ANGRC Inspections.	38
6.4.	United States Property and Fiscal Officer (USP&FO) Inspections.	38
Attachment 1—	GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION	40

Chapter 1

AIR NATIONAL GUARD INSPECTION POLICY

1.1. Inspection Authority. Title 32 United States Code (USC) 105. In general, the law states that:

1.1.1. Under the regulations prescribed by him, the Secretary of the Air Force (SECAF) shall have an inspection made by Inspectors General (IGs) for the purpose to determine whether:

1.1.1.1. The amount and condition of property held by the ANG are satisfactory.

1.1.1.2. The ANG is organized as provided in this title.

1.1.1.3. The members of the ANG meet prescribed physical and other qualifications.

1.1.1.4. The ANG and its organization are properly uniformed, armed, and equipped and are being trained and instructed for active duty in the field, or for homeland defense.

1.1.1.5. ANG records are being kept in accordance with this title.

1.1.1.6. The accounts and records of each property and fiscal officer are properly maintained.

1.1.1.7. The units of the ANG meet requirements for deployment.

1.1.2. The reports of inspections under Paragraph **1.1.1.**, are the basis for determining whether the ANG is entitled to the issue of military property as authorized under this title and to retain that property; and for determining which organizations and persons constitute units and members of the ANG; and for determining which units of the ANG meet mobility standards.

1.2. Purpose. This instruction establishes inspection policy for ANG units as required by AFI 90-201, *Inspector General Activities*. It describes the unique inspection requirements for ANG units and describes the process for a Federal Recognition Inspection as one step in the creation of ANG units. It formalizes agreements between the National Guard Bureau (NGB) and gaining (MAJCOMs).

1.3. Inspections Point of Contact. The NGB-IGD, 1411 Jefferson Davis Highway, Arlington, VA 22202-3231 is the Point of Contact (POC) for all inspections and gatekeeper matters concerning the ANG.

1.4. ANG Inspection Philosophy. An inspection is an official examination of a unit's mission capabilities, programs and functional area support, measured against a defined standard by an external person or a group designated by the Inspector General for that purpose. Independent inspections conducted by IGs provide the SECAF; the Chief of Staff, United States Air Force (CSAF); MAJCOM Commanders (CCs); and the Chief, National Guard Bureau (CNGB) a status report on unit efficiency, effectiveness and combat readiness. Specifically, the inspection system:

1.4.1. Evaluates and measures ANG unit-level readiness to conduct prompt and sustained operations in wartime. This is demonstrated in both unit and system performance.

1.4.2. Assesses the effectiveness of a unit's functions, programs and internal controls.

1.4.3. Identifies deficiencies that adversely impact a unit's mission capability.

1.4.4. Provides feedback on superior operational methods and/or areas for improvement for cross-feed to others.

1.4.5. Detects and prevents fraud, waste, and abuse.

1.4.6. Provides a means to find and resolve important problems or readiness issues. Follows up on corrective actions taken on previously identified findings.

1.5. ANG Engagement Strategy. The ANG will continue to be a ready, reliable and relevant member of the Total Force. The ANG's mission is to provide combat capability to the war fighter and security for the homeland. We have proven ourselves in Air Expeditionary Force deployments and by our success in the Global War on Terrorism by providing the required capabilities across the full spectrum of operations. However, in order to continue to provide the full spectrum of capabilities necessary to accomplish the expeditionary and homeland defense missions, we must continue to train and be evaluated against the same standards as the active component. This validates our capability and ensures that we remain a viable, relevant member of the Total Force.

1.6. Applicability of Non-ANG Publications. Reference AFI 33-360, Volume 1, *Publications Management Program*, all MAJCOM and departmental publications must be coordinated with the ANG in order for them to be applicable to the Guard. See AFI 33-360, Volume 1 for the process to gain coordination from the ANG.

1.6.1. Units experiencing difficulty in identifying the applicability of AF products should contact the functional NGB/ANG Office of Primary Responsibility (OPR).

1.6.2. Conflicts between ANG and AF administrative publications are resolved in accordance with (IAW) AFI 33-360V1.

Chapter 2

ANG INSPECTION PROGRAM ELEMENTS

2.1. Inspection Responsibility. The SECAF, as the statutory agent for inspections, has given AF MAJCOMs the responsible for conducting inspections on MAJCOM gained ANG units.

2.1.1. When special Model/Design/Series (MDS) or functional area expertise required to inspect an ANG unit resides in a MAJCOM different than the gaining MAJCOM, the MAJCOM/IG responsible for inspection may coordinate their augmentation requirements with the appropriate MAJCOM/IG staff. Temporary Duty (TDY) costs associated with the augmentation support will be provided by the MAJCOM responsible for the inspection. To augment an inspection team with ANG personnel See Paragraph 2.14.

2.2. Applicable Inspections. The following is an overview of applicable inspections performed by our gaining commands. **NOTE:** ANG units must contact their gaining MAJCOM/IG to determine if an inspection element listed below is applicable to them and at what inspection venue it will be evaluated under.

2.2.1. **Operational Readiness Inspections (ORI)/Expeditionary Operational Readiness Inspections (EORIs)** . ORI/EORIs evaluate the ability of units with a wartime or contingency mission to perform their assigned operational missions as defined by a Designed Operational Capability (DOC) statement, Air Force Worldwide Unit Type Code Summary (AFWUS), Mission Essential Task List (METL) associated tasking, assigned Operation Plan (OPLAN) tasking, and/or assigned operational missions.

2.2.1.1. Readiness Inspections grade units in four major areas: initial response, employment, mission support, and the ability to survive and operate in a hostile environment.

2.2.1.2. MAJCOM/IGs will apply the Common Core Readiness Criteria (CCRC) to each of the major graded areas. CCRC are criteria that establish an Air Force-wide common readiness standard for evaluation of like units or organizations. The six CCRCs include threat, safety, security, communication and information, training, and Operational Risk Management (ORM).

2.2.1.3. Information is provided below on events that may be included in an ORI. **NOTE:** the names listed below are the most common terms used by MAJCOMs.

2.2.1.3.1. **Initial Response (IR) or Phase I.** Initial Response/Phase I inspects the transition from peacetime readiness into a wartime posture. It encompasses the command and control, execution, management, and security of deployment processes. These tasks reflect the integrated performance of the home station “deployment organization”. For units deploying on non-organic lift, responsibility for the deployment process generally ends when forces are successfully loaded and ready for departure. For organic deployments, unit responsibility for the deployment process generally ends when forces reach their final destination.

2.2.1.3.2. **Employment or Phase II.** Employment/Phase II evaluates a unit’s ability to perform its tasked wartime/contingency missions. During employment, the focus is on mission accomplishment and the unit’s ability to provide sustained support during wartime or contingency operations.

2.2.1.3.3. **Ability to Survive and Operate (ATSO).** ATSO is an overarching term that encompasses events to evaluate the unit's ability to protect, sustain, and restore mission capability in a hostile environment. Adverse conditions during ATSO may be caused by simulated chemical, biological, radiological, or nuclear (CBRN) attacks. ATSO events may be part of an ORI scenario or may be a separately graded event. Rated sub areas may include:

2.2.1.3.3.1. **Base Defense.** Areas evaluated may include active defense, force protection, resource protection, asset dispersal and protection, personnel response and protection, and contamination avoidance.

2.2.1.3.3.2. **Recovery Operations.** Areas evaluated may include command and control, personnel replacement casualty reporting actions, damage assessment, airfield damage repair; expedient construction, crash, fire, and rescue, nuclear, biological, and chemical defense; and explosive ordnance disposal operations.

2.2.1.3.3.3. **Information Protection.** Areas evaluated may include Information Warfare Organization (IWO), Information Conditions (INFOCONs) implementation, computer network defense, and measures taken to protect and sustain information flow.

2.2.1.3.3.4. **Medical Response.** Areas evaluated may include casualty care and self-aid and buddy care (SABC).

2.2.1.3.3.5. **Sustainment Operations.** Areas evaluated may include command and control, personnel accountability, force beddown, communication support, supply operations, fuels support, transportation operations, pastoral ministry, contracting support, legal support, and comptroller.

2.2.2. **Compliance Inspection (CI).** CIs assess a unit's compliance with Federal Law and higher headquarters (HQ) directives. They focus primarily on those items identified by AF and MAJCOM leadership and those actions required by law, executive orders, Department of Defense (DoD) directives and safety guidelines that, if not complied with could result in significant legal liabilities, penalties or significant mission impact.

2.2.2.1. MAJCOM IGs will evaluate units using Common Core Compliance Areas (CCCA), which are the key processes, procedures, or requirements based on applicable by-law requirements, executive orders, DoD, AF, MAJCOM, and/or ANG publications.

2.2.2.2. Other inspection events that may occur in conjunction with a CI include:

2.2.2.2.1. **Full Spectrum Threat Response (FSTR).** Evaluates whether the base exercise program complies with AFI 10-2501, *FSTR Planning and Operations*. FSTR exercises may occur during either an ORI CI per MAJCOM/IG policy.

2.2.2.3. ANG applicability to the by-law requirements, Executive Orders, DoD Directives:

2.2.2.3.1. **Intelligence Oversight Program.** Applicable to the ANG. Evaluates whether intelligence units and staff have an adequate intelligence oversight program and assesses the intelligence units and staff compliance with the rules and procedures pertaining to collecting, retaining, and disseminating intelligence on US persons. The Intelligence oversight program will follow the guidance outlined in Executive Order 12333, *United States Intelligence Activities*; DoD Directive 5240.1, *DoD Intelligence Activities*; AFD 14-1, *Intelligence Applica-*

tions and Requirements Planning; AFI 14-104, *Oversight of Intelligence Activities*; and ANG Instruction (ANGI) 14-101, *Inspector General Intelligence Oversight Procedures*.

2.2.2.3.2. **Transition Assistance Program (TAP).** Not applicable to the ANG. AFI 36-3022 *Transition Assistance Program* applies to active duty military personnel. ANG units are not required to have a TAP program. Active duty members serving at ANG units will contact the nearest Air Force installation for TAP assistance.

2.2.2.3.3. **Voting Assistance Programs.** Not applicable to the ANG. AFI 36-3107, *Voting Assistance Programs*, applies to the ANG upon activation, mobilization or serving on active duty. The intent of the instruction is to ensure that every airman is given an opportunity to vote. Per ANG/DP, ANG units are not required to have a voting assistance program while in their training status or to have a standby program in place in the event of activation. ANG units that mobilize and deploy away from home station as an organization during an election year will work with ANG/DP to meet the voting needs of mobilized and deployed airmen.

2.2.2.3.4. **Sexual Harassment Education and Prevention Program.** Applicable to the ANG under ANGI 36-7, *Air National Guard Military Equal Opportunity Program*.

2.2.2.3.5. **Homosexual Conduct Policy.** Assesses if ANG units are carrying out the intent of the CSAF homosexual conduct policy IAW AFI 90-201.

2.2.3. **North American Aerospace Defense Command (NORAD) Operational Evaluation (NOE) and NORAD Alert Force Evaluation (AFE).** An NOE is a limited scope evaluation to assess the operational capability of selected NORAD-assigned air command, control communications and intelligence centers and NORAD Airborne Command Elements (ACEs). An AFE is a no-notice, live-fly evaluation of air control forces to assess the operational capability of NORAD-assigned alert fighter forces to perform their peacetime air sovereignty and contingency mission. Both inspections are conducted by HQ NORAD IG and augmented by MAJCOM inspection teams.

2.2.3.1. Guidance on NOEs and AFEs is contained in NORAD Instruction (NI) 90-3, *Evaluation of Air Defense Forces*.

2.2.3.2. NORAD IG will coordinate evaluation dates, availability and support requirements with the unit to undergo inspection.

2.2.4. **Health Services Inspection (HSI).** HSIs assess the functioning and execution of Air Force Medical Service (AFMS) programs and processes at the local level in order to provide senior leadership with accurate data upon which to base policy decisions. HSIs are conducted by the Air Force Inspection Agency (AFIA).

2.2.5. **OPLAN 8044 Inspections.** OPLAN 8044 supports the nation's strategic nuclear war plan. The purpose of this inspection is to assess a unit's ability to accomplish its OPLAN tasking.

2.2.5.1. Guidance on OPLAN 8044 inspections is contained in Air Mobility Command Instruction (AMCI) 90-201, *The Inspection System*.

2.2.6. **Contracted Functions.** Sample the contractor's performance (through the Quality Assurance Personnel) as compared to the Performance Work Statement (PWS) requirements and evaluate the Quality Assurance Program to ensure effective oversight of the contract. Each gaining MAJCOM will inspect contracted functions in accordance with their policy.

2.2.7. **Nuclear Surety Inspections (NSI).** NSIs are designed to evaluate a unit's capability to manage nuclear resources while complying with all nuclear surety standards. NSIs are not applicable to the ANG at this time.

