

**ORGANIZATIONAL INSPECTION PROGRAM, JRTC AND FORT POLK**

**History.** This is a revision of the publication.

**Summary.** This regulation prescribes the responsibilities and policies for the planning and conducting of inspections in Army organizations. It further provides guidance for planning and implementing the Commanding General's Organizational Inspection Program (OIP) for JRTC and Fort Polk.

**Applicability.** This regulation applies to all units and activities assigned or attached to JRTC and Fort Polk. The pronouns he, his, and him, used in this regulation, are gender neutral.

**Proponent and Exception Authority.** The proponent for this regulation is the Inspector General, AFZX-IG, Building 1943, 1878 15<sup>th</sup> Street, Fort Polk, Louisiana 71459-5438. The proponent has the authority to approve exceptions to this regulation that are consistent with the Commanding General's direction and controlling law and regulation.

**Supplementation.** Supplementation and establishment of command publications and local forms require prior approval from the Director, Directorate of Information Management (DOIM), Administrative Services Division, Building 330, Suite 111, 1820 Corps Road, Fort Polk, Louisiana 71459-0908.

**Suggested Improvements.** Users of JRTC & FP Reg 20-2 may submit comments and suggested improvements on "Recommended Changes to Publications and Blank Forms" (Department of the Army (DA) Form 2028) directly to the Office of the Inspector General, AFZX-IG, Building 1943, 1878 15<sup>th</sup> Street, Fort Polk, Louisiana 71459-5438.

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## **Chapter 1**

### **General**

**1-1. Purpose** Establish objectives, concepts, responsibilities, and policies for the planning and conduct of the Commanding General's Organizational Inspection Program (OIP) for JRTC and Fort Polk.

#### **1-2. References**

- a. Army Regulation (AR) 1-201, Army Inspection Policy, 17 May 1993.
- b. AR 20-1, Inspector General Activities and Procedures, 29 March 2002.
- c. AR 600-20, Army Command Policy, 15 July 1999.
- d. Field Manual (FM) 25-100, Training the Force, 15 November 1998.
- e. FM 25-101, Battle Focused Training, 30 September 1990.
- f. United States Army Inspector General Agency, The Inspections Guide, 7 January 1999.

#### **1-3. Responsibilities** Inspector General, JRTC and Fort Polk:

- a. Proponent for inspection policy except those inspections conducted pursuant to Article 6, Uniform Code of Military Justice or inspections or searches conducted in accordance with Military Rules of Evidence 313, 314, and 315, Manual for Courts Martial, 1984.
- b. Conduct inspections in accordance with AR 1-201, AR 20-1, and this regulation.

**1-4. Intent** Purpose: Provide commanders a mechanism for assessing unit readiness. End state: Trained and ready units which are capable of accomplishing their missions in peace and in war.

## **Chapter 2**

### **Army Inspections**

## 2-1. Organizational Inspection Program

a. At inception, Chief of Staff, Army's objective was to shift the inspection paradigm from external inspections to one in which commanders are responsible for inspecting their own units. The resultant benefits, of such an inspection approach, are greater commander involvement and increased opportunities for commanders to coach and mentor their subordinates. Additionally, commanders develop greater expertise and understanding of the myriad functional areas for which they are responsible.

b. Inspections are a commander responsibility and OIP is a commander's program. Inherent in this responsibility is the obligation to coordinate all inspections and audits into a single, cohesive program.

c. The Army Definition of an Inspection. An evaluation which measures performance against a standard and which should identify the cause of any deviation. All inspections start with compliance against a standard. Commanders tailor inspections to meet their needs.

d. Commanders should use their OIP to complement and reinforce other sources of evaluation such as EXEVALs, FTXs, and EDREs. The three major objectives of OIP are to reduce disruption of training and other important activities, to reinforce established inspection standards, and to teach and train in areas found deficient.

e. OIP provides the commander an organized management tool to identify, prevent or eliminate problem areas. Commanders should:

- (1) Tailor their OIP to their organization's structure and mission.
- (2) Identify problems without regard to the difficulty of resolution.
- (3) Embed a feedback mechanism to track identified problems through to resolution.
- (4) Direct problems to the proper level for action or attention.

f. The battalion commander's OIP is the foundation of a larger organization's OIP. For example, battalion commanders develop their respective programs in coordination with their brigade commander. The brigade commander develops an OIP to complement the programs of the subordinate battalion commanders.

