



MARINE CORPS
INSPECTOR GENERAL PROGRAM
INSPECTIONS GUIDE

Inspector General of the Marine Corps
FOB 2 Navy Annex
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INSPECTOR GENERAL
OF THE MARINE CORPS

Marine Corps
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Inspections Guide

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This Guide has been approved by the IGMC

A handwritten signature in black ink, appearing to read "K. J. Lee", is positioned above the name of the signatory.

BGen K. J. LEE

The Inspector General Program Inspections Guide

Table of Contents

Chapter 1 – Introduction

Chapter 2 – Role of the Inspector General

Section 2-1 – Expeditionary Mindset

Section 2-2 – The Marine Corps MAGTF in the Joint Operating Environment

Chapter 3 – Approaches to Inspections

Section 3-1 – The Inspection Selection Process

Section 3-2 – Inspection Approaches

Section 3-3 – Basic Elements of an Inspection

Section 3-4 – Root Cause Analysis Model

Chapter 4 – The Inspections Process

Chapter 5 – The Preparation Phase

Section 5-1 – Step 1: Research

Section 5-2 – Step 2: Develop Concept

Section 5-3 – Step 3: Commander Approves the Concept

Section 5-4 – Step 4: Plan in Detail

Section 5-5 – Step 5: Train up

Section 5-6 – Step 6: Pre-inspection Visit

Chapter 6 – The Execution Phase

Section 6-1 – Step 7: Visit Commands

Section 6-2 – Step 8: In-process Review (IPR)

Section 6-3 – Step 9: Update Commander

Section 6-4 – Step 10: Analyze Results and Crosswalk

Section 6-5 – Step 11: Out-brief Proponent

Chapter 7 – The Completion Phase

Section 7-1 – Step 12: Out-brief the Commander

Section 7-2 – Step 13: Taskers

Section 7-3 – Step 14: Finalize Report

Section 7-4 – Step 15: Handoff

Section 7-5 – Step 16: Distribute the Report

Section 7-6 – Step 17: Schedule a Follow-up Inspection

Chapter 8 – Conducting a Compliance Inspection

Section 8-1 – Conducting a Compliance Inspection

Section 8-2 – Developing Checklists for Compliance Inspections

Appendix A – References

Appendix B – Conducting Interviews

Appendix C – Conducting Sensing Sessions

Index

Chapter 1

Introduction

1. **Purpose:** The purpose of this guide is to help Command Inspectors General (CIGs) to prepare, conduct, and complete effective inspections.
2. **Responsibilities:** The CIG and all IG personnel are an extension of the eyes, ears, voice and conscience of the commander. The CIG is a special staff officer who provides the commander with a sounding board for sensitive issues. CIGs are honest brokers and consummate fact-finders whose five primary functions include inspecting, assisting, investigating, intelligence oversight, and teaching and training.
3. **Inspections Guide:** There are three types of inspections: general, special, and follow-up. General inspections are commonly referred to as compliance inspections, and special inspections are called systemic inspections. IGs conduct inspections at the request of the commander. Inspection report results should be organized to identify root causes, recommend solutions, and identify responsibility for implementation.

The fundamental purpose of all inspections should be to assess, assist, and enhance the ability of a command to prepare for and to perform its assigned mission. The command's mission shall be the focus of the inspection. Inspections will identify root causes of problems, particularly those beyond the capability of the commander to solve. The IG Inspection program is built upon five basic principles: inspections must be:

- a. Purposeful
- b. Coordinated
- c. Focused on feedback
- d. Instructive
- e. Followed up.

General inspections normally apply a compliance-oriented approach. Compliance-oriented inspections measure the readiness of organizations and their respective functions against established standards. Inspectors should develop ways to determine why a command or organization failed to meet a standard, with the best method being to ask open-ended questions of the individuals involved in an effort to get at the real reason(s) for non-compliance. Though they may be useful as a guide, the use of strict checklists is discouraged, as they do not allow for follow-on questions to get at root causes. See Appendix B for a further discussion of checklists.

Special inspections normally apply a systemic approach which is more conducive for larger issues associated with individual systems, functions, and programs within the command. Many times these larger issues cross organizational or Service lines. Although the systemic approach can be used to support special inspections at any level of command, the systemic approach to inspections takes on a greater importance in organizations at the Marine Expeditionary Force (MEF) or Installations (East – West) level or higher. Functional inspections based on a systems approach tend to be narrow in focus and aimed at broader-based issues that affect more than one command or structure. This approach allows IGs to narrow the scope of the inspection to take a

systemic look at a topic, function, issue, or problem area and then determine the root causes of the deficiencies, with the goal of fixing the system.

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 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.

4. This Guide as a Handbook: This guide is designed to serve as a ready reference and step-by-step handbook allowing a CIG to inspect a topic with systemic implications or to conduct a compliance-oriented inspection of a unit or command. Many of the techniques and formats offered herein are not mandatory for use but instead offer all CIGs a common frame of reference and a generally approved way of executing IG inspections. This guide supports and complements the Marine Corps Inspector General Program Concept and System Guide.

5. Sample Command Inspector General Memoranda and Final Report Outline: The sample formats used in this guide are shown in subsequent chapters.

6. Questions and Comments: For questions or comments concerning this guide, please contact the Deputy Inspector General, Office of the IGMC.

7. References: Required and related publications and prescribed and referenced forms are listed in Appendix A.

Chapter 2

Role of the Inspector General

Section 2-1 – Expeditionary Mindset

Section 2-2 – The Marine Corps MAGTF in the Joint Operating Environment

Section 2-1

Expeditionary Mindset

1. **Purpose:** This section describes the Marine Corps expeditionary mindset.
2. **Marine Corps Expeditionary Mindset:** During most of its history, the United States Marine Corps has been organized as an expeditionary force-in-readiness. The most recent global war on terrorism continues the Marine Corps tradition of expeditionary deployment into combat operations. A trade mark of the Marine Corps is the ability to quickly deploy task organized expeditionary combat forces via land, air, or sea with the ability to immediately engage in combat. As a result, Command Inspectors General (CIG) must be prepared to support the commander in both garrison and in forward deployed operations.
3. **Staffing:** The CIG must consider the nature and scope of the IG support required in the area of operations and at home station. The size and complexity of the command will dictate the size of the CIG staff, so the CIG must tailor the staff to address all required IG functions -- inspections, assistance, investigations, intelligence oversight, and teaching and training.
4. **Policy Guidance:** The CIG office must use established Marine Corps doctrine as found in Marine Corps Doctrinal Publications 1 through 6 to determine the principal standards from which to inspect. Below is a brief description of each publication and its purpose.
 - a. MCDP 1, Warfighting, provides a doctrine base for the understanding of the Marine Corps' philosophy of warfighting and the nature of war itself with its moral, mental, and physical characteristics and demands.
 - b. MCDP 1-0, Marine Corps Operations, provides a doctrinal bridge between the Marine Corps' warfighting philosophy of maneuver warfare to the tactics, techniques, and procedures (TTP) used by Marines. It addresses how the Marine Corps conducts operations to support the national military strategy across the broad range of naval, joint, and multinational operations. MCDP 1-0 explores the contribution to the national defense provided by the unique structure of Marine Corps organizations – the Marine component and the Marine Air Ground Task Force (MAGTF) and is the precursor to future MAGTF-oriented warfighting doctrine.
 - c. MCDP 1-1, Strategy, provides for Marine leaders a solid, common understanding of the doctrinal base of the fundamental nature of military strategy that is inherent in each military action. Its intent is to give the reader the basic knowledge required to think “strategically,” that is, to be able to examine the particulars of any specific situation and understand the political and military factors behind the use of military force.

d. MCDP 1-2, Campaigning, provides the doctrine basis for military campaigning in the Marine Corps, particularly as it pertains to a Marine commander or a MAGTF participating in the campaign.

e. MCDP 1-3, Tactics, provides a doctrinal base for tactically winning in combat. Winning requires many things: excellence in techniques, an appreciation of the enemy, exemplary leadership, battlefield judgment, and focused combat power. Winning in combat depends upon tactical leaders who can think creatively and act decisively.

f. MCDP 2, Intelligence, presents approved doctrine describing the theory and philosophy of intelligence as practiced by the United States Marine Corps. It provides Marines a conceptual framework for understanding and conducting effective intelligence activities.

g. MCDP 3, Expeditionary Operations, establishes doctrine for the conduct of military operations by the U.S. Marine corps. It describes the Marine Corps as an expeditionary force-in-readiness that is manned, trained, and equipped specifically to respond quickly to a broad variety of crises and conflicts across the full range of military operations anywhere in the world. It emphasizes the naval character of Marine Corps forces. This naval expeditionary character provides capabilities both to forward-deployed forces near the scene of potential crises as well as to deploy sustainable, combined arms teams rapidly by sea and air. This publication also underscores the value of Marine Corps forces as a highly cost-effective option in a wide range of situations, including crises requiring forcible entry.

h. MCDP 4, Logistics, presents approved logistics doctrine as practiced by the United States Marine Corps. It provides all Marines a conceptual framework for the understanding and practice of effective logistics.

i. MCDP 5, Planning, describes the doctrinal theory and philosophy of military planning as practiced by the U.S. Marine Corps. The intent is to describe how we can prepare effectively for future action when the future is uncertain and unpredictable. In so doing, this publication provides all Marines a conceptual framework for planning in peace, in crisis, or in war.

j. MCDP 6, Command and Control, presents the approved doctrine describing the theory and philosophy of command and control for the U.S. Marine Corps. Put very simply, the intent is to describe how we can reach effective military decisions and implement effective military actions faster than an adversary in any conflict setting on any scale. In so doing, this publication provides a framework for all Marines for the development and exercise of effective command and control in peace, in crisis, or in war.

5. **Communications:** The CIG must understand command lines. The CIG is expected to maintain lines of communication between the established CIGs as well as the IGMC. (See Figure 2-1)

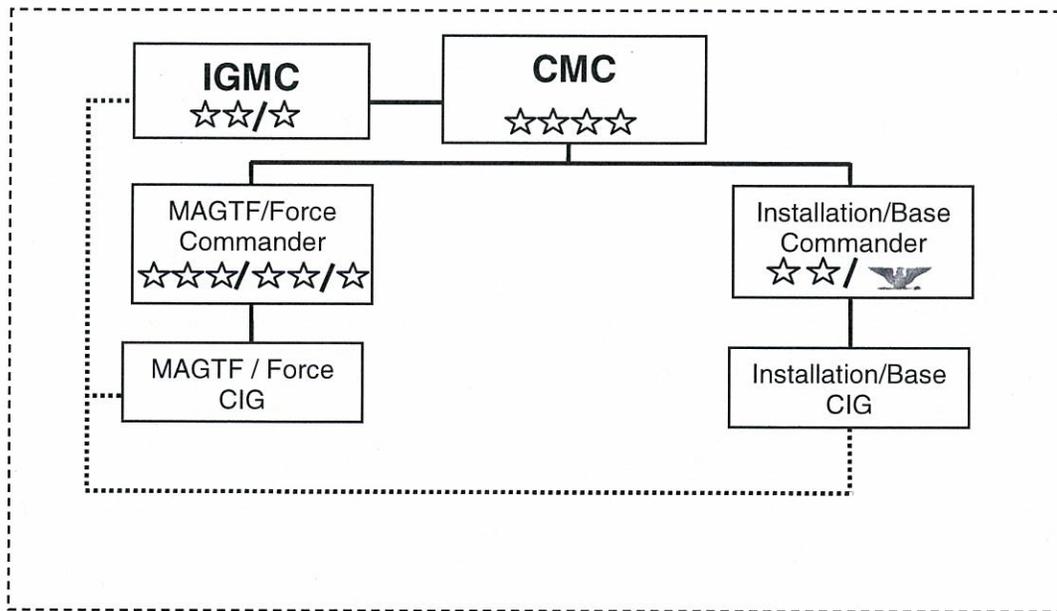


Figure 2-1
IGP Lines of Communication

Section 2-2

The Marine Corps MAGTF in the Joint Operating Environment

1. **Purpose:** This section describes the role of the Command Inspector General (CIG) during combat operations in the Joint Operating Environment.

2. **Marine Corps Operating Environment:** Marine Corps commanders are assigned missions and tasks based on their geographic areas of responsibility or on their functional capabilities. Marine Air Ground Task Forces (MAGTFs) are deployed under the operational control of a Combatant Commander (COCOM). The Joint Strategic Capabilities Plan (JSCP) provides guidance to the Combatant Commanders and the Services to accomplish missions and tasks based on current military capabilities. The JSCP provides a coherent framework for capabilities-based military tasks assigned by the National Command Authorities (NCA), treaty obligations, or other documents supporting the Unified Command Plan (UCP).

The COCOM normally operates at the strategic level of war, applying the military element of power, in coordination with the other elements of national power, to achieve the desired military end state within the strategic end state determined by national security or strategic military objectives and guidance. A Marine Corps MAGTF commander normally operates at the operational level of war, applying military power in the designated theater of operations toward the strategic military objectives assigned by the geographic COCOM or national command authorities.

Figure 2-2 provides a systems view of the Joint environment where a matrix-type environment ensues. Services, Supplies, Equipment, Training, Organization, and Administration are fed into Joint systems such as Personnel, Intelligence, Operations, Logistics, and Operational Planning. The COCOM and JTF (MAGTF) commanders work within the guidelines and parameters of Joint policy and guidance. The role of the MAGTF CIG is to understand how the Joint environment operates in order to determine where systemic issues “clog” the system and impact mission readiness of the MAGTF. Where there are “clogs” in the system, the CIG is responsible to inform the commander of the issue and, upon the commander’s approval, develop an inspection plan to uncover the root cause of the “clog”. Once the root cause has been determined, the CIG will make recommendations that will “clear the clog in the system”. Recommendations come in many forms and range from policy change / review from the higher echelon proponent of the policy to enhanced training within the command or MAGTF.

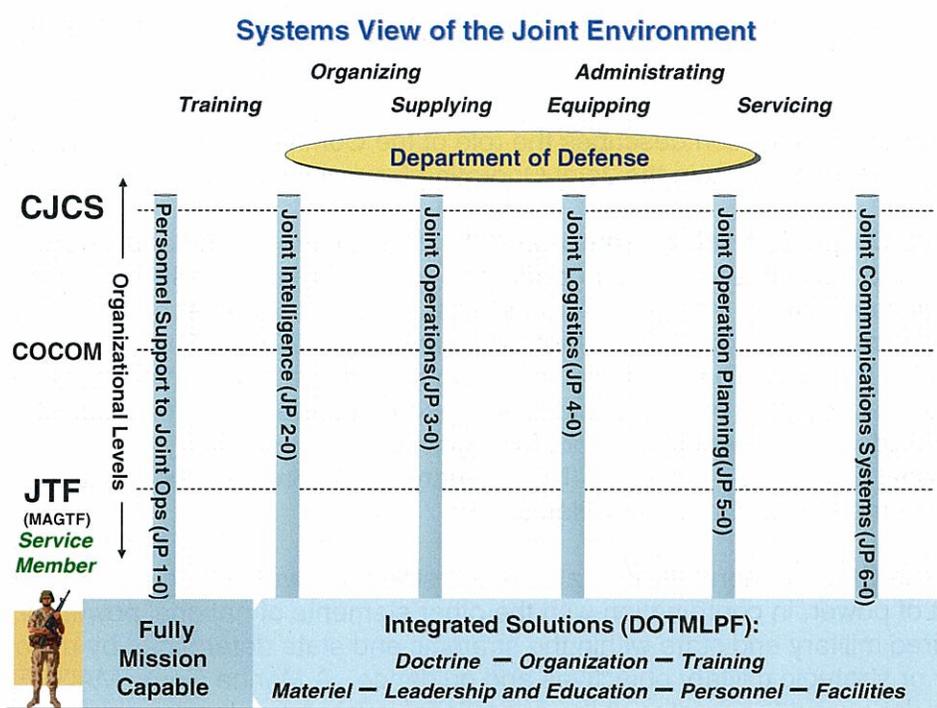


Figure 2-2
Systems View of the Joint Environment

3. The Universal Joint Task List: The Universal Joint Task List (UJTL) identifies “what” is to be performed in terms common to the Joint Staff, Services, combatant commands and components, activities, Joint organizations, and agencies responsive to the Chairman of the Joint Chiefs of Staff (CJCS). The UJTL task description does not address “how” a task is performed (found in Joint doctrine / Joint tactics, techniques, and procedures (JTTP)), or “who” performs the task (found in the commander’s concept of operations and Joint doctrine / JTTP).

Joint tasks describe, in broad terms, the current and potential capabilities of the Armed Forces of the United States. Joint tasks are actions or processes accomplished by a Joint organization under Joint command and control using Joint doctrine. They are assigned by Joint force commanders to be performed by Joint forces, staffs, and integrated service components. The CJCS manual (CJCSM 3500.03) provides an overall description of Joint tasks that can be applied at multiple levels of command, i.e., strategic national, strategic theater, operational, and tactical (each Service publishes its own task list to supplement the UJTL).

The Commander’s approved measures and criteria of performance comprise the task standard to describe how well a Joint organization or force must perform a Joint task under a specific set of conditions. The Joint force commander uses criteria and measures to establish task standards based on mission requirements. These standards,

when linked to conditions, provide a basis for planning, conducting, and evaluating military operations as well as training events.

4. Joint Training and Readiness: Training is a key element of readiness. Military readiness is defined in two parts: unit and joint. Readiness is “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. Unit readiness is derived from the ability of each unit to deliver the outputs for which it was designed.

b. Joint readiness -- the Combatant Command and JTF Commander’s ability to integrate and synchronize ready combat and support forces to execute assigned missions.

The CIG must understand the Joint readiness requirements in order to inspect properly and assess mission readiness of the MAGTF.

Chapter 3

Approaches to Inspections

Section 3-1 - The Inspection Selection Process

Section 3-2 - Inspection Approaches

Section 3-3 - Basic Elements of an Inspection

Section 3-4 - Root Cause Analysis Model

Section 3-1

The Inspection Selection Process

1. **Purpose:** The purpose of this section is to explain the Inspection Selection Process and the scheduling of IG Inspections.
2. **Selecting Inspections:** All commands commanded by a general officer are required to have a Commanding General's Inspection Program (CGIP). The Command Inspector General (CIG) is responsible for managing the CGIP. The CIG should always plan inspections by keeping the precepts of long-range planning in mind. Inspection planning can become a delicate balancing act between long-range planning and remaining flexible to the commander's changing needs.
3. **Striking the Balance:** The benefits of long-range planning are obvious. A planned inspection keeps the IG from disrupting a unit's training schedule. Most long-range inspection plans -- once published -- do not specify the units that the inspection team plans to visit. However, units within the command can anticipate the possibility of receiving a Notification Letter from the inspection team during the established time periods. Notifications should not cause units to alter their training plans since the IG team needs to see things exactly as they are happening.

Planned but unannounced inspections (where the units are not, and will not be, identified) are an acceptable way of planning inspections, but the best planning method is to announce all inspection topics in advance with some general guidance about the types of units or agencies the inspection team may visit. The commander may alter the inspection plan with little notice if an important inspection need suddenly arises. The inspector must anticipate such an occurrence and prepare to adjust the long-range inspection plan accordingly. The inspector may have to recommend to the commander that an ongoing inspection stop temporarily (or permanently) or that the scheduled inspection topics on the prioritized inspection list slip to the right. The inspector must learn how to balance these long-range and short-notice aspects of inspection planning.

4. **Prerequisites for the CIG:** For a CIG to determine the best inspection topics for the unit or command, the CIG must be an active and prominent member of the command. The CIG must know the commander and the commander's philosophy and vision for the unit. To stay abreast of current issues and trends within the command, the CIG should attend key staff meetings and major training events. The bottom line is that the CIG cannot remain behind a desk in the IG shop if he or she plans to develop a viable, responsive, and focused inspection plan for the command.
5. **Determining Inspection Topics:** A CIG can develop inspection topics using a number of sources. Some obvious sources are those inspections conducted at the commander's direction or inspections required by law or regulation. Some subordinate-unit commanders may suggest topics based upon problems that are occurring at the lower echelons. The CIG should also review Marine Corps Doctrinal Publications, Marine Corps Order (MCO) 5040.6H, NAVMC Directive 5040.6H, Command Policy and Goals, the Commander's mission and vision, CIG Databases, and Readiness Reports for potential inspection topics. The CIG should look for requirements and trends in problems areas from these sources requiring some immediate, or long-term, attention.

Review of the commander's inspection priority list can also help to guide the development of a long-term inspection plan. In essence, the topics selected for an inspection must be focused on improving the command's readiness, warfighting, and mission capabilities. Review selected topics for their impact on unit readiness, value to the command, and priority to the commander.

6. The Inspection Selection Process. The Inspection Selection Process has six basic steps:

a. Step 1: **Determine the Commander's priorities.** The information a CIG needs to accomplish this step is located in paragraph five. The inspector may require a face-to-face meeting with the Commander if the priorities are not clear. Ultimately, the commander's priorities drive the inspection topics.

b. Step 2: **Analyze the information.** After reviewing the pertinent documents and information available within the command (in accordance with paragraph five), examine the inspection topics to ensure the topics focus on the unit's or command's readiness and are in line with the commander's priorities.

c. Step 3: **Make a prioritized list.** Based on information developed during the first two steps, draft a list of broad-based inspection topics and prioritize them with the commander's priorities. The commander will make the final determination on priority. Do not worry about narrowing the topics too much since they will be refined as part of the overall Inspection Process. Below is an example of a prioritized list that selects one inspection topic per quarter:

- (1) 1st Quarter, FY__: Individual Augmentation Requirements
- (2) 2nd Quarter, FY__: Information Assurance
- (3) 3rd Quarter, FY__: Force Protection
- (4) 4th Quarter, FY__: Radio Frequency Identification (RFID) Tag Usage

d. Step 4: **Gain the commander's approval.** Meet with the commander to discuss the prioritized list. The commander may adjust the priorities or delete some topics and add others. Once approved, the inspection team may begin planning for the first topic.

e. Step 5: **Schedule the inspections.** Coordinate with the office responsible for maintaining the unit calendar to ensure that the inspection topics appear on the long-range calendar.

f. Step 6: **Notify the command.** Publish the inspection list and inspection schedule using a separate memorandum or include the inspection topics in the CGIP Annual Training Guidance. Brief the inspection list and schedule as part of the Annual and Quarterly Training Briefing. Ensure the types of units the CIG office intends to visit are briefed as part of each inspection so commanders can plan accordingly. Specific units for inspections are not required to be briefed at this time.

Section 3-2

Inspection Approaches

1. **Purpose:** The purpose of this section is to discuss the two basic approaches to inspecting that are available to Command Inspectors General (CIGs).

2. **Two Inspection Approaches:** There are two basic ways to approach an inspection: as a structure or as a system. Both approaches are equally important, and one approach is no better than the other. However, one particular approach may be more appropriate based on the inspection. Both inspection approaches may be used for conducting compliance (standards / metric driven) and systemic inspections (faults in the system).

a. **Structural Approach:** A structure is comprised of elements and sub-elements, like a battalion or a bicycle (see Figure 3-1), that relate to each other. A structural approach to an inspection will help an inspector determine how these elements relate to each other, where their boundaries rest, and where their responsibilities overlap. A compliance inspection is the most appropriate type of inspection when selecting the structural approach. For example, an inspection focusing on the overall health of an organization is considered a typical compliance inspection.

The CIG looks at the overall health of an organization by examining all staff functions. If one staff function is not working well, then the entire unit may suffer. If one part of the unit is not working properly, then the unit cannot accomplish its mission effectively. The CIG focus is to ensure that the structure functions well by looking at all aspects in general.

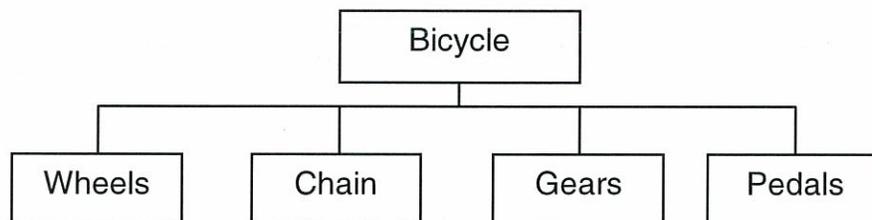


Figure 3-1
Structural Model

b. **Systems Approach:** A system is an activity that processes raw material (input) and transforms that material into something useful (output). That output may be goods or services or some other product. Systems tend to have self-correcting mechanisms (feedback) that help to adjust the input or process based upon changing conditions or standards (see Figure 3-2). The overall system is comprised of sub-systems that interact to create the output. In this sense, functional areas relate to systems. For example, a MAGTF (system) takes input (people and things), processes them through sub-systems (functional areas such as personnel, training, logistics, and maintenance), and produces an output (a combat-ready unit). The sub-system of personnel management has several sub-sub-systems such as in- and out-processing, awards, pay, and records management. Each of these areas is a function and could be inspected in a functional inspection.

Functional inspections based upon a systems approach tend to be narrow in focus and aimed at broader-based issues that affect more than one unit or structure. CIGs may prefer this approach because the narrow scope allows them to take a systemic look at a topic, function, issue, or problem area and then determine the root causes of the deficiencies. Fixing the system, or a particular system, is the goal. See Figure 2-2 in Section 2-2 for a graphic representation of the major systems that support the MAGTF environment.

