History. This publication is Supplement 1 to Army Regulation (AR) 1-201.

Summary. This supplement provides policy for U.S. Army Training and Doctrine Command (TRADOC) visits from headquarters staff, including inspection, audit, staff assistance, accreditation, and assessment activities. It does not replace but instead only supplements AR 1-201.

Applicability. This supplement applies to all TRADOC organizations and activities.

Supplementation statement. The U.S. Army Inspector General, SAIG-TR, 1700 Army Pentagon, Washington DC 20310-1700, approved this supplement to AR 1-201 on 18 December 2018. The proponent of this supplement is the TRADOC Deputy Chief of Staff, Quality Assurance Office (QAO). Further supplementation is not permitted without prior approval of the Commanding General.

Suggested improvements. Send comments and suggested improvements on Department of the Army (DA) Form 2028 (Recommended Changes to Publications and Blank Forms), to TRADOC QAO, ATCS-Q, Building 705, 705 Washington Boulevard, Fort Eustis, VA 23604.

*This supplement supersedes TRADOC Supplement 1 to AR 1-201, dated 25 June 2015.
Distribution. This supplement is available in electronic media only and is published on the TRADOC Administrative Publications website (https://adminpubs.tradoc.army.mil).

Supplement Army Regulation 1-201, as follows-

After paragraph 1-4d(14)(g), add subparagraphs (1) through (5) as follows:

“(1) All inspectors must be appropriately trained and knowledgeable on related past inspections, reference materials, and changes to regulations prior to executing any inspections. As subject matter experts (SME), inspectors must know the most current policy. Strong instructor/trainer skills are paramount for inspectors.

(2) A trained inspector includes having a comprehensive understanding of inspection principles in accordance with AR 1-201 and this supplement. Inspectors must also possess the expertise in the functional areas they are inspecting. Inspectors must be able to teach and train the inspected unit to correct any deficiency identified.

(3) Inspectors will provide units with detailed findings in their final report.

(4) Inspectors or appointed leads will participate in the Organizational Inspection Program (OIP) quarterly working group.

(5) Inspectors will coordinate/confirm details with Direct Reporting Units (DRUs), US Army Recruiting Command (USAREC), US Army Cadet Command (USACC), and Centers of Excellence (CoEs) for support required to conduct specified inspections.”

Add new subparagraphs 1-4d(15) through 1-4d(20) and their sub-items as follows:

“(15) TRADOC Deputy Chief of Staff (DCS), G-3/5/7.

(a) Approves Quality Assurance Office (QAO) nominations for OIP events to the TRADOC Enterprise Calendar (TEC).

(b) Provides guidance to staff/functional elements, subordinate commanders, and external agencies for de-conflicting and rescheduling inspections that disrupt missions.

(c) Participates in quarterly OIP work groups.

(16) TRADOC OIP Coordinator.

(a) The Director, TRADOC QAO is the TRADOC OIP Coordinator.

(b) Serves as the central POC for the TRADOC OIP as required in AR 1-201, paragraph 1-4d(3).
(c) Publishes OIP guidance, as required, and includes information in the Command Training Guidance each year.

(d) Publishes the OIP schedule annually no later than 1 July for subsequent years.

(e) Reports and coordinates proposed changes to the TEC with DCS, G-3/5/7.

(f) Responsible for all synchronization of inspections, staff assistance visits (SAVs), assistance visits (AVs), audits (only audit dates/sites provided), and accreditations. Ensures all are reflected on the TEC.

(g) Responsible to coordinate and appropriately consolidate inspections to reduce disruption and requirements on inspected units.

(h) Ensures all inspections are in accordance with AR 1-201.

(i) Responsible for coordinating and spearheading staff management of the OIP through quarterly OIP work groups.

(j) Chairs quarterly OIP working groups and updates the command group, as needed.

(k) Chairs quarterly meeting with OIP coordinators at DRUs and CoEs.

(l) Appoints a lead for all inspections involving any staff directorates or agencies.

(m) Resolves conflicts between inspection leads.

(n) Responsible for updates and revisions to the Staff Elements Inspections Chart within TRADOC Supplement 1 to AR 1-201 (see paragraph 3-4).

(o) Coordinates all TRADOC accreditations and ensures a separate and distinct process between Army accreditations and TRADOC OIP inspections.

(p) Manages, updates, and maintains the TRADOC OIP Enterprise Synchronization Tool.

(q) Schedules and coordinates initial command inspections at the center level for DRUs and CoEs.

(17) TRADOC directors.

(a) Appoint directorate leads for all inspections.

(b) Designate POCs for assigned directorate or agency in support of the TRADOC OIP.

(c) Disseminate OIP guidance, as required, and ensure all inspections are coordinated with
the TRADOC OIP Coordinator or designated representative and posted to the TEC and
TRADOC OIP Enterprise Synchronization Tool.

(d) Ensure all inspectors are properly trained.

(e) Direct and manage execution of inspections and use the OIP Guide for Commanders in
Appendix D to determine the root cause of problems.

(f) Ensure that directorate inspection leads provide results to inspected units and senior
leaders. Ensure leaders understand and have the opportunity to respond to the inspection
findings, that corrective action is understood, and that the office or person responsible for the
corrective action is identified.

(g) Review/track each inspection deficiency and schedule follow-up inspections, as
required.

(h) Participate in quarterly OIP work groups.

(18) TRADOC IG.

(a) Advises QAO, DCS, and G-3/5/7, on OIP policy and effectiveness.

(b) Conducts IG inspections in accordance with AR 1-201 and AR 20-1.