(1) Battalion OIP. At battalion level, OIP includes command inspections (CIs), at a minimum, and staff inspections (SIs) by the battalion staff. Commanders are responsible for training their staff officers. The battalion commander is responsible for all inspection requirements within his command. This inspection requirement includes all subordinate companies and the battalion staff. There are two occasions when a brigade commander should get involved in a subordinate battalion commander's inspection program: 1) The battalion commander does not have the resident expertise for the functional area(s) needing assistance and requests assistance from the brigade commander. 2) The brigade commander determines there is a need, based on his assessment, for direct involvement in the inspection of one or more functional areas within his subordinate battalions.

(2) Brigade OIP. At brigade level, OIP includes CIs, at a minimum, and SIs. Brigade commanders are to conduct initial and subsequent CIs of their separate companies. Oftentimes, this is the brigade's headquarters and headquarters company (HHC). Their OIP should be flexible and may focus on one or more subordinate units, or a functional area over several subordinate units. The brigade OIP is to complement battalion commander programs and not burden subordinate battalions with redundant inspections.

(3) Division OIP. At division level and above, OIP includes CIs, staff inspections, and inspector general (IG) inspections. Division commanders are to conduct initial and subsequent CIs of their separate companies, such as its HHC. Focus of OIP should be on a unit's ability to execute plans and policy. At a minimum, it should verify the effectiveness of OIP at subordinate levels, protect subordinate commanders from redundant inspections and over-inspection, and serve to facilitate dissemination of lessons learned throughout the command. A division commander's OIP should complement, not duplicate, brigade and battalion OIPs.

**2-2. OIP in TDA Organizations** Army inspection policy applies to commanders of TDA organizations just as it does to their TOE counterparts. The TDA commander has a further challenge; however, in developing an OIP that meets the needs of their particular organization. In TDA organizations, OIP includes, initial and subsequent CIs of separate companies, typically an HHC, and SIs.

## 2-3. Inspection Categories

a. Command Inspection. Company size units receive command inspections (CIs). There is no regulatory equivalent for battalion and higher level organizations. For an inspection to be a command inspection, the commander of the inspecting headquarters, is to participate. At a minimum, the commander is to participate during the inspection and is to provide the inspected commander an assessment of strengths and weaknesses.

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(1) Initial Command Inspection (ICI). Company level commanders are to receive an ICI within the first 90 days of assuming command. An ICI facilitates the commander's understanding of the unit's strengths and weaknesses in relation to the goals and standards of the higher headquarters. ICIs are to be on the training schedule and are not for evaluation of commander performance since assuming command. Only the inspected commander receives the results of an ICI. Inspection results are a tool the inspecting commander may use to define the goals, standards, and priorities for the company commander. Commanders are not to use ICI results as a means to compare units.

(2) Subsequent Command Inspection (SCI). SCIs measure a company's progress and reinforce goals and standards established during an ICI. Commanders may use SCI results for officer evaluation reports.

b. Staff Inspection. Commanders direct staff inspections. Staff inspections are to complement command and IG inspections. The lowest, technically qualified, echelon should conduct staff inspections. Staff officers may conduct a staff assistance visit (SAV) as a precursor to a staff inspection.

c. Inspector General (IG) Inspection. IGs conduct IG inspections. When an IG conducts an inspection, the inspection becomes an IG inspection. As such, the inspection results are an IG record and receive safeguards to facilitate anonymity of units and individuals. IG inspection results go to the commander directing the inspection. In the event an IG inspection occurs in conjunction with other inspections, the IG inspection is a separate inspection and, as such, the inspection results go to the commander under separate cover. An IG may not participate in a command inspection as the head of the inspection team or participate in a command inspection. However, IGs may conduct their inspections of IG functions and IG areas of responsibility, i.e., intelligence oversight and OIP, simultaneously with other inspections.