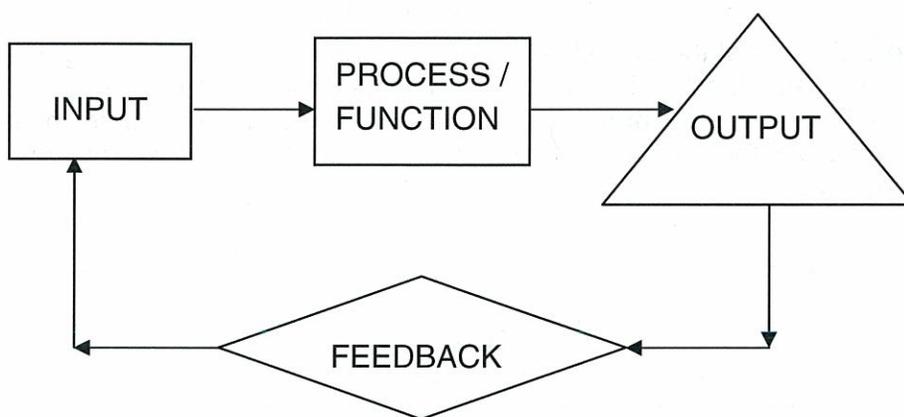


Figure 3-2
Systems Model

3. **Selecting an Approach:** An inspector can select one or both approaches to an inspection. Most inspections tend to follow one approach, but some inspections may require both approaches. The Structural Approach implies the inspector knows everything about the unit before conducting the inspection such as lines of command, responsibility, and their relationship to the each other. The Systems Approach implies the inspector not only understands the system but also what the correct output should be. Selecting the proper approach helps the inspector understand the scope of the inspection effort and defines boundaries within which to conduct the inspection.

Section 3-3

Basic Elements of an Inspection

1. **Purpose:** This section discusses the five basic elements of an inspection.

2. **The Five Elements of an Inspection:** All inspections have one purpose: to provide feedback to the commander to improve the command and its subordinate commands / units. The focus is on measuring compliance against established standards to ensure the command and its sub-units function effectively in their role. Focus on giving leaders useful feedback to help them improve their organizations. There are five inspection elements all CIGs must follow:

a. **Measure performance against a standard.** CIGs should determine compliance against a standard. The inspector should prepare ways to determine why the unit or organization failed to meet the standard. The best method is to ask open-ended questions of the individuals involved in an effort to get at the real meaning behind the non-compliance. Avoid the strict use of checklists! If a checklist is utilized, use follow-on questions that drill down toward the problem. A checklist will not help an inspector determine the root cause. Ask the following five questions:

- 1) What do you do?
- 2) How do you do it?
- 3) How are you doing at it?
- 4) How do you know?
- 5) What are your challenges?

b. **Determine the magnitude of the problem.** Focus on the major issues that affect the unit or organization's war fighting capability and / or readiness. Do not take on trivial issues. Focus on the issues that affect the health and function of the organization.

c. **Seek the Root Cause of the problem.** Use the Root Cause Analysis Model discussed in Section 3-4 to determine why non-compliance exists. Seeking the root cause applies to all inspections and not simply inspections conducted by CIGs. The commander will want to know the root cause(s) in order to properly focus resources.

d. **Determine a solution.** Examine the root cause(s) discovered and use them to craft an effective and meaningful solution(s) to the problem. Focus recommendations on achieving long-term, far-reaching solutions to the problems.

e. **Assign responsibility to the appropriate individuals or agencies.** The commander shall receive a copy of the inspection report with findings, recommendations, and individuals or agencies required to resolve the issue(s). Coordinate findings and recommendations with these persons or agencies before finalizing the report with the commander. Recommendations have meaning and effect only if the commander charges the right people with implementing them.

Section 3-4

Root Cause Analysis Model

1. **Purpose:** This section discusses and describes the Root Cause Analysis Model.
2. **Root Cause:** The root cause is the underlying reason why something does or does not happen. The command Inspector General (CIG) can apply the Root Cause Analysis Model to any inspection category to determine why there is or is not compliance with a standard. Inspectors should use the model not just to seek reasons for non-compliance but also to determine why something is going well. When an operation is working well, it is considered a best practice and should be shared with other commands and units.
3. **Two Forms of Root Causes:** The CIG 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. Proponents of these regulations, policies, or standards should be required fix the problem. CIGs normally seek systemic root causes when conducting systemic 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 and in some cases may rest with a higher-echelon command. Local root causes are often associated with a particular person's decisions, demeanor, or statements.
4. **The Root Cause Analysis Model:** The Root Cause Analysis Model represents an intellectual guide 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 appears below at Figure 3-3.

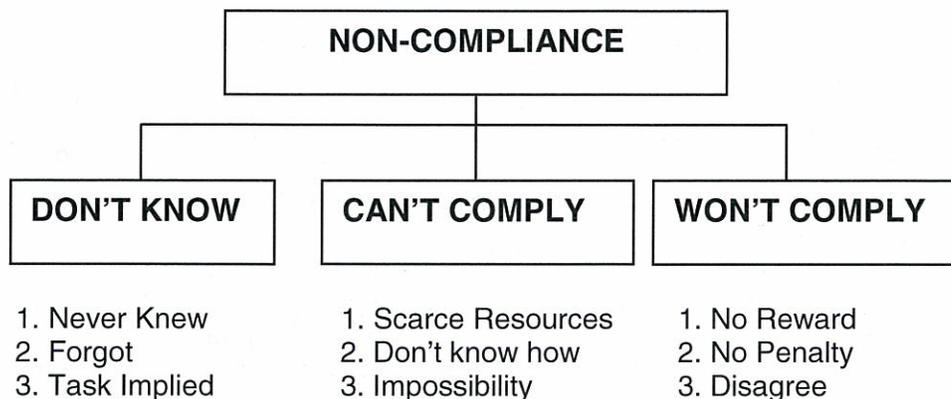


Figure 3-3
Root Cause Analysis Model

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 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 gathered from interviews, sensing sessions / focus groups, observation, and document reviews should lead the inspector 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 non-compliance, 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 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 with 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 (time, money

personnel) to accomplish many of their assigned missions. Part of the problem may be 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 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 may 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. The task may have been overly ambitious and incredibly difficult to perform under any circumstances.

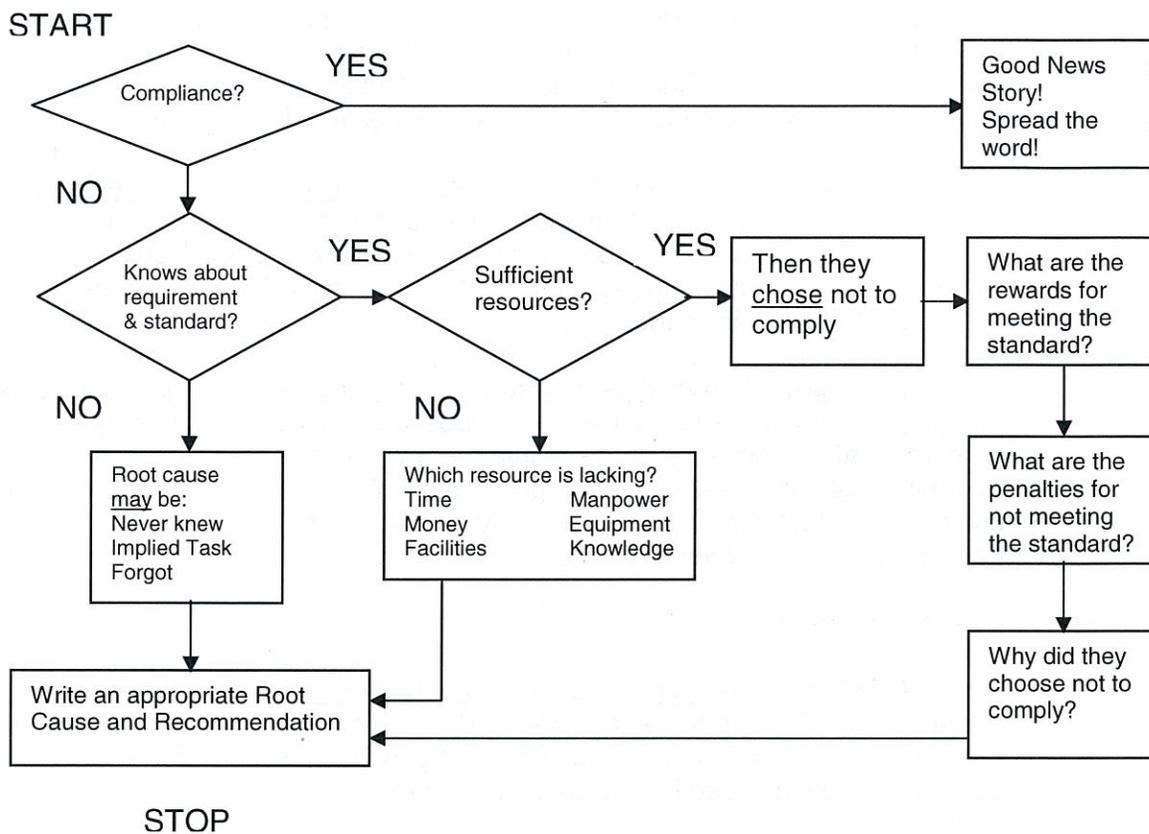
c. **Won't Comply.**

(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 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 non-compliance. Some people focus only on what keeps them out of trouble. 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. A disciplinary penalty may be involved.

6. **Root Cause Analysis Model Flow Chart:** The flow chart shown below in Figure 3-4 offers a visual representation of the root cause thought process.



**Figure 3-4
Root Cause Analysis Model Flow Chart**

7. **Five-Why Analysis:** If CIGs are making any assumptions while employing the Root Cause Analysis Model, further analysis or verification may be necessary to strengthen the model's conclusions. The *five-why analysis* is an extension of the Root Cause Analysis Model. This technique allows the CIG to dig deeper and confirm that one or more of the root-cause reasons of Don't Know, Can't Comply, or Won't Comply caused the problem by asking the question "Why?" five times. There is nothing magical about the number five because it is only a guide; sometimes the IG team will find the root cause by asking a question only two or three times, or it may take six, seven, or more iterations.

- a. The five-why analysis process is composed of three steps:

Step 1: Begin with a problem statement. The IG considers the problem in a simple and brief way without assigning blame or assuming the answer. If the issue is complex, be sure to define the scope of the problem, i.e., what is included and what is not. A good problem statement may be "RFID (Radio Frequency Identification) tags are not being used as prescribed".

Step 2: Ask "why?" until you find the answer. The IG begins by asking "why?" to the problem statement. Then, while staying focused on the original problem statement, the IG asks "why?" to each subsequent response (or cause). If there are multiple causes suggested by the inspected units, develop each branch and sequel until you identify the root cause.

Step 3: Identify the root-cause category. The IG labels the root cause(s) as one of the three corresponding categories under the Root Cause Analysis Model – Don't Know, Can't Comply, or Won't Comply. The IG should then compare the results of the five-why process to the original Root Cause Analysis Model results to ensure the identified root cause was not just a symptom of the problem. Using the mock problem listed in Step 1, the following diagram (Figure 3-5) illustrates a simple example of the five-why analysis:

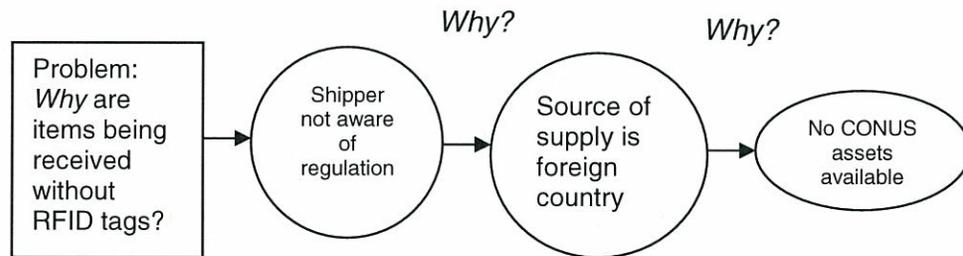


Figure 3-5
Simple Example of Five-Why Analysis

b. When the problem is more complex, the inspection information may lead to multiple streams of responses (branches). Under Step 2, the IG fully develops each branch and sequel of responses to the "why?" questions. Under Step 3, the IGs associate the final response to *each* branch with an appropriate root-cause category. The IG then takes the additional step of distinguishing which of the causes represents the *primary* root cause of the central problem statement and which causes represent possible *symptoms* of the problem.

c. To aid in the identification of the primary root cause, ask the question, "If we fix this particular cause, will the other causes fall away?" In most cases, resolving a primary root cause eliminates or minimizes any of the other branches relating to the problem statement. Resolving the issue of foreign sources of supply being unaware of the RFID tag requirement would likely cause the "Won't comply" problem to fall away. However, more than one root cause may be applicable to a particular problem statement. For example, the IGs determined that "no CONUS assets available" was a root-cause factor for missing RFID tags. However, resolving this "Won't Comply" root cause will not necessarily resolve the lack of domestic source of supply issue. In such cases, the IGs may choose to identify more than one root cause for resolution in the IG inspection finding.

d. A team setting is the most effective way to conduct the five-why analysis. The best opportunities for applying this tool are during the *In-Process Reviews* and at the *Analyze the Results and Crosswalk* step of the IG Inspections Process. Maximum participation of the IG inspection team members and associated subject-matter experts

is essential to this analysis. Some responses proposed by the team may require further verification, so allocate sufficient time for additional team meetings if necessary.

Chapter 4

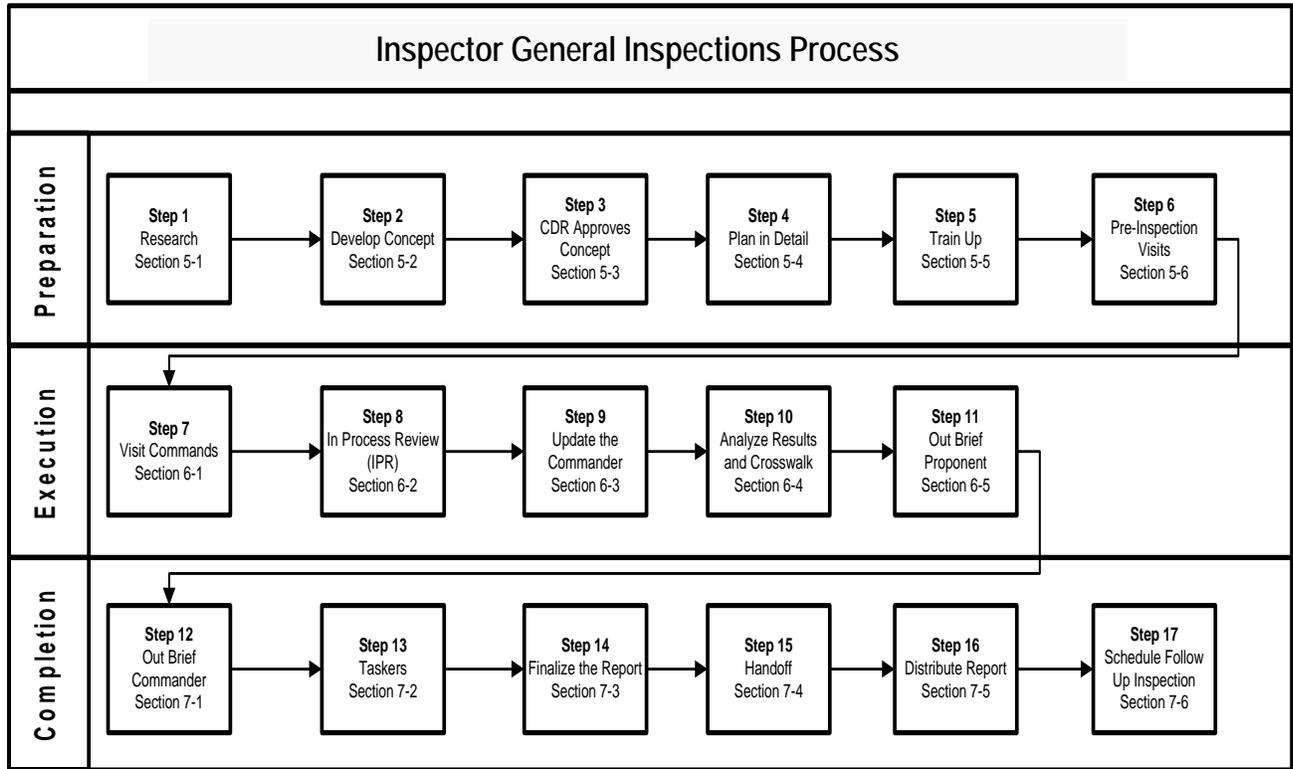
The IG Inspections Process

1. **Purpose:** This section discusses the three phases of the Inspection Process.
2. **The Inspections Process:** The Inspection Process is a sequential planning and management tool allowing the Command Inspector General (CIG) to plan and conduct inspections. The process was designed for IGs; however, this process applies equally to inspections conducted by non-IGs in Marine Corps commands.
3. **The Three Phases of the Inspection Process:** The Inspections Process comprises a series of 17 discrete steps that fall within three separate phases. These phases are:

- | | |
|-----------------------------------|-----------|
| a. Phase One: Preparation | Chapter 5 |
| b. Phase Two: Execution | Chapter 6 |
| c. Phase Three: Completion | Chapter 7 |

These phases include specific steps of the process the IG can tailor to suit his or her needs. The process is an extremely effective way of planning for an inspection that is narrow in focus and requires a great deal of research. The IG should resist the temptation to combine or skip steps in an effort to be more efficient because the steps are aligned in a logical order to produce necessary products for completing follow-on steps. The CIG should consider this process when planning and conducting IG inspections.

4. **The Inspections Process Chart:** Figure 4-1 is a graphic portrayal of the Inspections Process and captures all 17 steps:



**Figure 4-1
The IG Inspections Process**

The following chapters will walk through each phase: Chapter 5 discusses the “preparation” phase, Chapter 6 breaks down the “execution” phase, and Chapter 7 dissects the “completion” phase.

Chapter 5

The Preparation Phase

Section 5-1 – Step 1: Research

Section 5-2 – Step 2: Develop Concept

Section 5-3 – Step 3: Commander Approves the Concept

Section 5-4 – Step 4: Plan in Detail

Section 5-5 – Step 5: Train up

Section 5-6 – Step 6: Pre-inspection Visit

Chapter 5

The Preparation Phase

1. **Purpose.** This section discusses the Preparation Phase of the Inspections Process and the six steps included in that phase.

2. **The Preparation Phase.** The Preparation Phase of the Inspections Process is the most important part of the inspection because it establishes the plan the inspection team will follow to gather information and conduct the inspection. If an inspection team does not follow the six steps involved in this phase, then the inspection will almost certainly run into difficulty during the Execution Phase. The six steps of this phase are as follows:

- a. Research
- b. Develop the Concept
- c. Commander Approves the Concept
- d. Plan in Detail
- e. Train Up
- f. Pre-Inspection Visits

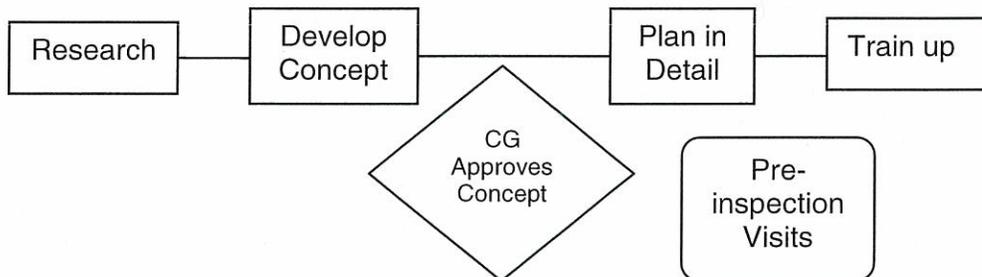


Figure 5-1
The Preparation Phase

Section 5-1

The Preparation Phase Step 1: Research

1. **The Research Step.** The Research Step of the Preparation Phase is the first and most important step that a Command Inspector General (CIG) must take when trying to learn about the inspected topic. Many CIG inspections will be systemic inspections that are narrow in scope and focused on a particular issue or functional area. The CIG approaches these problems with the intent to identify -- and then fix -- systemic problems within a system or functional area. These issues tend to require specialized training and subject-matter expertise that the average IG may lack. Therefore, the IG must delve into the subject matter through a variety of means. The entire inspection team actively participates in the research step, and each team member may tackle a certain aspect of the topic and then share that information later with the team members. In other words, each team member can learn -- or become a subject-matter expert on -- certain aspects of the topic. Ultimately, this step will generate two very important products for the inspection team:

a. **The Inspection Purpose.** The Inspection Purpose is a clear statement of the inspection's overarching goal.

b. **The Inspection Objectives.** The objectives are the most important features of the inspection because they focus the inspection effort and drive the information-gathering portion of the inspection.

2. **Conducting Research.** There is a systematic approach to conducting research that helps ensure IG inspections are meaningful and truly focused on the most important issues to the commander and command. Research enables the CIG to fully understand the issues and to focus on the high-payoff issues by creating the Inspection Purpose and the Inspection Objectives. The seven steps to conducting focused research are:

1. Review Guidance
2. Review Existing Literature
3. Explore Publications for Standards
4. Consult Subject-Matter Experts
5. Conduct Topic Analysis
6. Develop Inspection Purpose
7. Develop Inspection Objectives

a. Review Guidance. Research of an inspection topic should always begin with the commander's guidance. The guidance will identify specific areas of a process or function of most interest to the commander, potentially saving the inspection team hours or days of unnecessary work. The commander's guidance translates directly into the focal points of the inspection, which may become the Inspection Objectives. Even if the commander provides no specific guidance on an inspection topic, the CIG can derive a substantial amount of intent from existing knowledge of the commander's priorities and existing situational awareness of current operations and planning.

b. Review Existing Literature. This review involves an examination of relevant articles, lessons learned, and after-action reports on the subject that facilitate a greater understanding of the program or activity being inspected. Research should identify and study past inspection reports or results – inside or outside your organization – relevant to the planned inspection. Although there are no guarantees on the validity or reliability of data gathered, existing inspection materials may be very helpful in deriving potential objectives, standards, and systemic trends relating to the topic. Review the IG Network (IGNET) and Online Database and Inspector Network (ODIN) for any inspection reports regarding your subject. Also, use technical channels to solicit other Inspector General Program (IGP) IGs for existing inspection reports relating to the current topic.

c. Explore Publications for Standards. Search and review all SECNAV and Marine Corps regulations, doctrinal manuals, policies, and operations orders associated with the topic. Most standards are delineated in the Marine Corps Doctrinal Publications (MCDP 1 - 6) described in Section 2-1. This effort will help determine "what right should look like" and will provide some, but not all, of the applicable standards for the inspection. Web-based internet research is a practical and expedient way to locate the most current policies and doctrine. Many on-line publications have "hyper-links" to other referenced publications that allow the researcher to search quickly and gather related materials.

d. Consult Subject-Matter Experts. Discuss the topic with subject-matter experts (SME) inside and outside the organization to fill any remaining knowledge gaps. Face-to-face meetings (when possible) with local proponents can help clarify standards that apply to the topic and describe the doctrinal applications of the policies. Their experience and expertise will help you understand the various support activities, resources, requirements, and constraints affecting the activity or process being inspected. The topic may require the CIG to involve multiple proponents and SMEs to get an accurate and complete picture.

e. Topic Analysis by Team Members. The CIG should analyze the topic carefully to ensure understanding of all aspects of the inspected program or activity. The old adage "stick to what you know" does not apply to IG inspectors who, in most cases, must dramatically expand their knowledge base on a subject to ensure an inspection is relevant and responsive to the needs of the command. Two methods for analysis can be useful in helping the IG team to "dissect the anatomy" of a program or activity they plan to inspect and gain a better understanding of the requirements, components, resources, activities and relationships involved. The first method involves "function modeling" by graphically breaking down a system into its basic functions and the requirements or activities needed to perform each of those functions. The second method of analysis is a "DOTMLPF" approach, or examination of Doctrine-Organization-Training-Material-Leadership-Personnel-Facilities requirements involved in an activity or program.

(1) **Function Modeling.** Function modeling graphically depicts the decisions, actions, and activities of a process or system in order to describe and understand its functional aspects. Mapping these functions and the elements required to perform them allows the IG to "see" the complete picture of the inspection topic. Directly involving the proponents and SMEs with whom you have consulted in earlier research will greatly benefit this analysis. This process begins as a brainstorming session, so use a dry-erase board or chalkboard to capture the information. Beginning with the data derived from the literature

review, publications review, and SME interviews, the IG team starts grouping together the activities that are closely related or functionally similar. Through the grouping process, you will see a logical flow and hierarchy of functions within the process. Your team can illustrate the relationships and hierarchy of these functions by creating flow charts. The graphic below (**Figure 5-2**) illustrates the flow of activities where the result (output) from one function can lead to the performance of other functions or series of functions.