2.3. Applicable Assessments and Audits. The following is an overview of assessments and audits that ANG units are subject to. These events are not under the purview and authority of the Office of the Inspector General. The NGB/ANG functional manager is the OPR for these events.

2.3.1. **Environmental, Safety, Occupational Health Compliance Assessment Management Program (ESOHCAMP)** The ESOHCAMP is an assessment that monitors the overall compliance to governmental and departmental directives that encompass Bioenvironmental Engineering, Environmental, and Ground, Weapons and Flight Safety. The ANG Civil Engineering Environmental Division is the lead agency for matters concerning scheduling and operation of ESOHCAMPs and conducts the inspections for the NGB.

2.3.1.1. ESOHCAMPs are conducted approximately every three years.

2.3.1.2. MAJCOM/IG inspections of the Environmental, Safety, and Occupational Health functional areas will not duplicate the ANG ESOHCAMP inspection elements. MAJCOM/IG functional staffs should arrange to receive a copy of the ESOHCAMP report. MAJCOM/IGs may review the status of discrepancies noted in the most recent ESOHCAMP report.

2.3.1.3. Weapons Safety Inspection (WSI), Flight Safety, and Ground Safety are part of the ESOHCAMP compliance assessment. Compliance assessment protocols covering all applicable programs requiring evaluation are available to gaining commands upon request.

2.3.2. **Standardization and Evaluation (Stan/Eval) Program Assessments.** Stan/Eval program assessments (under various names such as Aircrew Standardization Evaluation Visit (ASEV) or Standardization Evaluation Team (SET) assess the adequacy of operations focused programs and validate the unit's employment training to ensure compliance with appropriate operational, training and administrative directives. ANG training Functional Area Managers (FAMs) is the primary POCs for external Stan/Eval visits.

2.3.2.1. Stan/Eval assessments are generally performed by the Numbered Air Force (NAF) and programs vary by MAJCOM.

2.3.3. **Air Traffic System Evaluations Program (ATSEP) Assessments.** The ATSEP evaluates the ability of the air traffic system to meet standards and operational requirements of civil and military users. The ATSEP objective is to analyze from an operational viewpoint the total air traffic system for safety, compatibility and adequacy. In addition, the ATSEP will evaluate all pertinent areas that are a part of, or affect, the air traffic system for compliance with regulatory guidance.

2.3.3.1. ATSEPs are normally conducted every 24 months. The ANG Command, Control Communications, and Computer Directorate (ANG/C4) is the OPR for these assessments at locations with Air Traffic Control (ATC) only or ATC and any combination of Air Traffic Control and Landing Systems (ATCALS) maintenance, weather, and/or airfield management. The ANG Operations Directorate is the OPR for these assessments at airfield management only locations.

2.3.4. **Maintenance Standardization Evaluation Program (MSEP).** Maintenance Standardization Evaluation Team (MSET) assessments ensure compliance with Air Force MAJCOM, and local maintenance and munitions policies and directives.

2.3.4.1. MSETs are conducted every four years. The ANG Logistics Directorate is responsible for management of the MSET

2.3.5. **Audits.** Audits are independent evaluations of DoD programs and operations to determine whether internal control systems are adequate, information is reliable, applicable laws, regulations and policies are followed, resources are safeguarded and managed economically and efficiently and that desired program results are achieved.

2.3.5.1. The DoD Inspector General has oversight and provides guidance to all audit organizations agencies for audit operations. NGB Internal Review Directorate (NGB-IR) and the Directorate of Financial Management and Comptroller (ANG/FM) are the primary POCs for audit actions involving ANG units.

2.3.5.2. There is no set interval for audits. They are primarily conducted in response to specific inquiries. Audit planning includes coordination with the unit to ensure they are available to host the auditors.

2.4. Standard Interval between Inspections. The following intervals will be baseline for ANG inspections:

2.4.1. **Readiness Inspections.** The optimum frequency for readiness inspections varies among MAJCOMs, but the outer boundary for ORIs will be every five years in alignment with the Air and Space Expeditionary Force (AEF) battle rhythm, in coordination with the applicable gaining MAJCOM/IG staff.

2.4.1.1. For AF Space Command (AFSPC) gained ANG units; the AFSPC-IG will make every effort to inspect ANG units with their active-duty parent wing.

2.4.2. **Compliance Inspections.** The optimum frequency for compliance inspections varies among MAJCOMs, but the outer boundary will be every five years in alignment with the AEF battle rhythm in coordination with applicable gaining MAJCOM IG staff.

2.4.3. **NOEs.** NOEs will be conducted approximately every four years.

2.4.4. **AFEs.** AFEs will be conducted approximately every eighteen months.

2.4.5. **HSIs.** AFIA will conduct HSIs on average every 60 months (approximately every four AEF cycles). Units are encouraged to seek avenues for simultaneously combining HSIs with other inspections or assessments to reduce inspection footprints. ANG units will enter an HSI scheduling window 36 months following their last HSI.

2.4.5.1. Aeromedical Evacuation (AE) units will undergo HSIs in conjunction with their wing CIs.

2.4.6. **OPLAN 8044 Inspections.** OPLAN 8044 inspections will be every five years in alignment with the AEF rhythm in coordination with the AMC/IG.

2.5. Notification Policy for ANG Inspections. One primary feature of the ANG is that units are made up of traditional guardsmen who have obligations associated with their civilian employment. Therefore ANG units are obligated to coordinate their planned training activities with each airman's civilian employer. The Uniformed Services Employment and Reemployment Rights Act (USERRA) require that employers be given advance notice of any military service. Giving employers the maximum lead-time

possible enables them to make plans to accommodate an airman's absence and will minimize any adverse impact their absence will cause at the civilian job. Advance notice to inspect ANG units will be approximately one year prior to the planned event.

2.5.1. If unforeseen circumstances threaten to postpone a planned inspection event after the one-year notification has been made, the MAJCOM/IG and unit will coordinate to reschedule the inspection as soon as possible.

2.5.2. Inspection notification by MAJCOM/IGs to the ANG must ensure that both the operational chain of command and the administrative chain of command are notified. There are an increasing number of combined flying wings within the ANG where squadrons within the wing are gained by different MAJCOMs. MAJCOM/IGs will send official notification of planned inspections to the ANG wing that owns the subordinate unit they plan to inspect even if that wing is not gained by them.

2.6. Inspection Grading System. Inspection agencies will use the grading systems as specified in AFI 90-201.

2.6.1. Sub-areas within an inspection may use a simplified tier system of two or three levels. The rating system may include a simplified tier system with comments.

2.7. Inspection Criteria. Inspection criteria are the general term for the standards that are used by IGs to judge inspection elements. Criterion is generally organized in the form of checklists or Compliance and Standardization Requirements Lists (C&SRLs). The primary elements of criteria are the statement of criteria and the applicable reference(s). Possible references include ANG developed publications or DoD, AF, and MAJCOM publications that have been determined as applicable to the ANG. MAJCOM and ANG FAMs are obligated to work together to ensure that references used in inspections checklists or C&SRLs are applicable to the ANG IAW AFI 33-360V1.

2.7.1. ORIs conducted on ANG units will be inspected to the same criteria/measurement as the Air Force.

2.7.2. For CIs, the ANG will be inspected using either ANG approved MAJCOM checklists/C&SRLs or ANG developed C&SRLs.

2.7.2.1. For contracting inspections, MAJCOM IGs will inspect the policy and procedures established by the Departments of the Army and the Air Force, and the NGB, as implemented in the National Guard contracting guidance.

2.7.3. FAMs at ANG units will review all inspection checklists/C&SRLs and forward comments or problem areas to NGB-IG a minimum of ninety days prior to utilization by inspecting agencies.

2.8. ANG C&SRL Policy. The ANG publishes criterion in the form of C&SRLs, which are a comprehensive list of criteria items drawn from numerous directives that help determine compliance with public law, executive orders, DoD, and AF, and ANG directives. NGB/ANG functional staffs are responsible for developing ANG C&SRLs IAW ANGI 90-202, *ANG C&SRL Program*.

2.9. Inspections for Units Gained by Multiple MAJCOMs. Many ANG wings are made up of a parent wing with subordinate elements or Geographically Separate Units (GSUs). These elements or GSUs may be gained by a MAJCOM that is different than their parent wing. Each gaining MAJCOM is responsible to inspect their gained organizational element.

2.9.1. For collocated ANG units gained by multiple MAJCOMs, it is a sound practice for the MAJCOM/IGs to attempt to coordinate their schedules to perform a combined inspection if possible and practical. This reduces the inspection footprint at the unit.

2.9.1.1. If a combined inspection can be arranged, the MAJCOM/IGs will coordinate their actions to ensure that all mission areas are covered without inspection duplication.

2.9.1.2. At a combined inspection, each MAJCOM/IG will produce a separate inspection report for their gained organization. The IG reports may cross-reference the other MAJCOM inspection report.

2.10. GSU Inspections. ANG GSUs receive much of their organization's support from their ANG parent wing. Parent wings must have the procedures in place to ensure that they support their GSU at all times even if the wing is deployed away from home station. The GSU in conjunction with their parent wing are responsible to demonstrate the interface between the GSU and the wing for administrative services, training, facility oversight, and operational mission support.

2.10.1. When inspecting a GSU, the MAJCOM/IG will validate the process links between the GSU and the ANG parent wing to ensure that the GSU is receiving the support required to prosecute their mission.

2.10.1.1. If there is a finding levied against the GSU regarding an ANG parent wing/GSU process, the GSU and the appropriate parent wing's POCs will work together to resolve the process issue. It is the GSU's responsibility to answer a finding to the satisfaction of their inspection MAJCOM/IG.

2.10.1.2. If a finding is levied, the inspecting MAJCOM/IG team will brief the finding to the ANG parent wing leadership prior to the publication of the inspection report.

2.10.1.3. Following the inspection, the inspecting MAJCOM/IG will send a memorandum through NGB-IG to the ANG parent wing's MAJCOM/IG regarding what was found during the inspection.

2.11. Inspections under Special Circumstances Policy. The ANG recognizes that regular inspection frequency must be modified to accommodate special circumstances.

2.11.1. **Conversion.** NGB-IG will coordinate inspections for units/organizations undergoing program changes in order to ensure the focus remains on a safe and timely conversion. The ANG Ready Team (ANG/XOZ) along with the applicable functional staff is responsible for determining if a conversion qualifies as a major weapon system or equipment change. Major conversions include change of weapon systems, mission change or major equipment change.

2.11.1.1. When a conversion is announced, coordination will be made to complete already scheduled readiness inspections prior to the conversion start date. The exact conversion start date will be determined by ANG/XOZ and coordinated with the appropriate MAJCOM with information copies routed to NGB-IGD. Long range plans (both conversion and inspection plans) should take into account that all readiness inspections at the converting unit/organization will cease prior to the start of the conversion. The converting unit/organization will be eligible and should expect to undergo a readiness inspection approximately one year after the unit achieves Initial Operational Capability (IOC).

2.11.1.2. All ANG units/organizations that are in a major conversion or mission change will be eligible for Tailored Compliance Inspections and assessments (as applicable) during their conversion.

2.11.1.2.1. Tailored inspections are intended to work around and/or exempt those unit functions that are directly affected by the conversion or mission change. Designations of affected areas will be adjudicated with the IG team chief prior to the inspection.

2.11.1.3. Since readiness inspections cease during conversion and compliance inspection programs continue during conversion, inspection schedulers will ensure that the first readiness inspection scheduled after the declaration of IOC is at least 12 months after IOC and any other previously scheduled compliance inspections.

2.11.2. **Activation or Mobilization.** Activation or mobilization encompasses all the activities necessary for the orderly transition of National Guard forces from a peacetime to a wartime posture. The act of calling-up guardsmen is generally done in order to meet the requirements of war or other national emergency (domestic or international) involving threats to national security or to deal with situations where Armed Forces may be required to protect life, federal property and functions or to prevent disruption of federal activities. There are seven major defined types of activation as listed in Air Force Handbook (AFH) 10-416, *Personnel Readiness and Mobilization*. Generally, the nature and imminence of the emergency governs the level of response.

2.11.2.1. Under any type of activation/mobilization, guardsmen are no longer in a training status. They are under the OPCON of their gaining MAJCOM. The gaining command determines if it is to their benefit to release guardsmen from the real world missions to participate in inspections or exercises.

2.11.2.2. If the gaining MAJCOM determines that they wish to deploy activated/mobilized guardsmen for inspection or exercise purposes, it is the gaining MAJCOM's responsibility to pay all costs associated with the inspection or exercise.

2.11.2.3. If the gaining command does not support inspecting guardsmen in a mobilized status, then the gaining MAJCOM/IG will have to schedule the inspection to a time after the guardsmen are released from their activation/mobilization and have completed reconstitution actions.