### **2-4. Inspection Types**

a. General Inspection. Broad in scope. This type of inspection orients on all aspects of a unit and assesses its ability to accomplish its assigned missions.

b. Special Inspection. This type of inspection orients on a specific functional area, program, problem, issue, or related problems and issues within a unit. The inspection scope is to be narrow, so the inspection can go into more detail and depth than normally allowed by a general inspection. The special inspection lends itself to using the systemic methodology, which includes pursuing issues wherever they may lead (crosswalk) and handing off issues which are beyond the directing authority's capability or authority to solve.

c. Follow-up Inspection. This type of inspection assesses the effectiveness of corrective action(s) taken as a result of a previous inspection. Follow-up inspections are critical to any inspection program. They are essential in "closing the loop" on a previous inspection and facilitate problem resolution.

## **Chapter 3**

### **Organizational Inspection Program, JRTC and Fort Polk**

OIP encompasses all inspections conducted by this command, its subordinate elements, and inspections and audits conducted by outside agencies. Inspections are primarily staff inspections, inspector general inspections, and audits.

**3-1. OIP Components** OIP components are CIs, staff inspections, IG inspections, internal audits, and external inspections and audits.

### **3-2. Command Inspection**

a. The cornerstone of OIP is the inspection of companies by battalion commanders. Staff and IG inspections complement these efforts.

b. Command inspections are a major component of OIP.

c. Command inspections are, at a minimum, comprehensive, compliance-oriented evaluations of subordinate units by the immediate higher commander, i.e., battalion commanders inspect their companies.

d. The commander of the inspecting headquarters is to participate for the inspection to be a CI. At a minimum, the commander is to participate in at least a portion of the inspection, .e.g., conduct/lead sensing sessions, be the inspector for in-ranks inspections, etc. In addition, the commander is to provide the inspected unit's commander his assessment of the unit's strengths and weaknesses.

e. (1) Initial Command Inspection.

- (a) A new commander is to receive an ICI from their rater within 90 days of assumption of command.
  - (b) The ICI ensures the new commander understands the unit's strengths and weaknesses in relation to the goals and standards of the higher headquarters. Schedule ICIs on unit training schedules. Use ICIs as an opportunity to assess the condition of the unit. Do not use the results of the ICI to assess a commander's performance since assuming command.
  - (c) Only the inspected commander receives the results of an ICI. Commanders may use ICI results for unit goal setting. A commander should have a clear understanding of their commander's expectations, following an ICI. Commanders may use inspection results for refinement purposes on DA Form 67-9-1. Commanders are not to use the results of ICIs for unit comparisons.
- (2) Subsequent Command Inspection. SCIs measure progress and reinforce the resulting standards established during ICIs.
- (a) Each company commander is to receive an SCI, annually, following their ICI.
  - (b) The SCI enables company commanders and their raters to measure unit progress. Raters are to provide guidance, as necessary, to help each commander strengthen the unit's performance.
  - (c) Inspecting commanders tailor SCIs to reflect their concerns at the time of inspection.
- f. Commanders are to schedule command inspections, on appropriate training calendars, as they do any other formal training event.

### 3-3. Staff Inspection

- (1) Staff inspections are another tool available to commanders. Commanders direct staff inspections and these inspections are to complement command and IG inspections. The lowest echelon, technically qualified, should perform staff inspections.
- (2) Whenever possible, conduct staff inspections either as part of a CI or as part of a follow-up inspection.
- (3) Conduct staff inspections IAW statutory requirements. Examples include: mandatory security inspections, food service inspections, etc.
- (4) Staff inspections are to concentrate on administrative efficiency and compliance with regulatory standards by post agencies, brigades, battalions, and companies.
- (5) Principal staff officers, who are the proponent for the functional area inspected, conduct staff inspections. Principal staff officers may designate a qualified subordinate to conduct the inspection for them.
- (6) Staff inspections, other than those conducted as part of a CI, should be kept to the minimum, consistent with mission accomplishment and statutory requirements.
- (7) Submit written reports indicating the status of compliance and other relevant information to the commander of the inspected unit NLT 10 working days after completion of all staff and follow-up inspections.