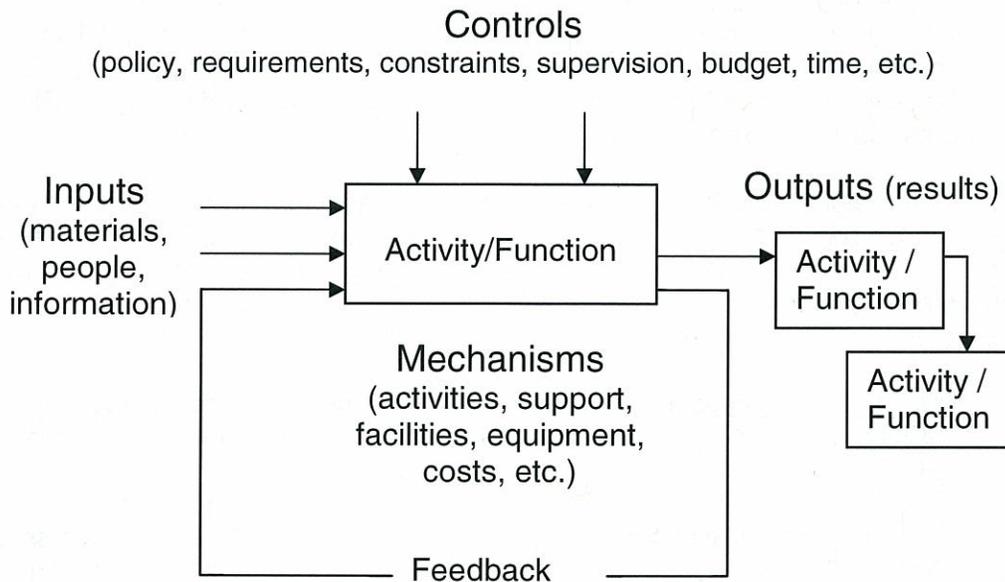


Figure 5-2
Functional Modeling

Within the flow chart, the IG can analyze the context of any function or activity and isolate and examine any one of these functions to greater levels of detail as needed. As depicted in Figure 1, a "box-and-arrow" technique using the "ICOM" method (Inputs, Controls, Outputs, and Mechanisms) is the most common way to analyze particular functions of interest to the command. Figure 5-2 shows their relationships to the activity. The ICOM is the working element of functional modeling.

- **Inputs** – Elements transformed by the activity or process. Inputs normally include material, people, or information.
- **Controls** – Those elements related to the activity that constrain or govern how to conduct the activity. Examples include policy, law, time constraints, budget constraints, doctrinal requirements, standing operating procedures, and guidance.
- **Outputs** – The results of the activity. Outputs can be things produced by the activity or inputs transformed by the activity. Outputs also include feedback information to refine the activity.
- **Mechanisms** – Those things that perform or support the activity. Mechanisms may be people, systems, facilities, or equipment necessary to accomplish the activity.

(2) ***Doctrine, organization, training, material, leadership, personnel, and facilities (DOTMLPF) Analysis.*** Much like the bicycle requires several different support systems (frame, wheels, pedals, chain, sprockets, etc.) working together to perform its function, military activities and operations require various support systems to keep them working effectively. The IG can analyze the support systems of any inspection topic by addressing the categories of DOTMLPF. The IG can also apply the DOTMLPF analysis to gain a holistic understanding of the inspection topic. The DOTMLPF approach is particularly useful in determining key aspects of the inspection subject to focus toward the inspection objectives. An analysis session is pure brainstorming among the IG team to associate the requirements identified during the preliminary research by DOTMLPF categories and to develop some potential objectives for further consideration. The IG should not attempt to conduct the DOTMLPF analysis without consulting the SME / proponents related to the inspection topic.

f. Develop Inspection Purpose. With sufficient guidance and research at this point, your IG inspection team should be ready to propose the goal of the inspection, (otherwise known as the Inspection Purpose). The Inspection Purpose is the inspection team's stated goal for the inspection. The statement should be clear and concise. Consider the following example:

Inspection Purpose: The purpose of this inspection is to determine why XX MEU and YY MEU are consistently undermanned with regard to Individual Augmentation (IA) personnel.

This example narrows the focus of the inspection by stating that the inspection team's efforts will focus on determining if IA personnel sourcing is effective. The goal is to get at any systemic issues concerning IA personnel assignments.

g. Develop Inspection Objectives. The IG team should start developing objectives referring to any command guidance received to identify important concerns or issues for the objectives. Consider using the function modeling and DOTMLPF to identify high-impact requirements and activities for developing objectives. Develop as many objectives as necessary to accomplish the intent of the inspection as outlined by the commander. As a general rule, the team should develop no more than five (5) objectives per inspection. Five objectives are sufficiently manageable for a team to break down into quantifiable Sub-Tasks.

An Inspection Objective should be clear, concise, and capture the essence of what the team needs to learn. Use active verbs to explain what the team wants to capture. The objectives can be broad in nature or focus on a specific issue where only one standard applies. Here are two examples:

- 1) Determine if there is a gap in the IA personnel sourcing system.

This objective will require a more subjective approach to the topic and not simply the results of the inspection team's personal observations. The opinions of leaders and personnel officers will certainly matter in terms of measuring the effectiveness in both their minds and the minds of the inspection team's members. This evaluation approach relies more on analytical thought and less on following a prescribed performance measure or standard. Objectives phrased in this manner suggest that several standards (regulations, policies, etc.) apply to this objective.

2) Determine if Manpower and Personnel Planning is being conducted in accordance with MCO 1001.61 w/ch 1, Policy and Procedures for Sourcing Personnel to Meet Individual Augmentation (IA) Requirements.

This objective is very narrow in scope and focuses clearly on compliance with a specific standard. In other words, only one standard applies to this specific objective. The inspection team members can answer this objective through observation and by reviewing logs, records or other documents; the team does not necessarily require direct input from unit leaders to determine if the unit is in compliance with this objective.

These two types of inspection objectives can complement each other and comprise some -- or all -- of the objectives developed for inspecting a particular topic. Two of the objectives may identify specific standards (regulations, policies, OPLANS, etc.) while the other three objectives may focus on assessing issues in a more analytical -- or subjective -- manner. The important thing to know before developing each objective is whether or not some standard -- or even a doctrinal application -- exists for the objective.

3. Approving the Inspection Purpose and Objectives. The inspection team must agree upon the purpose and objectives. The purpose and objectives will form the basis for developing the concept of the inspection as part of Step 2 of the Inspections Process.

Section 5-2

The Preparation Phase Step 2: Develop the Concept

1. **Develop the Concept.** Developing an inspection concept depends upon completing a period of effective and in-depth research on the inspection topic followed by the development of the inspection purpose and objectives. The concept is nothing more than a plan outlining -- in general -- how the inspection team plans to accomplish the inspection. The physical output of this step is the Concept Letter, which the inspection team develops as a way to formally communicate the major parts of the inspection concept. This letter will later form the basis for the Concept-Approval Briefing to the commander. If a letter or memorandum is not required for staffing or any other purpose, then the inspection team may convert the concept directly into a briefing format.

2. **The Inspection Concept Letter:** The purpose of the Inspection Concept Letter, also known as a Statement of Work, is to summarize the inspection concept in a two or three-page memorandum to gain approval of the CIG or other staff members as required. The Inspection Concept Letter includes the following items:

- a. Purpose (purpose of the inspection developed during the research step)
- b. Objectives (developed previously during the research step)
- c. Scope (describes the team's intended task organization and the number of units or installations the team plans to visit)
- d. Focus (mentions whether the inspection is a compliance or systemic inspection and describes the basic intent of the inspection as viewed by the inspection team)
- e. Timeline (outlines the key milestone dates from the time the commander signs the Inspection Directive to the completion of the Final Report)
- f. Timing of Feedback (discusses the nature of the feedback that each inspected unit or location will receive from the team and may include a comment about when the commander can expect a mid-inspection update if necessary)
- g. Notification (explains how the inspection team plans to notify the inspected units)

3. **Sample Inspection Concept Letter:** A sample Inspection Concept Letter is located on the next page.

MARCENT COMMAND LETTERHEAD

20 AUG ____

MEMORANDUM FOR THE COMMANDER

SUBJECT: Inspection Concept for Individual Augmentation (IA) Sourcing Process

1. PURPOSE: The purpose of this inspection is to determine why XX MEU AND YY MEU are consistently undermanned with regard to IA personnel.
2. OBJECTIVES:
 - a. Determine if there is a gap in the IA personnel sourcing system.
 - b. Determine if S-1 and S-3 personnel are properly trained.
 - c. Determine the readiness and workload impact due to the undermining of IA billets.
3. SCOPE: One team of three inspectors will visit and interview the two MEU's S-1 / S-3 personnel and conduct sensing sessions / focus groups with officers and enlisted leaders.
4. FOCUS: This inspection will be a systemic inspection that focuses on the IA sourcing process and the impact to mission readiness based on undermining funded IA billets in each MEU.
5. TIMING OF FEEDBACK: The Command Inspector General, will conduct a mid-inspection briefing with the Commander followed by a final-report briefing at the conclusion of the inspection. During the conduct of the inspection, each team will provide the inspected unit with immediate -- but general -- feedback following the visit in the form of an out-briefing. This out-briefing will capture the salient points of the team's preliminary findings and articulate in detail those results that may require immediate action.
6. TIMELINE:
 - a. Gain Commander's approval of the concept: 24 August
 - b. Send Notification Letter: 20 September
 - c. Send Detailed Inspection Plan to Units: 20 October
 - d. Visit first unit or staff section: 20 November
 - e. Visit last unit or staff section: 04 December
 - f. Final results to the Commander: 30 December
 - g. Final written report complete: 10 January
7. NOTIFICATION: The Inspection Team will announce the inspection in advance using a Notification Letter and work with each unit or staff agency to develop detailed inspection schedules and gather resources.

//original signed//
A. J. SLAUGHTER
Colonel, USMC
Command Inspector General

Section 5-3

The Preparation Phase

Step 3: Commander Approves the Concept

1. **Develop the Concept-Approval Briefing.** The Concept-Approval Briefing is a decision briefing that the inspection team presents to the commander to gain his or her approval of the inspection concept. The briefing format closely follows the respective paragraphs of the Concept Letter and offers no additional information. At the conclusion of the briefing, the inspection team requests the commander's approval. If the commander approves the concept, then the inspection team will present the commander with an Inspection Directive for signature. The only physical output of this step is the Inspection Directive.
2. **Sample Concept-Approval Briefing:** A sample Concept-Approval Briefing based upon the Concept Letter is located below.

Decision Briefing Inspector General

Inspection Concept for Individual Augmentation
Sourcing Process
20 November to 10 December 20XX



Purpose

- To gain the Commander's approval of the inspection concept for evaluating the IA Sourcing Process for all MEU's within our AOR.



Agenda (or Outline)

- Inspection Purpose
- Objective
- Scope
- Focus
- Timeline
- Notification



Inspection Purpose

- The purpose of this inspection is to determine why XX MEU and YY MEU are consistently undermanned with regard to IA personnel.



Inspection Objectives

- Determine if there is a gap in the IA personnel sourcing system.
- Determine if S-1 personnel are properly trained
- Determine the readiness and workload impact due to the under manning of IA billets.



Scope

- One team of three inspectors will visit and interview both MEU S-1/S-3 personnel and conduct sensing sessions/focus groups with officers and enlisted leaders.



Focus

- This inspection will be a systemic inspection that focuses on the IA sourcing process and the impact to mission readiness based on under manning funded IA billets in each MEU



Timing of Feedback

- The CIG will conduct a mid-inspection briefing with the Commander followed by a Final Report briefing at the conclusion of the inspection.
- During the conduct of the inspection, each team will provide the inspected unit with immediate – but general – feedback in the form of an outbrief.



Timeline

- Send the Notification Letter - 20 September 20xx
- Send the Detailed Inspection Plan to the units – 20 October 20xx
- Visit first unit or staff section – 20 November 20xx
- Visit last unit or staff section – 10 December 20xx
- Final results to the Commanding General – 30 December 20xx
- Final written report complete – 10 January 20xx



Approval

- Do you approve of this inspection concept ?
- If yes, please sign the Inspection Directive.
- Do you have any additional guidance for the inspection ?



3. The Inspection Directive. The Inspection Directive is a critical document that authorizes the CIG to conduct the inspection and gives the CIG temporary tasking authority for the purposes of the inspection. The commander's signature at the bottom of this document means the CIG is acting under the specific direction of the commander. The inspection team must craft the Inspection Directive carefully to ensure the language within the document authorizes the inspection team to gain access to the areas required and to task those units or agencies within the command to support -- or participate in -- the inspection. The Inspection Directive should include the following:

- a. A statement directing the CIG to conduct the inspection.
- b. A list of all objectives that pertain to the inspection.
- c. A statement that outlines the tasking authority for all organizations assigned to the command.
- d. A statement that authorizes the IG to have access to all activities, organizations, and information sources required to conduct the inspection.

A sample Inspection Directive is located on the next page.

MARCENT COMMAND LETTERHEAD

24 August ____

MEMORANDUM FOR THE COMMAND INSPECTOR GENERAL

SUBJECT: Directive for Assessment (Individual Augmentation Sourcing Process)

1. You are directed to evaluate the effectiveness of the Individual Augmentation (IA) Sourcing Process in within the MARCENT AREA of Responsibility, specifically XX MEU and YY MEU.
2. The assessment will focus on the following objectives:
 - a. Determine if requirements are properly documented and funded in Manning Documents.
 - b. Determine if S-1 personnel are properly trained.
 - c. Determine the readiness and workload impact due to the undermanning of IA billets.
3. You are authorized to task all MEU staff and subordinate headquarters for those resources required to ensure the successful accomplishment of this assessment.
4. You are authorized unlimited access to MEU activities, organizations, and all information sources necessary to complete this effort.
5. You will provide me with a mid-course progress review on or about 30 November followed by a written report not later than 10 January.

I. Know
LtGen, USMC

Section 5-4

The Preparation Phase Step 4: Plan in Detail

1. **Planning in Detail:** This step is the most comprehensive and critical step of the entire Preparation Phase. The products that the inspection team develops during this step will ensure the smooth and effective execution of the inspection for the remaining two phases. The four physical outputs of this step are as follows:

- a. Sub-Tasks for each Inspection Objective
- b. Methodology
- c. Notification Letter
- d. Detailed Inspection Plan

2. **Developing Sub-Tasks:** Sub-Tasks are tasks that focus the inspection team on specific ways to seek information and then answer the basic requirement of an Inspection Objective. The inspection team breaks down each Inspection Objective into achievable tasks based upon the standards and doctrine governing the inspection topic and the Command Inspector General's (CIGs) methods for gathering information. IG inspectors have five information-gathering techniques -- or domains -- available to them. Those domains are as follows:

- a. Interviews with key leaders or personnel.
- b. Sensing sessions with enlisted personnel, officers, and civilians (as required).
- c. Reviews of pertinent documents such as Marine Corps Publications, Regulations, Standing Operating Procedures (SOPs), command policy letters, training-guidance memoranda, etc.
- d. Observation of major training events, live-fire exercises, after-action reviews, inspections, morale, etc.
- e. Surveys and Questionnaires for all interview or sensing session populations (normally used for topics that require some basic factual information or a sampling of a unit's population; DoD Instruction 1100.13, Surveys of DoD Personnel, applies).

These information-gathering methods will guide the development of each Sub-Task so the CIG will not develop a task the inspection team cannot accomplish using the available techniques. Gathering information to answer a particular Sub-Task is not limited to one information-gathering technique. Two or more information-gathering techniques may be applicable to a Sub-Task.

Developing Sub-Tasks requires a great deal of thought and relies largely upon information gleaned from the Research step (Step 1) of the Preparation Phase. Subject-

matter experts and the applicable standards, policies, and regulations are the best sources of information when developing Sub-Tasks. Each Sub-Task must have a clearly stated – or implied – purpose that directly supports the information requirements of the objective for which the Sub-Task applies. Some examples of Sub-Tasks for an IA Manning inspection are as follows:

Objective 1: Determine if there is a gap in the IA personnel sourcing system.

Sub-Task 1.1: *Interview* MEU S-1 and S-3 staff to determine if they understand the policy requirements of the IA sourcing process.

Sub-Task 1.2: *Conduct sensing sessions* with MEU S-1 and S-3 personnel to determine any gaps in the IA sourcing process from the HQMC level to the MEU.

Objective 2: Determine if MEU S-1 and S-3 personnel are properly trained.

Sub-Task 2.1: *Interview* MEU S-1 and S-3 personnel to determine training and experience with regard to manpower management.

Objective 3: Determine readiness and workload impact due to under manning of IA billets.

Sub-Task 3.1: *Conduct sensing sessions* to determine the impact on readiness with regard to undermanning of funded IA billets.

Sub-Task 3.2: *Review* mission readiness data in each MEU as it pertains to personnel and mission accomplishment.

Each example listed above is tied directly to one information-gathering activity (or domain), which can sometimes limit the perspective and scope of the information gathered for that particular Sub-Task. Using multiple information-gathering domains to answer a Sub-Task is best due to the variety of sources and perspectives leading to a more informed finding statement. One can signal this broader information-gathering perspective by simply re-phrasing the Sub-Task to avoid limiting the information-gathering activities that the IG inspection team will use to answer that particular Sub-Task. For example, Sub-Task 1.1 can be re-phrased as follows:

Sub-Task 1.1: Determine if MEU S-1 and S-3 personnel fully understand the IA sourcing process (conduct interviews and sensing sessions).

The IG inspection team must list in parentheses – for their own purposes – the information-gathering domains that apply to this broader Sub-Task. This information will not appear in the Final Inspection Report but will signal clearly to the IG inspection team which information-gathering activities apply to the Sub-Task. This information becomes critical in the next step when the team uses the Sub-Tasks to develop a baseline methodology.

The completed Sub-Tasks will later form the basis for the findings that the inspection team will generate during the Execution and Completion Phases of the Inspections Process. The inspection team will develop at least one finding statement per Sub-Task. The sum of these findings statements for each Sub-Task will form the

basis for the final response to each Inspection Objective. However, the IG inspection team must remember that Sub-Tasks are a IG tool that the team can manipulate, refine, combine, or delete as necessary during the inspection process. The team should refrain from making these changes haphazardly since the Sub-Tasks are the mechanisms that drive the gathering of information during the inspection.

3. Developing a Methodology: A methodology is nothing more than the inspection team's plan for physically conducting an inspection at a unit or within the IG's area of responsibility. The Sub-Tasks that the team developed for each objective will drive this approach since the team must develop a plan allowing them to conduct the information-gathering activities required for the inspection. This particular sub-step of Step 4 has three separate physical outputs:

a. **Task Organization of the Inspection Team:** The Inspection Team Leader must decide how he or she wants to organize the team for the inspection. If time is short but the sampling of units to inspect is high, the Team Leader should consider splitting the team into smaller teams each led by a IG. Two or more inspection teams can inspect more units over a shorter period of time. Traveling as one team may be necessary for certain inspections. The team must also consider the type and number of augmentation personnel required. With the authority granted to the IG in the Inspection Directive, the team can task the appropriate staff, agency or office for subject-matter experts to serve as Temporary Assistant IGs (TAIG) and assist in the conduct of the inspection. These augmentees must be aware of IG information restrictions (see the Inspector General Program IG Concept and System Guide, Chapter 2 Section 2-1). The TAIG must also be aware of the IG notion of confidentiality and have specific responsibilities within the team (or teams). Normally, these augmentees are best suited to conduct reviews of key documents. A sample task organization for this team is as follows:

Team:

LtCol Marine (AIG)
Maj Naval Aviator (AIG)
GySgt Rock (TAIG, MARCENT G-1 Staff)

LtCol Marine is the overall Team Leader for the entire inspection effort.

b. **Baseline Methodology:** The baseline methodology is the standard approach the inspection team (or teams) will follow during an inspection visit to a unit or agency. This approach is based upon the team's information-gathering requirements (as outlined in the Sub-Tasks) and assigns information-gathering responsibilities to each team member. Each team member must have a specific function within the team. The baseline methodology is the way the team would ideally like to conduct an inspection visit at a unit or agency without considering time restrictions. A sample baseline methodology for an inspection on the topic of IA Manning is as follows:

(1) Personnel to Interview (Interviews and Sensing Sessions):

- MEU S-1 and S-3 (**Maj Naval Aviator / LtCol Marine - Interviewers**)
- Officers O-4 and above (**Maj Naval Aviator / LtCol Marine - Sensing Session**)
- E-7 and above (**GySgt Rock / LtCol Marine - Sensing Session**)

(2) Documents to Review in Advance (Document review conducted by TAIG, GySgt Rock, from MARCENT G-1):

- MCO 1001.61, w/ch 1, Policy and Procedures for Sourcing Personnel to Meet Individual Augmentation (IA) Requirements
- Manning Documents for XX MEU and XX MEU
- Current IA Sourcing Process procedures per MCO 1001.61, Appendix F
- Personnel Readiness reports
- Mission Readiness reports

(3) Events to Observe (as available based upon the day the inspection team visits the unit):

- Morale
- Working conditions

Note: All team members will observe training as available.

c. **Sample Inspection Itinerary:** The Sample Inspection Itinerary applies time constraints to the baseline methodology. The inspection team must decide how long the team will spend at a particular unit or agency (one day, two days, or even five days). After this decision, the team will develop a Sample Inspection Itinerary for each day spent at a unit or agency. This itinerary will allow the team members to see precisely what parts of the baseline methodology they can accomplish during the given time period and to set priorities accordingly. Conducting all of the interviews and sensing sessions outlined in the baseline methodology may not be possible, so determine which sensing sessions to conduct during each visit. The Sample Inspection Itinerary assists the inspected unit or agency by offering specific scope and timeline of the inspection. The inspected unit or agency will assist the IG inspection team in refining the sample itinerary. Finally, the sample itinerary must always include an in-briefing and an out-briefing time. All inspection teams must brief the unit leadership before conducting the inspection and then offer general, non-attributed feedback in the form of an out-briefing following the inspection. A Sample Inspection Itinerary for a one-day inspection visit is as follows:

0800-0815 In-Brief Commander and Unit Leaders
 0830-1000 Interview S-1
 1000-1130 Sensing Session with Maj and Above
 1000-1130 Review Documents
 1130-1230 Lunch
 1300-1430 Sensing Session with GySgt and Above
 1500-1600 Interview S-3
 1600-1630 Out-brief Commander

4. The Notification Memorandum (or Letter): The Notification Memorandum (the only physical output of this sub-step) officially notifies the affected units or staff agencies that an inspection is forthcoming. Once the inspection team selects the units or staff agencies that will participate in the inspection, the Team Leader (or leaders) will contact each affected unit or staff agency and their CIG (if applicable) at least one week before sending the Notification Memorandum. The memorandum officially notifies the command that an inspection is forthcoming. The memorandum also serves as a

precursor to the Detailed Inspection Plan, which will normally follow the Inspection Notification Memorandum by no more than three weeks. The reason for this delay is that the Notification Memorandum will allow the affected units to provide feedback to the IG regarding the timing of the inspection or other issues. If an unforeseen issue arises that requires a change to the Detailed Inspection Plan, the team will have time to make those changes before submitting the final plan.

a. The Inspection Notification Memorandum should include the following information:

(1) Background information about the inspection's origin

(2) Purpose of the inspection

(3) A listing of the units the team will visit by location (do not assign dates to these inspections since the calendar may change as a result of feedback the team receives from the affected units)

(4) The Inspection Objectives

(5) The basic methodology for the inspection (outline the information-gathering domains employed such as document review, sensing sessions, interviews, observation, and questionnaires or surveys)

(6) The basic timeline (the minimum information included are the dates for actual execution phase, the projected out-briefing to the commander, and the date when the Final Report must be complete)

(7) Include a copy of the signed Inspection Directive as an enclosure

b. See the next page for a sample Inspection Notification Memorandum. Each affected unit must receive a signed copy of this memorandum. PDF files sent via email are the most efficient means of distribution while facsimile and messenger are the least efficient.

MARCENT COMMAND LETTERHEAD

20 September ____

MEMORANDUM NOTIFICATION SEE DISTRIBUTION

SUBJECT: Notification of the Individual Augmentee Sourcing Process Inspection

1. BACKGROUND: On 12 August ____, the Commander directed the Command Inspector General to conduct a Systemic Inspection of under manning of Individual Augmentees (IA) within XX MEU and YY MEU. The Commander signed the Inspection Directive on 24 August ____ (see enclosure).
2. PURPOSE: The purpose of this inspection is to determine why MEU's are consistently undermanned with regard to IA personnel.
3. INSPECTED UNITS: The units and staff agencies affected by this inspection are as follows:
 - a. XX MEU
 - b. YY MEU
4. OBJECTIVES: The objectives for this inspection are as follows:
 - a. Determine if there is a gap in the IA personnel sourcing system.
 - b. Determine if S-1 personnel are properly trained.
 - c. Determine readiness and workload impact due to the undermanning of IA billets.
5. METHODOLOGY: The baseline methodology for this inspection is as follows:
 - a. In-brief the unit leaders and staff members.
 - b. Review relevant documents related to IA Manning.
 - c. Interview MEU S-1 and S-3
 - d. Survey Maj's and above and GySgt's and above through sensing sessions.
 - e. Out-brief the unit leaders and staff members and provide general feedback.
6. FEEDBACK: The results of this inspection will be contained in a written report distributed throughout the division and installation following the Commander's approval of the results.
7. TIMELINE: The projected timeline for the inspection is as follows:
 - a. Pre-inspection visit: 1 November ____
 - b. Visit units: 20 November ____ to 4 December ____
 - c. Out-brief the Commanding General: 30 December ____
 - d. Complete the report: 10 January ____
8. INTENT: The intent of the IG Inspection Team is to conduct this assessment with minimal disruption to ongoing training and operations. The team will require a few special arrangements

that include the scheduling of sensing sessions, interviews, in-briefings, and out-briefings. The IG will publish a Detailed Inspection Plan NLT 20 October ____.