2.11.3. Inspection Credit for Real-World Operations. There are occasions (under extreme circumstances) when MAJCOM/IGs may consider granting credit to units involved in wartime/contingency operations. Inspection credit policy is formulated by each MAJCOM and varies depending on the current situation. The MAJCOM/IG will send out their written guidance as appropriate.

2.11.3.1. Unit commanders may request inspection through observation of mission performance/essential tasks (for credit) through exercise, AEF deployment, or contingency participation from the MAJCOM/IG. Submitted requests for observation and credit must be made through NGB-IGD to the MAJCOM/IG as early as possible to maximize possibilities of approval prior to the event. MAJCOM/IGs are under no obligation to accept and/or to act on such requests.

2.11.3.2. Short notice contingency operations provide another inspection/assessment opportunity, but are very difficult to schedule. These will be addressed on a case by case basis. Unit commanders should work closely with NGB-IGD and their gaining MAJCOM/IG to work these requests whenever practical.

2.12. Special Interest Item (SII) Program. The SII process provides a means to focus management attention, gather data on known or suspected problems, evaluate the status of specific programs and conditions in the field, and/or to confirm that a problem has been resolved. SIIs also provide feedback from the field that functional staffs use to enhance decision-making and policy adjustments.

2.12.1. **SII Inspection Scheduling.** MAJCOM/IGs may conduct SII inspections in conjunction with another scheduled inspection (example: ORI or UCI) or as a separate event.

2.12.2. **SII Inspection Procedures.** Each SII has a designated functional area 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 on NGB-IGD internet site (<https://airguard.ang.af.mil/igi>)

2.12.3. **SII Grades.** MAJCOM/IGs assign grades for each SII. The overall grade for each SII will use terminology such as “complies/does not comply”. SII sub-areas may be graded as complies, does not comply or complies with comment for sub areas that require action or attention.

2.12.4. **Corrective Actions for SIIs.** Units that receive an Unsatisfactory/or does not comply grade for any SII must immediately correct the discrepancy. The unit commander must submit a corrective action plan to the NGB-functional OPR with a courtesy copy to NGB-IGD describing the corrective actions taken/being taken. The MAJCOM/IG will officially notify inspected units of their suspense for a corrective action plan. The suspense will normally be within ten working days of the date the report is posted on the MAJCOM’s IG website.

2.12.5. **Re-inspection of SIIs.** After reviewing the corrective action plan and actions taken, the NGB Functional OPR will recommend to NGB-IGD the need for any re-inspection in order to close the action. If the NGB functional OPR determines the unit’s corrective action is sufficient to clear the discrepancy, they will notify NGB-IGD who will take coordination action with the MAJCOM/IG.

2.12.6. **Establishing SIIs.** ANG directors and chiefs of special staff agencies identifying critical areas for inclusion on the SII list will prepare a coordination package using the guidance provided below. The package should be coordinated through the appropriate staff agency to include NGB-IGD who will forward the proposed SIIs to all applicable gaining MAJCOMs and to Secretary of the Air Force (SAF) IG for approval prior to release by the NGB-IG.

2.12.6.1. SII Coordination packages will include:

2.12.6.1.1. SII OPR. Identify the name, rank, office, and commercial and DSN phone number of the SII’s sponsor(s).

2.12.6.1.2. SII Subject Title. Specify the proposed title of the SII.

2.12.6.1.3. SII Purpose and scope. Provide a clear, concise statement of the SII’s goals and objectives.

2.12.6.1.4. Background and Rationale. Provide sufficient background information to give MAJCOM inspectors an insight into the problem and include the rationale (i.e., the reason the SII is needed).

2.12.6.1.5. SII Category (long-term or short-term). The category is determined by the start and end date for the SII.

2.12.6.1.5.1. A long-term SII is normally active for one year (may be extended on a case-by-case basis). Long-term SIIs are used when an issue is pervasive and is of major importance Guard-wide or when evaluating compliance in a specific area.

2.12.6.1.5.2. A short-term SII is normally active less than one year. Short-term SIIs are used when an issue has a limited scope. In some cases, these issues may be analyzed from past inspection data or from results of a one-time survey or unit self-assessment.

2.12.6.1.6. Applicability. State what type of units and/or functional areas are affected under this SII.

2.12.6.1.7. Actions required. What specific actions do the affected units under this SII require?

2.12.6.1.8. Inspection checklist. The SII needs a checklist that the unit will use for the self-inspections and the IG will use to validate the actions taken by the unit.

2.12.6.1.9. Grading criteria. Normally, a simplified grading scale is appropriate. Include precise criteria inspectors will use to determine grades, based on the sponsor-provided inspection guide.

2.12.6.1.10. Reporting Guidance. State any special requirements that the MAJCOM/IG must follow in their written report that goes back to the OPR.

2.12.6.2. Factors to consider for SIIs development. 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 NGB/ANG staff should use the criteria below for review and development of SIIs:

Does the SII directly impact ANG mission readiness?

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? An SII should be used as a last resort, not to address ancillary administrative matters

Do the MAJCOM/IGs have the resources, i.e., manpower and time, to properly validate the SII? Functional personnel should determine this when the SII is initially coordinated. There may be a requirement for the ANG functional staff to augment the IG at every inspection in order to accomplish the actual SII field assessment

2.12.7. **Effective Period for SIIs.** The period covered by an ANG SII will not exceed 12 months unless approved by SAF/IG. Generally, SIIs lead to change that is incorporated into permanent published guidance that leads to change across the organization. OPRs requesting extensions for existing SIIs beyond one year will send an extension request with full justification to NGB-IGD a minimum of 30 days prior to the quarter in which the SII expires.

2.12.8. **Quarterly SII Listing.** NGB-IGD releases a SII listing quarterly.

2.13. Self-Inspection Program. All ANG units will establish a self-inspection program.

2.13.1. The ANG Self-Inspection program is considered a Commander's program. Successful Self-Inspection programs have a strong command focus. ANG Self-Inspection programs should maintain program oversight at the highest command level within the organization. At the discretion of the Wing Commander, program management may be delegated no lower than the Group level or to the commander of their subordinate GSU. This promotes correction of the problem at the lowest level and provides avenues within the Wing structure to up-channel problems or concerns. The benefit of a self-inspection program is to identify to the command chain deficiencies in training and/or equipment that require immediate attention. Self-inspections provide commanders with a tool for internal assessment of unit health and to complement external inspections and assessments.

2.13.2. Self-inspection programs should be tailored to the unit's structure and mission and contain mechanisms that ensure adequate coverage of the organization's mission, resources, training, and people programs. Mechanisms may consist of periodically administered checklists, quality control reviews, internal audits, functional inspections, etc.

2.13.3. As a minimum, ANG units will accomplish their Self-Inspection program annually.

2.13.4. When possible, it is recommended that a disinterested third party act as the inspector during the self-inspection.

2.13.5. As part of the Self-Inspection program, the unit will develop a process to track open issues to ensure that they are resolved or brought to closure.

2.13.6. Units will up-channel issues requiring headquarters assistance to the NGB/ANG functional staff. Units will follow their MAJCOM's guidance regarding further up-channel requirements.

2.13.7. Checklists are a valuable tool within a Self-Inspection Program. It is recommended that units use the same criterion that their gaining MAJCOM/IG will use during the formal inspection. In addition, valuable guidance may be obtained from the ANG C&SRLs, other MAJCOM inspection checklists, or MAJCOM functional area developed self-inspection checklists. Units that have developed self-inspection checklists should have them reviewed by the applicable ANG functional manager to ensure that they are in accordance with current directives and policies.

2.14. ANG Augmentation on MAJCOM Inspection Teams. MAJCOM/IG teams are not fully manned with the functional expertise required for inspections of all units. Inspection augmentees generally come from ANG operational units but there may be special circumstances when the organization feels that a member of the NGB and/or ANG staff should serve as an inspection augmentee.

2.14.1. **Augmentee Qualifications.** ANG augmentees must possess the following qualifications and accomplish Standard Form (SF) 312, *Classified Information Nondisclosure Agreement*, as required. Potential augmentee candidates will consult with the MAJCOM/IG to determine if there are additional requirements.

2.14.1.1. An individual must be a Master Sergeant or above. Civilians are considered on a case-by-case basis.

2.14.1.2. Augmentees must possess a secret security clearance as a minimum or as appropriate for the functional area.

2.14.1.3. No unfavorable information file (UIF) established or pending.

- 2.14.1.4. Not enrolled in Fitness Assessment Program, consider image.
- 2.14.1.5. A recognized functional expert by superiors.
- 2.14.1.6. Demonstrated exceptional interpersonal skills.
- 2.14.1.7. Knowledgeable of procedures to be evaluated.
- 2.14.1.8. Possess restricted area badge if required for the performance of duties.
- 2.14.1.9. Not a member of an ANG unit from the same state as the unit undergoing inspection.
- 2.14.1.10. Willing and available to support the MAJCOM at more than one inspection.

2.14.2. **Augmentee Training.** The IG Team and its augmentees represent MAJCOM HQ staff to visited units. Inspected units do not differentiate between an augmentee and a full-time inspector. Therefore, augmentees must be trained to the standard required by the MAJCOM/IG.

2.14.2.1. Each gaining MAJCOM/IG has an augmentee training program. ANG personnel chosen as augmentees agree to undergo all MAJCOM required training. As a minimum, the IG will provide orientation training. The objective of IG orientation training is familiarization with the IG organization, mission, and key processes and ensures the approach to an inspection and expectations of unit performance are consistent and current among augmentees.

2.14.3. **Nomination of Augmentees.** To facilitate establishing a repository of augmentees, /ANG functional staffs have developed augmentee listings. Placement on the augmentee candidate list does not guarantee selection to participate in every inspection.

- 2.14.3.1. ANG unit commanders may nominate individuals to augment IG teams.
- 2.14.3.2. IG teams may also recommend nominees as a result of observed individual performance during inspections.
- 2.14.3.3. The following procedures establish a process for identification of potential augmentees for IG team use.
 - 2.14.3.3.1. MAJCOM/IGs will determine the need for augmentation during the inspection planning process.
 - 2.14.3.3.2. MAJCOM/IGs will contact their MAJCOM functional directorate and NGB-IGD soliciting augmentee candidates.
 - 2.14.3.3.3. NGB-IGD will coordinate with the NGB/ANG functional staff to select qualified augmentee candidates.
 - 2.14.3.3.4. NGB-IGD will notify the MAJCOM that an ANG augmentee is available. Unless previously provided, augmentee information will include name, rank (military)/pay grade (civilian), social security number (SSN), Date of rank (military only), gender, office symbol, security clearance, line badge number, e-mail address, office and home telephone numbers, Air Force Specialty Code (military)/Occupational Specialty Code (civilian), and area of expertise.
 - 2.14.3.3.4.1. Home telephone numbers are requested for the sole use of contacting the augmentee if there are after-hours changes to the travel arrangements or if there is significant reason to contact the augmentee's family while on TDY.

2.14.3.3.5. Upon notification that an augmentee has been selected, the MAJCOM/IG will work with the augmentee and unit directly to ensure that all administrative and training requirements are complete to facilitate the augmentee's service to the IG. The gaining MAJCOM/IG will provide Military Personnel Appropriation (MPA) man-days and TDY funds for augmentation personnel through standard processes.

2.15. The Inspection Observer Program. The observer program provides ANG units with an opportunity to witness how their gaining MAJCOM/IG team conducts an inspection. The goal of the observer program is to assist units in designing effective self-inspection programs and ultimately improve combat capability and readiness. NGB/ANG functional staff members also find benefit in observing inspections to ensure that criteria elements appropriately measure readiness and compliance.

2.15.1. ANG observers will follow their applicable gaining MAJCOM observer program guidance. MAJCOMs vary in the number of people and events that units are able to attend.

2.15.2. Since inspection policies and processes change regularly, the most benefit is gained when an observation is made within one year of the planned inspection event so ANG units should plan accordingly.

2.15.3. As a general rule, space allowed for observers during inspections is limited. ANG units will follow the limits set by their gaining MAJCOM/IG. If the MAJCOM does not publish specific guidance, the ANG unit will contact NGB-IGD, who will inquire on their behalf with the MAJCOM/IG and the inspected unit. MAJCOM/IGs and the unit commander being inspected reserve the right to refuse observers if requests from other units have been processed and they are at their maximum capacity. Due to the limited number of observer spaces available, unit representatives should make the best use of the opportunity by sending observers who can effect training of the entire organization and by planning to observe as much of the inspection as possible.