(c) Conducts inspection training as requested by the commander and staff agencies.

(d) Participates in quarterly OIP work groups.

(e) Develops an annual IG inspection plan for the Commanding General’s (CG’s)
approval with coordination through the TRADOC OIP Coordinator.

(f) Submits inspection dates to the TRADOC OIP Coordinator and annotates them on the
TEC and the TRADOC OIP Enterprise Synchronization Tool.

(19) Subordinate Commanders.

(a) Develop and implement an OIP in accordance with AR 1-201 and this supplement.

(b) Ensure each unit or activity, down to battalion or battalion equivalent, has an OIP.

(c) Ensure battalion and above organizations receive initial command inspections (ICIs)
with reports. The ICI must be conducted within 90 days of assuming command. Provide final
ICI reports to the TRADOC OIP Coordinator.

(d) Apply the time management cycle outlined in ADP 7-0 to plan inspections and allow
adequate time to perform corrective actions and follow-up inspections.
(e) Request through DCS, QAO, and G-3/5/7, inspections or AVs that cannot be satisfactorily met by using internal assets or expertise in support of the local commander’s OIP. When applicable, coordinate closely with Installation Management Command for inspections and staff or technical assistance activities involving Garrison activities.

(20) TRADOC OIP work group. The OIP work group is comprised of representatives from the HQ TRADOC staff with designated responsibilities in elements of the OIP. See appendix E-1 for details on inspections. Members of the OIP work group are required to:

(a) Meet quarterly to update/de-conflict all inspections under the purview of the TRADOC OIP Coordinator and submit to the QAO and DCS, G-3/5/7 for posting to the TEC. When possible, schedule inspections together to minimize the disruption at centers and schools.

(b) Brief the TRADOC OIP Coordinator and OIP work group on changes to inspection schedule and issues that may impact other team inspections.

(c) Submit the following information for planned inspections to ensure required details are tracked by the QAO on the TEC and TRADOC OIP Enterprise Synchronization Tool:
- inspection name;
- requested date(s);
- requesting agency, regulation or authority requiring the inspection;
- purpose of inspection/visit;
- frequency required;
- location inspected/visited;
- inspection lead;
- agency inspected/visited;
- and objectives of inspection/visit.

(d) Immediately submit unscheduled inspections to the TRADOC OIP Coordinator, followed by submissions during the quarterly work group. The information required to notify the TRADOC OIP Coordinator of unscheduled inspections is the same as if submitting a planned inspection to the TRADOC OIP Enterprise Synchronization Tool.

(e) Post all inspections to the TRADOC OIP Enterprise Synchronization Tool.”

Add new paragraph 1-5 and its subparagraphs 1-5a and 1-5b as follows:

“1-5. Records management requirements

a. Records management requirements for all record numbers (RNs), associated forms, and reports required by this regulation are included in the Army’s Records Retention Schedule-Army (RRS-A). Detailed information for all RNs, forms, and reports associated with this regulation is located in the RRS-A at https://www.arims.army.mil.

b. School accreditation records will be maintained under ARIMS record number 351i, school accreditations, documents about Army Service Schools adhering to standards set by accreditation boards to ensure that courses completed in service schools are accepted for credits in civilian colleges and schools. Included are documents about classroom and laboratory hours, instructor qualifications, job placement and follow-up program, library facilities, self-studies and reviews, and related documents. KE5. Event is after review by the accreditation board. Keep in CFA until event occurs, then destroy 5 years after the event.”
After subparagraph 3-2i, add subparagraphs 3-2j through 3-2q and figure 3-1 as follows:

“j. Three major purposes of the OIP are to reinforce established inspection standards, teach and train those individuals and units found to be deficient, and reduce the disruption of training and other important activities.

k. HQ TRADOC inspections should focus on ensuring that current policies provide the guidance and support necessary for subordinate commands and activities to execute the mission and assigned tasks.

m. CoE and learning institution accreditations are not inspections but may be aligned with staff inspections to the greatest extent possible and are supportive of the OIP concept to reduce disruption to training and operational tempo. Army accreditation (in accordance with AR 350-1) is a quality assurance program function that helps to assure the command that the CoE or learning institution’s doctrine, organization, training, materiel, leadership and education, personnel, facilities, and policy (DOTMLPF-P) domains enable the institution to develop Soldiers and leaders with the competency
needs of today’s Army and Operating Force. It is a forcing function that focuses the commander’s attention on the state of the institution’s programs and processes across its DOTMLPF-P domains against TRADOC-approved Army Enterprise Accreditation Standards (AEAS).

n. IG Assistance Visits and SAVs are not inspections. In accordance with AR 20-1, paragraph 6-5a, AVs may be conducted to subordinate commands to evaluate the assistance function locally; identify or prevent problems with DA or local policies; provide assistance to Soldiers, Family members, and DA civilians; assist subordinate IGs and the chain of command; and assess the morale of the command. SAVs are conducted by command IGs of higher echelon IG staff on lower echelon IG staff sections to review their processes in conducting the four IG functions and to identify areas to sustain and improve.

   o. External inspections/audits. These inspections or audits are normally conducted by DA or DOD organizations.

   p. Audits, defined as an independent appraisal activity within the Army for the review of financial, accounting, and other operations as a basis for protective and constructive service to command and management at all levels, are a key component of the OIP. An audit might be used to support any type of inspection or may stand alone.

   q. Other inspections and reviews conducted include inspections conducted by coordinating and special staffs or special inspections requested by the TRADOC CG.”

Append the following to subparagraph 3-3c(1): “Command inspections are focused on commander’s teaching and training subordinate commanders on command standards.”