9. POC for this inspection is LtCol Marine, (703) 123-5678 or DSN: 555-5678, E-mail address@USMC.mil.

I. M. Naval Aviator
MAJ, IG
Chief, Inspections Branch

DISTRIBUTION:

Commanding Officer, XX MEU
Commanding Officer, YY MEU
Commanding General, II MEF

FOR OFFICIAL USE ONLY

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5. Sample Fragmentary Order (FRAGO): In operational theaters, many commands use FRAGOs or other formats to transmit changes to existing base plans. Although the formats may vary, the same basic information included in documents such as the notification memorandum remains the same. A sample FRAGO that incorporates information from a notification memorandum is located below.

SUBJECT: MARCENT FRAGO _____ XX MEU, YY MEU SUPPORT TO
MARCENT IG INSPECTION TEAM

ORIGINATOR: _____

DTG: _____

PRECEDENCE: ROUTINE

DAC: GENERAL

(CLASSIFICATION)//REL TO USA.//MR

OPER/XXXX//

MSGID/ORDER/MARCENT//

TIMEZONE/Z//

NARR/ (U) THIS IS MARCENT FRAGO _____ XX MEU, YY MEU SUPPORT
TO MARCENT IG INSPECTION TEAM AND NOTIFICATION OF UPCOMING
INDIVIDUAL AUGMENTATION INSPECTION//

GENTEXT/SITUATION/

1. (U) SITUATION. ON 12 AUG XX, CDR MARCEN DIRECTED THE CIG TO CONDUCT A SYSTEMIC INSPECTION OF THE UNDERMANNING OF INDIVIDUAL AUGMENTATION (IA) WITHIN XX MEU, YY MEU.//

GENTEXT/MISSION/

2. (U) MISSION. MARCEN CIG WILL CONDUCT AN INSPECTION OF XX MEU, YY MEU BEGINNING 20 NOV XX AND ENDING 4 DEC XX TO DETERMINE WHY THE MEUS ARE CONSISTENTLY UNDERMANNED.//

GENTEXT/EXECUTION/

3. (U) EXECUTION.

3.A. (U) CONCEPT OF OPERATIONS. CIG BRIEFED CDR, MARCENT ON 24 AUG XX AND OBTAINED APPROVAL OF THE METHODOLOGY FOR THE CONDUCT OF THE INSPECTION.

3.B. (U) TASKS.

3.B.1 (U) CIG WILL CONDUCT THE INSPECTION TO DETERMINE THE CONSISTENT UNDERMANNING IN THE FOLLOWING METHOD:

3.B.1.A. (U) IN-BRIEF THE UNIT LEADERS AND STAFF MEMBERS.

3.B.1.B. (U) REVIEW RELEVANT DOCUMENTS RELATED TO IA MANNING.

3.B.1.C. (U) INTERVIEW THE MEU S-1 AND S-3

3.B.1.D. (U) SURVEY MAJ AND ABOVE AND GYSGT AND ABOVE THROUGH SENSING SESSIONS.

3.B.1.E. (U) OUTBRIEF THE UNIT LEADERSHIP AND STAFF MEMBERS AND PROVIDE GENERAL FEEDBACK.

3.B.2. (U) XX MEU, YY MEU. PROVIDE ALL BOS REQUIRED TO THE MARCENT IG INSPECTION TEAM.

3.C. (U) COORDINATING INSTRUCTIONS. DIRLAUTH REQUIRED BETWEEN THE MARCENT IG AND XX MEU, YY MEU IN ORDER TO FINALIZE INSPECTION PROCESS. KEEP HEADQUARTERS, _____ MARCENT INFORMED.

3.C.1 (U) THE INTENT OF THE IG INSPECTION TEAM IS TO CONDUCT THIS ASSESSMENT WITH MINIMAL DISRUPTION TO OPERATIONS. TEAM WILL PUBLISH A DETAILED INSPECTION PLAN NLT 20 OCT XX THAT WILL INCLUDE THE SCHEDULE FOR THE SENSING SESSIONS, INTERVIEWS, IN-BRIEF, AND OUT-BRIEF.

3.C.2 (U) THE TEAM WILL COORDINATE WITH THE MEU PRIOR TO PUBLISHING THE DETAILED INSPECTION PLAN TO SOLICIT DATES THAT CAN ACCOMODATE THE SCHEDULE//

GENTEXT/ADMINISTRATION AND LOGISTICS/

4. (U) ADMIN AND LOGISTICS.

4.A. (U) CONCEPT OF LOGISTICS SUPPORT WILL REQUIRE CLOSE COORDINATION BETWEEN THE MARCENT IG AND MEU.

4.B. (U) MARCENT IG WILL PROVIDE XX MEU, YY MEU DATA ON NUMBER OF PERSONNEL AND AMOUNT OF EQUIPMENT TO BE HOSTED AT _____.

GENTEXT/COMMAND AND SIGNAL/

5. (U) COMMAND AND SIGNAL.

5.A. (U) _____ RETAINS OPCON/TACON OF OPERATIONS.

5.B. (U) POINTS OF CONTACT.

5.B.1. (U) MARCENT CIG, _____@XXXXXXXXX.SMIL.MIL.

5.B.2. (U) MARCENT IG, MAJ I.A. NAVAL AVIATOR DSN _____ VOSIP: _____ MAIL: I.A.NAVAL AVIATOR(AT)_____.SMIL.MIL OR LTCOL MARINE MARCENT INSPECTION TEAM DSN _____ MAIL: SAILOR(AT)_____.SMIL.MIL

5.C. (U) ACKNOWLEDGEMENT. ALL ACTION ADDRESSEES CONFIRM RECEIPT OF THIS FRAGO BY EMAIL TO _____@_____.SMIL.MIL//

6. The Detailed Inspection Plan: The Detailed Inspection Plan is the single most important planning document the inspection team will develop and issue to the units or agencies affected by the inspection. This document (the only physical output of this sub-step) requires the greatest amount of detail possible so that -- once issued -- the document anticipates and answers the questions of all affected commands and units. The focus of the Detailed Inspection Plan is to provide the unit or agency enough information to gather resources and coordinate an itinerary for the visiting IG inspection team. A proper Detailed Inspection Plan leaves very few questions from the units being inspected. Assign inspection dates to each unit when developing the Detailed Inspection Plan. The team should consider any feedback on dates from the units following their receipt of the Notification Memorandum. The inspection team should consult the command's master training calendar (S-3 /Training & Operations) to ensure that all affected units will be available to participate during the specified inspection period. Some units may be unable to participate based on their operations schedule. The master training calendar will also allow the inspection team to determine if key training events are occurring that may be worthwhile to schedule for observation. Once the team assigns inspection dates to each unit or agency, the team will complete the Detailed Inspection Plan, which should -- at a minimum -- include the following:

a. **Directive:** Explain the background of the inspection and list the date that the commander signed the Inspection Directive.

b. **Inspection Goal (Purpose):** Outline once more the overall goal (or purpose) of the inspection.

c. **Inspection Objectives:** List the objectives in their final version.

d. **Task Organization:** Explain how the team is structured for the inspection. List the names of each team member and, if necessary, each member's security clearance.

e. **Inspection Locations and Schedule:** List the units the team -- or teams -- will visit by location and date.

f. **Inspection Approach:** Explain in detail the team's methodology for conducting an inspection at each location. Normally, the team will state that it will conduct interviews, sensing sessions, document reviews, and observation -- or use only two or three of these information-gathering methods. List specifically the types or duties of the individuals -- by grade -- whom the team wishes to interview or sense. Outline in specific terms the documents the team must review. List the types of events the team would like to observe and evaluate. This level of detail will assist the inspected unit or agency when coordinating and refining the team's itinerary.

g. **Interview Requirements:** This section of the plan should outline the individuals whom the team must interview and sense by duty position and by number. The number of individuals may change by type of unit or location, so the team should consider generating separate requirements for specific units based on their demographics. Tables work best when outlining these requirements (see the sample Detailed Inspection Plan for an example). This section should also outline all classroom and interview location requirements.

h. **Inspection Itineraries:** Be clear about the unit or agency's responsibilities with regard to developing, coordinating, and refining the itinerary. A unit or agency representative should be the ultimate coordinator for everything the team does during the visit. Explain in detail the unit's time requirements for submitting a draft itinerary to the team for review (at least one week before the scheduled visit). Include the Sample Inspection itinerary the team developed as part of the methodology in this paragraph to help guide the unit or agency's efforts. Each unit or agency representative will work with his or her respective IG team chief to craft the right itinerary that will allow the team to accomplish the inspection objectives.

i. **Document Requests:** In most cases, the team will want to review a unit or agency's documents prior to arrival. This paragraph should explain precisely what documents the team must review and how the unit or agency should send them (FedEx, email, regular mail, and so on). The documents should arrive with the first draft of the itinerary.

j. **Resources:** This paragraph should explain to the unit or agency how the IG team plans to travel to the location. The team must also explain any individual equipment limitations as necessary. For example, the team members may have Kevlar helmets and personal field gear available for visiting field sites but may not have proper cold-weather gear, flak vests, sleeping bags, or other items the team may need for certain events.

k. **Administrative Support Requirements:** List any equipment requirements the inspection team will need while conducting the inspection visit. For example, desk space, computer and printing support, copy-machine support, and so on. The team

should mention that the inspected unit or agency might have to provide the team with any additional equipment as required.

l. Report Completion Timeline: Specify the dates the team will brief the commander and complete the final report.

m. Suspense Summary: Summarize all requirements mentioned throughout the Detailed Inspection Plan for the affected units or agencies. This paragraph will ensure the units or agencies understand all of the requirements set forth in the Detailed Inspection Plan.

n. Distribution: List all of the affected units or agencies that will receive a copy of the Detailed Inspection Plan. Each unit or agency must receive a signed copy of the Detailed Inspection Plan.

A sample Detailed Inspection Plan for an Individual Augmentation Sourcing Process Inspection:

MARCENT COMMAND LETTERHEAD

20 October ____

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Detailed Inspection Plan for an Individual Augmentation Sourcing Process Inspection

1. **DIRECTIVE:** On 12 August ____, the Commander directed the Command Inspector General to conduct a Special Inspection of the Undermanning of Individual Augmentees (IA) within XX MEU and YY MEU. The Commander signed the Inspection Directive on 24 August ____.

2. **INSPECTION GOAL:** The goal of the inspection is determine why MEUs are consistently undermanned with regard to IA personnel.

3. **OBJECTIVES:** The objectives for this assessment are as follows:

- a. Determine if there is a gap in the IA personnel sourcing system.
- b. Determine if S-1 personnel are properly trained.
- c. Determine readiness and workload impact due to the undermanning of IA billets.

4. **TASK ORGANIZATION:** An inspection team from the Command Inspector General's Office will conduct the assessment by inspecting two MEUs. The composition of the team and each person's security clearance is as follows:

LtCol Marine (Team Leader) – Top Secret
Maj Naval Aviator (Deputy Team Leader) – Top Secret
GySgt Rock (TAIG, MARCENT G-1 Staff) – Secret

5. **INSPECTED UNITS:** The inspection will involve the following units and staff agencies on the dates indicated:

20 November: XX MEU

26 November: YY MEU

6. **INSPECTION APPROACH:** The Inspection Team will spend one day inspecting each unit. The respective unit will draft an itinerary for the Inspection Team based upon the guidance outlined in paragraph nine of this document. The basic inspection approach at each location will be to in-brief the unit leaders and staff members; review relevant documents related to Individual Augmentation manning in the unit; survey Maj's and above and GySgt's and above through sensing sessions; and out-brief the unit leaders and staff members to provide general feedback.

a. **Personnel to Interview** (see paragraph seven below for specific requirements):

- MEU S-1 and S-3
- Officers Maj and above
- Enlisted GySgt and above

b. **Documents to Review in Advance:**

- MCO 1001.61 w/ch 1, Policy and Procedures for Sourcing Personnel to Meet Individual Augmentation (IA) Requirements
- Manning Documents for MEUs
- Written assessments of any readiness gaps due to the undermanning of IA personnel
- Personnel Readiness Reports
- Mission Readiness Reports

c. **Events to Observe (as available based upon the day that the inspection team visits the unit):** None

7. **INTERVIEW REQUIREMENTS:** The following table outlines the specific interview and sensing-session requirements.

	Commander	GySgt and Above	Maj and Above	Junior Officers	E-5 to E-6	S-1 Officers	S-3 Officers
Individuals Interviewed	1	1				1	1
Sensing Session: GySgt and Above		3	4	6	7		
Sensing Session: Maj and Above				0			
Sensing Session: Sgt & SSgt					0		
Total Contacted	1	4	4	6	7	1	1

a. **Higher-Level Headquarters Considerations.** The number of sensing-session participants will be fewer for each of the categories during visits to higher-level headquarters.

b. **Classroom and Interview Location Requirements.** Each sensing session will require a classroom or similar facility that is removed from the unit's normal work location. The area must be relatively quiet and free from interruptions and telephone calls. In addition, the room will need no less than eight chairs or desks formed into a "U" shape. The unit should schedule 90-minute blocks for each sensing session. Individual interviews can occur in the interviewee's office or in a similar location free from interruptions and telephone calls. The unit should schedule these interviews to last no more than one hour.

8. **INSPECTION ITINERARIES:** The Inspection Team requests a draft itinerary that meets the requirements listed in paragraphs six and seven no less than 10 days before the day of the scheduled inspection. These itineraries should go directly to the Team Leader (see paragraph four). The Team Leader will work with each unit to determine which itinerary best allows the Inspection Team to meet the objectives listed in paragraph three. The intent of each inspection team is to conduct this assessment with minimal disruption to ongoing training. The team requires no special calendar arrangements except for the scheduling of group sensing sessions, interviews, and in- and out-briefings. A sample itinerary for a one-day unit inspection is as follows:

0800-0815 In-Brief Commander and Unit Leaders
 0830-1000 Interview S-1
 1000-1130 Sensing Session with Maj's and above
 1000-1130 Review Documents
 1130-1230 Lunch
 1300-1430 Sensing Session with GySgt's and above
 1500-1600 Interview S-3
 1600-1630 Out-brief Commander

9. **PRE-INSPECTION DOCUMENT REQUEST:** The Inspection Team requests that each unit send the following documents -- as they apply -- to the inspection Team Leader:

- MEU MD
- MEU Individual Augmentation requirements
- MEU Readiness Reports

The intent of this document request is to view only those documents that relate to Individual Augmentation. Avoid sending documentation that does not apply to Individual Augmentation. These documents are due to the Inspection Team Leader not later than 10 days before the scheduled inspection. Electronic versions of these documents sent via email are acceptable.

10. **RESOURCES:** The Inspection Team will travel to each unit using locally procured transportation of one HMMWV. The team members do not require any additional transportation. Each team member will have required personal protective equipment. The unit will provide other special equipment to the team members as required.

11. **ADMINISTRATIVE SUPPORT REQUIREMENTS:** The Inspection Team will require the following administrative support assistance from each unit:

- a. Desk space for three or more people
- b. Access to a computer
- c. Printer and copying support

12. **REPORT COMPLETION TIMELINE:** The results of the inspection will be contained in a written report distributed to the MEU's following the Commander's approval of the results. The schedule to complete the report is as follows:

- a. Out-brief the Commander: 30 December ____
- b. Complete report: 10 January ____

13. SUSPENSE SUMMARY: A summary of the suspenses contained in this document is as follows:

a. Draft itineraries due to the Inspection Team no less than 10 days before the date of the scheduled inspection.

b. Requested documents due to the Inspection Team not later than 10 days before the day of the scheduled inspection.

14. POC for this inspection is LtCol Marine, (703) 123-5678 or DSN: 555-5678, E-mail address@USMC.mil.

I. M. Naval Aviator
MAJ, USMC
Chief, Inspections Branch

DISTRIBUTION:

Commanding Officer, XX MEU
Commanding Officer, YY MEU
Commanding General II MEF

Section 5-5

The Preparation Phase Step 5: Train Up

1. **Training for the Inspection:** Once the IG inspection team completes and issues the Detailed Inspection Plan, the team can focus its efforts on training for -- and preparing to conduct -- the inspection. The team must perform a series of tasks and generate certain key products as follows:

- a. Conduct additional training on the inspection topic as required.
- b. Develop specific duties and responsibilities for the temporarily assigned IG (TAIG) personnel.
- c. Develop information-gathering tools such as interview questions, sensing-session questions, and direct-observation spot-report formats.
- d. Develop standard in-briefing and out-briefing formats.
- e. Conduct equipment inventories and rehearsals.
- f. Rehearse interviews and sensing sessions if feasible.
- g. Conduct a Pre-Inspection visit (Step 6 of the Preparation Phase).

The physical outputs of this step are the TAIG responsibilities, information-gathering tools, and standard in-briefing and out-briefing formats.

2. **Additional Training:** After planning in detail for the inspection, the Inspection Team Leader may realize that the Research step did not provide all of the information the team members require to accomplish the inspection successfully. The Team Leader may decide to ask the TAIGs -- as subject-matter experts -- to conduct training for the IG team members. The Team Leader may also request training from external subject-matter experts who can complement the information provided by the TAIGs. Another technique is to hold round-table discussions with the team members to discuss key aspects of the inspection topic. The sources for these discussions should be the applicable regulations and manuals governing the inspection topic. Once the Team Leader feels comfortable that the team knows enough to conduct the inspection effectively, they will "certify" -- in a subjective sense -- the team's ability to go forth and inspect units or agencies. No standard certification process exists or is necessary.

3. **Duties of TAIGs:** The Team Leader should capture in writing the duties and responsibilities of all TAIGs to avoid confusion as the inspection progresses. A good technique for presenting TAIGs with these responsibilities is to conduct a short IG training session for them. The IG team members can brief the TAIGs on IG responsibilities, the notion of confidentiality, and the use of IG records. The Team Leader can brief the TAIGs on their responsibilities and solicit their immediate feedback. The Team Leader should end the session by swearing in the TAIGs (see Section 2-8 in

The Inspector General Program Concept and System Guide) as Temporary Assistant IGs. A list of responsibilities for TAIGs conducting the Individual Augmentee (IA) inspection is as follows:

- a. Primary responsibility is to review all manning documents gathered as part of the inspection and then to write brief assessments of each document in the relevant Trip Reports.
- b. Secondary responsibility is to assist in developing interview questionnaires for interviews with MEU S-1 and S-3 personnel.
- c. Serve as sensing session recorders as necessary.
- d. Provide continuous expert advice to the IG team members throughout the conduct of the inspection.
- e. Assist the Team Leader in reviewing and critically analyzing each chapter of the Final Report to ensure that the findings are logically sufficient and in line with current doctrine and practice.

4. Developing Information-Gathering Tools: The information-gathering tools that the team may need to develop in order to execute the inspection are interview and sensing session questions, observation spot-report formats, surveys or questionnaires, and guidelines for document review.

a. Interview and Sensing Session Questions: The team members must develop the interview and sensing session questions based upon the Sub-Tasks created for each objective during Step 4. The questions should answer the basic requirements for those Sub-Tasks. The team members can design questions that -- when answered -- will provide information relevant to one or more Sub-Tasks. The questions must be open-ended in nature and offer the opportunity for follow-up questions. Close-ended questions that require only a "yes" or "no" response will not lead the inspection team to the root causes of any compliance or non-compliance issues. The interviewer or sensing session facilitator must never treat the questions as a checklist but instead allow them to guide a free-flowing discussion that may lead to more in-depth and insightful information. The inspector must keep in mind that the pitfall of using checklists for any type of inspection is they fail to allow an inspector to get at the root cause of any problems. The inspection team must also develop all questions with the intended audience clearly in mind. In most cases, the team will develop two sets of interview questions and two sets of sensing session questions (one set each for senior individuals and another set for more junior people). The following set of interview questions is for an Undermanning of Individual Augmentees (IA) inspection:

Interview: MEU S-1 / S-3

Interviewee _____ Unit _____ Date _____
 Duty Position _____ Time in Current Position _____

1. Describe manpower requirements development in your organization and your involvement in the process. (Sub-Tasks 1.2)
2. Describe the manpower management process within your organization. (Sub-Task 1.2)
3. Describe how the IA Sourcing Process works. (Sub-Task 1.1)
4. Describe how you determine overall manning levels and IA manning levels. (Sub-Tasks 1.1 and 1.2)
5. How do you calculate overall personnel readiness? (Sub-Tasks 2.1)
6. How do you report overall personnel readiness? (Sub-Task 2.1 and 3.2)
7. How many MEU S-1 / S-3 positions have you held? (Sub-Task 2.1)
8. What part of the IA sourcing process do you feel is not working properly? (Sub-Task 1.2)
9. How responsive is the IA sourcing process to your command's needs? (Sub-Task 1.1)
10. What other challenges are there concerning IAs? (Sub-Task 1.1)
11. How many gapped IA billets are there in this MEU? (Sub-Task 3.1)

Notice that the questions are focused on a conversation with one person and that the questions lend themselves to a more open discussion. The interviewer does not have to ask each question in sequence but can allow the interviewee to expand upon the discussion naturally; the interviewer can always ask the questions not covered at a later time. The relevant Sub-Tasks follow each question to show the direct link between the questions the interviewer is asking and the information required answering the Sub-Tasks. In this case, Sub-Task 1.2 means Sub-Task 2 of Objective 1. Since an interview normally lasts one hour, the team should develop no more than 10 or 11 questions for an interview. In this case, the interview questions are focused on senior individuals. A second set of questions for junior leaders will be slightly different; however, many of the questions may remain the same. These same guidelines apply for the development of sensing session questions. The greatest difference is that the audience is now several people and not simply one person. The sensing session questions should facilitate a group discussion. A sample set of sensing session questions for an Undermanning of Individual Augmentees (IA) inspection is as follows:

Sensing Session / Focus Group: Maj and Above

Duty Positions _____ **Unit** _____ **Date** _____
Interviewees' Grade Structure _____

1. What Individual Augmentee skill sets are you lacking within your department / division? (Sub-Task 3.1)
2. Has the lack of IA skill sets impacted mission readiness and, if so, how? (Sub-Task 3.1 and 3.2)
3. How many IA billets are 'gapped' within your department / division? (Sub-Tasks 3.1)
4. What is the workload increase based on the 'gapped' IA billets? (Sub-Tasks 3.2)
5. How does the additional workload impact training? (Sub-Tasks 3.2)
6. How does the additional workload impact mission readiness? (Sub-Task 3.2)
7. How does the lack of IA personnel directly impact your mission? (Sub-Task 3.2)
8. What actions have been taken by the command to compensate for being undermanned? (Sub-Task 2.1)
9. What actions have been taken by your department / division to compensate for being undermanned? (Sub-Task 1.1)
10. What do you think is the best course of action to correct IA undermanning? (1.2)

Some of these questions are similar to the interview questions presented earlier, but the focus of these questions is to promote a group discussion. Sensing sessions last longer than interviews (90 minutes or less), but the number of questions should still remain at around 10 or 11. More people will be talking, so the facilitator will require more time.

b. **Observation Spot-Report Formats:** Since direct observation is one of the more important information-gathering techniques available to the IG, the inspection team should consider developing a standard format for capturing information gleaned from observing training or other events. The format can pose questions that will jog the observer's memory about the topic while leaving enough space to capture comments and descriptions. An example of a spot-report format for a Radio Frequency Identification (RFID) Tag Usage inspection is as follows:

RFID Tag Usage - TYPE OF EVENT:					UNIT	SITE	YOUR NAME		
INDIVIDUALS PRESENT	CC LEVEL	JTF LEVEL	COM LEVEL	UNIT	TOTAL OFFICERS	TOTAL NCOS	TOTAL ENLISTED	TOTAL CIVILIANS	TOTAL
SUPERVISORS									
LOGISTICIANS									
DURATION OF OBSERVATION:					SUPERVISOR TO PERSONNEL RATIO:				
RFID TAG USAGE WORKSHEET									
	# CONTAINERS	TAG PRESENT/SCANNED	RETROGRADE CTR TAGGED	EXCESS TAGS PROCESSED FOR TURN IN	REMARKS				
SHIPMENT 1									
SHIPMENT 2									
SHIPMENT 3									
SHIPMENT 4									

c. **Surveys and Questionnaires:** Surveys and questionnaires are nothing more than interview questions converted to a close-ended format. These questionnaires should have "yes" or "no" questions or a multiple-choice answer. Individuals will complete and then submit these questionnaires with little or no interaction with the respondent. Questionnaires and surveys are the same. However, their purpose is to determine if something is occurring or not occurring in a unit or agency and not necessarily to discover the root cause of any problems. Yet the inspection team may design some of the questions to help get at some type of root cause, but that root cause may only be superficial in nature. Surveys and questionnaires are best used when the IG team only requires a sampling of information from a certain population.

d. **Guidelines for Document Review:** Guidelines for document review are nothing more than a list of considerations -- or even questions -- that the reviewer should follow for all documents reviewed on a similar inspection topic. Since the review of most documents will be open-ended and depend upon what the reviewer discovers, the reviewer can still identify key items the inspection team would like to know is included in -- or absent from -- the documents under review.