2.15.4. ANG observers are required to fund and arrange for their own travel, billeting, and ground transportation.

2.15.5. ANG observers will protect all TRUSTED AGENT information.

2.15.6. Request Procedures for NGB/ANG functional staff. Members will submit a request to observe message via e-mail to NGB-IGD no later than 50 days prior to the event date. E-mail requests to <mailto:ngbigd@ngb.ang.af.mil>. NGB-IGD will, in turn, coordinate the request with the inspected unit and MAJCOM/IG and provide an information copy to the ANG functional manager. Observer requests must contain the following:

2.15.6.1. Full name.

2.15.6.2. Rank.

2.15.6.3. SSN.

2.15.6.4. Security clearance.

2.15.6.5. Current organization/office symbol, duty phone and e-mail address.

2.15.6.6. Card number from the reverse of the AF IMT 1199, *Air Force Entry Control Card*.

2.15.6.7. Specify the inspection locations the observer would like to visit and when.

2.15.7. Observing HSIs. Medical organizations may coordinate directly with the AFIA, Surgeon General (AFIA/SG) regarding opportunities to participate in the HSI Observer (Jump seat) program. The above paragraphs also apply to HSI observers. It is strongly suggested that participation in the HSI observer program be scheduled at least one year but not more than two years prior to the unit's scheduled HSI. Further information regarding the AFIA Jumpseat Program is routinely published by AFIA/SG and is also available from ANG, Surgeon General (ANG/SG).

Chapter 3

THE INSPECTION PROCESS

3.1. The Inspection Scheduling Process. Inspection scheduling programs are managed by the gaining MAJCOM/IG in coordination with the affected unit, the Air and Space Expeditionary Center and the NGB/ANG deployment functional managers through NGB-IG. MAJCOM processes vary and notional plans can extend out five to seven years. In general, schedules are worked no less than 15 months in advance in order to develop a firm schedule approximately 12 months prior to the planned event.

3.2. The Inspection Notification Process. Each MAJCOM/IG uses a different internal process to produce written notification to their gaining ANG unit, their parent wing (if applicable) and NGB-IGD that a formal inspection date has been set for that unit.

3.3. Inspection Costs and Funding. Inspections are considered a training event that is funded under the normal training appropriation. NGB does not have an inspection funding program to defray unit expenses but will review individual unit requests and support as funds are available.

3.3.1. It is important that traditional guardsmen who deploy off-station during an inspection are in an Annual Training (AT) status rather than in a Unit Training Assembly (UTA) pay status. Guard members in a UTA status are not eligible for medical treatment as paid for by TRICARE if they are injured. Deployed guardsmen who are injured while in a technician or UTA funding status will receive medical treatment at the nearest civilian medical facility and will be required to pay for their treatment through their personal medical insurance program.

3.4. Pre-Inspection Activity. The MAJCOM/IG will formally notify the organization commander, usually in writing of the activities to be performed, the inspection dates, and the names and phone numbers of the IG team chief and/or trip planner.

3.4.1. Upon that notification, the unit and IG team chief (or his designated representative) will communicate to resolve any conflicts or confusion about the nature of the inspection or the functional areas and operations to be inspected, address questions and concerns about the activity, and coordinate support requirements with the organization's project officer.

3.4.2. For ORIs, it is common that the IG will send preparatory messages to the organization prior to the inspection, to provide appropriate intelligence build-up and threat warnings. The IG will follow normal Crisis Action Procedures (e.g., Warning Order, Alert Order, and Execute Order). Specific MAJCOM inspectors may arrive at the unit before the formal inspection dates to observe the unit command and control actions in relationship to the levying of these messages.

3.4.3. One day prior to the main team arrival date, an advance team may arrive at the organization to verify that the workcenter, lodging, and assigned vehicles are adequate, and to resolve any last minute issues prior to main team arrival.

3.5. IG Support Requirements. Inspected units will provide support, as required, to the incoming MAJCOM/IGs. Upon notification of an inspection, the unit commander will appoint a project officer. The project officer will be the single point of contact for the inspected unit. The project officer will contact the MAJCOM/IG planner to determine required support.

3.6. Inspection Execution. Each MAJCOM performs inspections

3.6.1. The main team normally arrives one day prior to the scheduled activity start. On the day of main team arrival, the organization should provide the IG team with the following:

3.6.1.1. Brief introductory comments from senior leadership.

3.6.1.2. A short local orientation briefing on any safety, security, or procedural requirements that are unique to the installation or other information deemed necessary by the organization.

3.6.1.3. A copy of the Status of Resources and Training System (SORTS) report and the Unit Manning Document (UMD) (if not provided to the IG prior to arrival).

3.6.1.4. Time to check into lodging, check out vehicles, and conduct internal IG business.

3.6.2. The IG team chief will provide an executive inbrief to the organization's senior leadership, covering areas to be inspected, team composition, and rating methodology.

3.6.2.1. The inspection team will provide the organization's senior leadership an Entry Authorization Listing (EAL) as prescribed in AFI 31-101, *Air Force Physical Security Program*. The organization will ensure the EAL is properly distributed.

3.6.2.1.1. The IG team will not deliberately provide the organization with an erroneous EAL. Any mistakes on the EAL will be unintentional, and the IG team chief will ensure they are corrected as soon as they are discovered.

3.6.2.1.2. The EAL authorizes inspectors to take photographs and to review any material related to the inspection commensurate with their security clearances and special access authorizations. This includes reports of audit, staff assistance visits, internal self-inspections, standardization and evaluation assessments, and quality control results.

3.6.2.1.3. Inspectors are authorized to review inspection reports on, and agreements with, associate organizations to ensure identified deficiencies and existing support problems receive adequate command attention.

3.6.3. As the inspection activity is conducted, IG members may provide an informal inbrief, periodic status updates, and an informal outbrief to their counterparts. The status updates and outbrief will cover inspected areas, general observations, and potential Best Practices and Findings but will not cover potential ratings.

3.6.4. The IG will review applicable SII. See Paragraph [2.12.](#), for additional information.

3.6.5. At some point during the inspection, the IG trip planner will coordinate with the organization's project officer regarding the outbrief and arrangements for the team's departure.

3.6.6. The outbrief to the commander and/or to the organization, to include providing the commander a summary of the ratings, will be the final official act of the IG team prior to departure.

3.6.6.1. The inspection outbrief will summarize the inspection results and highlight the most noteworthy observations and participants. The MAJCOM inspection team and the inspected organization will determine attendance. The IG trip planner will coordinate with the organization protocol office on Distinguished Visitor seating arrangements, arrival, and departure.

3.6.7. The IG will prepare a report IAW their MAJCOM policy.

3.7. Post-Inspection Activity. Upon completion of each inspection, the MAJCOM/IG will complete applicable reports, briefings, and trend analysis per standard MAJCOM policies.

3.8. Inspection Reports. MAJCOM/IG reports are intended to document the organization's actions in enough detail to allow accurate recognition of strengths and effective improvement of deficiencies. The final report is usually completed and released within 30 days of the outbrief. MAJCOM IGs will not release any information contained in the report until the final report is signed and delivered to the inspected unit. The inspection report will provide for a total organizational grade and grades for sub-areas. See Paragraph 2.6., for information on the current inspections grading system. In addition to graded areas, within each section of the report, IG observations will be grouped into the following categories:

3.8.1. **Best Practices** : Unique, successfully proven examples of processes or techniques that enhance mission effectiveness and have the potential for command-wide implementation. During inspections, MAJCOM/IGs often observe and record Best Practices and include them as an unclassified addendum to their inspection reports.

3.8.1.1. Units may submit their IG identified Best Practices to the Air Force Manpower and Innovation Agency (AFMIA) IAW AFI 90-201 instructions.

3.8.2. **Strengths** : Highly effective concepts, techniques, or management practices.

3.8.3. **Recommended Improvement Area** : Relatively minor deficiencies documented to provide information or recommendations for future improvement efforts.

3.8.3.1. Areas for improvement do not require a formal reply from the organization.

3.8.4. **Findings** : Major performance or compliance deficiencies in core processes. The IG will describe the deficiency, cite specific references, and identify the OPR and any Offices of Collateral Responsibility (OCRs).

3.8.4.1. The organization must formally reply to all findings.

3.8.4.1.1. If a Finding involves sufficient validated evidence of fraud, the IG team chief will exclude it from the report and refer it to their MAJCOM, Complaints and Investigations (MAJCOM/IGQ) for appropriate action.

3.8.4.1.2. If a Finding involves sufficient validated evidence of waste or abuse, the description will include the following statement: "This was a waste (or abuse, or potential waste or abuse) item under the Air Force Fraud, Waste and Abuse (FWA) Program."

3.9. Answering a Finding. A Finding is a significant deficiency identified during an inspection, not otherwise addressed in prescribed corrective action processes. Findings will be specifically identified in inspection reports. All Findings require corrective action to correct the deficiency and a plan to prevent reoccurrence.

3.9.1. The inspected organization that receives a finding will:

3.9.1.1. Reply to each MAJCOM/IG Finding per the MAJCOM/IG instruction. Units should refrain from sending responses to findings or calling the headquarters to work findings until the final report is released. The Commander's response to the Finding will include the following information:

3.9.1.1.1. The text of the finding as written in the original IG report.

- 3.9.1.1.2. A recommendation to close or continue the Finding.
 - 3.9.1.1.3. If recommending closure, provide a clearly defined action to correct the discrepancy and prevent recurrence. Responses should provide sufficient detail so the inspectors and staff can determine if the corrective actions are adequate.
 - 3.9.1.1.4. If recommending continuance at the end of the suspense period, describe actions taken and proposed, with an estimated completion date (updated replies are required every 30 days after the initial suspense period until the item is closed).
 - 3.9.1.1.5. The name, office symbol, and telephone number of the action officer.
 - 3.9.1.1.6. If the inspected organization does not understand the finding as written in the report, they will contact the MAJCOM/IG functional staff to gain clarification. Units may disagree with a finding, but it does not relieve them of addressing the issue.
- 3.9.2. NGB-IGD will:
- 3.9.2.1. Track the status of Findings, responses, and suspense's.
 - 3.9.2.2. Forward unit responses to the appropriate NGB/ANG staff functional with a 30-day suspense for reply and send courtesy copies to appropriate functional IG members.
 - 3.9.2.3. Forward unit responses, with NGB/ANG staff functional replies, to the appropriate MAJCOM/IG for reply.
 - 3.9.2.4. If corrective action is accepted, close the finding, or return non-concurrence to the unit for re-evaluation with a 30-day suspense for reply.
 - 3.9.2.5. Act as liaison between MAJCOM/IG, and the assessed organization, and the NGB/ANG functional staff on past due suspenses.
 - 3.9.2.6. Keep commanders and functional staff apprised of the finding statuses.
- 3.9.3. NGB/ANG functional staff will:
- 3.9.3.1. Review the responses from the assessed organizations and recommend the closing or continuance of a Finding in a written reply to MAJCOM/IG through NGB-IGD by the established suspense date.

3.10. Inspection Grades That Fall Below Satisfactory Ratings. Organizational ratings below satisfactory indicate that performance or the operation does not meet mission requirements (in part or in whole). Units who receive an organizational grade of Unsatisfactory will be under consideration for federal recognition probation.

- 3.10.1. The CNGB will determine if the unit should be placed on federal recognition probation based on an explanation of the grade and recommendations by the gaining MAJCOM/IG.
 - 3.10.1.1. Units that receive an organizational grade of Unsatisfactory must provide the CNGB with a general explanation of the grade. The commander of the inspected unit will submit an in-turn letter within 30 days of the issuance of the published inspection report, through The Adjutants General (TAG) to NGB-IG, NGB-CF, and to the CNGB to provide a general explanation for the unsatisfactory grade. This letter is not the findings response (See Paragraph **3.9.**).

3.10.2. Units that receive an overall organizational grade of Unsatisfactory will be subject to a full MAJCOM-IG re-inspection during the next AEF cycle.

3.10.2.1. The date for re-inspection will be set after the unit has had adequate opportunity to resolve findings. The date will be set after proper coordination by the MAJCOM/IG with NGB/IGD, the functional staff, and the unit. Minimum notice to the unit prior to re-inspection is 90 days.

3.10.2.2. Units that receive an overall inspection grade of Unsatisfactory will be removed from their next AEF rotation until after their re-inspection so that the unit can completely focus on unit programs and training.

3.10.3. Units that receive a grade of Marginal in a sub-area or an individual UTC could be re-inspected after review of the finding and its resolution. If re-inspection is called for, the date will be set after proper coordination by the MAJCOM/IG with the unit and NGB-IGD. Minimum notice prior for re-inspection for a single sub-area or UTC is 90 days.

3.11. Processing Inspection Tailoring/Postponement Requests. It is possible that unforeseen operational demands in specific mission areas can alter an ANG unit's ability to undergo inspections as planned. This may cause a planned inspection to be tailored around the limiting factors or, in extremely rare cases, to be postponed.

3.11.1. **Tailoring.** Tailoring an inspection modifies the inspection requirements for a specific Unit Type Code (UTC) or work area due to an unforeseen operational demand. To tailor an inspection element, the unit will contact NGB-IGD in writing explaining the situation to include a justification explaining the limitations of those affected work areas or UTCs.

3.11.1.1. NGB-IGD will coordinate with the functional staff to validate the request and then staff the request through appropriate leadership channels to the MAJCOM for consideration.