### 3-4. Inspector General Inspection

- (1) AR 20-1 governs the development and conduct of IG inspections. Commanders tailor these inspections to meet their specific needs. IG inspections may focus on a unit, functional area, or both. IG inspections are to:
  - (a) Identify substandard performance, determine the magnitude of the deficiency, and seek the root cause for substandard performance or the deficiency.
  - (b) Pursue systemic issues.
  - (c) Teach systems, processes, and procedures.
  - (d) Identify responsibility for corrective action.
  - (e) Spread innovative ideas.
- (2) IG inspections include special inspections of selected systems and follow-up inspections of IG special inspections.
  - (a) IG inspections use the systemic methodology. They focus on problems, not units, and seek to identify root causes of identified problem areas.
  - (b) Generally, the IG conducts one special inspection, each month, to assess the status of systems selected by the CG. As directed by the CG, the IG is to conduct additional special inspections and follow-up inspections.
  - (3) The IG conducts follow-up inspections IAW the systemic methodology to determine the extent of improvement in the previously inspected area, to determine the effectiveness of previously made recommendations, and to make further recommendations, as required.

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(4) AR 20-1 specifically prohibits IGs from participating in command or staff inspections. The IG is not to be a member of any other inspection team other than another IG inspection team. If an IG has involvement in an inspection, that inspection becomes an IG inspection and the IG is responsible for the inspection in its entirety.

(5) The IG is to submit detailed written reports to the CG upon completion of an inspection. Under the systemic methodology, these reports will be non-attributive in nature. Exceptions to this rule include, discovery of Uniform Code of Military Justice (UCMJ) violations and, as appropriate, recognition of outstanding individuals and/or organizations.

(6) IG inspection reports include an overall assessment of the status of the inspected system, specific findings regarding identified problems, and recommendations for the resolution of these problems by designated agencies.

(7) As a courtesy, within 20 days after the inspection, the IG is to back brief the inspected commander or staff principal.

(8) Prepare a final inspection report. Forward the final report to the CG for review and approval. The final report, with commander's comments when received by the IG for file, will be reproduced and forwarded to the appropriate commands/agencies.

(9) After receiving the CG's annotated final report, the appropriate commander will initiate any required after-action review letters to the IG. Address final rebuttals, inspector performance, and inspection process appraisals, when appropriate.

(10) The IG system's design tracks problems down to their root cause, and can pick up and resolve issues that are beyond the unit's ability to correct, such as conflicting guidance in Army regulations. Therefore, commanders should inform the IG of issues they cannot resolve, so the IG can pursue them to resolution. Any such issue that needs to leave the installation will go out, in writing, under the CG's signature.

### **3-5. Audits**

a. Audits include activities conducted by Internal Review. Internal Review schedules and conducts these audits, subject to the approval of the deputy commander.

b. Internal Review is to forward audit results to the IG for analysis of systemic issues.

### **3-6. External Inspections and Audits**

a. Occasionally, external inspections by higher commanders, staffs, and IGs occur on both an announced and unannounced basis.

b. IAW AR 600-20, G3 is the coordinating agency for all external inspections and audits. Primary headquarters for external inspections and audits are DA, XVIII Corps (ABN), FORSCOM, and TRADOC. Proponent staff officers, for the areas of assessment, are to support G3 with appropriate expertise.

c. G3 is to provide the results of external assessments to the IG for analysis of systemic issues.

d. All subordinate commanders and staffs are to notify G3, immediately, regarding an unofficial notification--any notification outside official command channels--of an impending external inspection or audit, so G3 can contact the appropriate command and coordinate the requirement through official command channels.

e. G3 resolves inspection conflicts.

f. MSC commanders are to inform the Deputy Commander of any external evaluation team that intends to visit units without prior planning and coordination.

### **3-7. Responsibilities**

a. *Deputy Commander, JRTC and Fort Polk.* Act as the executive agent for OIP. Direct coordination of internal and external inspections, through G3, as appropriate.

b. *Major Subordinate Commanders (Operations Group, United States Army Garrison, Warrior Brigade, and 2d Armored Cavalry Regiment) and Battalion Commanders.*

(1) AR 1-201 directs commanders, down to battalion level, to develop and implement an OIP.

(2) Develop and implement command inspections, ICIs and SCIs, as part of your OIP.