After subparagraph 3-4d, add subparagraph 3-4e and Table 3-1 as follows:

   “3-4e. The chart published below lists all planned TRADOC inspections by HQ TRADOC staff leads, inspection, and frequency. See appendix E-1 for a brief description of each inspection.”

Table 3-1. Planned TRADOC inspections

<table>
<thead>
<tr>
<th>Responsible Staff</th>
<th>Inspections/Visits, Accreditations, Audits and Reviews Frequency</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Command Inspections</td>
<td>Initial Command Inspections</td>
<td>Within 90 days of assuming Command</td>
</tr>
</tbody>
</table>
Table 3-1. Planned TRADOC inspections, continued

<table>
<thead>
<tr>
<th>Responsible Staff</th>
<th>Inspections/Visits, Accreditations, Audits and Reviews</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staff Inspections/Visits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>G-1/4</td>
<td>Civilian Personnel Program Inspections</td>
<td>Periodic</td>
</tr>
<tr>
<td></td>
<td>Command Supply Discipline Program</td>
<td>No later than every 24</td>
</tr>
<tr>
<td></td>
<td>Staff Assistance Visits</td>
<td>As needed</td>
</tr>
<tr>
<td></td>
<td>Army Retention Program</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>Staff Accreditation Standard</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>(CG, CIMT) Staff Assistance Visits</td>
<td>Per CG, CIMT’s request</td>
</tr>
<tr>
<td>G-2</td>
<td>Sensitive Compartmented Information Facility (SCIF)</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>Personnel Security Program Inspections</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>Information Security Program Inspections</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>NATO Control Point Inspections</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>OPFOR/OE Accreditations</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>Industrial Security</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>Staff Accreditation Standard</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>Staff Assistance Visits</td>
<td>Per Request</td>
</tr>
<tr>
<td>G-3/5/7</td>
<td>Protection (antiterrorism, CIRM, COOP, EM, IA, Operations Security (OPSEC), and physical security) Staff Inspections</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>MWD Program Staff Inspection</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>Staff Accreditation Standards (ATED, Library, Resource Management)</td>
<td>Triennial</td>
</tr>
<tr>
<td>G-6</td>
<td>Higher Headquarters Assessment w/G-3/5/7 (IT/IM), Records Management</td>
<td>Triennial</td>
</tr>
<tr>
<td>G-8</td>
<td>Resource Management Assistance Visits</td>
<td>As required</td>
</tr>
<tr>
<td><strong>Personal Staff:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chaplain</td>
<td>Staff Assistance Visits</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>CG, CIMT Staff Assistance Visits</td>
<td>Per CG, CIMT’s request</td>
</tr>
<tr>
<td>IG</td>
<td>IG Inspections</td>
<td>Annually</td>
</tr>
<tr>
<td></td>
<td>Intelligence Oversight</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>Special Interest Items Inspections</td>
<td>As required</td>
</tr>
<tr>
<td></td>
<td>Assistance Visits</td>
<td>Biennial</td>
</tr>
<tr>
<td>Staff Judge Advocate (SJA)</td>
<td>SJA Inspections</td>
<td>As determined by the SJA</td>
</tr>
<tr>
<td><strong>Special Staff:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CKO</td>
<td>Staff Accreditation Standard (KM)</td>
<td>Triennial</td>
</tr>
<tr>
<td>Command Diversity Office</td>
<td>Equal Employment Opportunity (EEO) Staff Assistance Visits</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>EEO Out-of-Cycle Staff Assistance Visits</td>
<td>As required</td>
</tr>
<tr>
<td></td>
<td>SHARP</td>
<td>As required</td>
</tr>
<tr>
<td></td>
<td>Equal Opportunity (EO) Staff Assistance Visits</td>
<td>Annually</td>
</tr>
<tr>
<td>Historian</td>
<td>Command Historian Certification Visits</td>
<td>Periodic; ad hoc basis</td>
</tr>
<tr>
<td></td>
<td>Museums Inspections</td>
<td>Triennial</td>
</tr>
</tbody>
</table>
Table 3-1. Planned TRADOC inspections, continued

<table>
<thead>
<tr>
<th>Responsible Staff</th>
<th>Inspections/Visits, Accreditations, Audits and Reviews</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Review and Audit Compliance</td>
<td>Site Visits for Internal Audits</td>
<td>Review dependent</td>
</tr>
<tr>
<td>(IRAC)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>QAO</td>
<td>Combat Training Center Program Accreditation Visits</td>
<td>Biennial</td>
</tr>
<tr>
<td></td>
<td>TRADOC accreditation visits to TRADOC</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Centers/Schools, NCO Academies, USAR/ARNG</td>
<td></td>
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<tr>
<td></td>
<td>units, and non- TRADOC Schools</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Initial Command Inspections</td>
<td>As Required</td>
</tr>
<tr>
<td>Safety</td>
<td>Command Safety Program Inspections</td>
<td>Every 36 months</td>
</tr>
<tr>
<td></td>
<td>Aviation Readiness and Resource Management</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>Staff Accreditation Standard (Safety)</td>
<td>Triennial</td>
</tr>
<tr>
<td></td>
<td>CG, CIMT Staff Assistance Visits</td>
<td>Per CG, CIMT’s request</td>
</tr>
<tr>
<td>Surgeon</td>
<td>CG, CIMT Staff Assistance Visits</td>
<td>Per CG, CIMT’s request</td>
</tr>
<tr>
<td>Other Inspections/Visits:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CG, CIMT</td>
<td>CG, CIMT Staff Assistance Visits</td>
<td>Every 18 months (Army Training Center); Every 24 months (AIT)</td>
</tr>
</tbody>
</table>