3.11.1.2. The MAJCOM makes the final determination and will work with the unit as necessary to tailor the inspection. MAJCOM/IGs may determine it is appropriate to inspect a UTC/work area with limiting factors (LIMFACs) to validate how the organization processes shortfalls.

3.11.2. **Postponement Requests.** The Director, Air National Guard (NGB/CF) requires that all requests for full postponement of a planned inspection come to CF from the appropriate TAG Office. Units need to follow their states' specified chain of command to procure TAG endorsement. The request for postponement, endorsed by the TAG, should include full justification to substantiate the crippling affect the planned inspection will have on the unit. The request needs to include the earliest possible date when the unit can take the inspection. In addition to the postponement letter, NGB-IGD will work with the unit Logistics Plans office to provide specific details regarding the limiting factors.

3.11.2.1. NGB-IGD will validate the request with the ANG functional staff and the MAJCOM IG staff. NGB-IGD will prepare the NGB/CF response to the TAG. The response for the request for postponement will come from NGB/CF to the TAG, who will notify the unit.

3.11.2.2. The receipt of support from NGB-CF does not guarantee postponement of the planned inspection. The MAJCOM makes the final determination.

Chapter 4

NGB INSPECTOR GENERAL RESPONSIBILITIES

4.1. NGB-IG Chain of Command. NGB-IG is member of the Personal/Special Staff elements under the CNGB. The CNGB has directed that NGB-IGD support the Air Directorate.

4.2. NGB-IG Responsibilities. NGB-IG provides trusted counsel to the CNGB and all other principal military and civilian leaders of the National Guard regarding the economy, efficiency, morale, esprit de corps and readiness of the National Guard. Specifically, the Air Inspections Division assumes responsibilities of all matters pertaining to the inspection of Air National Guard units.

4.3. NGB-IG Technical Channels. SAF/IG approves inspection policy and oversees the Air Force inspection system. SAF Inspections Directorate (SAF/IGI) manages AF inspection policy (including plans, guidance, and procedures) and provides oversight of inspection policy implementation. MAJCOM/IGs establish inspection programs consistent with command mission requirements to assess unit readiness, compliance, and other Air Force inspection program elements outlined in AFI 90-201 and ensure deficiencies identified during inspections are corrected. NGB-IGD, acts as the liaison to SAF/IGI and the MAJCOM/IGs for inspection matters related to the ANG.

4.4. ANG Inspection Policy and Guidance. The Air Force IG community is continually updating policy, published guidance, and inspection/assessment procedures to accurately reflect the readiness of the Air Force. NGB-IGD is the proponent for ANG inspections policy and programs to ensure that MAJCOMs provide timely and relevant inspection of ANG units during peace and war.

4.5. Education. As the NGB liaison for ANG inspection matters, NGB-IGD will educate and inform Air Force agencies on unique characteristics of the Air National Guard and ANG field units and staffs on Air Force and MAJCOM inspection policy and programs. Forums for education include but are not limited to:

- 4.5.1. Speaking at Air Force, MAJCOM, NAF, and ANG sponsored conferences, seminars or workshops.
- 4.5.2. NGB-IGD internet site for inspection matters (<https://airguard.ang.af.mil/igi>).
- 4.5.3. Participation as an objective observer at inspections of ANG units.
- 4.5.4. Published material and briefings provided in a variety of formats.

4.6. Gatekeeper Function. The NGB Gatekeeper monitors and deconflicts, to the extent practical, the type and amount of evaluation activity at ANG units. The gatekeeper evaluates inspection notifications to determine if they are duplicative or has been recently accomplished, and works with the inspecting agency and the affected commander to reschedule poorly timed visits.

- 4.6.1. Local ANG commanders retain the option of absorbing several concurrent inspection and/or assessment visits. Important visits occurring simultaneously should be made visible to the gatekeeper and any problems need to be resolved in advance.
- 4.6.2. NGB-IG Gatekeeper Responsibilities.
 - 4.6.2.1. Establish a Gatekeeper program. See ANGI 90-203, *ANG Gatekeeper Program*.

4.6.3. The Director, ANG (NGB/CF) has delegated the authority to deconflict gaining MAJCOM inspection activity with other ANG taskings to NGB-IGD. If attempts at deconfliction fail, then the Director, ANG (NGB/CF) or his designated representative will coordinate and approve case-by-case relief/reclaim request.

4.7. Coordination of Inspection Dates. NGB-IGD does not determine the dates for inspection of ANG units. Inspection scheduling is a cooperative effort between the MAJCOM/IGs and the ANG functional staff. NGB-IGD consolidates inspection-scheduling information into a controlled data-base to track and deconflict events.

4.7.1. NGB-IGD will ensure that units (and parent wings if applicable) scheduled for inspections are notified by gaining MAJCOM/IGs of their scheduled participation one year in advance.

4.8. Trusted Agent. NGB-IGD will act as trusted agents to handle and safeguard programming and planning information until released by the originating IG. NGB-IGD will clearly mark schedules and other sensitive inspection information "TRUSTED AGENT INFORMATION".

4.8.1. MAJCOM/IGs may request Trusted Agents from the inspected organization to facilitate the development and execution, but not evaluation, of exercises.

4.8.1.1. The IG will provide Unit Trusted Agents with information concerning the nature and timing of inspection events, to the extent necessary to achieve exercise objectives. Trusted Agents must not divulge that information to anyone within the inspected organization. Due to his/her status as an IG team extension, the trusted agent may be called to act for the IG without their direct commander's knowledge. However, this will be limited to IG inspection directed events only.

4.8.1.2. The IG will specify the particular functional areas or capabilities desired for each Trusted Agent, and may request specific people based on inspection requirements and unit capabilities.

4.8.1.3. When possible, Trusted Agents should be individuals who would otherwise have no active participation in the inspection.

4.9. Coordination of Inspection Criteria. NGB-IGD will partner with MAJCOM/IGs to coordinate their inspection criteria so that it can be included in the ANG Master Catalog. Inspection/Assessment criteria must adhere to AFI 33-360V1 for applicability to the ANG.

4.10. Inspection Report Analysis. NGB-IGD will analyze inspection findings and report results and trends to the CNGB and the NGB/CF, and the Chiefs of ANG Directorates.

4.11. Inspection Report Handling/Release. Inspection reports are privileged documents and the Air Force controls their handling and distribution. Inspection reports will be handled and/or released in accordance with AFI 90-201, *Inspector General Activities*.

4.11.1. NGB-IGD receives MAJCOM inspection reports upon official release. NGB-IGD distributes the report electronically to ANG functional managers. NGB-IGD does not release inspection reports to other ANG units.

4.11.2. Inspection reports are For Official Use Only (FOUO) and the inspected organization may reproduce and internally distribute the reports as required.

4.11.2.1. After a formal inspection (ORI, CI etc), commanders of inspected units may authorize the public release of ratings for the overall inspection and for the major graded area). Public release of sub-area ratings, verbatim Findings or other data is not authorized.

4.12. Historical Inspection Records. NGB-IGD is responsible for maintaining ANG inspection related data, reports, and documentation IAW AFMAN 37-139, *Record Disposition Schedule*.

4.13. Finding Resolution Coordination. NGB-IGD is the ANG focal point for resolution of every assessed Finding. See Paragraph **3.9.**, and following for the Finding Resolution process and responsibilities.

4.14. Augmentee Coordination. NGB-IGD will act as the ANG focal point for MAJCOM IGs that require inspection augmentees. See Paragraph **2.14.**, and following.

4.15. Observer Coordination. NGB-IGD will act as the clearinghouse to consolidate ANG observer requests for formal inspections. NGB-IGD does not act on behalf of organizations and agencies outside the ANG.

4.16. Eagle Look Coordination. An Eagle Look is a management review conducted by AFIA to provide senior Air Force leadership a report on current AF-wide processes and recommendations for improvement. Eagle Looks collect data primarily by non-attribution interviews of personnel.

4.16.1. AFIA will contact the NGB-IG gatekeeper at, <mailto:gatekeep@ngb.ang.af.mil>, to coordinate any proposed visits to ANG units and the NGB. AFIA will provide the management review title, scope, and a general schedule of visits. The NGB-IG gatekeeper will coordinate with the applicable ANG functional staff and units to determine availability and provide NGB concurrence to AFIA.

4.17. Audit Oversight. NGB-IR is the entry point to the ANG for DoD IG, Government Audit Organization (GAO), and Congressional Budget Office (CBO) audits. NGB-IGD maintains oversight of audits through the Gatekeeper function to ensure that units are available to participate in audits as requested.

4.17.1. The Air Force Audit Agency (AFAA) works in coordination with ANG/FM for all audit activity within the ANG. NGB-IGD tracks AFAA audit days as part of the Gatekeeper function.

4.18. Response to Requests for Inspection Information. NGB-IGD will respond in a timely manner to requests for inspection information to include those made by Congress within the guidelines provided by AFI 90-201.

4.19. Division Budget Management. NGB-IGD staff members are required to know how to obtain accurate, timely information keyed to the office resource needs, and must be able to analyze, project, and justify funding requirements. NGB-IGD will work with the local resource manager to learn the various codes for authorizing expenditures and how they apply to the office's program.

4.20. Restriction on Additional Duties. NGB Inspector General personnel will not be subject to additional duty external to the Inspection General functional area without expressed permission of NGB-IG. This restriction is to avoid potential conflicts of interest between Inspector General duties and the additional duty.

4.21. Assistance and Complaints Program. Complaint resolution is not part of the inspection system and is not the purview of NGB-IGD. Each ANG flying wing has an independent installation Inspector General to handle complaints and requests for assistance. All ANG complaints will be processed IAW AFI 90-301, *Inspector General Complaints*. Further guidance may be obtained through the Secretary of the Air Force, Office of the Inspector General Complaint Resolution Branch (SAF/IGQ), 1140 Air Force Pentagon, Washington, DC 20330-1140 (<http://www.ig.hq.af.mil/igq>).

Chapter 5

FEDERAL RECOGNITION INSPECTIONS (FRIS)

5.1. Authority. Title 32 USC 105 and Title 10 USC 10503.

5.2. Policy. Federal Recognition is the action, by the SECAF, that confirms that a unit (the organized militia of a State) meets the qualifications prescribed for the organization and composition of the ANG. Federal Recognition may be officially extended by the CNGB, under authority from the SECAF under Title 10 USC 10503.

5.2.1. The granting of Federal Recognition to a unit is the authority to pay personnel, issue federal equipment for use by the unit concerned, and expenditure of funds incidental to the operation and maintenance of facilities and services in support of the unit.

5.2.2. No change in the branch, organization, or allotment of a unit located entirely within a state may be made without the approval of the Governor of the State under Title 10 USC, Section 18238 and Title 32 USC, Section 104.

5.2.3. An organization of the National Guard, the members of which have received compensation from the United States as members of the National Guard, may not be disbanded by the state without consent of the President of the United States, or the Secretary of the Air Force acting for the President, under Title 32 USC, Section 104.

5.3. Administration and Program Oversight. The policies and organizational actions to federally recognize a unit are under the authority of the Directorate of Plans, Programs and Manpower (ANG/XP).

5.4. Establishing Units. Constitution, allotment, allocation and designation of units. ANG Air Force Controlled (AFCON) units are constituted by the authority of the SECAF by the Directorate of Manpower and Organization (AF/XPM) and allotted to the NGB. The NGB in-turn allocates the units to the States for activation as ANG units. Units do not function as entities of the Air National Guard of the United States (ANGUS) until they have attained Federal Recognition.

5.4.1. The general process for granting Federal Recognition to an authorized unit in the ANG for which a potential mobilization requirement exists (except State Headquarters, its Detachments and Operating Locations (OL)) in relationship to the Federal Recognition Inspection (FRI) are as follows:

5.4.1.1. After a newly gained unit has received its Personal Accounting System (PAS) Code, ANG/XPM notifies the applicable State Headquarters and NGB-IGD that a FRI needs to be performed by a duly appointed officer or inspection team from the gaining MAJCOM.

5.4.1.1.1. The FRI inspector is generally an Air Force officer with expertise in the mission area of the new unit.

5.4.1.2. Federal Recognition will only be extended to units following a favorable report of inspection as indicated on the NGB 113a, *Report of Inspection for Federal Recognition*. If the inspection is conducted prior to the date of organization, then the date of organization becomes the date of Federal Recognition. The FRI must take place within six months of the date of organization unless directed otherwise by ANG/XP. Failure to conduct the FRI within this time period may result in the withdrawal of the allotment of the unit to the state.

5.4.2. Basis for Federal Recognition. Federal Recognition is extended after the unit meets basic requirements as validated during the FRI.