(3) Integrate all aspects of your OIP into training plans and coordinate with G3 for inclusion of CIs and staff inspections on the command training calendar.

(4) Provide inspection results, except ICIs, to the IG for review and analysis for systemic issues.

(5) Designate an individual to monitor and coordinate all inspection activities within the command.

(6) Review inspection results and submit issues, as appropriate, to the next higher headquarters for resolution.

c. *Staff, JRTC and Fort Polk.*

(1) Ensure units are aware of the JRTC and Fort Polk standards and areas for which a staff proponent has responsibility.

(2) Provide a point of contact in each staff agency for units to query in resolving policy and procedural issues. It is important to note that commanders set standards, while staffs develop policies and procedures to implement those standards. The IG is not the resident expert on functional area policy interpretation within the command; only the appropriate staff agency can properly provide this expertise.

(3) Execute staff inspections IAW the JRTC and Fort Polk OIP.

(4) Provide inspection results to the IG for review and analysis of systemic issues.

(5) Checklists.

(a) Each functional area proponent is to develop appropriate compliance checklists for inclusion as appendices to this regulation. Review checklists and update as required.

(b) To ensure consistency and doctrinal/statutory accuracy, develop comprehensive checklists for use at all levels of OIP.

(c) Checklists are to contain command and staff inspection requirements.

(6) Conduct staff inspections for any issues appropriate to their areas of responsibility and as directed by the Commanding General and/or as requested and coordinated by MSC commanders.

(7) Follow the procedures established in AR 1-201 and the Inspector General, Department of the Army (DAIG) Inspections Guide unless otherwise directed. The IG has a copy of the DAIG Inspections Guide available for unit use.

(8) Consolidate inspections with other agencies whenever possible.

(9) Conduct inspections to help units meet standards. This involves teaching and training while inspecting.

d. *G3, JRTC and Fort Polk.*

(1) Action agent for the CG's OIP. Schedule, coordinate, and supervise all inspections directed by the CG and inspections and audits requested by organizations external to JRTC and Fort Polk.

(2) Supervise the conduct of in-briefs and out-briefs for internal SIs and external inspections and audits which involve the CG.

(3) Annually, schedule a three week "inspection window" for commanders to schedule inspections requiring external resources. This optimizes availability of resources, primarily in the form of inspectors, to assist commanders in their respective inspection programs. Also, this alleviates the piecemeal of inspectors.

(4) Prepare and disseminate inspection reports resulting from inspections directed by the CG and inspections and audits requested by organizations external to JRTC and Fort Polk.

(5) Ensure the conduct of follow-up inspections.

(6) Review internal and external inspection and audit schedules and taskings to ensure minimal training disruption and optimal inspection feedback.

(7) Task staff sections for inspectors and other requirements associated with inspections, as required.

(8) Ensure MSC and battalion inspections are reflected on the command training calendar and are "locked in" during the quarterly training brief.

(9) Schedule/coordinate the use of all facilities required for the conduct of external inspections and audits.

(10) Conduct staff inspections for any issues appropriate to G3 areas of responsibility.

e. *IG, JRTC and Fort Polk*

(1) Proponent for the Commanding General's inspection policy.

(2) Provide assistance to the installation staff and commanders of MSCs and battalions in the formulation of their OIPs.

(3) Inspect brigade level OIPs to assess compliance with AR 1-201 and this regulation, annually.

(4) Inspect intelligence oversight procedures for all intelligence functions in the command, annually.

(5) Conduct command climate surveys.

(6) Recommend IG inspection plans to the CG.

(7) Conduct IG general, special, and follow-up inspections, as directed by the CG.

(8) Provide training in inspection techniques, as required, to support commanders.

(9) Analyze, collate, and record systemic issues from OIP inspection reports.

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(10) Consolidate a master copy of compliance inspection checklists developed by staff proponents and used in both command and staff inspections. These checklists are chapters within this regulation.

### Chapter 4 Inspection Policy

**4-1. Command Responsibility** Inspections are a command responsibility. This responsibility encompasses all inspections conducted by the command and its subordinate units. Inherent in this responsibility is the obligation to coordinate all inspections into a single, cohesive inspection program and to integrate it into the training planning process outlined in FM 25-100.