In Appendix A, References, Section II, Related Publications, add:

DoD 5105.21-M-1
Department of Defense Sensitive Compartmented Information Administrative Security Manual

DOD 5200.01
Volumes 1-4, DOD Information Security Program

DoD 5500.7-R
Joint Ethics Regulation

AR 11-7
Army Internal Review Program

AR 20-1
Inspector General Activities and Procedures

AR 27-1
Legal Services, Judge Advocate Legal Services

AR 27-10
Military Justice
TRADOC Supplement 1 to AR 1-201

AR 27-20
Claims

AR 27-40
Litigation

AR 30-22
Army Food Program

AR 40-5
Preventive Medicine

AR 40-68
Clinical Quality Management

AR 40-501
Standards of Medical Fitness

AR 40-562
Immunizations and Chemoprophylaxis for the Prevention of Infectious Disease

AR 165-1
Army Chaplain Corps Activities

AR 190-12
Military Working Dogs

AR 220-90
Army Bands

AR 350-1
Army Training and Leader Development

AR 350-2
Operational Environment and Opposing Force Program

AR 350-3
Tactical Intelligence Readiness Training Program

AR 350-16
Total Army Language Program

AR 380-5
Department of the Army Information Security Program
AR 380-28
Department of the Army Special Security System (U)

AR 380-49
Industrial Security Program

AR 380-67
Personnel Security Program

AR 381-10
US Army Intelligence Activities

AR 385-10
The Army Safety Program

AR 530-1
Operation Security (OPSEC)

AR 600-20
Army Command Policy

AR 600-63
Army Health Promotion

AR 601-280
Army Retention Program

AR 612-201
Initial Entry/Prior Service Trainee Support

AR 690-12
Equal Employment Opportunity and Diversity

AR 690-600
Equal Employment Opportunity Discrimination Complaints

AR 710-2
Supply Policy Below the National Level

AR 870-5
Military History: Responsibilities Policies and Procedures

DA PAM 600-26
Department of the Army Affirmative Action Plan
TRADOC Supplement 1 to AR 1-201

TRADOC Regulation (TR) 10-5
U.S. Army Training and Doctrine Command

TR 10-5-1
Headquarters, U.S. Army Training and Doctrine Command

TR 10-5-8
United States Army Center for Initial Military Training

TR 1-11
Staff Procedures

TR 11-21
Implementation of the Army Quality Assurance Program

TR 350-6
Enlisted Initial Entry Training Policies and Administration

TR 350-36
Basic Officer Leader Training Policies and Administration

TR 385-2
U.S. Army Training and Doctrine Command Safety and Occupational Health Program

TR 600-11
Equal Opportunity Action Plan

TR 870-1
United States Army Training and Doctrine Command History and Heritage Program

TRADOC Memorandum 36-2
Staff Procedures for Audits Conducted by External Audit Agencies

FM 10-23
Basic Doctrine for Army Field Feeding and Class I Operations Management

FM 10-23-2
Tactics, Techniques, and Procedures for Garrison Food Preparation and Class I Operations Management


MD 715 Equal Employment Opportunity Commission (EEOC) Reporting Requirements for Federal Agencies
After Appendix C, add the following Appendices:

**Appendix D**  
**Root Cause Analysis Model**  

**D-1. Purpose**  
The purpose of this section is to discuss and describe the Root Cause Analysis Model.

**D-2. Root Cause**  
The root cause is the underlying reason why something happens or does not happen. An inspector can apply the Root Cause Analysis Model to any inspection category or type in an effort to determine why someone is complying -- or failing to comply -- with a particular standard. Inspectors should use the model not just to seek reasons for noncompliance, but also to determine why something is going well. The inspector may find some good news that is worth spreading around.

**D-3. Two Forms of Root Causes**  
An inspector will normally encounter two basic forms of root causes: Systemic Root Causes and Local Root Causes. Every problem has a root cause, but some root causes present a larger pattern, while others are more localized.

   a. Systemic root causes. When a problem is widespread and presents a pattern, the problem is likely to be systemic in nature. An inspector can often trace a systemic problem back to a regulation, policy, or standard that is confusing, overly ambitious, or in conflict with another standard. The proponents of these regulations, policies, or standards are the best ones to fix the problem. IGs normally seek systemic root causes when conducting special inspections.

   b. Local root causes. When a problem is not widespread and does not present a pattern, the problem is likely to be local in nature. Local problems affect only one unit or a small group of individuals. The solution to the problem usually rests within that unit or group. Local root causes are often associated with a particular person's decisions, demeanor, or statements.

**D-4. The Root Cause Analysis Model**  
The Root Cause Analysis Model represents an intellectual guide -- or framework -- that helps an inspector think through all of the reasons why something is happening or not happening. The model simply helps to structure the analytical process of determining what went right or wrong by posing a series of questions to the inspector in a particular form and sequence. The model is depicted at figure D-1.
D-5. Using the Model

The Root Cause Analysis Model has three major headings: Don't Know, Can't Comply, and Won't Comply. Each heading includes three categories that the inspector can pose as questions. The inspector should start with the heading Don't Know and then ask questions one through three in sequence. For example, under the heading Don't Know, the inspector should ask, "Did the person or unit ever know about the requirement?" The information that the inspector gathered from interviews, sensing sessions, observations, and document reviews should lead him or her to a particular answer. The inspector should not stop upon finding an answer to a question. More than one reason may exist for compliance or noncompliance, so the inspector should follow the model all the way through.

a. Don't Know.