5. **Standard In-Briefing and Out-Briefing Formats:** The Team Leader of each team (if operating in two or more teams) must always brief the leadership of the command or unit the team is inspecting immediately upon arrival. This initial briefing is the in-brief, which outlines the basic purpose and methods behind the inspection. Following the inspection, the Team Leader will conduct an out-brief with the same leadership, offering

general feedback about what the inspection team found or learned. In an effort to ensure uniformity and consistency, the team must develop standard formats for these two briefings. Much of the basic inspection information in these briefings will come directly from the Concept-Approval Briefing.

a. **In-Briefing Format:** The standard in-briefing should be informative, focused, and brief. The presentation is strictly informational and should not include any information that will raise questions among the command or unit's leaders. The in-briefing should include the following:

(1) Inspection Goal

(2) Inspection Intent (should include a bullet that states that the inspection will be open and discreet with no surprises)

(3) Inspection Objectives

(4) Task Organization

(5) Inspection Concept (one slide per phase if required)

(6) Special-Interest Item (if applicable)

(7) List of locations and units that the team (or teams) will visit

(8) Inspection Timeline (locations to visit by month and phase)

b. **Out-Briefing Format:** The standard out-briefing will comprise two parts. The first part will review information from the in-briefing covering the inspection's overall purpose, and the second part will include feedback from the inspection. The out-briefing must be fully redacted for all attribution save for the good news observations. The out-briefing format should include the following:

(1) Inspection Goal

(2) Inspection Intent (should include a bullet that states that the inspection was open and discreet with no surprises)

(3) Inspection Objectives

(4) Training or Events Observed and Assessed (this slide will quantify the numbers of individuals interviewed and sensed, the number of documents reviewed, and the number of events observed)

(5) Good News Observations (this slide should list no less than three positive features of the inspection and can include the names of individuals or units)

(6) Training or Events Observed (this slide will include bullets that comment upon the training or other events observed by the inspection team)

(7) Documents Reviewed (this slide should offer some brief comments about the results of the inspection team's analysis of the command's or unit's documents)

(8) Interviews and Sensing Sessions (this slide -- or slides -- should provide unprocessed comments taken directly from interviews and sensing sessions; the Team Leader must emphasize to the leadership these slides are not the result of IG analysis but are simply restated -- but relevant -- comments from anonymous individuals throughout the command)

(9) Summary Slide (this slide should not attempt to endorse or validate any one unit's particular program or operation; the Final Report will cover that issue)

6. Equipment Inventories and Rehearsals: Inspection teams should consider the following listed materials when constructing an IG travel book or bag.

- a. Smart book with:
 - Inspection Directive (at least 10 copies)
 - Inspection concept / plan
 - Notification Letter
 - Detailed Inspection Plan
 - Methodology
 - Standard in-briefing and out-briefing formats
 - Sensing-session / focus group and interview questions
 - Surveys and questionnaires (required number of copies)
 - Observation spot reports (at least 10 copies)
 - Telephone / email contact roster of team members
- b. Security memorandum from the unit security manager (if applicable)
- c. IG official vehicle placard
- d. DD Form 1610 (if traveling)
- e. Government credit card (if traveling)
- f. ID card (or Common-Access Card)
- g. Identification tags
- h. Itinerary
- i. Plane tickets (if traveling)
- j. Lodging confirmation (if traveling)
- k. Rental car confirmation (if traveling)
- l. Passport (if traveling overseas)
- m. Country clearance (if traveling overseas)
- n. Immunization / shot records (if traveling overseas)
- o. International driver's license (from American Automobile Association) (if traveling overseas)
- p. Copies of all applicable standards, regulations, and manuals
- q. The Inspector General Program Inspections Guide
- r. Laptop with CD drive and disks
- s. Cellular phone with power adapter (Team and Sub-team Leaders)
- t. Desk-side briefing binder
- u. Office supplies (pens / markers / binder clips / stapler / tape / folders / highlighters)
- v. Briefing pointer

w. Personal business cards

Each Team Leader should conduct a rehearsal inventory of this equipment prior to conducting the Pre-Inspection Visit and the actual visits to the inspected units. The intent behind carrying these items is to reduce the IG team's resource demands on the inspected units or agencies.

7. Interview and Sensing Session Rehearsals: Interview and sensing session rehearsals may be difficult to conduct prior to executing the Pre-Inspection Visit. The team members can practice interviews with each other with some ease, but gathering enough individuals to conduct practice sensing sessions may not be feasible. In any case, the inspection team's interviewers and sensing session facilitators should practice their introductions, room set up, and overall technique before conducting the Pre-Inspection Visit. Rehearsals of this nature will help the team members shake out some of the basic details of conducting an interview and sensing session. Sensing session facilitators should also discuss their technique with their recorder to ensure that both individuals have the same focus and intent.

Section 5-6

The Preparation Phase

Step 6: Pre-Inspection Visit

- 1. Purpose of the Pre-Inspection Visit:** Pre-Inspection Visits are necessary to validate and refine the inspection team's methodology and information-gathering tools (interview questions, etc.).
- 2. Selecting a Unit for the Pre-Inspection Visit:** The inspection team should identify the Pre-Inspection unit -- or units -- during the Plan-in-Detail step (Step 4). The unit or command should be a representative, median example of the type of unit or command that the inspection team will visit. For example, if the activities that the team will visit are MEUs, then the team should select a MEU or similar organization for the Pre-Inspection Visit. The unit should not be part of the planned inspection. If the inspection team will visit two or more types of units or commands using separate methodologies for each one, then the inspection team should conduct a Pre-Inspection Visit with each type of unit or command to validate each methodology.
- 3. Notifying the Units or Commands Selected for the Pre-Inspection Visit:** Notification of the Pre-Inspection Unit (or Units) should occur at the same time that the inspection team notifies the units selected for the actual inspection. The Pre-Inspection Unit should receive a Notification Letter and a Detailed Inspection Plan. The primary difference is these documents will only identify the unit (or units) selected for a Pre-Inspection Visit. Some of the information in each document may need to be altered to facilitate the shorter lead time the Pre-Inspection Unit may face. In most cases, the inspection team will work more closely with the Pre-Inspection Unit for itinerary development and other requirements. The planning documents must state that the unit is a Pre-Inspection Unit and the information gleaned from the visits will not be used for the inspection or be included in the Final Report.
- 4. Conducting the Pre-Inspection Visit:** The inspection team should treat the Pre-Inspection Visit as a full dress rehearsal for the actual inspection. The team should arrive prepared to execute the methodology precisely as planned. Explain to the leadership at the in-briefing that the visit is a pre-inspection exercise, but this fact should not alter the team's approach in any way. The team members may solicit feedback about the conduct of the inspection from the unit's participants during the course of the visit, but the unit should not see a visible difference between the team's planned methodology and the actual execution of that methodology. The team must also provide feedback to the unit at the out-briefing so the unit may benefit from participating in the pre-inspection exercise.
- 5. Refining the Methodology and Information-Gathering Tools:** Once the Pre-Inspection Visit -- or Visits -- is complete, the inspection team should return to the IG shop and refine the methodology and information-gathering tools as necessary. The team members should gather and share any information that may lead to improved versions of the interview questions, sensing session questions, etc. In most cases, the basic methodology will not change -- just the detailed approach. The team should also complete a full Trip Report for practice and, more importantly, for record -- even though

the information will serve no purpose in the Final Report. After the adjustments to the tools are complete, the inspection team is ready to visit the units.

Chapter 6

The Execution Phase

Section 6-1 – Step 7: Visit Commands

Section 6-2 – Step 8: In-Process Review (IPR)

Section 6-3 – Step 9: Update Commander

Section 6-4 – Step 10: Analyze Results and Crosswalk

Section 6-5 – Step 11: Out-brief Proponent

Chapter 6

The Execution Phase

1. **Purpose:** This section discusses the Execution Phase of the Inspections Process and the five steps included in that phase.

2. **The Execution Phase:** The Execution Phase of the Inspections Process represents the heart of the inspection since inspectors will spend this phase gathering information and then analyzing that information. The Execution Phase has five discrete steps, but some of these steps may be repeated several times before progressing to the next step (for example, Visit Commands and IPR). The five steps of the Execution Phase are as follows:

- a. Visit Commands
- b. In-Process Review (IPR)
- c. Update the Commander
- d. Analyze Results and Crosswalk
- e. Out-Brief the Proponent

Phase Two: The Execution Phase The Inspections Process

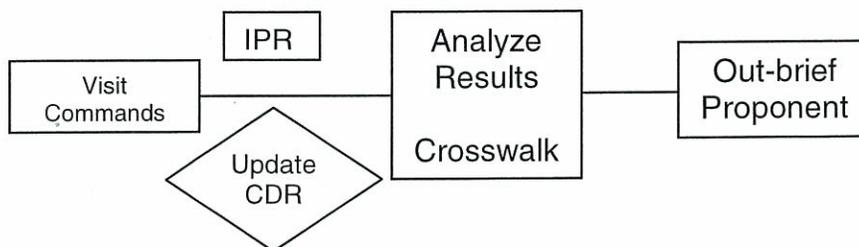


Figure 6-1

Section 6-1

The Execution Phase Step 7: Visit Commands

1. **Visit Units:** The IG inspection team will put into practice their validated methodology and information-gathering tools during this step of the Execution Phase. The inspection team will repeat this particular step each time the team visits a unit. The team will arrive at each unit (or agency) ready to conduct an in-briefing and execute the itinerary developed in accordance with the Detailed Inspection Plan. Visits to units or agencies may last one day or several days. During this time, the team members will gather information by conducting interviews and sensing sessions, administering questionnaires or surveys, observing events, and reviewing documents -- all in accordance with the inspection methodology. At the end of the visit, the inspection team will conduct an In-Process Review (explained in greater detail in Step 8) with the sole purpose of developing an out-briefing to present to the unit leadership upon the team's departure.

2. **Actions Following a Unit Visit:** Some inspection teams may develop an inspection schedule that affords them one day between visits or several days between visits. In any case, the team must craft a detailed Trip Report (the only physical output of this step) that captures the critical information gleaned during that visit. The Trip Report should be in memorandum format and include a paragraph for each interview and sensing session conducted, each document reviewed, and each event observed. These paragraphs will appear in the Trip Report as an observation and will include four possible types of information:

a. **Raw-data information:** Unprocessed examples of what the inspector saw, read, or heard.

b. **Synthesized information:** Sentences that combine raw-data information in an effort to summarize that information.

c. **Analyzed information:** Sentences that critically examine and process raw-data information in an effort to glean greater meaning from the data.

d. **Inspector's opinion:** Sentences that capture the inspector's sense or impression of the event observed or people interviewed.

The Trip Reports will serve as the primary-source documents for writing the Final Report, so ensure they are thorough, accurate, and complete. The longer the inspection team waits before writing a Trip Report, the more information the team will lose. Hand-written notes will become more undecipherable, and the individual team members will begin to forget important points they might not have captured in their notes. Writing the Trip Report immediately after an inspection visit allows the inspection team to capture more detailed information for the Final Report. In addition, the Trip Report also serves as a record of the IG team's visit to the unit. If an unforeseen event occurs that causes the commander to cancel the inspection, the inspection team will still have detailed Trip Reports that can serve as the basis for a detailed Final Report written much later. If the

team never finishes the inspection, then the Trip Report still serves as a detailed record of the information gathered from each unit up until the point that the inspection ended.

3. Writing the Trip Report: The Team Leader or Team Deputy is normally responsible for setting writing deadlines, compiling the completed paragraphs, and then editing the final product for content and grammar. Each member of the team must contribute to the report.

a. Setting a Writing Deadline: The Team Leader or Team Deputy is responsible for setting a clear, reasonable writing deadline aimed at completing the Trip Report before embarking upon the next inspection visit. Since most team members will only have one or two paragraphs to write, a one-day deadline is often quite reasonable.

b. Writing the Sub-Paragraphs: Each team member must write paragraphs that capture the results of interviews, sensing sessions, observations, and document reviews they conducted or participated. Everyone must do his or her own work to ensure data and information is not lost. Each team member must ensure he or she lists the Sub-Tasks that apply to the information contained within each sub-paragraph. These paragraphs must follow the inspection team's prescribed Trip-Report format precisely.

c. Compiling the Trip Report: The Team Leader or Team Deputy will compile the completed Trip Report (electronically if possible) and then edit the document for comprehension, readability, format, and grammar. The Team Leader or Team Deputy will then print a final copy for signature.

d. Signing and Approving the Trip Report: The Team Deputy will submit the Trip Report to the Team Leader for final review and signature. If the team is organized into sub-teams, the sub-team leader will sign and approve their own team's Trip Report and send a copy to the overall Team Leader for information purposes only. All original, signed copies of Trip Reports will go into the inspection team's archive file or book along with a copy of the unit out-briefing slides.

A trip report is required for every visit. In the sample scenario, there would be a Trip Report required for both of the MEUs. Below is a sample of one Trip Report for an Individual Augmentation (IA) inspection.

MARCENT COMMAND LETTERHEAD

20 Nov _____

MEMORANDUM FOR RECORD

SUBJECT: Under Manning of Individual Augmentees (IA) within XX MEU

1. **General.** One team composed of two Inspectors General and one member of the MARCENT G-1 Staff as a Temporary Assistant Inspector General (TAIG) conducted an assessment of the IA sourcing process within XX MEU.

2. **Team Composition.**

Team:

LtCol Marine (AIG)

Maj Naval Aviator (AIG)

GySgt Rock (TAIG, MARCENT G-1 Staff)

3. **Scope of the Visit:** Determine why IA manning shortfalls are occurring within XX MEU and its impact to operational readiness via interviews with S-1 and S-3 personnel and sensing sessions with officer and enlisted leadership.

4. **Observations.**

a. Interview **Findings**

(1) **Observation 1** (Sub-Tasks 1.1, 1.2, 2.1). **Interview with the MEU S-1 (LtCol Hazegrey).** XX MEU S-1 concurred their IA requirements are not being filled with a face-to-face relief, if at all. This shortfall adds additional training requirements to the staff and additional workload to remaining personnel. XX MEU S-1 was not knowledgeable enough about the IA sourcing process to clearly articulate any gaps in the process. Suggested looking into comments that IAs were being diverted from their original orders. LtCol Hazegrey is filling his first S-1 position and is Marine Corps trained – he appeared overwhelmed and under-trained. He had concerns with properly reporting personnel readiness and use of the Manpower Document as a personnel management tool.

(2) **Observation 2** (Sub-Tasks 1.1, 1.2, 2.1). **Interview with the MEU G-3 (Col Green).** XX MEU S-3 considers the S-1 not properly trained for the S-1 function. Too much lag-time between S-3 personnel change request and execution by S-1. S-3 feels that the MD is consistently behind the power curve when there is a change to mission requirements. S-3 understands the IA Sourcing process but does not have the time to “hold the S-1’s hand” in the execution of MD change requests.

b. Sensing **Sessions**

(1) **Observation 1** (Sub-Tasks 2.2 and 3.1). **Sensing Session with company grade officers and NCOs.** Both officer and enlisted personnel noted increased training demand on all units due to being undermanned. The readiness officer was in the sensing session and noted a decline in personnel readiness over the past three months. Enlisted leadership spending too much time training the few incoming IA personnel due to lack of proper training within the IA pipeline for the skill sets required at the unit level. XX MEU enlisted leadership did not feel skill-set requirements are properly captured in the MD.

(2) **Observation 2** (Sub-Task 3.1). **Sensing Session with Training Officers and SNCOs.** Training officer and SNCOs noted longer working hours and mission creep with fewer personnel on station. There is less down time between missions, and they think it is over-stressing MEU personnel. Finding time to train is difficult due to the high operation tempo. One SNCO noted that he sends more personnel to medical now than he did five months ago, and he thinks it is due to stress of the high operational tempo with little or no down time to recover. Overall, leadership appears to be aware of the additional workload due to under manning of IA personnel. Not receiving IA personnel with proper skill sets adds to additional training requirement at the unit level.

c. Documents **Reviewed:**

(1) **Observation 1** (Sub-Task 3.2). **MEU Manpower Documents.** XX MEU was manned at 93% of overall funded requirements; however, IA manning was at 72%. The gap in IA manning significantly degrades mission readiness in the area of convoy operations, security watch detail, and fire suppression support teams. The IA gap requires additional training for non-IA personnel in areas outside of their mission requirement.

(2) **Observation 2** (Sub-Task 3.2). **Personnel Readiness Trends.** Over the past three months, personnel readiness has steadily declined. According to the S-1 and the Readiness Officer, XX MEU is not forecast to increase personnel readiness to state until February / March time frame.

(3) **Observation 3** (Sub-Task 3.2). **Mission Accomplishment.** Reviewed mission tasking and operational tempo over the past three months and found a steady increase in mission sorties and an expansion of mission operational requirements. Based on the expansion of mission operational requirements and a cross-check of personnel skill sets on board, there appears to be a disconnect. The MD or mission statement does not indicate the requirement for skill sets to conduct long-range and extended convoy operations that XX MEU has been conducting.

5. **Good News Story.** XX MEU has a strong training program and has been very flexible and creative in meeting mission tasking. Senior enlisted leadership is fully engaged in mission training and has requested SME training from other MAGTFs as required based on new mission tasking orders.

6. **Additional Information.** Scope of IA sourcing process requires IG staff to expand the inspection to review comments that IA personnel are being diverting from their original orders.

//original signed//
I. M. Naval Aviator
Maj, USMC
Chief, Inspections Branch

Encl:
Out-briefing Slide Packet

[Footer for all pages:]

FOR OFFICIAL USE ONLY

Take note of the level of detail involved in each paragraph. As the inspector writes out his or her observations using notes taken during the visit, the inspector will begin to recall details he or she failed to capture on paper. These details may prove essential to the findings in the Final Report. The more detail each inspector adds -- the better! The Good News information located in paragraph five is from the out-briefing (not presented here). Also, note the footer that must appear at the bottom of each page.

4. Inspector General Information: Trip Reports are not redacted (edited) for attribution. Instead, Trip Reports list units and interviewees by name in case the team members need to know the source of the information for potential cross-walking issues at a later time. Since IGs must protect this information in order to protect confidentiality, a footer must appear at the bottom of each page (see the example above) that reminds an IG (and others) that the information is FOUO (For Official Use Only). Only redacted reports -- or reports edited for attribution -- can be released under Exemption 5 of the Freedom of Information Act (FOIA).

Section 6-2

The Execution Phase

Step 8: In-Process Review (IPR)

1. **Purpose of the In-Process Review (IPR):** An In-Process Review (IPR) is a meeting of inspection team members for the sole purpose of compiling and sharing information gathered during a single or multiple inspection visits. By sharing key information at the IPR, team members can gain perspective on where the inspection results are leading and what patterns and trends are beginning to appear. The IPR is an organized, well-prepared meeting that has an agenda and a means of collecting data for open consideration by all team members. The IPR should last no more than 90 minutes. Generally, IGs convene IPRs for two different reasons and purposes:

a. Immediately following an inspection visit to a unit or command with the sole purpose of sharing information **to produce an out-briefing**. Conducting daily team IPRs at the inspection location is essential. If the visit to the unit or command lasts for two or three days, the team must gather at the end of each day to share data gleaned from the day's information-gathering activities. This information allows the Team Leader to determine if certain team members must pursue certain issues that arise or conduct cross-walking efforts to verify or substantiate existing information. If the visit to the unit or agency lasts only one day, the team will conduct one IPR and produce the out-briefing at the end of the meeting. The information shared at IPRs feeds directly into the out-briefing. The IPR Worksheet completed at the end of the inspection visit will provide the Team Leader with the information necessary to craft a useful and focused out-briefing presentation.

b. Periodically, during the course of an inspection, to share information gathered at several units **to identify trends and patterns**. The Team Leader of the overall inspection effort may decide to convene IPRs at the IG office following every third or fourth unit visit. The purpose of these IPRs will be to share information gathered from several units so the team can identify developing trends and patterns. These trends and patterns will provide the basis for feedback to the commander during the mid-inspection update (if requested by the commander).

These two products -- the out-briefing and trend analysis -- represent two potential physical outputs of an IPR. IPRs may occur to generate other products as well.

2. **IPR Analysis Tools:** Sharing information during an IPR can be a challenge. The best method for sharing information or developing trends is to develop a method (or methods) that captures the information and presents it visually so that everyone on the inspection team can see the information and discuss it. Two recommended IPR analysis tools are discussed below.

a. **The IPR Worksheet:** This worksheet brings together the key points that all members of the team gleaned from their interviews, sensing sessions, document reviews, and observations at a particular unit or units. When multiple teams come together periodically during the course of the inspection to share information, the best way to complete the worksheet is to focus on one team at a time. If a team is

conducting a unit-level IPR, the best method is to complete the worksheet by individual team member. In all cases, a designated scribe will capture the information by inspection team or team member, by objective, and by information-gathering domain (interviews, sensing sessions, etc.). The best technique for capturing and sharing this data is to draw an IPR Worksheet on butcher-block paper and add everyone's comments. Once the IPR is over, the Team Leader can transfer the data to an electronic version of the worksheet for later dissemination. A sample IPR Worksheet is as follows:

IPR WORKSHEET

Location(s): _____ (Date)

Team / Team Member	Objective 1	Objective 2	Objective 3	Objective 4	Objective 5

The inspection team may add more rows to the worksheet as necessary based upon the number of teams or the number of team members. The scribe can also write the objective directly below the objective headings.

b. **Trends Analysis Sheet:** This sheet will allow the assembled inspection team to review present and past IPR Worksheets and list any obvious trends. A designated scribe should list the trends by unit (using butcher-block paper) and then revisit each one during subsequent IPRs. Some trends may fade or fall away over time and become invalid. This information proves extremely useful when developing a mid-inspection IPR briefing for the commander. Once the IPR is over, the Team Leader can transfer the data to an electronic version of the Trends Analysis Sheet for later dissemination. A sample Trends Analysis Sheet is as follows:

TRENDS ANALYSIS

TREND	UNIT	UNIT	UNIT	UNIT	UNIT

3. **Conducting the IPR:** The overarching purpose of all IPRs is to share information; however, the output of each IPR may vary. IPRs conducted at the end of a unit visit will produce an out-briefing; however, IPRs conducted periodically at the IG office during the course of the inspection will consider information from several units and produce trends and patterns. Despite the final output of the IPR, the conduct of the meeting will generally remain the same. An IPR should occur as follows:

- a. Presentation of the IPR agenda by the Team Leader.
- b. Review of the next day's itinerary or upcoming unit itineraries.
- c. Discussion of any administrative data or requirements.

d. Completion of the IPR Worksheet. The best technique for completing the IPR Worksheet is to sketch out a worksheet matrix on butcher-chart paper with one objective per sheet. The Team Leader will designate a scribe to complete the worksheet by team or individual, by objective, and by information-gathering method (interviews, sensing sessions, etc.). The Team Leader will then call upon each team or individual to mention those items that pertain to that objective. For example, the Team Leader will begin by asking for interview results for Team A for Objective 1. Someone from Team A will state the information the team (or person) deems relevant while the scribe writes the information (in abbreviated form) on the butcher-chart paper. The process can stop for discussions and explanations as necessary. When the process is finished, the butcher-chart worksheet will be completed, and the team will have successfully shared the information. The person designated to develop the out-briefing slides will develop the briefing directly from this worksheet. Later, the Team Leader can transcribe the worksheet data onto a smaller electronic or hand-written version of the worksheet for the inspection files or simply file away the butcher-chart version. A sample version of a completed IPR Worksheet for Under manning of Individual Augmentees (IA) within XX MEU appears below.

IPR WORKSHEET

Location(s): XX MEU (20 Nov ____)

Inspector	Objective 1	Objective 2	Objective 3
LtCol Marine	- S-1 was not knowledgeable enough about the IA sourcing process to articulate clearly any gaps in the process. - S-3 confirmed findings with regard to G-1 knowledge of the IA sourcing process.	- Decline in personnel readiness over the past three months.	- XX MEU was manned at 93% of overall funded requirements; however, IA manning was at 72%.
MAJ Naval Aviator		- Finding time to train is difficult due to the high operation tempo. - XX MEU enlisted leadership did not feel skill-set requirements are properly captured in the MD.	- Disconnect between expansion of mission operational requirements and cross-check of personnel skill sets on board.
GySgt Rock	- XX MEU S-1 suggested reviewing IA original orders to see if they are being modified and diverted to other organizations.	- Longer working hours and mission creep with fewer personnel on station.	- Personnel readiness has steadily declined over past three months. - Not forecast to increase personnel readiness until February / March time frame.