#### 4-2. Planning

- a. The person responsible for inspections will develop a plan identifying the inspection objectives, the method to achieve them, the inspection team composition, and the amount of notice given the inspected organization.
- b. To reduce the administrative burden on inspected units, the requirement for a formal response to inspection reports should receive careful consideration. The anticipated benefits from such responses should clearly offset the effort associated with their preparation. A follow-up inspection offers an alternative.
- c. To alleviate unit disruption, commanders should keep the number and duration of inspections at a minimum. When possible, consolidate staff inspections and CIs to reduce the burden on inspected organizations.
- d. Use inspection reports from other agencies or other echelons of command to the maximum extent possible to reduce the number and duration of inspections.
- e. Teaching and training are essential elements of all inspections.

#### 4-3. Inspectors

- a. Inspectors must be subject matter experts, not only to establish the credibility of the inspection team, but also to ensure accurate results from the inspection effort.
- b. Besides evaluation, the mission of the inspector is to teach and train those personnel inspected. Do not conduct an inspection without teaching the inspected soldier, at a minimum, how to achieve the standards expected of them.

**4-4. Checklists** The inspection checklists in this regulation are the JRTC and Fort Polk standard for inspections. Supplemental inspection items are not authorized unless the inspected commander receives notification prior to the inspection. As a minimum, supplemental inspection checklists and standards will be available at the user-level 45 days prior to the scheduled date of inspection. This precludes non-standard "surprise" inspection items that could adversely affect unit morale and provide no teaching opportunity.

**4-5. Inspection Principles** AR 1-201 identifies 14 principles that apply to all inspections. Inspections are to:

- a. Be tailored to meet the commander's intent.
- b. Support the accomplishment of the unit's mission.
- c. Accomplish a specific purpose.
- d. Avoid duplication and complement other inspection activities.
- e. Have one officer in charge.
- f. Measure performance against a standard.
- g. Determine the magnitude of a problem.
- h. Determine the root cause of a problem.
- i. Teach and train those personnel inspected.
- j. Lead to corrective action.
- k. Result in a verbal or written report.
- l. Identify strengths and recognize excellence as well as shortcomings.
- m. Capture and disseminate lessons learned.
- n. Include follow-up procedures.

#### **4-6. Inspector Preparation**

- a. All inspectors are to thoroughly prepare for their inspection duties. Each inspector is to have a thorough understanding of all applicable regulations, policies, and SOPs.
- b. The Inspector General provides training to inspectors on inspection techniques. This training is general in nature and not oriented to any specific inspection area.
- c. New inspectors should first orient on JRTC and Fort Polk policies pertaining to their area, then, as they become familiar with them, study the unit policies, then FORSCOM and DA policies/ regulations. This study method can help prevent new inspectors from becoming overwhelmed with references and checklists.

#### **4-7. Inspection Integration**

- a. The integration of all OIP efforts is essential for attaining the OIP purpose and for minimizing turbulence and duplication of effort.
- b. The deputy commander is the central point of contact for the integration of all OIP efforts at the post level.
- c. The G3 is responsible for coordinating all evaluation activities involving the installation, including external evaluations by outside organizations.
- d. Commanders are to periodically review inspection procedures, to include: inspection frequency, functional areas for inspection, standards, and scope. Some factors to consider are:
  - (1) External inspections.
  - (2) IG inspections.
  - (3) Audits.
  - (4) Revisions to regulations, statutes, policy, or command guidance.
  - (5) Changes in mission.
  - (6) Turnover of personnel.
  - (7) Results of CIs.
  - (8) Whenever possible, commanders should integrate inspections with other scheduled activities. For example, a battalion commander's in-ranks inspection may satisfy requirements for direct participation in a CI.
  - (9) Brief OIP activities as part of quarterly training briefs.

#### **4-8. Announced and Unannounced Inspections**

- a. As previously indicated, ICIs and SCIs are announced inspections, incorporated into the training schedule.
- b. Unannounced inspections are a valid way of determining the day-to-day status of unit readiness. However, they can be highly disruptive to training and other necessary activities, and generally make implementation of the tenets of FM 25-100 extremely difficult to follow. Therefore, no unannounced inspections by the CG's staff are to occur without the CG's approval. This includes both internal and external inspections.
- c. Outside agencies are to coordinate their announced inspections with G3. G3 is to reflect these inspection requirements on the command training calendar.