(1) Never knew. Did the person or unit ever know about the requirement? A positive answer to this question usually means that some organization at some echelon failed to get the information down to the required level.

(2) Forgot. Did the person or unit forget about the requirement? A positive answer to this question usually suggests a local -- or personal -- problem and not a systemic problem.

(3) Task implied. Was the task implied but the unit or person lacked the knowledge or experience to recognize the requirement? In organizations whose members are highly experienced identifying and accomplishing implied tasks is second nature. But in organizations that suffer from rapid turnover and varying levels of experience, the leadership should compensate by providing more explicit guidance.

b. Can't Comply.

(1) Scarce resources. Did the person or unit have the resources to accomplish the requirement? Many units often lack the resources to accomplish many of their assigned missions. The scarcest resources tend to be time and money. Part of the problem may be a
A conscious decision that a leader made concerning priorities. Before an inspector challenges a unit's priorities, the inspector must view and understand the bigger picture. The priorities the leader selected may be the right ones, but that fact does not mean that the inspector cannot question the decision.

(2) Don't know how. Did the person or unit know how to meet the requirement? A negative response to this question might suggest a lack of training or experience. The resources may be available, but the unit or person simply lacked the knowledge to perform the task -- even if the unit or person knew about the requirement.

(3) Impossibility. Was the requirement impossible for the unit or person to perform? A positive response to this question suggests that training, resources, and knowledge of the requirement were there, but the unit or person found the task impossible to accomplish. A number of potential reasons may surface. Perhaps the task was overly ambitious and incredibly difficult to perform under any circumstances.

c. Won't Comply.

(1) No reward. Would the person or unit be rewarded for completing the requirement? Some people consciously decide not to comply with requirements that do not benefit them or their unit -- or are simply "dumb" in their estimation. Some people simply avoid difficult tasks. A disciplinary penalty may be involved in decisions of this nature.

(2) No Penalty. Would the person or unit suffer a penalty by failing to complete the requirement? Some units or individuals choose not to comply with what they deem to be "unsavory" tasks because no one will punish them for their noncompliance. Some people focus only on what keeps them out of trouble. Once again, a disciplinary penalty may be involved in a decision of this nature.

(3) Disagree. Did the person or unit disagree with the requirement? In some rare instances, individuals refuse to comply with a requirement that they think is "dumb" or "stupid." Sometimes they are correct, and sometimes they are not. Once again, a disciplinary penalty may be involved.

D-6. Root Cause Analysis Model Flow Chart
The flow chart shown at figure D-2 offers a more visual representation of the root cause thought process.
Appendix E
Inspections by TRADOC Staff Elements

E-1. Purpose
The purpose of this section is to provide detailed information on the inspections conducted by TRADOC staff elements. All TRADOC staff elements will:

a. Plan, coordinate, and execute annual staff inspections for specified functional area(s), as required by AR 1-201, paragraph 3-4, and TRADOC operational requirements.

b. Coordinate with centers and schools for support required to conduct and confirm details of inspections.

c. Provide the TRADOC commander status and specific feedback on functional area programs and inspections throughout the command.

d. Designate an OIP lead to serve on the OIP work group, and coordinate, track, and report all functional areas and inspections. Submit the annual inspections to TRADOC OIP lead (TRADOC QAO) for scheduling.

e. Advise the TRADOC OIP Coordinator on potential inspection inefficiencies (that is,
unnecessary, redundant, or excessive frequency of inspections) and vulnerabilities for specified functional areas.

f. Conduct inspections and SAVs as required by operational requirements, regulations, and as directed by the CG, TRADOC. Follow methodology outlined in this supplement.

g. Annually provide the TRADOC OIP Coordinator a complete schedule of all functional area internal and external inspections no later than 1 April for the following FY.

h. Coordinate functional area inspections with like inspections from DA and DOD to complement subordinate functional area inspections, eliminate needless redundancy, and minimize disruption to subordinate commands. When feasible, combine inspections provided that the purpose and intent of the original inspections are not compromised.

i. Submit inspections not included in the annual submission, or any other changes to planned inspections, audits, and visits to the TRADOC OIP Coordinator no later than the 15th of each month to ensure TEC update the following month.

E-2. Personal staff

a. Chaplain. The Command Chaplain supports CG, U.S. Army Center for Initial Military Training (CIMT) SAVs. Once the assistance and assessment visit checks are complete, the Chaplain team assesses compliance of the Chaplaincy and Unit Ministry Team with AR 165-1 and TR 350-6.

b. Staff Judge Advocate (SJA). The SJA conducts inspections of TRADOC SJA offices as the SJA determines necessary and assesses the compliance with the standards and procedures.

c. IG.

(1) IG inspections examine and recommend solutions for problems that cannot be easily resolved at the center and school level. These inspections are focused on systemic issues that affect many units throughout the command. They seek reasons for deficiencies (the root cause), and teach system’s processes and procedures during the execution of the inspection. The final inspection report identifies responsible directorates or agencies for corrective actions, as well as recommendations to improve published polices. The TRADOC Secretary of the General Staff (SGS) tracks follow-up inspection actions resulting in command taskers.

(2) Conducts three types of inspections: general, special, and follow up.

(3) Conducts biennial AVs of TRADOC CoEs and command IG offices.

(4) Conducts inspections in accordance with FY plan and command-directed inspections.

(5) Conducts Intelligence Oversight inspections in accordance with AR 20-1, Section II, paragraph 5-3. This inspection reviews the provisions of AR 381-10 and the collection,
retention, and dissemination of information about citizens, employee conduct, and the identification, investigation, and reporting of questionable activities.