5.4.2.1. For a unit to qualify for initial Federal Recognition or to maintain its federally recognized status, the enlistment and appointment of applicants, assignment, promotion, or other personnel actions affecting its members will be without regard to race, color, religion, gender (except for assignment limitations prescribed by regulation) or national origin in accordance with current law and DoD policy. Members must meet the basic eligibility requirements to occupy the UMD position to which assigned in accordance with applicable Air Force and ANG directives.

5.4.2.1.1. Units that do not meet the above criteria can apply for a waiver to ANG/XP stating unusual circumstances and a get-well date. ANG/XP will coordinate with the applicable functional area manager to determine approval/disapproval of waivers. Waivers from qualification standards will only be considered in unusual situations. Waiver requests must be coordinated through NGB-IGD prior to the FRI so that the gaining MAJCOM is aware of the issue(s).

5.5. FRI Procedures. The following responsibilities are worked in concert under ANG/XP guidance to complete the FRI of new ANG units.

5.5.1. The ANG-XP Staff will

5.5.1.1. Notify the applicable State Headquarters and NGB-IGD that a FRI is required.

5.5.1.2. Take actions as required after the FRI is complete to Federal Recognize the unit.

5.5.1.2.1. If the prescribed requirements have been met and funds are available, recommend that the CNGB recognize the new unit. Formal recognition occurs when ANG/XP prepares an NGB 5, *Federal Recognition Certificate*, signed by the CNGB, or his designated representative, is issued.

5.5.1.3. Notify all interested parties, including the gaining MAJCOM, that the unit was granted Federal Recognition on the specified date.

5.5.2. The STATE will:

5.5.2.1. Upon notification that a FRI is required, make specific arrangements directly with the appropriate gaining MAJCOM for inspector(s) to visit the unit. Request, in writing, the appointment of a Regular Air Force officer with knowledge of the new mission to perform the inspection. This officer is normally the Air Force advisor to the new unit (if assigned) or a nearby unit in the same MAJCOM or as agreed upon by the gaining MAJCOM and NGB.

5.5.2.2. Notify NGB-IGD of the agreed upon inspection date.

5.5.2.3. Complete all coordination actions as required to host the inspector(s). This action includes providing a travel fund site and assist with arrangements for lodging and local transportation.

5.5.2.4. Have assigned personnel, equipment, facilities and related items in support of the new unit available and ready for inspection on the date specified.

5.5.2.5. Have copies of NGB 113a available for the inspector with the unit designation, location, and PAS Code filled in.

5.5.3. The INSPECTOR will:

5.5.3.1. Coordinate the necessary details for the inspection with the office of TAG of the State in which the new unit will be located.

5.5.3.2. Conduct the inspection IAW this instruction using NGB 113a and the applicable gaining MAJCOM supplements to AFI 90-201, *Inspector General Activities*.

5.5.3.3. Complete and sign NGB 113a and forward to the gaining MAJCOM/CC for action and signature.

5.5.3.4. Provide a cover letter to the NGB 113a with instructions informing the gaining MAJCOM to forward the completed forms to NGB-IG, 1411 Jefferson Davis Hwy, Arlington, VA 22202-3231.

5.5.4. The gaining MAJCOM will:

5.5.4.1. Appoint, upon written request from a State AG's office, a regular Air Force officer to perform the Federal Recognition Inspection.

5.5.4.2. Review and approve or disapprove the results of the FRI. Sign (Commander or his representative) and forward the NGB 113a to NGB-IG, 1411 Jefferson Davis Highway, Arlington, VA 22202-3231.

5.5.4.2.1. The act of the Commander signing the NGB 113a signifies that that MAJCOM is assuming the responsibility of the gaining command.

5.5.5. The NGB-IG Staff will:

5.5.5.1. Act as OCR for questions concerning FRI process.

5.5.5.2. Review the completed NGB 113a for completeness and take coordination action (as required) on any recommendations made by the inspector or gaining MAJCOM.

5.6. NGB 113a Instructions. The NGB 113a forms the basis for the FRI. The completed and signed form is kept as part of the permanent record of the unit. The following is a block-by-block explanation of the NGB 113a

5.6.1. **UNIT IDENTIFICATION.** This section is completed by the State.

5.6.1.1. **Element 1. Unit Designation** : Official name and number of the unit.

5.6.1.2. **Element 2. Location** : Facility name (e.g., airport or base) City and State

5.6.1.3. **Element 3. PAS Code** : Six-digit code as provided by ANG/XPM.

5.6.2. **SECTION I - ORGANIZATION** : Section I is completed by the inspector.

5.6.2.1. **Element 4. Unit Organization** : Can the unit produce a valid copy of the master UMD? The unit should be able to provide this through their Military Personnel Flight (MPF).

5.6.2.2. **Element 5. Community Attitude** : A favorable community attitude is measured by four elements. Validation of the community's attitude should come from a preponderance of evidence from the four sub-areas.

5.6.2.2.1. Recruiting. Consider if the community/surrounding area has the demographic makeup necessary to build and sustain the organization as envisioned? Do they have enough people of the appropriate age spread and ethnic make up? How large an area is the unit plan-

ning on recruiting from? What other active duty/reserve component activities take place in the area that may affect recruiting efforts. The State's Recruiting and Retention Manager should have those statistics or be able to generate them.

5.6.2.2.2. Local Government/Chamber of Commerce. Is there evidence that the local governments are aware of and would be willing to support the unit and its location? Support would be evident in their willingness to provide land, access roads, utilities, etc. Documentation showing such support includes planning documents, letters, etc.

5.6.2.2.3. Political Support at the State/Federal Level. Are State and Federal congressional delegations (especially those representing the district in which the unit is located) aware of and supportive of the unit? Do they offer support for Military Construction (MILCON) in the out years? Documentation of their support might be a letter saying that they would be a strong and positive supporter of such measures.

5.6.2.2.4. Media. Does the media have an editorial stance about the defense spending in general or the National Guard specifically?

5.6.3. **Section II - PERSONNEL** : Section II is completed by the inspector.

5.6.3.1. **Element 6. Percentage of Federally Recognized Officers** : Count the number of officers that are currently federally recognized and mathematically compute the percentage. For example: 20 of 100 officers equal 20 percent. This fulfills the legal requirements of Title 32 USC 305.

5.6.3.2. **Element 7. Number of Otherwise Qualified Officers** : Are there officers in training awaiting federal recognition?

5.6.3.3. **Element 8. Personnel Records** : Each assigned member must have a personnel record. Mark if the records are stored on the installation or state where they are located if off-installation.

5.6.3.4. **Element 9. Medical Records** : Each assigned member must have a medical record. Mark if the records are stored on the installation or state where they are located if off-installation.

5.6.3.5. **Element 10. Medical Qualifications** : Personnel are expected to be worldwide deployable. The base medical office should be able to provide information on profiled individuals and the actions in progress to bring them to a deployable status.

5.6.3.6. **Element 11. Officer Eligibility** : This fulfills the legal requirements of Title 32 USC 305 and Title 32 USC 307. Are the officers qualified to fill the positions they are assigned to? Source document: AF Manual (AFMAN) 36-2105, *Officer Classification*.

5.6.3.7. **Element 12. Enlisted Eligibility** : This fulfills the legal requirements of Title 32 USC 301. Are the enlisted members qualified to fill the positions they are assigned to? Source document: AFMAN 36-2108, *Enlisted Classification*.

5.6.3.8. **Element 13. Oath of Enlistment** : This fulfills the legal requirements of Title 32 USC 304. The unit's MPF should have DD Form 4, *Enlistment/Reenlistment Document Armed Forces of the United States*, on file.

5.6.3.9. **Element 14. Strength** : The unit must attain an assigned strength of 20 percent of their UMD authorized strength and 20 percent of their UMD authorized strength of enlisted personnel. See [Table 5.1.](#), Federal Recognition Personnel Manning Criteria.

5.6.3.9.1. To obtain the 20 percent strength, the State is authorized to request school training quotas and recruit against an established unit with similar Air Force Specialty Codes (AFSCs). AFSCs that are unique to the new unit should be identified to the Directorate of Plans, Programs and Manpower (ANG/XP) for possible temporary augmentation to an established unit for advance recruiting purposes.

Table 5.1. Federal Recognition Personnel Manning Criteria

	Percent of Total Authorized Personnel Available	Percent of Authorized Personnel with Critical AFSCs
Initial Recognition	20	--
12-Months following Federal Recognition	50	30
24-Months following Federal Recognition	70	65
36-Months or greater following Federal Recognition	80	75

5.6.4. **Section III - FACILITIES** : Section III is completed by the inspector.

5.6.4.1. **Element 15. Facility Ownership** : Select the option that best applies. This information is found in the base support agreements.

5.6.4.2. **Element 16. Facility Adequate to Perform Mission** : Can the unit perform their mission with the facilities available?

5.6.4.3. **Element 17. Facility security** : Is the facility safe and secure. Source documents: Unified Facilities Criteria (UFC) 4-010-01, *DoD Minimum Antiterrorism Standard for Buildings*, and AFI 31-101, *The Air Force Installation Security Program*, classified (FOUO).

5.6.4.4. **Element 18. Vulnerability Assessment** : Source document: AFI 10-245, *Air Force Anti-terrorism (AT) Standards*.

5.6.4.5. **Element 19. Environmental Assessment** : Has the facility passed an environmental assessment. A new assessment must be done if it the unit is located on a new facility. Otherwise the environmental impact statement should be located with the Base Civil Engineer.

5.6.4.6. **Element 20. Adequacy of Ramps, Taxiways, and Runways** : Is the general environment of the ramps, taxiways and runways adequate and safe for operations?

5.6.4.7. **Element 21. Adequacy of Storage and Protection: Source document** : AFI 31-401, *Information Security Program Management*.

5.6.4.8. **Element 22. Adequacy for Safeguarding Classified Material** : Source document: AFI 31-401, *Information Security Program Management*.

5.6.4.9. **Element 23. Accommodations** : Accommodations may mean facilities on the property or may be commercial accommodations nearby that could be procured.

5.6.4.10. **Element 24. Adequacy for Administration and Logistical Support** : Can this unit provide all the support services necessary to operate at this facility.

5.6.4.11. **Element 25. Impact and Remedy for Deficiencies Found** : For elements 16. - 24., what is the impact on the training and readiness of the unit due to deficiencies found? What are the

unit's plans to remedy the deficiencies? For remedies that are in progress, is there a completion date? State the impact on the reverse of the form and attach additional pages as required.

5.6.5. **Section IV - RECOMMENDATIONS** : Section IV is completed by the inspector.

5.6.5.1. **Element 26. Recommendations** : The following indicates the ultimate recommendation of the inspection officer/team to the gaining MAJCOM Commander.

5.6.5.1.1. **Element 26a.** : Check the recommendation.

5.6.5.1.2. **Element 26b. Date** : Date the inspection is complete.

5.6.5.1.3. **Element 26c. Sensitive Property** : Self-explanatory.

5.6.5.2. Signature blocks for the Inspector.

5.6.5.2.1. Typed name/rank of inspector: Self-explanatory.

5.6.5.2.2. Signature: Self-explanatory.

5.6.5.2.3. Unit of Assignment: Self-explanatory.

5.6.6. **Section V - Major Air Command** : Section V is staffed as required within the MAJCOM and signed by the gaining MAJCOM Commander.

5.6.6.1. **Element 27. Recommendations** : The following indicates the ultimate recommendation of the gaining MAJCOM to the CNGB that this unit should be federally recognized.

5.6.6.1.1. **Element 27a. Gaining MAJCOM Approval/Disapproval** : The staff should mark the recommendation for the Commander.

5.6.6.1.2. **Element 27b. Date signed** : Self-explanatory.

5.6.6.1.3. **Signature and Title** : Self-explanatory.

5.6.6.1.4. **Headquarters designation** : Self-explanatory.

5.7. Effective Date of Federal Recognition. This is the date on which the unit was inspected and found satisfactory as indicated in block 23a of the NGB 113a. This is also the date that the gaining MAJCOM assumes its responsibilities.

5.7.1. The effective date of Federal Recognition remains unchanged, if there is a change of station, reorganization, re-designation, or induction (mobilization) into the active military service of the United States.

5.8. Non recommendation for Federal Recognition. If the inspector does not recommend federal recognition of the new unit, they must provide justification for that recommendation in writing along with the completed NGB 113a to the MAJCOM/CC for signature. The signed NGB 113a is forwarded to NGB-IGD who will take coordination action towards resolving the open issues blocking federal recognition.

5.8.1. A second FRI may be required after any open issues are resolved. Determination for a re-inspection will be in coordination with ANG/XP, NGB-IGD, the applicable State Headquarters, and the gaining MAJCOM.

5.8.2. If re-inspection is accomplished, another NGB 113a is processed.

5.9. Placing Units on Probation. Federal Recognition probation only applies to existing units. The action of placing a unit on probation is recognized as a drastic measure taken to correct gross problems affecting a unit's ability to perform their wartime mission or maintain programs to Air Force standards. Probation is usually the preliminary action before the withdrawal of Federal Recognition. Final administrative action relative to placing units on probation or withdrawing Federal Recognition is taken by the CNGB. Before placing a unit on probation, NGB will coordinate with the unit's gaining MAJCOM and the Adjutant General of the affected State.