#### **4-9. Inspection Reports**

- a. Reports.
  - (1) The inspectors prepare and submit formal written reports describing the results of CIs within 7 working days. Reports are to include, at a minimum, inspection checklists and sufficient narrative comments to effectively inform the commander of strengths and weaknesses and recommended actions to correct noted deficiencies.
  - (2) Provide copies of these reports to:
    - (a) The commander of the inspecting headquarters.
    - (b) The commander of the inspected organization.
  - (3) Provide SCI inspection reports to the IG for analysis and identification of trends.
  - (4) Inspected and inspecting headquarters are to maintain command inspection reports on file for 2 years.
- b. Command and Staff Inspections.
  - (1) Use adjectival ratings "satisfactory" or "needs improvement."
  - (2) Identify significant strengths or areas requiring improvement and indicate corrective actions to assist the unit in achieving the desired standard.
- c. IG Inspections.
  - (1) Do not use adjectival ratings "satisfactory" or "needs improvement."

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(2) The rating system points out the significant differences between systemic and compliance inspection systems. Generally, the IG does not base inspection findings solely on unit non-compliance with specific regulations and/or procedures. Rather, the IG evaluates subjective matters such as leadership programs, morale functions, or the organization as a system capable of transitioning to and sustaining combat.

(3) Commanders set standards - not the IG. The staff writes policy - not the IG. The IG's systemic inspection process is an evaluation/consultation tool for use by commanders and staffs as an independent and objective evaluation of the organization as a system capable of accomplishing its mission. The IG identifies, discusses, and questions apparent regulation and policy inconsistencies and makes recommendations for corrective action, as appropriate.

d. Schedule Follow-up Inspection. Schedule follow-up inspections, as required.

## **Chapter 5 Personnel**

### **Section I. Command Information**

**5-1. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's unit/activity Command Information Inspection.

- a. The following is provided for information and is to be used as a guide in preparing for the installation's assessment of the organization's proficiency through the Command Information Program.
- b. Point of contact for this task is the Public Affairs Officer, Building 411, telephone number 531-2714.

**5-2. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate Command Information Program, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**5-3. Standards.** Satisfactory effective controls for command information will be based upon the following standards:

- a. Maintain access to pinpoint distribution, regulations, letters, directives, and other information necessary to conduct a viable Command Information Program.
- b. Satisfactory achievement of the minimum standards (critical tasks) of command information as outlined in the checklist.
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, Technical Bulletins (TBs), and applicable JRTC & FP Regulations or Supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-4. References.**

- a. AR 360-81, Command Information Program.
- b. AR 380-67, Department of the Army Personnel Security Program.

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**Checklist for Battalion/Brigade Command Information**

	YES	NO	N/A
*1. Does the unit S1 have the following directives on hand?			
a. AR 360-81, 20 Oct 89, Command Information Program.	___	___	___
b. AR 380-67, 9 Sep 88, the DA Personnel Security Program.	___	___	___
2. Is the unit's Pinpoint Account current and entered on DA Form 12-04-E? (AR 360-81, para 2-16b)	___	___	___
3. Are sufficient copies of Soldiers Magazine, as recommended by AR 360-81, Appendix C, being received and on hand [one per six active Army, National Guard (NG), Reserve, and Department of the Army Civilians (DAC)]?	___	___	___
4. Is the S1 receiving sufficient copies of the post newspaper and making distribution of them to subordinate units in such a manner to ensure soldiers receive them in a timely manner (one per three active Army, NG, Reserve, and DAC)?	___	___	___
5. Do all available personnel participate in the unit's Command Information Program? (AR 360-81, para 2-3e)	___	___	___

**Figure 5-1. Checklist for Battalion/Brigade Command Information Inspection.**

## Section II. Battalion S1 Management Program

**5-5. Purpose.** This section contains the evaluation criteria and checklist (s) for assessment of the Battalion (Bn) S1 Management Program.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the S1 Management Program.

b. Point of contact for this task is the Commander, 5th Personnel Services Battalion (PSB), Building 1947, telephone number 531-1313.