(6) Conducts biennial Federal Voting Assistance Program inspections in accordance with AR 608-20 and submit report annually to DAIG. The objective of the inspection is to determine the effectiveness of the TRADOC Federal Voting Assistance Program and compliance with regulatory guidance. Each center and school IG will manage the review for their command and return the results to the TRADOC IG office.

(7) Coordinates administrative support for the DA and DOD IG inspections.

d. TRADOC Band Commander. As requested, assist the Army School of Music with inspections that assess TRADOC bands on the quality of musical training; technical proficiency; adequacy of equipment, personnel manning, and facilities; effectiveness of command and control; and utilization of the band in tactical environments, in accordance with AR 220-90.

E-3. Special staff

a. Internal Review and Audit Compliance (IRAC) Office. IRAC serves as the TRADOC CG’s principal advisor on all audit matters and supports the OIP by:

(1) Serving as the TRADOC CG’s principal officer for liaison with external audit organizations including Government Accountability Office, DODIG, and U.S. Army Audit Agency. IRAC's role includes helping external auditors schedule their visits, guiding command activities through the audit process, and mediating resolution of disagreements between command and external auditors relative to audit results, as needed. Staff procedures for audits conducted by external audit agencies are covered by TRADOC Memorandum 36-2.

(2) Sharing the results of external audits across the command to influence planning of the OIP at all levels.

(3) Developing and executing an annual internal review audit plan approved by the Deputy Commanding General (DCG), TRADOC, to support TRADOC leadership and organizations in improving accountability and compliance in the execution of their missions. The internal audits in this plan are usually nonrecurring and requested by a leader to address a known or suspected problem. Policy and procedures for the internal review program are covered in AR 11-7.

(4) Providing a copy of the annual internal review audit plan to the OIP coordinator, as well as the results of any internal reviews that may have an impact on planned or ongoing inspections.

(5) Reviewing the TEC before scheduling internal review and external audit visits for coordination of scheduling and inputting these visits in TRADOC Staff Calendar.

(6) Additionally, IRAC manages its own internal quality control program based on

c. Safety. The Command Safety Officer conducts inspections of TRADOC command safety programs every 36 months in accordance with AR 385-10, TR 385-2; and TP 385-1, "Self-Assessment Guide." TRADOC safety supports the CG, CIMT on SAVs, TRADOC Quality Assurance (QA) program accreditation evaluations, and other organizations upon request.

d. Historian. The Command Historian conducts DA certification visits to each TRADOC history office as required. These visits assess whether military history programs in TRADOC meet requirements defined in AR 870-5 and TR 870-1, to include military history instruction.

e. Museums. The TRADOC Military History and Heritage Office conducts triennial inspections in coordination with the QAO’s inspection schedule of the facilities and the Military History and Heritage Education Program at TRADOC museums and Training Support Facilities in accordance with AR 870-20, TR 350-13, and TR 870-1.

f. Command Diversity Office (CDO). The Diversity Office, in addition to diversity efforts, is comprised of three compliance programs: Equal Employment Opportunity (EEO), Equal Opportunity (EO), and Sexual Harassment/Assault Response Program (SHARP). It conducts integrated SAVs with these three programs and conducts separate Diversity, EEO, EO and SHARP SAVs as needed. By integrating the SAVs, the CDO is able to provide a more complete and accurate picture of their command climate.

(1) EEO. The EEO office conducts SAVs to ensure compliance with EEO Commission Management Directives 110 and 715, AR 690-12, and AR 690-600. The purpose of the visits are to measure the overall effectiveness of the EEO program, to ensure leadership involvement, to review EEO complaint processing, and to ensure the implementation of Management Directive 715, EEO, 1 October 2003. The goal is to ensure all TRADOC civilians work in an environment free from discrimination (based on race, color, national origin, gender identity, age, sex, sexual orientation, religion, disability, or other impermissible basis), harassment, and/or reprisal.

(2) EO. Conducts annual SAVs of all TRADOC EO programs to assess compliance with AR 600-20, DA Pamphlet 600-26, and TR 600-11. The purpose of the visits are to measure the overall effectiveness of the installation/activity EO program in accordance with DA, TRADOC, and local EO regulations and program objectives. Areas of focus are leadership involvement, EO advisor/representative staffing, EO action plan, complaint processing, unit assessment, reports (EO database), training, special/ethnic observances, and EO forums. The SAVs ensure just and equal treatment of all TRADOC personnel while maintaining the highest possible level of professionalism and combat readiness; ensure all levels of command are positively and aggressively committed to, and involved in, furthering the EO program and having a workable equal opportunity action program; and monitors EO training in units and schools to ensure requirements are met and instructions are given by qualified personnel.
(3) SHARP. Conducts annual SAVs of all TRADOC SHARP programs to access compliance with DoDD 6485.01, DoDI 6495.02, DoDD 1350.2, DoDI 5505.18 and AR 600-20. The purpose of the visits are to measure the overall effectiveness of the installation/center/school SHARP program in accordance with DOD, DA, TRADOC, and local SHARP regulations and program objectives. Areas of focus are leadership involvement, Sexual Assault Response Coordinator/Victim Advocate staffing, Sexual Assault Review Board operations, Defense Sexual Assault Incident Database management, Integrated Case Reporting System database management, unit assessments, SHARP training, SHARP incident reporting, SHARP victim advocacy, SHARP communication plan, coordination with outside agencies (Criminal Investigation Division, Provost Marshal Office, local hospitals), conduct of Sexual Assault Summits, and SHARP program administration. The SAVs ensure the prevention of sexual harassment and assault is the number one priority within the installation/center/school while promoting a culture of dignity and respect for all TRADOC personnel while maintaining the highest possible level of professionalism and combat readiness.