Note that this inspection only had three objectives and one team, so the other columns were not used. This IPR Worksheet has been completed by team member, suggesting an IPR conducted at a unit for the purpose of developing an out-briefing.

e. Develop the out-briefing or complete the Trends Analysis Sheet (see paragraphs four and five below).

f. Final comments and guidance from the team.

The sample agenda outlined above can apply to all IPRs. The inspection team should develop a standard agenda that the team can follow routinely without much preparation.

4. Developing the Out-Briefing: The out-briefing is the IG team's way of providing some form of interim (or in some cases definitive) feedback on the results of a particular inspection. The team must recognize that the information presented during the out-

briefing has not had the benefit of close analysis or extreme scrutiny. This detailed level of analysis occurs when developing and writing the Final Inspection Report. Therefore, the team must provide feedback that is informed, carefully written, and useful to the unit or the command. The team should not attempt to discuss issues or observations that require further post-visit analysis.

a. Writing the Out-Briefing: The Team Leader (or team member designated to develop the out-briefing) will draft bullet comments from the information captured on the IPR Worksheet during the IPR (or IPRs if the visit lasts several days). The Team Leader must use discretion and not offer feedback on any issue the team has yet to analyze fully or validate. The Team Leader must also avoid attributing command names and individual names to the information offered. The only exception is for the slide depicting Good-News Observations, which may mention specific personnel and command. Finally, the summary slide should never state definitively that any unit or command's particular program is good or bad. In effect, the IG team must remain neutral -- even if the preponderance of out-briefing comments suggests the command is in compliance or not (see paragraph 5 in Section 5-5, Step 5: Train Up, for the out-briefing slide format).

b. Reviewing the Draft Out-Briefing: The team will reserve time at the end of the IPR (or during the last IPR for extended visits) to review or build the out-brief. The team members will offer input and comments and make any necessary changes to the language. The Team Leader will then approve the out-briefing data for presentation.

c. Preparing the Out-Briefing for Presentation: The Team Leader or designated scribe will develop the out-briefing slides using the established format. A laptop computer with a blank out-briefing shell works best. The Team Leader can use resources provided by the unit to print slides for a desk-side briefing or project the slides to a larger audience using a Proxima projector or other device. A sample out-briefing presentation appears below:

Special Inspection of the IA Sourcing Process



Inspection Out-Briefing
XX MEU
20 Nov 20XX



Purpose

- To provide feedback to the Commander on the IG's inspection of Undermanning of Individual Augmentees (IA) within XX MEU.



Inspection Goal

- The goal of this inspection is to determine why XX MEU and YY MEU are consistently undermanned with regard to IA personnel



Inspection Intent

- Conduct an inspection of XX MEU S-1 manpower shop to determine cause of IA undermanning.
- Conduct sensing sessions with senior officer and enlisted personnel.
- Review manpower, mission, training, and readiness documents.
- Specific results will remain with the unit or staff agency.
- Conduct the inspection openly and discreetly.
- *No Surprises!*



Inspection Objectives

- Determine if there is a gap in the IA personnel sourcing system.
- Determine if S-1 personnel are properly trained.
- Determine readiness and workload impact due to the undermanning of IA billets.



Good News Observations

- XX MEU has a strong training program and has been very flexible and creative in meeting mission tasking.
- Senior enlisted leadership is fully engaged in mission training and has requested SME training for other MEUs as required based on new mission-tasking orders.



Undermanning of Individual Augmentees (IA)

Observations

- All leaders are fully engaged in maintaining unit readiness and training.
- Personnel are working extremely long hours to maintain mission readiness.
- IG team will coordinate with HQMC to see if IA's orders are being modified.



Undermanning of Individual Augmentees (IA)

Documents Reviewed

- XX MEU S-1 was not familiar with MCO 1001.61 and did not fully understand the AI Sourcing Process.
- XX MEU Manpower Document reviewed for skill set accuracy. Team noted lack of skill-sets required for convoy operations, support fire teams, and security watch details. MD execution is not completed in a timely manner.
- XX MEU personnel and mission readiness reports were reviewed for historical trends, accuracy and timeliness and found a steady decline in AI personnel readiness over the past three months. All reports were accurate and timely.



Undermanning of Individual Augmentees (IA)

Interviews and Sensing Sessions

- Officer and senior enlisted leadership are aware of the gapped IA critical skill billets with the MEU and are working diligently to maintain mission readiness despite the 18% manning gap in IA billets.
- Gapped IA billets add additional duty hours and stress due to optempo requirements.



Summary

- Strong evidence exists that there are critical skill gaps due to the undermanning of IA personnel, forcing additional workload onto other personnel.
- Require review of other MEUs within the AOR before determining course(s) of action.
- Thank you for the support!

5. Developing Trends and Patterns: The Team Leader will have a designated scribe create a Trends Analysis Sheet format on butcher-block paper so that the team members can see the information. The Team Leader will ask the team members to nominate any trends that have appeared during the course of the inspection. The scribe will write the nominated trend in the appropriate column, and the team will address this trend with each unit or agency inspected to date. This process will either validate or invalidate the trend. If more than 50 percent of the inspected units do not confirm the nominated trend, then the trend is not valid. If the team developed trends during a previous IPR (or IPRs), then the team should re-validate those trends with the units covered during the current IPR. Some trends established in previous IPRs may fall away or become invalid as the inspection progresses. A sample Trends Analysis Sheet for an Individual Augmentation sourcing process inspection appears below.

TRENDS ANALYSIS

TREND	XX MEU	YY MEU	
1. MEU S-1s understand IA sourcing process	S-1 lacked detailed knowledge of IA sourcing process	S-1 well versed in IA sourcing process	
2. Increased workload due to gapped IA billets	Officer and enlisted leadership well aware of increased workload due to gapped critical IA billets	Officer and enlisted leadership well aware of increased workload due to gapped critical IA billets	
3. MEU S-3s understand Joint manpower requirements	Limited knowledge	Excellent understanding	
4. Morale is good	Poor morale due to stress of additional duties and working hours	Good morale	

Section 6-3

The Execution Phase

Step 9: Update the Commander

1. **Updating the Commander:** The commander who directed the inspection may request a mid-inspection update from the inspection team. This update should be part of the inspection timeline. If the commander does not request an update, the inspection team should anticipate the commander may change their mind. In any case, the Team Leader or a designated member of the inspection team should build and maintain an update briefing for a scheduled or unscheduled presentation to the commander. The physical output of this step is the update briefing for the commander.

2. **Information Source:** Since the inspection team cannot pause in the middle of the actual inspection to analyze results and develop findings, the inspection team must rely on the trends or patterns captured during the periodic IPRs (normally conducted every third or fourth inspection visit). The team captured this information on the Trends Analysis Sheet, so the inspection team should update the commander with the most recent version of these trends. The team should resist the temptation to develop "interim" finding statements that may not hold true when the team writes the Final Report.

3. **Briefing Outline:** Since the commander may not recall the details of the inspection concept, the inspection team should design the briefing to remind the commander of the inspection plan and to provide the commander with the most current trends. A recommended slide outline (or agenda) is as follows:

- (1) Purpose of the Briefing
- (2) Inspection Goal (or Purpose)
- (3) Inspection Objectives
- (4) Task Organization
- (5) Inspection Concept
- (6) Special-Interest Item Update (if applicable)
- (7) List of units or agencies that the team (or teams) has visited followed by a list of the remaining units or agencies to visit
- (8) Inspection Timeline
- (9) Trends (bullets taken directly from the Trends Analysis Sheet)

Section 6-4

The Execution Phase

Step 10: Analyze Results and Cross-Walk

1. **Drafting the Final Report:** Analyzing results means the Team Leader must organize the inspection team to write a draft version of the Final Report, which is the only physical output of this step. Before beginning this step, all visits to units or agencies must be complete, and the Trip Reports for each visit must be finished. The Team Leader must develop a plan for writing the draft version of the Final Report assigning writing responsibilities to each team member and establishing a writing schedule or timeline. The timeline must give the team members time to analyze the results, write their findings, and conduct cross-walking as necessary. The Final Report must also follow the format prescribed by the Team Leader. The reason the team writes a draft version of the Final Report as part of the Execution Phase is that cross-walking activities may result in gathering additional information. During the Completion Phase, all information-gathering activities cease.

2. **Cross-walking:** Cross-walking is the process of verifying inspection results. In other words, an IG inspector may need to check with other sources or agencies to verify -- or validate -- what they saw, read, or heard during the conduct of the inspection. Cross-walking may take an IG inspector up the chain (vertically) or across command lines (horizontally). In most cases, cross-walking is nothing more than a phone call to someone who might offer greater insight into a particular issue or who might verify what the inspector read, saw, or was told is accurate. Cross-walking occurs throughout the report-writing process as required, but IGs must always be sensitive to chains (and lines) of command when conducting cross-walking.

3. **Final Report Format:** Every unit or command will have different requirements or SOPs for staff products and reports. IG inspection reports should follow unit or command guidelines as closely as possible to ensure compliance with the local SOP. However, final inspection reports are not brief memorandums that are a few pages in length. Final Reports are normally self-contained booklets containing chapters which outline each inspection objective's findings. The recommended format for a final inspection report is as follows (see Appendix B of this guide for further information):

- a. Table of Contents
- b. Guidance on the release of IG information
- c. Executive Summary (perhaps the most widely read portion of the report!)
- d. Separate chapters on the inspection Background and Methodology
- e. Chapters for each Objective with the findings presented by Sub-Task
- f. Summary of the Recommendations (usually separated by proponent)
- g. Appendices:
 - (1) References
 - (2) Inspection Directive (signed copy)
 - (3) List of units or commands visited
 - (4) Interview and Sensing-Session questions

4. **Task Organizing the Inspection Team:** The Team Leader must organize the team to write the Final Report and assign specific responsibilities to each team member. The previous task organization (if using separate teams) no longer applies at this point. The Team Leader should organize the team as follows:

a. **Overseer of the Writing Process:** This person is normally the Team Leader, who is usually not responsible for writing any portion of the report. The Team Leader must remain as neutral as possible during the findings-development process so they can judge each chapter's logical sufficiency effectively.

b. **Writers for each Objective Chapter:** The team members assigned to write the main chapter objectives are normally the IGs and not the Temporary Assistant IGs (TAIGs). TAIGs may write a chapter if the information or data is extremely technical in nature and may prove too challenging for an IG. IGs write the objective chapters because they are trained to analyze the information in a particular way, which will ensure a consistent approach to the information the team gathered.

c. **Chapter-Review Committee:** The Team Leader will establish a Chapter-Review Committee to review all chapters for logical sufficiency and general correctness. This review process is similar to a doctoral candidate defending their dissertation. The purpose of this detailed scrub is to ensure the team discovers all problems with the chapters before releasing the results to the proponents, the commander, and the command. The Chapter-Review Committee usually consists of the Team Leader and two or more of the TAIGs.

d. **Writer for the Background and Methodology Chapters:** The team member who writes these two chapters is normally the Team Deputy. Much of this information will come directly from the initial planning documents such as the Detailed Inspection Plan.

e. **Final Editor and Reviewer:** The Team Leader usually takes this assignment; however, the Team Leader may select someone from within the team who has excellent grammar skills and writing abilities. The purpose of this assignment is to ensure comprehensibility and readability.

5. **Writing an Objective Chapter:** How does an IG write a chapter for an objective?

This process can be very challenging and -- in some cases -- difficult. The writer is faced with what seems like a mountain of information to sort, read, and analyze. The writer must first begin by reviewing the chapter format established by the Team Leader. At a minimum, the chapter format will have the IG writer developing no less than one finding statement per Sub-Task. Some Sub-Tasks may have two or three findings. These findings sections should follow the recommended format, which this section will explain in detail later. This guide outlines a **nine-step process** any IG inspector can use to analyze results and develop findings for a particular Sub-Task. After developing the findings section for each Sub-Task, organize the chapter as follows:

a. Objective 1:

(1) Sub-Task 1:

(a) Finding 1 (write out the entire five-paragraph findings section under each finding heading)

- (b) Finding 2
- (2) Sub-Task 2:
 - (a) Finding 1
 - (b) Finding 2
- (3) Sub-Task 3:
 - Finding

6. The Nine-Step Process for Developing a Finding Statement: The nine-step process outlined below is designed for IG writers to develop one finding statement (and findings section) at a time. Repeat this process for each Sub-Task. If the inspection objective has five Sub-Tasks, then follow the first seven steps of this process five different times before completing steps eight and nine. Once the writer has become familiar this process, the development of the finding statements and sections will become much easier. The nine-step process is as follows:

a. Step 1: Gather the Tools: Print copies of all Trip Reports the team produced for each visit to a unit or agency. The Trip Reports will serve as the primary-source documents for the chapter. Next, craft a word-processing template of the chapter you will write using the established format. This template will allow you to move quickly through the organization and writing process. You can simply insert each completed findings sections into its appropriate place within the chapter before writing the next one. Have all key references that pertain to the inspection as well as a copy of The Inspector General Program Inspections Guide. Lastly, gather highlighters of different colors to color-code the information on the Trip Reports as you read through them.

b. Step 2: Develop a Writing Schedule: Craft a calendar plan identifying specific days to work on a particular Sub-Task or portion of the chapter. Tailor this schedule to your abilities -- but be realistic! Don't develop a fast-paced schedule if you don't think you can adhere to it. Next, review the writing schedule to ensure it meets the overall report-writing timeline established by the Team Leader. Be sure to set aside time to review the draft. Once the schedule developed, stick to it!

c. Step 3: Organize Your Sources: Gather the Trip Reports and write bold headings at the top of each one using a colored pen or marker to easily and quickly distinguish one from the other. Remember: You will be juggling several different Trip Reports as you write your chapter, so developing a system that allows you to find your references quickly is essential. Place the Trip Reports in folders or develop some other system to ensure ease of access and organization.

d. Step 4: Review and Study Your Sources: This phase of the writing process is normally called pre-writing. Go through each Trip Report and use the different colored markers to highlight the information for each of your Sub-Tasks. Use a different color for each Sub-Task. Highlight the information one Sub-Task at a time since you will write one findings section at a time. Go back and read all of the information pertaining to the Sub-Task you plan to write. Absorb and try to understand the varying types of information without attempting to analyze or categorize the information. Let your mind wander freely! This process will result in a draft finding statement (or statements) which you should capture on paper.

e. **Step 5: Develop Tools to Collect and Analyze Your Information:** After absorbing the information and crafting a draft finding statement (or statements), develop a tool to help you organize your thoughts and the information gathered. Use a blank Trends Analysis Sheet or a similar type of matrix to identify and lay out the common bits of information gleaned from the Trip Reports. Write the draft finding statement in the left-side column and then verify its accuracy by each individual Trip Report. If the preponderance of information from the Trip Reports supports the draft finding statement, then the statement is accurate. How you collect and organize the information is up to you, but do not allow yourself to become bogged down by smaller bits of information. Stay focused on the big picture! Some information may have no context or applicability and may fall away (these bits of information are known as **orphans**). Conduct **cross-walking** as necessary for additional information or for clarification. Call or visit those individuals or agencies you think can help you validate inspection information.

f. **Step 6: Develop Your Finding Statements:** Refine the language of the draft finding statement (or statements) as necessary. The finding statement is a single, well-focused, well-structured sentence that captures the true essence of the finding. This sentence must be able to stand alone. You will base your finding statement (or statements) on the preponderance of information you gather about a particular Sub-Task. For example, if 65 percent of the data collected leans toward a widespread finding that MEUs in your AOR have gapped IA billets, then your finding will state that fact. Address the other 35 percent who are having success when writing the Inspection Results portion for that findings section. Here is an example of a finding statement:

All MEUs in the MARCENT AOR have significant gaps in critical skill IA billets.

g. **Step 7: Write Your Findings Sections:** Follow the recommended findings-section format when writing all of the information that applies to the finding. The format is:

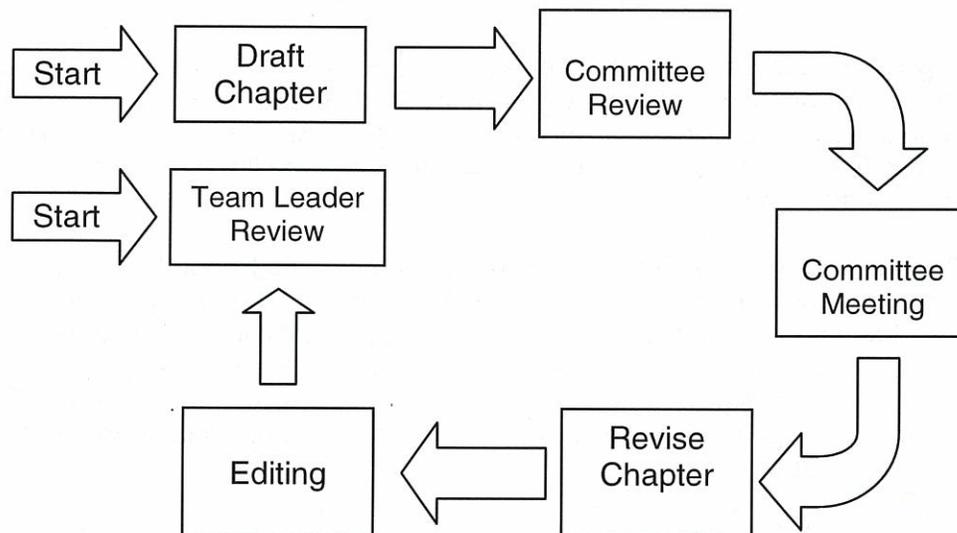
- (1) Finding Statement
- (2) Standard
- (3) Inspection Results (Discussion)
- (4) Root Cause
- (5) Recommendation(s)

Each Sub-Task will have no less than one findings section; some Sub-Tasks may have two or three finding statements and sections. Be certain to include positive findings and not just negative. Good-news stories are always welcome. In paragraph two, **standard**, write, verbatim, the entire standard for that finding from the original source. Do not paraphrase the text. In paragraph three, **Inspection Results**, address each and every point to support the finding. For paragraph four, **Root Cause**, follow the Root Cause Analysis Model to describe the reasons for compliance or non-compliance (don't know, can't comply, and won't comply). Finally, in paragraph five, **Recommendation**, ensure each recommendation is detailed and identifies the person or staff agency who can fix the problem.

h. **Step 8: Complete the Chapter:** Compile all of the completed findings sections into one document using the established chapter format. Read and re-read the chapter several times to ensure consistency and to avoid needless redundancy. Read the chapter out loud to help eliminate grammar errors or extraordinarily long sentences.

i. **Step 9: Submit the Chapter for Peer and Committee Review:** Let someone else read the draft chapter and point out obvious errors or inconsistencies. Make necessary adjustments to the draft and print a clean copy. Give the clean copy to the Team Leader for Committee Review. The Team Leader will arrange a time to meet with the committee to answer questions or address problem areas with the text (a type of "murder board"). Make necessary changes and submit a clean copy to the Team Leader for a final grammar and format review. A graphic representation of the Committee Review process is as follows:

Step 9: Submit the Chapter for Peer and Committee Review



7. **Practical Example of the Nine-Step Process:** You have just finished an inspection of XX MEU and YY MEU concerning under manning of Individual Augmentation (IA) billets. You are the team member assigned to write the chapter for Objective 3, which reads as follows:

Objective 3: Determine readiness and workload impact due to the under manning of IA billets.

Your team developed two Sub-Tasks for this objective, and you are about to write the findings section for Sub-Task 3.1, which reads as follows:

Sub-Task 3.1: *Conduct sensing sessions* to determine the impact on readiness with regard to the under manning of funded IA billets.

a. **Gather the Tools:** Begin by gathering copies of all Trip Reports printed and ensure each one is stapled together. Develop a word-processing template of the chapter and save it on the computer. Check to ensure the template follows the Team Leader's format precisely and type findings sections directly into this template -- one section at a time. Gather four different color highlighters since there are four Sub-Tasks to write.

b. **Develop a Writing Schedule:** Consult the Team Leader's overall report-writing timeline and develop a reasonable writing schedule that fits well within the Team Leader's plan. The writing schedule looks as follows:

- 24-26 November: Write Sub-Task 3.1
- 1-3 December: Write Sub-Task 3.2
- 4-8 December: Write Sub-Task 3.3
- 8-10 December: Write Sub-Task 3.4
- 10-12 December: Finish and Proofread the Chapter

c. **Organize Your Sources:** Organize the Trip Reports by writing the name of the applicable unit or agency boldly in red pen at the top of each Trip Report. Stack the Trip Reports in a staggered fashion so only the headings show. This technique allows you to pull a Trip Report from the stack quickly and then replace it without becoming disorganized or scattering the other Trip Reports.

d. **Review and Study Your Sources:** Review each Trip Report for those observation paragraphs that pertain to Sub-Task 3.1. Highlight the Sub-Task number at the top of the observation and read through the paragraph, highlighting the sentences that apply to Sub-Task 3.1. Complete this process for all Trip Reports using a yellow highlighter for information pertaining only to Sub-Task 3.1. The information you discovered in the Trip Reports is as follows (the information is underlined and not highlighted in these cases):

(1) **XX MEU Trip Report: Observation 1** (Sub-Tasks 3.1). **Sensing Session with Officers and SNCOs.** (Eight officers, four SNCOs, and 15 NCOs) Both officer and enlisted personnel noted increased training demand on all units due to being undermanned. Spend too much time training with little down time between missions and training. Morale is lower than usual because of lack of down time. SNCOs are trying to be innovative in developing ways to maintain readiness with the IA gap, but it is difficult. SNCOs spending too much time training personnel – SNCOs are falling behind in their administrative requirements. SNCOs spend too much time outside the wire and don't have time for being leaders inside the wire. Officers and SNCOs have not requested the assistance of other MAGTFs in the AOR. At least two IA billets in each department are gapped. Readiness officer was in the sensing session and noted a decline in personnel readiness over the past three months and has decreased.

(2) **YY MEU: Observation 2** (Sub-Tasks 3.1). **Sensing Session with Officers and NCOs.** (Five officers, six SNCOs, and 19 NCOs) Officer and enlisted leadership were well aware of increased workload due to gapped critical IA billets; however, a strong training program has helped alleviate most of the strains of IA undermanning. On average, only one IA billet gapped per department. YY MEU has not had an increase in mission requirements or skill-set mismatch. Only minor changes to watch standing have been incorporated to lower the impact of fewer IA personnel. Personnel

are standing more watches and spending more time outside the wire. SNCOs embracing the leadership challenge by exercising intrusive leadership techniques and stressing small unit leadership among the NCOs. Officers have empowered SNCOs and NCOs to think innovatively to reduce non-mission oriented workload. Personnel readiness remains high.

e. **Develop Tools to Collect and Analyze Your Information:** Once you have absorbed the information highlighted in yellow in the applicable Trip Reports, use a matrix that resembles the Trends Analysis Sheet to lay out the information. Ensure you can support your mental assessment of Individual Augmentation Sourcing Process Inspection by transcribing the information onto the matrix to depict graphically which way the preponderance of evidence truly falls. Your completed matrix -- with your first-draft finding statements -- appears as follows:

Findings	XX MEU	YY MEU	
MEU S-1 personnel understand the IA Sourcing Process	<ul style="list-style-type: none"> - S-1 lacked detailed knowledge of IA sourcing process - S-1 had limited knowledge of manpower requirements determination 	<ul style="list-style-type: none"> - S-1 well versed in IA sourcing process - S-1 well versed in manpower requirements determination 	
IA Manning Levels are not at 100%	<ul style="list-style-type: none"> - 72% of IA manning requirement - state Charlie 	<ul style="list-style-type: none"> - 79% of IA Manning requirement - State Bravo 	

You developed two draft finding statements, which you wrote in the left-hand column. However, you begin to think the bottom one is an issue you can discuss in the findings section for the top statement. The evidence suggests that the lack of manpower knowledge is a direct reflection on how well the MEU is manned based on IA requirements in the MD. You decide to conduct a **cross-walk** to confirm what your inspection team learned at XX MEU. Your team contacts II MEF S-1 via phone conference to determine if there is any policy concerning the diversion of IAs from their original orders. II MEF informs your team that there is no policy to divert IAs from there original orders and that XX MEU has not requested any additional IA personnel, the XX MEU MD does not reflect any new skill set requirements, and therefore XX MEU is considered a low IA manning priority. The II MEF G-1 suggests that XX MEU S-1 contact them immediately for MD review / update and new IA manning requirement skill sets based on additional mission tasking.

f. **Develop Your Finding Statements:** You decide to develop only one finding statement for Sub-Task 3.1. Write out a refined version of the finding statement and scrutinize it carefully, ensuring the sentence captures what needs to be said and that it can stand alone. The finding statement is below:

Most MEU S-1 personnel are properly trained and are well versed in Joint Manpower Requirements and operating within the Individual Augmentation (IA) Sourcing Process.

g. Write Your Findings Section: Using the recommended five-part format for the findings section, begin drafting your findings section for Sub-Task 3.1. Insert the finding statement you developed during the previous step into the first paragraph. Next, find the IA Sourcing Process in MCO 1001.61 and quote the process verbatim in the second paragraph. Write the Inspection Results portion explaining how you arrived at your finding. Ensure you address the fact that not all MEU S-1s require additional training. Keep in mind you cannot attribute unit names or individual names to the information gathered. The findings section must be fully redacted for all attribution. Next, follow the Root Cause Analysis Model and ask yourself the questions posed by the model. Go through the entire model to capture all possible root causes. In this case, you determine the MEU S-1s are well versed in the IA sourcing process; however, the experience level of the S-1 is a key indicator of process knowledge. Base your recommendation on a solution that will ensure MEU S-1s receive requisite training prior to deployment into MARCENT's arena. The completed findings section appears as follows:

(1) Finding Statement: Most MEU S-1 personnel are properly trained and are well versed in Manpower Requirements and operating within the Individual Augmentation (IA) Sourcing Process.