5.9.1. Units may be placed on Federal Recognition probation for the following reasons:

5.9.1.1. When a unit fails to meet and maintain established strength requirements. A unit commander of a unit on probation is still responsible for maintaining the standards otherwise required of the unit. The minimum strength requirements for ANG units are a percentage of authorized strengths and AFSCs, and are applicable to both officers and airmen (See [Table 5.1](#)).

5.9.1.1.1. ANG units authorized less than three officer UMD positions will use the "12-months following Federal Recognition" criteria for the overall officer strength percentages ([Table 5.1](#)). In these units, the overall unit's ability to perform mission tasking is the primary factor in determining continued Federal Recognition. Enlisted strength in these units must also conform to [Table 5.1](#).

5.9.1.1.2. ANG units authorized three or less personnel in a critical AFSC will use 50 percent for the "authorized personnel with critical AFSCs who are available" figure.

5.9.1.2. The gaining MAJCOM inspection agency may recommend withdrawal of federal recognition if:

5.9.1.2.1. The unit refuses to undergo official inspections.

5.9.1.2.2. The unit receives two consecutive less-than-satisfactory ratings in the same mission area.

5.9.1.2.3. The unit receives an organizational rating of Unsatisfactory. The unit must be able to correct the cause of the failure.

5.9.2. MAJCOMs may recommend Federal Recognition probation to the CNGB.

5.9.2.1. The MAJCOM/IG will notify the gaining MAJCOM Commander in writing to include a full justification. If approved, the recommendation is then sent to the CNGB for consideration.

5.9.2.2. MAJCOMs are to send information copies of their recommendation to those State Adjutants General concerned, the ANG unit concerned, the SECAF, SAF/IG, NGB-IG, AF/XP, and ANG/XP.

5.9.3. Upon receipt of a recommendation from the MAJCOM to withdraw federal recognition of an ANG unit, the CNGB will direct NGB-IG to be the OPR for staffing actions so that full consideration may be given to the matter by the CNGB within 30 days of receipt.

5.9.4. If the CNGB determines that probation or withdrawal of Federal Recognition is not the best course of action, notification will be made in writing to the MAJCOM stating what corrective actions are being taken to resolve the core issue(s). Copies will be sent to State Adjutants General concerned, the ANG unit concerned, the SECAF, SAF/IG, NGB-IG, AF/XP, and ANG/XP.

5.9.5. If probation or Federal recognition withdrawal is directed, CNGB will notify the unit in writing. Copies will be sent to State Adjutants General concerned, the SECAF, SAF/IG, NGB-IG, AF/XP, ANG/XP, and the gaining MAJCOM Commander.

5.9.5.1. Probation is for a specified period as determined by the CNGB.

5.9.5.2. Termination of probation is vested in the CNGB.

5.9.5.2.1. If a unit is on probation for other than minimum strength requirements, an inspection must be performed by the gaining MAJCOM to determine which of the following recommendations should be made to the CNGB.

5.9.5.2.1.1. Terminate and restore to full status.

5.9.5.2.1.2. Extend the probationary period.

5.9.5.2.1.3. Deactivate the unit (withdrawal of Federal Recognition).

5.9.6. Units under FRI probation will focus on training.

5.9.6.1. They will not deploy personnel or equipment for training, steady state deployments, or contingency operations.

5.9.6.2. The unit will report the lowest readiness rating possible without Commander's upgrade.

5.10. Granting a Probation Waiver. Under certain circumstances, a unit pending probation may be granted a temporary waiver to allow them opportunity to correct the deficiency. Waivers are normally granted when deficiencies are not severe enough to warrant placing the unit on probation. CNGB is the waiver authority.

5.10.1. Waivers are granted for a specified period of time. At the conclusion of the waiver period an evaluation will be completed to determine if the unit should be placed on probation or restored to full federal recognition status.

5.10.2. Waivers are not granted when a unit is incapable of correcting deficiencies and/or irregularities. When a unit's capability to perform its assigned mission or achieve programmed requirements is materially affected, the unit will be considered for probation or deactivation.

5.10.3. Units who have received a waiver from FRI probation will focus on training.

5.10.3.1. The unit may deploy personnel or equip for training, steady state deployment or contingency operations.

5.10.3.2. The Unit will report their readiness rating to reflect the status of the situation.

5.11. Withdrawal of Federal Recognition. CNGB, acting for the Secretary of the Air Force, may take actions to withdraw Federal Recognition from a unit that fails to maintain the policies prescribed by law (Title 10, USC, 10503). Withdrawal of Federal Recognition is a very serious action resulting in the loss of Federal support (including funding and material), unit identity, historical properties, and heraldic entitlements.

Chapter 6

INSPECTION OF OTHER ANG ORGANIZATIONS

6.1. Introduction. The Air National Guard is made up of a number of organizations that perform specific functions. Most of these organizations fall into 2 common organizations.

6.1.1. **Direct Reporting Unit (DRU).** A DRU is a subdivision of the Air Force, directly subordinate to the Chief of Staff, US Air Force. A DRU performs a mission that does not fit into any of the MAJ-COMs. A DRU has many of the same administrative and organizational responsibilities of a MAJ-COM. ANG DRUs include:

6.1.1.1. The I. G. Brown ANG Training and Education Center (TEC) is DRU to the Director, Air National Guard (NGB/CF).

6.1.1.2. The Air National Guard Air Force Reserve Test Center (AATC) is a DRU to the NGB/CF.

6.1.2. *Field Operating Agency (FOA).* A FOA is a subdivision of the Air Force, directly subordinate to a Headquarters US Air Force functional manager. A FOA performs field activities beyond the scope of any of the Major Commands (or subordinate units). The activities are specialized or associated with an Air Force-wide mission and do not include functions performed in management headquarters unless specifically directed by a DoD authority. ANG FOAs include:

6.1.2.1. The Air National Guard Readiness Center (ANGRC) is FOA to Headquarters USAF.

6.1.2.1.1. The ANGRC is the gaining command for State ANG Headquarters IAW ANGMD 38-01, *State Air National Guard Headquarters*.

6.2. Joint Force Headquarters- State Inspections. Due to a number of factors, independent inspections of the ANG elements at each Joint Force Headquarters- State are suspended until SAF/IG, in coordination with NGB/CF, determines that it is a priority for MAJCOM/IG inspection programs.

6.2.1. Effective 1 October 2003, each of the State Headquarters reorganized into a joint military organization. The State Headquarters has a State as well as a Federal mission. For the purpose of this instruction, the term "Joint Force Headquarters- State" includes the command structure for all 50 States, the District of Columbia, and the Commonwealths of Puerto Rico, the Virgin Islands, and Guam. The State mission is carried out under the authority of the Governor, the Commander-in-Chief, and the State's military commander, TAG. Joint Force Headquarters- State responsibilities are contained in ANGMD 38-01, *State ANG Headquarters*.

6.3. ANGRC Inspections. AFIA is responsible for compliance inspections of the ANGRC.

6.4. United States Property and Fiscal Officer (USP&FO) Inspections. An inspection of the USP&FO may be conducted as a part of other inspections or as a separate assessment combined with the Army inspection of the USP&FO.

6.4.1. IAW NGR 130-6/ANGI 11-02, *United States Property and Fiscal Officer Appointment, Duties and Responsibilities*, there are three authorized air assistants for the USP&FO including:

6.4.1.1. Assistant USP&FO for Air (Fiscal) who is the base comptroller.

6.4.1.2. Assistant USP&FO for Air (Property) who is the base supply officer.

6.4.1.3. Assistant USP&FO for Air (Real Property) who is the base civil engineer.

6.4.2. Currently, air inspections of the Assistant USP&FOs for Air take place during unit compliance inspections.

DANIEL JAMES III, Lieutenant General, USAF
Director, Air National Guard

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

Executive Order 12333, *United States Intelligence Activities*

Title 10, USC, Section 10503, *Functions of National Guard Bureau: charter from Secretaries of the Army and Air Force*

Title 32, USC, Section 104, *Units: location; organization; command*

Title 32, USC, Section 105 *Inspection*

Title 32, USC, Section 305, *Federal recognition of commissioned officers: persons eligible*

Title 32, USC, Section 307, *Federal recognition of officers: examination; certificate of eligibility*

DoD 5200.1R, *Information Security Program*

DoDD 5240.1, *DoD Intelligence Activities*

AFPD 14-1, *Intelligence Applications and Requirements Planning*

AFPD 90-2, *Inspector General-The Inspection System*

AFH 10-416, *Personnel Readiness and Mobilization*

AFI 10-245, *Air Force Antiterrorism (AT) Standards*

AFI 10-2501, *Full Spectrum Threat Response (FSTR) Planning and Operations*

AFI 14-104, *Oversight of Intelligence Activities*

AFI 31-101, *Air Force, Physical Security Program*

AFI 31-401, *Information Security Program*

AFI 33-360V1, *Publications Management Program*

AFI 36-3022, *Transition Assistance Program*

AFI 36-3107, *Voting Assistance Programs*

AFI 90-201, *Inspector General Activities*

AFI 90-301, *Inspector General Complaints*

AFMAN 36-2105, *Officer Classification*

AFMAN 36-2108, *Enlisted Classification*

AFMAN 37-139, *Record Disposition Schedule*

AMCI 90-201, *The Inspection System*

ANGI 14-101, *Inspector General Intelligence Oversight Procedures*

ANGI 36-7, *Air National Guard Military Equal Opportunity Program*

ANGI 36-2109, *The Command Chief Master Sergeant Program*

ANGI 38-101, *ANG State Headquarters Manpower/Organization Guide*

ANGI 40-102, *State Air Surgeon*

ANGI 90-202, *ANG Compliance and Standardization Requirements List (C&SRL) Program*

ANGI 90-203, *ANG Gatekeeper Program*

ANGMD 38-01, *State Air National Guard Headquarters*

NGR 130-6/ANGI 11-02, *United States Property and Fiscal Officer Appointment, Duties and Responsibilities*

NI 90-3, *Evaluation of Air Defense Forces*

UFC 4-010-01, *DoD Minimum Antiterrorism Standard for Buildings*

Abbreviations and Acronyms

AATC—Air National Guard Air Force Reserve Test Center

ACC—Air Combat Command

ACE—Air Command Element

ACG—Air Control Group

ACS—Air Control Squadron

ADCON—Administrative Control

AEF—Air and Space Expeditionary Force

AF—Air Force

AFAA—Air Force Audit Agency

AFCON—Air Force Controlled

AFE—Alert Force Evaluation

AFIA—Air Force Inspection Agency

AFMIA—Air Force Manpower and Innovation Agency

AFMS—Air Force Medical Service

AFOSH—Air Force Occupational Safety and Health

AFPD—Air Force Policy Directive

AFPSC—AF Space Command

AFSC—Air Force Specialty Code

AFSPC—Air Force Space Command

AFWUS—Air Force Worldwide Unit Type Code Summary

AG—Adjutant General

AGR—Active Guard/Reserve

AMC—Air Mobility Command

ANG—Air National Guard

ANGRC—Air National Guard Readiness Center

ANGUS—Air National Guard of the United States

ARNG—Army National Guard

ASEV—Aircrew Standardization Evaluation Visit

AT—Annual Training

ATC—Air Traffic Control

ATCALs—Air Traffic Control and Landing Systems

ATSEP—Air Traffic System Evaluations Program

ATSO—Ability to Survive and Operate

C&SRL—Compliance & Standardization Requirements Listing

CBO—Congressional Budget Office

CBRN—Chemical, Biological, Radiological, or Nuclear

CCCA—Common Core Compliance Areas

CCRC—Common Core Readiness Criteria

CI—Compliance Inspection

CNGB—Chief, National Guard Bureau

CSAF—Chief of Staff, United States Air Force

DOC—Designed Operational Capability

DoD—Department of Defense

DRU—Direct Reporting Unit

DSP—Defense Support Program

EAL—Entry Authorization Listing

EET—Exercise Evaluation Team

EORI—Expeditionary Operational Readiness Inspection

ESOH CAMP—Environmental, Safety, Occupational Health Compliance Assessment Management Program