g. QAO. In accordance with AR 350-1, AR 10-87, and TR 11-21 the TRADOC QAO is the lead agent for the Army’s QA Program across the Active Army (TRADOC and Non-TRADOC), Army National Guard and U.S. Army Reserve of the CoE/schools, RTIs, TCCs, MFTBs, NCOAs, and combat training centers through accreditations and assessments to ensure Army standards are achieved in the development, education, and training of Soldiers and civilians while strengthening the U.S. Army's ability to learn, adapt, and innovate. The QA program ensures the development of the Army's Soldier and civilian leaders as well as design, development, and integration of capabilities, concepts, and doctrine to build a campaign-capable, expeditionary, and versatile Army.

h. OCKO. In accordance with TRADOC Supplement to AR 5-1 the TRADOC OCKO is the lead agent for TRADOC Business Mission Area (BMA) strategy and organizational Knowledge, Process and Performance Management (KPPM) Program across TRADOC COE/schools and DRUs. The purpose to comply with army BMA related standards, reforms and initiatives, leverage organizational learning and innovation, and optimize efficiency. Program execution is measured through routine analysis of performance metrics and periodic accreditations or assessments.

E-4. Coordinating staff

a. DCS, G-1/4.

   (1) Adjutant General (AG). Conducts QA assistance visits as required by the TRADOC QA Office. Supports CG, CIMT on SAVs. Assistance visits are governed by AG SAV and QA checklist. Areas to be covered, but not limited to, are strength management; military HR functions; Basic Allowance for Subsistence reviews; enlisted promotions; Army Disaster Personnel Accountability and Assessment System; Electronic Military Personnel Office transactions; assignment processing; and leave management.

   (2) AG. Conducts SAVs as requested to all TRADOC activities to provide personnel
support, analysis, training, and assistance in accordance with AR 600-61. The purpose of the visit is to identify problem areas within the personnel services and support system and provide on-site assistance/training to eliminate the cause of the problem or assist in seeking solutions. Commanders and operating personnel are advised of their overall effectiveness in providing support to personnel. Areas to be assessed include, but are not limited to, Electronic Military Personnel Office; enlisted promotions; evaluations; reassignment processing; in/out processing; leave management; awards; and Initial Military Training (IMT) finance issues.

(3) Retention Division. Conducts annual visits and inspections of the installation/activity retention program. The inspections are intended to measure the overall effectiveness of the program in accordance with DA and TRADOC directives, policies, and procedures. The visits include random sampling of brigade, battalion, and company levels of command in accordance with AR 601-280. Primary areas of focus include mission accomplishment, administrative data accuracy, leadership involvement, career counselor staffing, unresolved Reenlistment/Reclassification System report discrepancies, and significant variations between numbers of actual retention-eligible Soldiers and eligible Soldiers, as reported by the Standard Installation/Division Personnel System. Intent is to ensure all levels of command aggressively support the Army Retention Program and solid working relationships exist between host installations and assigned, attached, and/or supported commanders, elements, and Soldiers, to ensure everyone receives the maximum benefit of retention support and adequate resources.

(4) Command Logistician. Supports CG, CIMT on SAVs, equipment surveys, and quality assurance visits in accordance with TB MED 530, FMs 10-23 and 10-23-2, and AR 30-22 and lead for the Command Supply Discipline Program (CSDP). CSDP is a commander's program directed to establish supply discipline as regulatory guidance and standardize supply discipline requirements. It is based upon AR 710-2, Appendix B. CSDP is conducted at the user, property book, direct and general support levels; as well as parent organization and higher commands. ACOMs for TDA organizations conduct CSDP every 2 years.

(5) Command Engineer. Provides matrix support to the CG, CIMT for Command Inspections/SAVs and the TRADOC QA Program for center and school Accreditation. Conducts Engineer Staff Assistance visits, as required.

(6) Civilian Human Resources (CHR). As part of the QA assistance visits/inspections, CHR reviews program areas that reflect the civilian human resources life cycle. This includes maintaining appropriate strength levels, recruiting individuals to fill positions, timeliness of fill actions, employee and leader development to include supervisory development, performance management and other factors that support an engaged workforce.

b. DCS, G-2.

(1) Monitors Army Foreign Language Program expenditures in accordance with AR 11-6 regarding the use of language funds to train language-capable MOS linguists so they can support mission requirements. Supports Army QA Program Accreditation evaluations.

(2) Conduct annual assessment of the effectiveness of the Information and Personnel...
Security Program in accordance with ARs 380-5 and 380-67; the Communications Security Program in accordance with AR 380-40 and TB 380-41; the sensitive compartmented information security program in accordance with ARs 380-28 and 380-67 and DOD 5105.21-M-1; and the Foreign Disclosure Program in accordance with AR 380-10.

c. DCS, G-3/5/7.

(1) G-34 Protection Directorate conducts staff inspections and SAVs in support of the TRADOC Protection Program (TPP) and military working dog (MWD) program.

(2) Leads Protection (antiterrorism, critical infrastructure risk management [CIRM], continuity of operations [COOP], emergency management [EM], information assurance [IA], operations security [OPSEC], physical security, and select special interest items) SAVs and staff inspections of TRADOC major subordinate organizations (MSOs), CoEs, and separate activities. Protection staff inspections are conducted, as a minimum, once every 3 years and SAVs are conducted at the request of a TRADOC core function lead, CoE or separate activity. (TRADOC G-33 provides SME for COOP and OPSEC and G-6 provides SME for IA).