(2) Standard: MCO 1001.61, Policy and Procedures for Sourcing Personnel to Meet Individual Augmentation (IA) Requirements, paragraph 4.b:

“Marine commanders, including USMC component commanders to the Unified Combatant Commanders, in need of individual augmentation should first thoroughly review their on-hand manpower for possible organic sourcing. If the right Marine with the appropriate skills is not identified internally, the commander initiates a request for individual augmentation to CMC (MP) or CMC (MM) via the chain of command. CMC (M&RA) fills approved requests using global sourcing. Identified active component Marines will be issued TAD orders by their parent command. Identified reserve component Marines will be issued Active duty Special Work (ADSW) or recall/mobilization orders by either their Selected Marine corps reserve (SMCR) unit or the Marine Corps Reserve Support command (MCRSC).”

(3) Inspection Results: The Inspection Team determined that one of two MEU G-1s fully understood the Individual Augmentation Sourcing Process and how to work IA manpower and manning issues in accordance with MCO 1001.61. One MEU S-1 was not familiar with MCO 1001.61 and was not fully trained prior to receiving orders to the MEU S-1 billet. The lack of formal training left the MEU S-1 unaware of reporting criteria and interpretation of the Manning Document. (Note: The Inspection Results portion is normally two to three paragraphs in length. Since this example only uses the results gleaned from three units, this section contains only one brief discussion paragraph).

(4) Root Cause: (Don't Know) Some MEU S-1 personnel were not familiar with the inter-workings of the Individual Augmentation Sourcing Process, Manning Document review and update, or skill-set requirements determination process.

(5) Recommendation: The IG recommends that all Service components review the training syllabus for developing S-1 personnel ensuring comprehensive

knowledge of IA planning and procedures in accordance with the Manning Document review and update procedures, and skill-set requirements determination.

You have decided to name the II MEF Staff G-1 as the proponent -- or agency -- that can fix this problem since the II MEF Staff G-1 is a central position with the IA sourcing process and has a clear understanding of MEU S-1 knowledge, skills, and abilities and is in a position to ensure Service Components adhere to the training requirements. After you type the findings section into your electronic template, ensure the document has the correct footer at the bottom now that you have added IG information to the document. The footer is as follows (see Section 4-4, Step 16, for further information on footers):

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h. **Complete the Chapter:** You have now finished writing all four findings sections. You compile all four sections into your electronic template and ensure that the format is correct. You print a copy of your completed chapter and read it out loud to ensure that the sentences work well and that no obvious grammar errors are apparent. After making some adjustments to the text, you decide to ask another team member to read through the chapter and point out any problems.

i. **Submit the Chapter for Peer and Committee Review:** Your peer reviewer gives you some excellent feedback, so you revise portions of the chapter one more time. Next, you submit the chapter to the Team Leader for review by the committee. The Team Leader takes your chapter, makes several copies of it, and distributes those copies to the other members of the committee (in this case one augmentee). Once the committee reads through the chapter, they meet and discuss your work privately. They evaluate the logical sufficiency and accuracy of each findings section within your chapter by using the following checklist:

(1) **Finding Statement:** Does the Finding Statement succinctly and clearly capture the nature of the issue or problem?

- Yes
- No. The Finding Statement is too vague and does not stand alone.
- Other _____

(2) **Standard:** Are the standards quoted in this paragraph the correct -- or relevant -- standards?

- Yes
- Yes, but the writer misquoted the original text.
- Yes, but the writer failed to identify the source down to the paragraph number and page number.
- Yes, but the writer only paraphrased the standard and did not quote the standard verbatim from the original source.
- No. The standards are incomplete.
- No. Other _____

(3) **Inspection Results:** Does this paragraph (or paragraphs) effectively explain the results and types of information that led the writer to develop the Finding Statement listed above?

- Yes
- Yes, but the discussion does not mention any of the good-news stories that arose from this particular issue.
- No. The discussion does not address sufficiently the issue(s) or point(s) identified in the Finding Statement and requires further expansion.
- No. Some points made in the Inspection Results paragraph do not support the Finding Statement (these points may be **orphans**, or bits of information that do not relate to the bigger picture and which should fall away).
- No. The discussion does not help to quantify the scope of the issue or point made in the Finding Statement (most units, a majority of the units, many of the units, some of the units, and so on).
- No. Other _____

(4) **Root Cause:** Does this paragraph capture all of the reasons for compliance or non-compliance?

- Yes
- No. This paragraph just repeats the Finding Statement and does not explain the reason (the "why") for compliance or non-compliance.
- No. The root cause is completely off the mark.
- No. Fixing the root cause as stated would not correct the problem.
- No. The root cause as stated is only a symptom of the real root cause and not the actual root cause itself.
- No. Other _____

(5) **Recommendation(s):** Does the recommendation fix the problem as outlined in the Finding Statement and captured by the Root Cause?

- Yes
- Yes, but the recommendation fails to name the appropriate proponent (a person or staff agency best suited to fix the problem).
- No. Other _____

Overall comments:

- Are the Finding Statement and Recommendation paragraphs logically sufficient?
- Do the Finding Statement and Recommendation paragraphs share a logical connection?
- Does the Recommendation fix the problem or issue outlined in the Finding Statement?
- Does the chapter require a legal review before final approval?

Once the committee agrees on the adjustments that you should make to the chapter, the Team Leader sets a time for you and the committee to meet to discuss the changes (somewhat like a "murder board"). After the meeting, you return to your desk and make the corrections to the chapter. Next, you submit a clean copy to the Team Leader for a final grammar and format review. Once the Team Leader approves the final product, your chapter is finished and ready for inclusion in the draft version of the Final Report.

8. The Final Result: The final result of this step of the Execution Phase -- the physical output -- is a draft version of the Final Report. The Team Leader will compile the approved chapters into the draft Final Report and use that draft to develop a slide

presentation for the proponents and the commander. The inspection team must consider the report a draft at this stage because the commander has not yet approved the results.

Section 6-5

The Execution Phase

Step 11: Out-Brief the Proponent

1. **Identifying the Proponent:** The proponents are the individuals or staff agencies that you identified in your recommendation paragraphs that have the authority to fix the identified problems. Each recommendation must name at least one proponent. IGs must ensure that the proponent identified in the recommendation is the correct one to fix the problem. The IG should always call first and -- without revealing information about the inspection -- determine if that person or staff agency is the right one to execute the proposed solution. If the recommended solution concerns a particular standard or regulation, the IG should determine what person or staff agency is the proponent for that standard or regulation. For example, if the II MEF is the proponent for oversight of Individual Augmentation that you are addressing, then the II MEF, G-1 is the proponent best suited to direct adjustments or changes required to correct any problems. However, if the problem can be solved at the MEU level but still concerns that standard or regulation, the staff agency that is responsible for the personnel function should be listed as the proponent.

2. **Out-Briefing the Proponent:** Before the commander sees the results of the inspection, the IG team must extend a professional courtesy to those individuals or staff agencies listed to fix the variety of issues the IG team recommended. The Team Leader should schedule a briefing with the head of the staff agency or the person involved and share the findings and recommendations pertaining only to that person or staff agency. The Team Leader does not have to share the results of the entire inspection with each proponent. The slide briefing, the only physical output of this step, should cover the following areas:

a. Inspection Background and Concept (slides on the Inspection Purpose, Inspection Objectives, and Inspection Concept)

b. Inspection Methodology (slides on the overall Inspection Approach, Task Organization, and units or agencies visited)

c. Results of a Legal Review (if a legal review was necessary)

d. Findings by Objective and Sub-Task with Recommendations (one slide for each finding listing the Inspection Objective, Sub-Task, Finding Statement, and Recommendation) [Note: Show only those slides pertaining to the proponent you are briefing.]

If a face-to-face briefing is not possible, then a telephone call to the proponent that covers all of this information verbally is acceptable.

3. The Purpose of the Briefing: The purpose of the briefing is to inform the proponent about the recommendations you will make to the commander which -- once approved -- will require that proponent to take corrective action. The briefing is an information briefing only and does not require the concurrence of the proponent. The proponent may tell the Team Leader the IG is naming the wrong proponent to fix a particular problem, which may result in a change to the draft version of the Final Report. However, advance research on the correct proponent by the IG team members should preclude this problem. Finally, the proponent does not have to agree with the findings or recommendations. The proponent may offer other options, which the IG can use to refine the recommendations, or simply disagree with some or all of the findings and recommendations. A proponent's disagreement does not mean the Team Leader deletes a finding (or findings) from the report. The Team Leader will note the proponent's non-concurrence and inform the commander during the commander's out-briefing. Once all proponent out-briefings are complete, the IG inspection team is ready to transition to the Completion Phase of the Inspections Process and out-brief the commander.

Chapter 7

The Completion Phase

Section 7-1 – Step 12: Out-brief the Commander

Section 7-2 – Step 13: Taskers

Section 7-3 – Step 14: Finalize Report

Section 7-4 – Step 15: Handoff

Section 7-5 – Step 16: Distribute the Report

Section 7-6 – Step 17: Schedule a Follow-up Inspection

Chapter 7

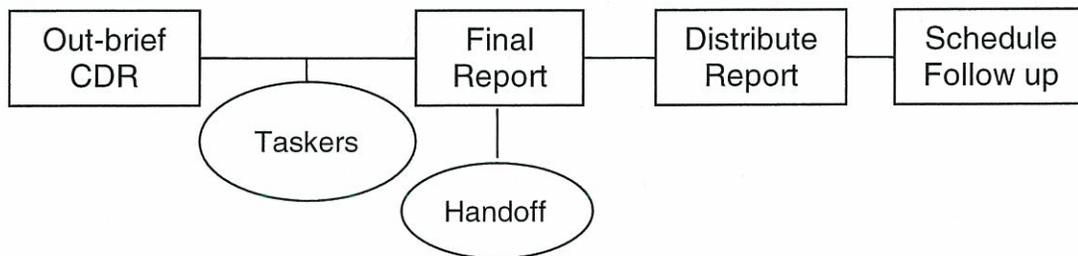
The Completion Phase

1. **Purpose:** This section discusses the Completion Phase of the Inspections Process and the six steps included in that phase.

2. **The Completion Phase:** The Completion Phase of the Inspections Process puts the finishing touches on the Final Report and includes those steps necessary to ensure that the designated proponents fix the recommended solutions. The Completion Phase has six discrete steps, but some of these steps may occur simultaneously after the commander approves the inspection results. The six steps of the Completion Phase are as follows:

- a. Out-Brief the Commander
- b. Issue Taskers
- c. Finalize the Report
- d. Handoff
- e. Distribute the Final Report
- f. Schedule a Follow-Up Inspection

Phase Three: The Completion Phase



Section 7-1

The Completion Phase

Step 12: Out-Brief the Commander

1. **Out-Briefing the Commander:** The out-briefing to the commander should be a formal event designed to gain the commander's approval of the final inspection report. The Team Leader should present a well-prepared briefing to the commander and have on hand the draft Final Report in case the commander requests a copy for further review. The Team Leader should invite all of the proponents to the briefing and any other staff-agency heads who might be interested in the inspection results. In addition, the Chief of Staff is normally present at these briefings.

2. **Contents of the Briefing:** The briefing is a decision briefing that, once presented, will request the commander's approval or disapproval. The briefing will be similar to the version the Team Leader presented to the proponents. The greatest difference being this briefing will include all findings and recommendations. The briefing, the only physical output of this step, should cover the following areas:

- a. Inspection Background and Concept (slides on the Inspection Purpose, Inspection Objectives, and Inspection Concept)
- b. Inspection Methodology (slides on the overall Inspection Approach, Task Organization, and units or agencies visited)
- c. Results of a Legal Review (if a legal review was necessary)
- d. All inspection findings by Objective and Sub-Task with Recommendations (one slide for each finding that lists the Inspection Objective, the Sub-Task, Finding Statement, and Recommendation)
- e. Results of the proponent out-briefings (to include any non-concurrence issues that the proponents raised)
- f. Timeline for completion and distribution of the Final Report
- g. Request for the commander's approval or additional guidance

3. **Commander's Approval:** In most cases, the commander will approve the inspection results based solely upon a review of the Finding Statements and Recommendations. However, the commander may direct some changes or adjustments to the Final Report that the team must make before he or she will concur with the inspection results. For example, the commander may opt to change findings that are not adequately substantiated or that are factually incorrect. The commander may also choose to withhold his or her approval pending a detailed review of the entire draft version of the Final Report. In any case, the inspection team cannot proceed with the remaining steps of the Completion Phase until the commander approves the report. Once approved, the report is no longer a draft document, and the Inspection Directive expires.

Section 7-2

The Completion Phase Step 13: Taskers

1. **Issuing Taskers:** The individuals or staff agencies the IG team identified in each recommendation will normally receive taskers to initiate the actions required to fix the problem. In most cases, the proponents will already begin working to fix the problem areas immediately after the IG team briefs them as part of Step 11 in the Execution Phase. Upon the report's approval, the Chief of Staff or the operations staff section will usually issue the taskers and then monitor their completion.

2. **The IG's Role in Taskers:** The IG's role with regard to taskers is to monitor the assignment of the tasker and to be aware of each tasker's completion. The IG is not a tasking authority and should never assume a supervisory role when monitoring the taskers. If the IG team feels a proponent is not correcting a problem within a reasonable amount of time or within the parameters of the recommendation, the IG team can raise that concern with the appropriate tasking authority. The IG team should always be prepared to work with the staff agencies or individuals tasked to help them solve or fix the problem(s).

Section 7-3

The Completion Phase

Step 14: Finalize the Report

1. **Finalizing the Written Report:** Immediately following the briefing to the commander, the inspection team should make any necessary adjustments to the Final Report. The commander may have directed some changes to the wording of one or more finding statements or switched some proponents. The IG team must make these changes to the text before the Final Report is finished. The Team Leader or a designated member of the team should conduct one final edit of the report to ensure accuracy, consistency, and general grammatical correctness. This final edit should further ensure the report does not name names or mention commands. The inspection team must ensure they have fully redacted the report for all attribution. Confidentiality is crucial. Remember: The information contained in the report is what is important and not the sources of the information.

2. **Commander's Cover Letter:** The inspection team must develop a cover letter stating the commander has approved of the report's findings and recommendations. The commander must sign this letter, which becomes the first page of the Final Report. The letter should include the commander's letterhead, office symbol, a statement that the commander has approved of all findings and recommendations contained within the report, and the commander's signature block with signature. This cover letter is the only physical output of this step.

3. **Submit the Final Report to the Commander:** Submit a copy of the Final Report to the commander with a copy of the cover letter for final approval and signature. The commander may choose to keep the copy of the Final Report and only return the signed copy of the cover letter. The inspection team must have this signed copy of the cover letter before reproducing and distributing the Final Report.

Section 7-4

The Completion Phase Step 15: Handoff

1. **Definition of Handoff:** Handoff is the transferring of a verified finding that the command cannot resolve to another command or organization for resolution. Handoff may occur through Command Channels by requesting assistance from the next higher command for operational issues or through IG Technical Channels such as forwarding the finding to the IGMC for information purposes (for example, if another CIG had encountered the issue and may need advice or ideas on how to resolve the matter). The CIG will recommend handoffs to the commander during the inspection-results briefing since the IG team will probably name the staff directorate, outside command, or HQMC as the proponent.

2. **Handoff Procedures:** Handoff can occur through Command Channels or IG Technical Channels. The procedures for each method are as follows:

a. **Command Channels:** The command should have procedures in place for requesting assistance from HQMC. If the issue concerns personnel, then the G-1 can work the problem with his or her counterpart G-1. In this case, the G-1 would have to track the problem as a tasker and monitor it to completion.

b. **IG Technical Channels:** When using IG Technical Channels for a handoff, the CIG should request assistance through the IGMC. The IGMC will then query all appropriate IG channels for possible solutions to issues. Next, the IGMC will notify the initiating CIG of potential solutions so that both IGs may discuss and resolve the issue. Finally, the initiating CIG must keep the commander informed of the handoff's progress.

Section 7-5

The Completion Phase

Step 16: Distribute the Report

1. **Release Authority.** Upon the commander's approval of the inspection report, CIGs may release the written inspection reports for official use as long as the report meets the following criteria:

- a. Report is redacted of unit or individual information
- b. Report is not used to compare commands and commanders
- c. Report contains the appropriate markings (see paragraph 3 below)

2. **Distribute the Final Report:** Printed copies of the Final Report should go to the commander, primary staff members, the proponents, Service components, and any other component within the command (or outside the command) that may benefit from the results. If appropriate, provide courtesy copies to the next CIG in your chain of command or the IGMC for their awareness or assistance. If printing costs limit your ability to distribute the Final Report in hard-copy form, then circulate the Final Report electronically but only as a PDF file. Never send out a document someone else can manipulate or change on a computer. Ask your Information Resource Manager for help if necessary.

3. **Releasing IG Records:** Since you will be releasing IG records within and outside the command, ensure each page of the Final Report has the appropriate footer at the bottom. The footer explains that the Final Report is for official use only. Some parts of the document are exempt from mandatory disclosure under the Freedom of Information Act (FOIA). Exemption 5 applies to the release of inspection results. The correct footer is as follows:

FOR OFFICIAL USE ONLY

The commander or designated release authority will release IG records in accordance with DoD Directive 5400.7, DoD Freedom of Information Act (FOIA) Program, and DoD 5400.11-R, DoD Privacy Program. See the Inspector General Program Concept and System Guide, Sections 4-3 and 4-4, for detailed procedures for records release for both official and non-official requests.

Section 7-6

The Completion Phase

Step 17: Schedule a Follow-Up Inspection

1. **Scheduling a Follow-Up Inspection:** An inspection is meaningless if the inspection team does not follow up to determine if the necessary corrective actions have occurred. Following up is an important inspection principle that applies to all IG inspections. The IG team should schedule all follow-up activities to occur only after the command has had sufficient time to take corrective action.

2. **Techniques for Following Up:** An IG can follow up an inspection using three different methods:

a. **Follow-Up Inspection:** A complete re-inspection of the same topic is the best method to determine if the results of the first inspection have been implemented. A complete follow-up inspection is the preferred method for an inspection topic that is of particular importance to the command and the commander. However, a complete follow-up inspection is resource intensive and time consuming.

b. **Follow-Up Visit:** The IG team members can visit the individuals or agencies responsible for taking the corrective action to determine their progress. The IG team members must be careful not to assume a supervisory role over these proponents.

c. **Telephone:** This method is the same as a Follow-Up Visit except the IG team members conduct it by telephone.

Chapter 8

Conducting a Compliance Inspection

Section 8-1 – Conducting a Compliance Inspection

Section 8-2 – Developing Inspection Checklists for Compliance Inspections

Section 8-1

Conducting a Compliance Inspection

1. **Purpose:** The purpose of this section is to describe a Compliance Inspection and how to conduct one.
2. **Definition:** A Compliance Inspection is focused on the health of a particular organization through compliance with established standards. The results contribute directly to the commander's readiness assessment of the organization. Table 8-1 provides a comparison of a Compliance Inspection with a Systemic Inspection.

Compliance Inspection	Systemic Inspection
Focused on the functional "health" of a specific command or component	Focused on the "health" of a particular function, process, or system using components as points of information
Results contribute directly to the commander's readiness assessment of the organization	Results positively impact the readiness of multiple components and not just one
Broad inspection areas	Narrow inspection areas
Compartmentalization of inspection areas	Systemic, integrated assessment of a focused inspection area
Short-term horizon	Long-term horizon
Cyclical in frequency and design	Linear in frequency and design
Distinguished by specialists who evaluate inspection results within a single commodity area	Integrates expertise from various specialties that contribute to research, design, and evaluation of the inspection results
Resolves local issues by assigning responsibility for corrective action at the lowest possible level	Resolves complex, high-payoff issues and assigns responsibility for corrective action to an individual or agency at the appropriate level
Component-based assessment that promotes accountability by the commanders for compliance	Systems-based assessment – free of component attribution or penalty – that promotes a deeper inquiry of the issues
Commander stresses performance in terms of efficiency and outputs (i.e., materiel readiness rates or number of Soldiers trained)	Commander stresses performance in terms of effectiveness and outcomes (qualitative perceptions of the impact of particular functions)
Views root cause issues from a hierarchical, organizational framework	Views root cause issues from a web-like team approach that spans functional and organizational lines
Assumes standards are correct as written	Does not assume the standards up and down the chain are correct

Table 8-1
Compliance Inspection versus Systemic Inspection

3. **Process:** The same 17 steps of the “Inspections Process” are used to conduct a Compliance Inspection. The IG will review multiple programs within a component to determine overall readiness.

Compliance inspections are a combination of checklists and open-ended questions. Checklists are yes-no answers; however, the problem with checklists is that they do not allow the IG to dig deeper into the reasons for non-compliance. The IG wants to know “why” there was non-compliance of the standard; therefore, open-ended questions should accompany the checklist (see Section 8-2). The result will be greater understanding of the root causes associated with the component’s inability to comply with the established standard. A good open-ended question to begin a compliance inspection in a functional area is, “Would you briefly explain the component’s XXXX program?”

During the “Research Phase” of the inspections process, the IG will focus on understanding the standard, who the proponent is, and why the standard exists. This research will assist the IG in developing the open-ended questions, checklist items, and educating the individuals responsible for compliance to the standard. Note: The IG should assume that the standards are correct as written.

Recommendations for resolving issues and taking corrective action are assigned at the lowest possible level. Thus, corrective action may be taken at the component level, or at a higher level, depending on where the root cause for non-compliance is determined to exist.

4. **Methodology.** Table 8-2 shows each of the 17 steps of the Compliance Inspection, and how they may or may not differ from the 17 Systemic Inspection steps shown in Section 4.

Inspection Step	Compliance Inspection	Systemic Inspection
1. Research	Focus on reviewing and understanding the standards to be inspected within a component (can be a broad range of topics)	Focus on how the system is suppose to work across many components (very narrow in scope)
2. Develop Concept	Develop multiple objectives based on number of standards inspected	Deep-dive into a single subject to find a roadblock in the system
3. Commander's Approval	No difference	No difference
4. Plan in Detail	May not conduct session sessions as an information-gathering technique	Requires sensing sessions as an information-gathering technique
5. Train Up	May not require a Subject Matter Expert (TAIG). Develop Compliance Questionnaire(s).	May require Subject Matter Expert (TAIG). Develop both Interview and Sensing Session questions.
6. Pre-Inspection Visits	No Difference	No Difference
7. Visit Components	No Difference	No Difference
8. In-Process Review	No Difference	No Difference
9. Update Commander	No Difference	No Difference
10. Analyze Results and Cross-walk	No Difference	No Difference
11. Out-Brief the Proponent	No Difference	No Difference
12. Out-Brief the Commander	No Difference	No Difference
13. Issue Taskers	No Difference	No Difference
14. Finalize Report	No Difference	No Difference
15. Handoff	No Difference	No Difference
16. Distribute the Final Report	No Difference	No Difference
17. Schedule Follow-up Inspection	No Difference	No Difference

Table 8-2
Difference in the 17 Steps of a Compliance and Systemic Inspection

Section 8-2

Developing Inspection Checklists for Compliance Inspections

1. **Purpose:** This section discusses techniques for developing Inspection Checklists for Compliance (or General) Inspections.

2. **The Pitfalls of Inspection Checklists.** In the past, Compliance Inspections occurred with designated (and often untrained) inspectors who arrived at an inspected command, linked up with the various functional-area representatives, and then assessed the command's functional areas using a series of checklists. These checklists asked basic, close-ended questions (based upon the established standards) that the inspectors could simply check off as 'yes' or 'no.' The inspectors did not need to be experts in the subject matter to conduct these very basic, and extremely simplistic, inspections.

The problem with these checklists was that they did not allow the inspectors to dig deeper into the reason for any non-compliance identified through the checklist. Instead, the inspectors noted that the command had failed to comply with one or more aspects of the standard governing the functional area and left it at that. In effect, the checklist did not facilitate a greater examination of the root causes behind the non-compliance. Neither the inspectors nor the inspected commanders can recommend or implement effective solutions for the non-compliant areas if they don't identify and understand the root causes behind the shortfalls.

3. **Getting at the Root Cause.** The only way to remedy the problem of identifying root causes while using checklists is to create checklists that combine close-ended questions (answered with a simple yes or no) with open-ended questions (answered by an in-depth explanation). Open-ended questions will allow the inspector to interact with the functional-area representative and explore in greater detail any reasons for non-compliance. The result will be a greater understanding of the root causes associated with the command's inability to comply with the established standard. However, for inspectors to understand the open-ended questions they are asking, they must have some measure of expertise in the inspected functional area.