FAM—Functional Area Manager

FOA—Field Operating Agency

FOB—Forward Operating Base

FOUO—For Official Use Only

FRA—Fraud, Waste and Abuse

FRI—Federal Recognition Inspection
FSTR—Full Spectrum Threat Response
FWA—Fraud, Waste and Abuse
GAO—Government Audit Organization
GSU—Geographically Separated Unit
HSI—Health Services Inspection
HQ—Headquarters
IAW—In Accordance With
IMT—Information Management Tool
INFOCON—Information Conditions
IG—Inspector General
IR—Initial Response
IOC—Initial Operational Capability
IWO—Information Warfare Organization
LIMFAC—Limiting Factor
MAJCOM—Major Command
MDS—Model Design Series
METL—Mission Essential Task List
MILCON—Military Construction
MPA—Military Personnel Appropriation
MPF—Military Personnel Flight
MSEP—Maintenance Standardization Evaluation Program
MSET—Maintenance Standardization Evaluation Team
NAF—Numbered Air Force
NI—NORAD Instruction
NGB—National Guard Bureau
NLT—No Later Than
NOE—NORAD Operational Evaluation
NORAD—North American Aerospace Defense Command
NSI—Nuclear Surety Inspections
OCR—Office of Collateral Responsibility
OL—Operating Location

OPCON—Operational Control
OPLAN—Operation Plan
OPR—Office of Primary Responsibility
ORI—Operational Readiness Inspection
ORM—Operational Risk Management
OSHA—Occupational Safety and Health
PACAF—Pacific Air Forces
PAS—Personal Accounting System
POC —Point of Contact
PRD—Performance Requirements Document
PWS—Performance Work Statement
SABC—Self-Aid and Buddy Care
SAF—Secretary of the Air Force (as part of the Air Staff)
SBIRS—Space Based Infrared System
SECAF—Secretary of the Air Force
SET—Standardization Evaluation Team
SII—Special Interest Item
SORTS—Status of Resources and Training System
SSN—Social Security Number
Stan/Eval—Standardization/Evaluation
TAG—The Adjutant General
TDY—Temporary Duty
TEC—Training and Education Center
UFC—Unified Facilities Criteria
UIF—Unfavorable Information File
UMD—Unit Manning Document
USERRA—Uniformed Services Employment and Reemployment Rights Act
USAF—United States Air Force
USC—United States Code
UTA—Unit Training Assembly
UTC—Unit Type Code
USP&FO—United States Property and Fiscal Officer

WG—Wing

WSI—Weapons Safety Inspection

Terms

Activate—To bring into physical existence a unit or detachment allocated to a State and previously constituted and allotted to the NGB by authority of the SAC or designated by the NGB.

Activation—encompasses all the activities necessary for the orderly transition of National Guard forces from peacetime to a wartime posture.

Air Force Controlled (AFCON) unit—A unit for which the legal authority is controlled by Headquarters USAF.

Allocate—The action taken by the NGB to place a unit under the control of a State.

Allot—To assign the control of a previously constituted unit from Headquarters Air Force, Directorate of Manpower and Organization (HQ USAF/MPM) to the NGB, as authorized by the SECAF.

Answerable Finding—A significant deficiency that requires specific answers to the MAJCOM/IG on action taken to correct the deficiency.

Assess—To appraise or evaluate particularly in an independent evaluation of the efficiency or effectiveness of a policy, process, or outcome by an organization that did not develop the policy or process.

Best Practice—A superior method or innovative practice that contributes significantly to improved performance of a process.

Combined Inspection—The combination of more than one type of inspection into one IG visit.

Common Core Compliance Area (CCCA)—Key processes, procedures, or requirements based on by-law requirements, executive orders, DoD directives, Air Force, MAJCOM, or applicable Air National Guard instructions.

Common Core Readiness Criteria (CCRC)—Criteria that establish an Air Force-wide common readiness standard for evaluation of like units or organizations.

Complaint—An allegation or set of allegations that asserts a wrong or violations of law, regulations, instruction, policy, procedures or rules, or reports conditions detrimental to the operation, mission or reputation of the Air Force.

Compliance Inspections (CI)—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.

Constitute—The legal authority for a new unit designation and listing of by HQ USAF (MPM) {from 26-2 1982)

Designation—To give an official name or name and number to a unit or a detachment.

Direct Reporting Unit (DRU)—A subdivision of the Air Force, directly subordinate to the Chief of Staff, US Air Force. A DRU performs a mission that does not fit into any of the MAJCOMs. A DRU has many of the same administrative and organizational responsibilities of a MAJCOM. The I. G. Brown ANG Training and Education Center (TEC) is considered a DRU.

Designed Operational Capability (DOC)—A summary of a unit's mission and resources for which it has been organized, designed, and equipped.

Eagle Look (Management Review)—An independent and objective management review conducted by AFIA of key Air Force-wide processes requested by senior leadership. Each Eagle Look normally culminates with a written report and executive briefing which includes recommendations, results and follow-up intended to improve operations, support and acquisition functions. Eagle Look topics are provided and sponsored by Air Force senior leadership yet can be submitted by any Air Force member. Topics related to readiness issues take priority over other topics. Program deficiencies are identified in Eagle Look findings. Follow-up is conducted based on mutual agreement between AFIA and the Air Staff/major command process owner. The goal of follow-up is to ensure positive change for the Air Force.

Excellent—The grade given to indicate performance or operation exceeds mission requirements. Procedures and activities are carried out in a superior manner. Resources and programs are very efficiently managed and relatively free of deficiencies.

Federal Recognition—The action, by the SECAF, that confirms that a unit (the organized militia of a State) meets the qualifications prescribed for the organization and composition of the ANG. Federal Recognition may be officially extended by the Chief, NGB (CNGB), under authority from the Secretary of the Air Force.

Field Operating Agency (FOA)—A subdivision of the Air Force, directly subordinate to a Headquarters US Air Force functional manager. An FOA performs field activities beyond the scope of any of the Major Commands (or subordinate units). The activities are specialized or associated with an Air Force-wide mission and do not include functions performed in management headquarters unless specifically directed by a DoD authority. The Air National Guard Readiness Center (ANGRC) is considered a FOA.

Finding—Major performance or compliance deficiencies in a core process

Fraud—Any intentional deception designed to unlawfully deprive the Air Force of something of value or to secure from the Air Force for an individual a benefit, privilege, allowance or consideration to which he or she is not entitled.

Fraud, Waste and Abuse (FWA) Item—An actual or potential fraudulent, wasteful, or abusive practice involving government resources (funds, property, material, personnel, etc.) as defined in AFI 90-301.

Health Services Inspection (HSI)—An assessment of the ability of a medical unit to fulfill its peacetime and wartime missions, including evaluation of medical care, and the effectiveness and efficiency of medical management. Criteria for HSIs are derived from health care policies of the Office of the Assistant Secretary of Defense for Health Affairs, the Air Force Surgeon General and various civilian medical oversight agencies. Ratings are based on a medical unit's leadership and management, health care delivery, resources and readiness.

Inspection—An inspection is an official examination of a unit's mission capabilities, programs and functional area support, measured against a defined standard by an external person or a group designated by the Inspector General for that purpose.

Investigation—A duly authorized, systematic, and detailed examination to uncover the facts and determine the truth of a matter. IG investigations are administrative in nature. They are fact-finding rather than judicial proceedings. They are not criminal proceedings in which proof beyond a reasonable doubt is required. Rather, the standard of proof that applies is proof by a preponderance of evidence.

Major Deficiency—Any deficiency that requires immediate, answerable action by the unit or higher agency to prevent an unreliable weapon, or unsafe or insecure environment. The deficiency may cause a unit to be rated “Unsatisfactory” in one or more inspection areas not defined as critical under overall unit pass/fail criteria.

Marginal—The grade given to indicate performance or operation does not meet some mission requirements. Procedures and activities are not carried out in an efficient manner. Resources and programs are not efficiently managed. Deficiencies exist that impede or limit mission accomplishment.

Mission Essential Task List (METL)—A collective task in which an organization has to be proficient to accomplish an appropriate portion of its mission.

Minimum Notice—Inspection notice given to a unit prior to the inspection; should be the minimum necessary for scheduling and practical preparation time.

Mobilization—Encompasses all the activities necessary for the orderly transition of National Guard forces from peacetime to a wartime posture.

Nonanswerable Finding—A significant deficiency that is corrected prior to or during the inspection or which does not require tracking by the MAJCOM/IG.

Operating Location (OL)—A portion of a unit geographically separated from the parent unit but not of itself an organization or detachment; or a portion of a unit administratively defined for manpower accounting purposes.

Operational Readiness Inspection (ORI)—An evaluation of operational readiness or ability to conduct combat operations in wartime for any unit with a wartime mission. The unit is evaluated on how well it can respond, employ forces, provide mission support, and survive and operate in a combat environment.

Outstanding—The grade given to indicate performance or operation far exceeds mission requirements. Procedures and activities are carried out in a far superior manner. Resources and programs are very efficiently managed and are of exceptional merit. Minimal deficiencies exist.

Oversight—The watchful management or supervision of the implementation of policy performed by the agency responsible for development of that policy.

Rating Systems—A five-tier rating system consists of the grades Outstanding, Excellent, Satisfactory, Marginal and Unsatisfactory. Where applicable, a simplified tier system, such as combat ready/not combat ready, mission ready/not mission ready, in compliance/not in compliance, pass/fail, satisfactory/unsatisfactory, etc. or any of the above with comment as a third tier may be used.

Readiness—The ability of US military forces to fight and meet the demands of the national military strategy. Readiness is the synthesis of two distinct but interrelated levels:

- a. **Unit Readiness.** The ability to provide capabilities required by the combatant commanders to execute their assigned missions. This is derived from the ability of each unit to deliver the outputs for which it was designed.
- b. **Joint Readiness.** The combatant commander’s ability to integrate and synchronize ready combat and support forces to execute his assigned missions.

Recommended Improvement Area—Any deficiency that does not meet the criteria for a critical or major deficiency.

Repeat Finding—A finding reported in the unit’s previous IG inspection report or a recent audit agency

report that exists during the current inspection. Repeat findings are normally answerable findings.

Resource Availability—Includes personnel, equipment, or authorized repair parts. Failure results from shortages within the unit's control, preventing required nuclear weapon technical operations.

Safety, Fire, or Health Item—This draws special attention to deficient safety, fire, or health conditions, procedures, or practices that may create a potential for producing death, injury, occupational illness, or equipment or property damage, including noncompliance with Occupational Safety and Health (OSHA) requirements and Air Force Occupational Safety and Health (AFOSH) requirements. Unless exceptional mitigating circumstances exist, these items are answerable findings. In wing or equivalent reports, safety, fire, or health items are documented in the commander or functional agency support portion of the report with cross-references to the appropriate findings in the functional area portion of the report.

Satisfactory—The grade given to indicate performance or operation meets mission requirements. Procedures and activities are carried out in an effective and competent manner. Resources and programs are efficiently managed. Minor deficiencies may exist but do not impede or limit mission accomplishment.

Self Inspection Program—The intent of a self inspection program is to provide commanders with a tool for internal assessment of unit health and to complement external inspections and assessments. Self-inspection programs should be tailored to each unit's structure and mission, and contain mechanisms to ensure adequate coverage of the organization's mission, resources, training and people programs. Mechanisms may consist of periodically administered checklists, quality control reviews, internal audits, functional inspections, management information systems, numerical summaries, analysis programs, etc.

Special Interest Items (SIIs)—The SII process provides a means to focus management attention, gather data or evaluate the status of specific programs and conditions in the field. It can also be used to determine the degree of compliance with directives, policies, and procedures; gather information on known or suspected problems; identify specific deficiencies; or to confirm a problem has been resolved. SIIs are evaluated by IG inspectors using inspection guides and grading criteria provided by the SII sponsoring agency. Functional staffs analyze feedback from SIIs to facilitate decision-making and policy adjustments. SAF/IG is the approval authority for Air Force SIIs. It determines the appropriateness of proposals and may direct assessment by means other than SII if deemed more appropriate. Proposed Air Force-wide SII topics may originate at any level, but are normally sponsored by a MAJCOM or HQ Deputy Chiefs of Staff. SIIs are normally rated using a simplified scale such as satisfactory/unsatisfactory. SIIs are normally considered either long-term or short-term. MAJCOMs may establish MAJCOM-specific SIIs for subordinate units. However, MAJCOM SIIs will not conflict with or supersede Air Force SIIs.

Tailored Inspection—An inspection where planned activities are reduced or omitted from the inspection plan to accommodate limiting factors.

Trusted Agent—A person or office to whom the IG has given information or with whom the IG has coordinated events, and trusts they will not pass the information on to the inspected units. The trusted agent represents the IG team during the planning/performance phase of an inspection. Due to his/her status as an IG team extension, the trusted agent may be called to act for the IG without their direct commander's knowledge. However, this will be limited to IG inspection directed events only. Their status for day-to-day work should not be influenced by this special status. Additionally, since manpower/experience in the field is a limited quantity, this person will not be restricted from their normal unit support functions. Should conflicts arise, the personnel selected to perform "Trusted Agent" duty should

use good judgment to separate these duties or ask for guidance from the appropriate authority.

Unsatisfactory—The grade given to indicate performance or operation does not meet mission requirements. Procedures and activities are not carried out in an adequate manner. Resources and programs are not adequately managed. Significant deficiencies exist that preclude or seriously limit mission accomplishment.