(3) Conducts Military Working Dog (MWD) program staff inspections in accordance with AR 190-12 on an annual basis. MWD programs that fail a staff inspection will receive a follow-up staff inspection within 90-180 days. In addition, TRADOC MWD teams will be certified by a TRADOC recognized MWD Certification Authority prior to being authorized for employment as a team and annual thereafter.

d. DCS, G-8. Conducts Resource Management AVs, as required.

E-5. Subordinate organizations

a. CG, CIMT.

(1) Serves as the senior representative for IMT SAVs.

(2) Coordinates and executes all IMT SAVs in accordance with the principles outlined in AR 1-201 and this Supplement.

(3) Finalizes reports, follow-up activities, and disseminates results, take-a-ways, and lessons learned to the visited command only.

(4) Coordinates external staff assistance visits during the quarterly OIP work group.

(5) Conducts announced, regularly-scheduled IMT SAVs at all installations conducting Basic Combat Training (BCT), advanced individual training (AIT), Inter-service Training Review Organization sites, One-Station Unit Training (OSUT) and Basic Officer Leader Course (BOLC). These assistance visits enable the CG, CIMT to represent CG, TRADOC, as defined in TR 10-5, TR 10-5-8, TR 350-6, and TR 350-36, to ensure proper training; and the care of Soldiers, Cadre and their families; is being executed in accordance with applicable regulations
and guidance in IMT. The intent of the staff assistance visits is to assist commanders and their installation’s efforts in conducting IMT, review execution of mission to standard, and assist commanders in addressing issues and problem areas by providing actionable information and objective feedback to decision makers. Planning begins 90 days before a scheduled visit. The installation being visited provides the CG, CIMT visit coordinator with all read-ahead materials 30 days prior to a SAV in accordance with the SAV Memorandum of Agreement (MOA). SAVs of the Army Training Centers are conducted once every 18 months with AIT/BOLC sites being reviewed every 24 month period. Unresolved issues needing higher headquarters assistance are considered "takeaways" by the SAV team and staffed through the TRADOC staff. The CG, CIMT determines if any observations / issues should be brought to the attention of CG, TRADOC.

(6) Coordinates with TRADOC staff for SME support when required.

b. The DCG, U.S. Army Reserve. Supports the annual IMT AVs as SME for Army Reserve issues as needed.

c. The DCG, Army National Guard. Supports the annual IMT AVs as SME for Army National Guard issues as needed.

In Glossary; Section I, Abbreviations, add:

AG  Adjutant General
AIT  advanced individual training
CIMT  U.S. Army Center for Initial Military Training
CG  Commanding General
CoE  Center of Excellence
CSDP  Command Supply Discipline Program
DCS  Deputy Chief of Staff
EO  equal opportunity
EEO  equal employment opportunity
HQ  headquarters
IMT  Initial Military Training
IO  intelligence oversight
IRAC  Internal Review and Audit Compliance
OPSEC  Operations Security
QA  quality assurance
SJA  Staff Judge Advocate
SME  subject matter expert
TEC  TRADOC Enterprise Calendar
TR  TRADOC regulation
TRADOC  U.S. Army Training and Doctrine Command
In Glossary, Section II, Terms, add:

**Inspections**
For the purpose of this supplement, the word “inspections” refers to inspections, assessment visits, staff assistance visits, accreditations, audits, and reviews conducted by U.S. Army TRADOC Staff. Inspections/visits, accreditations, audits and reviews conducted by TRADOC Staff.

**Assist**
Defined as a TRADOC organization or staff element at higher headquarters who is directed to provide augmentation or other support to a lead for a function, task, or role. The augmentation or other support includes, but is not limited to, all applicable doctrine, organization, training, materiel, leadership, education, personnel, facility, and policy domains. The TRADOC organization or staff element that adds, complements, or sustains another organization, and is responsible for providing the assistance that a lead organization requires.

**Lead**
Defined as a TRADOC organization or staff element having primary responsibility for a function, task, or role a higher headquarters assigns. Responsibility for the function, task, or role begins upon assignment and ends with completion. The responsibility also includes all aspects of execution and integration of all applicable doctrine, organization, training, materiel, leadership, and education, personnel, and facilities domains. The organization which receives assistance from another organization(s) or staff element(s) is responsible for ensuring that the supporting organization(s) or staff elements(s) understand the assistance required.

**General inspection**
This type of inspection is broad in scope and normally focuses on units. General inspections focus on all aspects of a unit or organization’s activities and functions. This type of inspection tends to be compliance-oriented to determine if the unit or organization is adhering to current policies and regulations. The basic goal of a general inspection is to assess the unit or organization’s ability to accomplish its missions.

**Special inspection**
This type of inspection focuses on a single topic such as a functional area, program, problem, or issue. Special inspections facilitate the systematic approach and are the preferred types of inspections for IGs. The scope of the problem must be narrow and the issue should affect several units or organizations. IGs use this type of inspection to follow leads (cross-walking) and to transfer problems and issues that are beyond the command’s ability to fix to a higher headquarters for correction (handoff).

**Follow-up inspection**
The follow-up inspection may follow either a general or special inspection. Follow-up inspections look at the effectiveness of corrective actions taken since the last inspection occurred. This type of inspection is also an Army inspection principle that many commanders often neglect. This type of inspection closes the inspection loop and ensures that the time and resources expended in an earlier inspection were put to good measure.