4. **Sample Checklist.** The checklist below combines closed-ended questions with open-ended questions. The inspector must have the functional-area representative on hand for this inspection and not someone who is simply standing in for that person. The inspection of the functional area is, for the most part, an interview with the functional area representative intermingled with some physical, hands-on checking.

The inspector can begin the functional-area inspection by asking an open-ended question (Question 1 in this case) that will result in a discussion of the command's Radio Frequency Identification (RFID) program. By asking the command representative to explain the program, the inspector will be able to determine if the representative understands the regulation and the command's overall program. If the individual does not respond effectively, the inspector can ask the second part of the question (a follow-up question), which is a more direct query about the individual's knowledge of the program and the associated standards. Once the inspector captures the essential

information from these initial questions, the inspector can then ask Question 2, which is a close-ended question and requires the representative to show the inspector on-hand equipment.

The inspection will continue in this manner until the inspector gathers all of the required information about the functional area. The inspector will normally not offer an on-the-spot assessment of the functional area but will analyze the information later in conjunction with the established standard to determine if the command is in compliance with this particular functional area. The inspector will also be able to examine the information more closely for any root causes associated with the areas of non-compliance. The Root Cause Analysis Model in Section 3-4 will prove helpful in this determination.

The sample checklist is as follows:

XX MEU Inspection Checklist

(Applies to Initial Command Inspections, Subsequent Command Inspections and other inspections as required)

Proponent:
DC, I&L

Functional Area:
RFID Program

Checklist Date:
27 July 2006

Inspecting Office:

Inspector/Phone:

Unit Inspected:

Date Inspected:

Unit Functional Area Representative:

Reference(s): Deputy Commandant, Installations & Logistics (I&L), Radio Frequency Identification (RFID) Implementation Plan dated 27 July 2006

1. Would you briefly explain the unit's RFID Program?

Do you understand the RFID program?

2. Does the unit have the proper hardware and software (V 2.0) to utilize RFID?

If not, why?

3. Does the unit properly code RFID tags in accordance with Business Rules for Passive RFID?

If not, why?

4. Does the unit properly palletize equipment to be shipped in accordance with Business Rules for Passive RFID?

If not, why?

5. Does the unit utilize the Electronic Data Interchange (EDI) Information to generate transactions of records in DoD logistics systems?

If not, why?

6. Does the unit have a copy of the DC, I&L RFID Implementation Plan, dated 27 July 2006?

Appendix A

References

1. **Purpose:** The references used in developing this guide are they key regulations and publications that apply to the conduct of key functions, in general, and Inspector General Program, in particular.

2. **Critical References.** The following references represent those publications that are considered essential to developing a solid understanding of Marine Corps doctrine, particularly as it relates to the conduct of Inspection General Program Inspection Function.

- a. MCDP 1, Warfighting
- b. MCDP 1-0, Marine Corps Operations
- c. MCDP 1-1, Strategy
- d. MCDP 1-2, Campaigning
- e. MCDP 1-3, Tactics
- f. MCDP 2, Intelligence
- g. MCDP 3, Expeditionary Operations
- h. MCDP 4, Logistics
- i. MCDP 5, Planning
- j. MCDP 6, Command and Control
- k. SECNAVINST 5430.57G, Mission and Functions of the Naval Inspector General
- l. SECNAVINST 5430.92B, Assignment of Responsibilities to Counteract Acquisition Fraud Waste and Related Improprieties Within the DON
- m. MCO 1700.23E, Request Mast
- n. MCO 5040.6H, Marine Corps Readiness Inspections and Assessments
- o. MCO 5430.1, Marine Corps Inspector General Program
- p. NAVMC 1700.23F, Request Mast Procedures
- q. NAVMC 5040.6H, Marine Corps Readiness Inspections and Assessments
- r. Marine Corps Inspector General Program, Concept and Systems Guide

Appendix B

Conducting Interviews

1. **Purpose:** This chapter outlines a general approach to conducting interviews.
2. **The Purpose of Interviews:** An interview is an information-gathering technique designed to allow an IG to gather information through one-on-one, face-to-face contact with an individual. Interviews are not interrogations.
3. **Setting the Conditions for an Interview:** Scheduled interviews often last one hour, but the actual duration will vary based upon the amount of information required. The same notion applies to walk-in interviews. The IG should always conduct the interview in a private place that will be free from interruptions and will readily set the interviewee at ease. If necessary, place "do not disturb" signs on the door or find a place that is free from distracting telephone calls or repeated interruptions by co-workers or subordinates. Always be friendly and personable to the person you are about to interview. This behavior will set the person at ease. For a walk-in interview, greet the person by coming from behind your desk with your hand extended and a smile on your face. IGs may also conduct interviews in pairs; one IG can record the information while the other IG asks the questions.
4. **Introduction:** Scheduled interviews during Inspections will begin with a prepared introduction recited by the IG to the interviewee. This introduction will explain the purpose, scope, and ground rules of the interview. The introduction will also explain the notion of confidentiality and set a prescribed time limit for the interview (see the example at the end of this chapter).
5. **Conducting the Interview:** Immediately following the introduction or read-in briefing, scheduled interviews will continue with the prepared questions for the Inspection. Develop no more than 10 questions since time will not allow for many more. The IG must always ask one question at a time and present the questions in a logical sequence. Give the interviewee enough time to answer each question thoroughly. Do not ask bullying or trick questions. The questions should be open-ended and promote discussion. Close-ended questions -- questions that normally require only a yes or no response -- will often keep the IG from determining the root cause or deeper meaning of a problem or issue. The IG should ask each question in a friendly yet business-like manner, and the IG should probe for answers only as far as is necessary to obtain the required information. The same principles apply to walk-in interviews -- even though the IG will not be using prepared questions to gather information. The following are some helpful hints about conducting interviews:
 - a. Establish rapport. Rapport is a relationship built on harmony and will immediately set the interviewee at ease. The interview will proceed well if the interviewee senses that the IG is someone with whom he or she can speak easily and comfortably.
 - b. Maintain Control. The IG must always control the interview and not allow the discussion to digress to irrelevant issues. IGs can maintain control without being overly

assertive. Instead, the IG can simply keep re-directing the discussion back to the interview's primary topic.

c. Avoid Arguing. An IG must not argue with the interviewee even if he or she disagrees strongly with what the person says. The IG's mission is to gather the required information and to remain as neutral as possible.

d. Maintain Strict Impartiality. IGs should never make value judgments about the information gathered. In cases where an interviewee misquotes a regulation or standard, the IG can -- and should -- intercede and correct the error as part of the IG's Teach-and-Train function. Likewise, IGs should not proffer an opinion about anything an interviewee says or commiserate with that person on any real or perceived injustices.

e. Do Not Try to Solve Problems on the Spot. Numerous issues and personal problems may arise during the course of scheduled interviews. The interviewee may attempt to solicit the IG for a response or an agreement to fix a problem as soon as possible. This same notion especially applies to walk-in interviews for assistance. In all circumstances, IGs must refrain from attempting to solve a problem on the spot or promising that he or she will get something "fixed" for the interviewee. If the IG is unable to comply with that promise at a later date, the IG's credibility will invariably suffer.

f. Do Not Allow the Interviewee to Interview You. If the interviewee begins asking questions of the IG such as "What do you think of this situation?" or "Would you put up with that stuff?", the IG should ignore the queries and continue with the questioning. If the interviewee persists, then the IG should simply state that he or she is not familiar enough with the situation to render an opinion. An opinion proffered by a IG may compromise that IG's impartiality at a later date.

g. Be a Good Listener. The quality of an IG's listening can actually control another person's ability to talk. Listening is an active process in which the IG thinks ahead, weighs the points, reviews the information already covered, and searches the information for greater meaning. Most people need some feedback to ensure that the IG is being attentive and hearing them. If the IG stares at the responding interviewee impassively, the interviewee will be less forthcoming and feel that what he or she is saying is unimportant. The IG should be a positive listener who uses non-judgmental expressions or gestures that show interest or understanding. A small gesture such as a nod, a smile, or eye contact are often enough to maintain rapport with the interviewee. The IG may also try neutral phrases such as "Tell me more about it" or "Go on and explain what happened next."

h. Silence. Silent pauses during an interview should never embarrass an IG. A respect for silence is often helpful and can allow both the interviewer and interviewee to collect their thoughts before proceeding. A hasty interruption on the IG's part may leave an important part of the story forever untold. The IG may also use silence to force a response from a reluctant interviewee.

i. Accept the Interviewee's Feelings. IGs must learn to accept a person's feelings during an interview and avoid passing judgment on someone. Gather only the facts, and do not dole out false reassurances about anything.

6. **Sample Introduction for a Scheduled Interview:** The following sample introduction is for a scheduled interview conducted as part of an inspection on the Individual Augmentation process:

Individual Augmentation Interview Introduction

Hello, I am _____ from the MARCENT, Inspector General office.

- I am talking to you as part of an inspection that the MARCENT IG is doing on the Individual Augmentation (IA) process to determine _____. The Commander, MARCENT, directed this inspection.
- I am interviewing you to get your thoughts and opinions about the Individual Augmentation process and its _____. We will combine what you tell us with what others say. We will look for patterns and trends in the collective comments and perceptions and then report that information to the MARCENT, Command Inspector General (CIG) and other senior leaders.
- We define Individual Augmentation as: _____(Reference Document).
- This command may describe the program by a different name or term. If so, please let me know. If you do not recognize a term, please ask.
- I want you to feel perfectly at ease and talk freely with me. To this end, I propose these ground rules:
 - I am interested specifically in your thoughts, feelings, opinions, or anything relevant to the subject.
 - I will take notes to capture the essence of what you say. However, I will not use your name or in any way attribute what you say to who you are. I am sensitive to the fact that you might not talk as freely about things if you think your comments could later be attributed to you in a negative way.
 - The only time that I might attribute a name to a statement is in the unlikely event that you indicate that you have evidence of a crime, a security violation, or a serious breach of integrity. If that happens, I will discuss that issue with you immediately following this interview.
 - I will take about one hour of your time.
- Do you have any questions about the ground rules? Great! Let's begin!

Appendix C

Conducting Sensing Sessions

1. **Purpose:** The purpose of this chapter is to provide guidance on how to conduct a sensing session.

2. **Discussion:** Sensing sessions are group interviews that can serve as an excellent source of information. The objective of a sensing session is to provide IGs with the perceptions and opinions of the group's members (Marines, Sailors, or civilian employees, and so on). If conducted properly, the group that the team is sensing will feel comfortable and share some critical opinions and observations about a certain topic.

The key to a successful sensing session is to make the group feel comfortable -- even though the facilitator may be a lieutenant colonel while the group members are junior enlisted personnel. The facilitator must not assert his or her authority directly but instead do so in a subtle manner through body language and tone. The sensing-session group will understand that authority if the facilitator conducts the session professionally and treats everyone with equal respect throughout the session. The key features of a successful sensing session are as follows:

a. Location: The setting should be in a classroom-sized environment and -- preferably -- away from the unit. The location must support the notion of anonymity since the people you are sensing will expect some measure of confidentiality. The preferred structure of the room is to arrange the chairs into a "U" shape so that the facilitator and recorder can position themselves at the open mouth of the "U." All participants should be able to see each other. Avoid using a classroom set-up with tables or desks since the participants cannot see each other and the facilitator will have difficulty maintaining eye contact.

b. Group Size and Composition: A successful sensing session cannot occur with fewer than eight (8) people. The preferred group size is 15 since the facilitator cannot maintain eye contact or rapport with a group larger than 15. Groups smaller than eight people will not support -- in each participant's mind -- The IG's promise of anonymity and will normally devolve into a discussion between the facilitator and one or two of the more outspoken participants.

The unit will select the participants based upon criteria established by the IG. The IG must not, under any circumstances, select the participants by name. The IG should stratify the group by unit, gender, race, and grade as required. The facilitator must not allow members of the group's chain of command to observe the session. Likewise, the facilitator must ensure that none of the group members shares a supervisory relationship with another member.

c. Preparation: The facilitator must develop no more than 10 open-ended questions that will help capture the desired information about the topic. Close-ended questions require yes or no responses and will not allow the IG to get at the root cause of the problem or any other underlying issues.

The facilitator must also consider the group's composition when developing sensing-session questions. The questions that the facilitator asks a group of enlisted Marines will vary from the questions posed to a group of junior officers. In addition, the facilitator must know and understand the questions thoroughly. The facilitator must be prepared to allow the discussion to ramble a bit and not simply force the group to answer a series of questions in succession. The facilitator should ultimately ensure that the group answers all of the questions, but within the context of a free-flowing discussion.

d. Recording: Another team member, who will serve as a recorder (or scribe) for the session, must accompany the facilitator. The recorder will take notes to capture the essence of what the group members say without quoting anyone directly. The recorder will never list the names of those present for the session. Also, some situations may occur when the facilitator must also serve as the recorder.

e. Introduction: The facilitator must have on hand a prepared introduction or statement that captures the purpose and intent behind the session. Likewise, this introduction must establish ground rules for the session such as confidentiality, actions taken if a person inadvertently gives evidence of a crime, and so on. The introduction must mention that the IG is interested in the group's opinions and perceptions about the topic at hand and that the recorder will only take notes to capture the essence of what the group says but will not take names (see the end of this appendix for a sample introduction).

f. Conducting the Session: The session should not last for more than two hours since most of the group members will become fidgety and fatigued by this time. The preferred time for a sensing session is 90 minutes. The facilitator can begin with some humor but should do so only if the comments do not compromise the seriousness or professional nature of the session.

The facilitator should ask the first question and then allow the discussion to develop naturally. Once the facilitator obtains the required information from the group concerning the first question, the facilitator can begin with the next question. Asking the questions in sequence is less important than gathering the required information. A rambling, naturally developing discussion may ultimately answer all of the questions, so the recorder has to know how to capture the relevant information as it surfaces. When the discussion begins to wind down, the facilitator can ask those questions not answered during the larger discussion.

The facilitator must make every effort to involve everyone in the discussion and treat each group member's comments as valid and useful -- even if some of the comments may seem strikingly ridiculous. In effect, the facilitator must never "shut out" a participant by evaluating someone's statement in front of the group. The facilitator and the recorder must be good, active listeners and show interest in the comments made by the group's members. The recorder may also interject and ask follow-up questions or request clarification as necessary. The recorder may also summarize the feedback periodically to ensure that he or she has captured the group's thoughts accurately.

Since the sensing session is not a complaint session, the facilitator must remind the group to hold all complaints or personal issues until after the sensing session (if complaints begin to surface). The IG must never make a commitment or a promise during the session -- even if pressed to do so by a member of the group.

The facilitator must also be prepared to teach and train the group on aspects of the topic that the group may not understand. If a member of the group makes an incorrect statement about an existing standard or regulation, the facilitator should correct the individual to ensure that the group does not consider the person's statement to be correct and thus perpetuate some misinformation.

g. Ending the Session: The facilitator should begin ending (or winding down) the session 15 minutes before the scheduled completion time. If the group answers all questions before the time is over, then release the group early. Most of these people will have other things to do and will appreciate the extra time. The facilitator or recorder should summarize the key points made during the session before releasing the group. Be sure to thank them for their assistance and remind them one last time about the issue of confidentiality.

3. Sample Introduction for a Sensing Session: The following sample introduction is for a sensing session conducted as part of an inspection on Individual Augmentation:

Individual Augmentation Sensing Session Introduction

Hello, I am _____ of the MARCENT, Command Inspector General (CIG) office. This is my partner, _____.

- We are talking to you as part of an inspection that the MARCENT CIG is doing on the _____ to determine _____. The Commander, MARCENT, directed this inspection.
- We are interviewing you to get your thoughts and opinions about _____ and its _____. We will combine what you tell us with what other groups say. We will look for patterns and trends in the collective comments and perceptions and then report that information to the MARCENT, CIG and other senior leaders.
- We define Individual Augmentation as _____ (Source Reference).
- Your unit may describe the program by a different name or term. If so, please let us know. If you do not recognize a term, please ask.
- We want you to feel perfectly at ease and talk freely with us. To this end, we propose these ground rules:
 - We are interested specifically in your thoughts, feelings, opinions, or anything relevant to the subject. Speak for yourself and avoid speeches or philosophical statements.
 - Respond to the questions we ask, stay on track, and avoid sidebars with your neighbors.
 - Keep each other's input confidential; what is said in this room stays in this room.

- My partner will take notes to capture the essence of what you say. We will not use your name or in any way attribute what you say to who you are. We are sensitive to the fact that you might not talk as freely about things if you think your comments could later be attributed to you in a negative way.
- The only time we might attribute a name to a statement is in the unlikely event that you indicate that you have evidence of a crime, a security violation, or a serious breach of integrity. If that happens, we will discuss that issue following this session.
- We will take about one hour and 30 minutes of your time.
- Do you have any questions about the ground rules? Great! Let's begin!

Index

- Baseline Methodology, 5-4-3
- Briefing Contents, 7-1-1
- Briefing Outline, 6-3-1
- Commander's Approval, 7-1-1
- Commander's Cover Letter, 7-3-1
- Communications, 2-1-2
- Completion Phase, 7-1-1
 - Briefing Contents, 7-1-1
 - Commander's Approval, 7-1-1
 - Commander's Cover Letter, 7-3-1
 - Final Report Distribution, 7-5-1
 - Finalizing Written Report, 7-3-1
 - Follow-up Inspections, 7-6-1
 - Handoff, Definition, 7-4-1
 - Handoff Procedures, 7-4-1
 - Issuing Taskers, 7-2-1
 - IG Role in Taskers, 7-2-1
 - Out-Briefing the Commander, 7-1-1
 - Release Authority, 7-5-1
 - Releasing IG Records, 7-5-1
 - Submit Final Report to Joint Commander, 7-3-1
- Compliance Inspection, 8-1
 - Checklists, 8-2-1
 - Definition, 8-1-1
 - Methodology, 8-1-2
 - Process, 8-1-2
 - Sample Checklist, 8-2-1
- Concept Development, 5-2-1
- Concept Approval Briefing
 - Developing, 5-3-1
 - Sample, 5-3-1
- Conducting Interviews, Appendix B
- Conducting IPR, 6-2-1
- Conducting Pre-Inspection, 5-6-1
- Conducting Sensing Sessions, Appendix C
- Cross-walking, 6-4-1
- Detailed Inspection Plan, 5-4-1
- Determining Inspection Topics, 3-1-1
- Develop Inspection Concept, 5-2-1
- Developing a Finding Statement, Nine-Step Process, 6-4-3
- Developing Information-Gathering Tools, 5-5-2
- Developing Methodology, 5-4-3
- Developing Out-brief, 6-2-4
- Developing Sub-tasks, 5-4-1
- Developing Trends and Patterns, 6-2-11
- Document Review, Guidelines, 5-5-5

- DOTMLPF Analysis, 5-1-4
- Duties of Temporary IG, 5-5-1
- Execution Phase, 6-2
 - Actions Following Visit, 6-1-1
 - Briefing Outline, 6-3-1
 - Conducting IPR, 6-2-3
 - Cross-walking, 6-4-1
 - Developing Out-brief, 6-2-4
 - Developing Trends and Patterns, 6-2-11
 - Draft Final Report, 6-4-1
 - Final Report Format, 6-4-1
 - Identifying the Proponent, 6-5-1
 - In-Process Review (IPR), 6-2-1
 - Information Source, 6-3-1
 - IPR Analysis Tools, 6-2-1
 - IPR Worksheet, 6-2-1
 - Nine-step Process for Developing a Finding Statement, 6-4-3
 - Out-briefing the Proponent, 6-5-1
 - Purpose of the Briefing, 6-5-2
 - Sample Memorandum for the Record, 6-1-3
 - Task Organizing Inspection Team, 6-4-2
 - Trends Analysis Worksheet, 6-2-2
 - Updating the Commander, 6-3-1
 - Visit units, 6-1-1
 - Writing an Objective Chapter, 6-4-2
 - Writing Trip Report, 6-1-2
- Final Report Distribution, 7-5-1
- Final Report Format, 6-4-1
- Finalizing Written Report, 7-3-1
- Five Elements of an Inspection, 3-3-1
- Five-Why Analysis, 3-4-4
- Follow-up Inspections, 7-6-1
- Function Modeling, 5-1-2
- Handoff, Definition, 7-4-1
- Handoff Procedures, 7-4-1
- Identifying the Proponent, 6-5-1
- In-Briefing and Out-Briefing Formats, 5-5-6
- In-Process Review (IPR), 6-2-1
- Inspection Approaches, 3-2-1
 - Structural Approach, 3-2-1
 - Systems Approach, 3-2-2
- Inspection Concept Letter, 5-2-1
- Inspection Directive, 5-3-6
- Inspection Process, 4-1
 - Three Phases, 4-1
 - Inspections Process Flow Chart, 4-2
- Inspections Selection Process, 3-1-2
 - Determining Inspection Topics, 3-1-1
 - Inspection Selection Process, 3-1-1
 - Prerequisites, 3-1-1
 - Selecting Inspections, 3-1-1

- Striking the Balance, 3-1-1
- Interview and Sensing Session Rehearsal, 5-5-8
- Introduction to Inspections Guide, 1-1
- IPR Analysis Tools, 6-2-1
- IPR Worksheet, 6-2-1
- Issuing Taskers, 7-2-1
- Marine Corps Expeditionary Mindset, 2-1-1
- IG
 - Communications, 2-1-2
 - Policy Guidance, 2-1-1
 - Staffing, 2-1-1
- IG Role in Taskers, 7-2-1
- Marine Corps Operating Environment, 2-2-1
- Joint Training and Readiness, 2-2-3
- Nine-step Process for Developing a Finding Statement, 6-4-3
- Notification Memorandum, 5-4-4
- Notifying Pre-inspection Unit, 5-6-1
- Out-briefing the Proponent, 6-5-1
- Policy Guidance, 2-1-1
- Preparation Phase, 5-2
 - Additional Training, 5-5-1
 - Concept-Approval Briefing, 5-3-1
 - Conducting Pre-inspection, 5-6-1
 - Detailed Inspection Plan, 5-4-9
 - Develop Inspection Concept, 5-2-1
 - Developing Information-Gathering Tools, 5-5-2
 - Developing Methodology, 5-4-3
 - Developing Sub-tasks, 5-4-1
 - Duties of Temporary IG, 5-5-1
 - Equipment Inventory and Rehearsal, 5-5-7
 - In-Briefing and Out-Briefing Formats, 5-5-5
 - Inspection Concept Letter, 5-2-1
 - Inspection Directive, 5-3-6
 - Interview and Sensing Session Rehearsal, 5-5-8
 - Observation Spot Report, 5-5-4
 - Notification Memorandum, 5-4-4
 - Notifying Pre-inspection Unit, 5-6-1
 - Planning in Detail, 5-4-1
 - Purpose and objectives, 5-1-1
 - Purpose of Pre-inspection Visit, 5-6-1
 - Refining Methodology, 5-6-1
 - Research, 5-1-1
 - Sample Concept Approval Briefing, 5-3-1
 - Sample Detailed Inspection Memorandum, 5-4-6
 - Sample Inspection Concept Letter, 5-2-2
 - Sample Inspection Directive, 5-3-7
 - Sample FRAG Order, 5-4-7
 - Sample Interview, 5-5-3
 - Sample Notification Memorandum, 5-4-11
 - Sample Sensing Session Questions, 5-5-4
 - Selecting Unit for Pre-inspection, 5-6-1

Training for the Inspection, 5-5-1
Purpose of Pre-inspection Visit, 5-6-1
References, Appendix A
Release Authority, 7-5-1
Releasing IG Records, 7-5-1
Research, 5-5-1
Root Cause Analysis, 3-4-1
 Definition, 3-4-1
 Five-Why Analysis, 3-4-4
 Root Cause Analysis Model, 3-4-1
 Root Cause Analysis Model Flow Chart, 3-4-1
 Two Forms of Root Cause Analysis, 3-4-1
 Using Root Cause Analysis Model, 3-4-2
Sample Concept Approval Briefing, 5-3-1
Sample Detailed Inspection Memorandum, 5-4-6
Sample Inspection Concept Letter, 5-2-2
Sample Inspection Directive, 5-3-7
Sample FRAG Order, 5-4-7
Sample Interview, 5-5-3
Sample Memorandum for the Record, 6-1-3
Sample Notification Memorandum, 5-4-11
Sample Sensing Session Questions, 5-5-4
Selecting Inspections, 3-1-1
Selecting Unit for Pre-inspection, 5-6-1
Staffing, 2-1-1
Structural Approach, 3-2-1
Submit Final Report to the Commander, 7-3-1
Systems Approach, 3-2-2
Task Organizing Inspection Team, 6-4-2
Training for the Inspection, 5-5-1
Trends Analysis Worksheet, 6-2-2
Two Forms of Root Cause Analysis, 3-4-1
Universal Joint Task List (UJTL), 2-2-2
Updating the Commander, 6-3-1
Using Root Cause Analysis Model, 3-4-1
Writing an Objective Chapter, 6-4-2
Writing Trip Report, 6-1-2