**5-6. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to establish standards for Battalion S1 Management Program, and enable them to conduct internal inspections as a part of the CI Program.

**5-7. Standards.** Satisfactory effective controls for the General Bn S1 Management Program will be based upon the following standards.

a. To achieve MEET STANDARDS, area must achieve a 90-percentile rating with exceptions as follows:

(1) Figure 5-2, Overall Bn S1 Operations Checklist. Subjective area, except for publications, is not rated.

(2) Figure 5-3, Family Care Plans, and Figure 5-7, Suspension of Favorable Personnel Actions (FLAGS). No more than one major deficiency.

(3) Figure 5-4, Internal Control Review. No deficiencies allowed.

(4) Standard Installation/Division Personnel System (SIDPERS). Failure to perform and log weekly Preventive Maintenance Checks and Services (PMCS), or weekly "saving" of files will result in automatic DOES NOT MEET STANDARDS or no more than four major deficiencies.

(5) Figure 5-6, Promotions/Reductions. No more than two major deficiencies.

(6) Figure 5-8, Evaluations Systems; Figure 5-9, Army Sponsorship Program; and Figure 5-10, Reassignment Processing. No more than four major deficiencies.

(7) Figure 5-11, Leave Processing. Failure to have Leave Control Log on the SIDPERS 3, proper completion of item 20 of DA Form 31 (Request Authority for Leave), or not reconciling the JUMPS Leave Transaction Input Report, will result in an **automatic DOES NOT MEET STANDARDS or no more than four major deficiencies**.

b. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

## 5-8. References.

a. AR 14-6, Procedures for Investigating Offices and Boards of Officers (12-09-E-3131).

b. AR 14-185, Army Board for Correction of Military Records (12-09-E-3138).

c. AR 24-55, Army Freedom of Information Act Program (12-09-E-3276).

d. AR 24-400-2, The Modern Army Recordkeeping System (MARKS) (12-09-E-2396).

e. AR 27-10 Military Justice (12-09-E-2038).

f. AR 30-1, The Army Food Service Program (12-09-E-2041).

g. AR 40-15, Medical Warning Tag and Emergency Medical Identification Symbol (12-09-E-3425).

h. AR 40-501, Standards of Medical Fitness (12-09-E-2524).

i. AR 220-1, Unit Status Reporting (12-09-E-2144).

j. AR 220-10, Preparation for overseas Movement of Units (POM) (12-09-E-3218).

k. AR 310-10, Military Orders (12-09-E-2146).

l. AR 310-50, Authorized Abbreviations and Brevity Codes (12-09-E-2148).

m. AR 340-21, The Army Privacy Program (12-09-E-2158).

n. AR 350-21, Instruction in Benefits of an Honorable Discharge (12-09-E-2165).

o. AR 350-17, Noncommissioned Officer Development Program (NCODP) (12-09-E-2164).

p. AR 380-5, Department of the Army Information Security Program (12-09-E-2403).

q. AR 570-2, Manpower Requirements Criteria (12-09-E-2201).

r. AR 600-8-1, Army Casualty and Memorial Affairs and Line of Duty Investigations (12-09-E-2205).

s. AR 600-8-2, Suspension of Favorable Personnel Actions (FLAGS) (12-09-E-2532).

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- t. AR 600-8-3, Unit Postal Operations (12-09-E-5033).
- u. AR 600-8-10, Leaves and Passes.
- v. AR 600-8-11, Reassignment (12-09-E-5090).
- w. AR 600-8-14, Identification Cards, Tags and Badges (12-09-E-2270).
- x. AR 600-8-19, Enlisted Promotions and Reductions (12-09-E-5320).
- y. AR 600-8-101, Personnel Processing (In-and Out and Mobilization Processing) (12-09-E-5034).
- z. AR 600-8-103, Battalion S1 (12-09-E-5009).
- aa. AR 600-20, Army Command Policy (12-09-E-2389).
- ab. AR 600-37, Unfavorable Information (12-09-E-2389).
- ac. AR 600-38, Meal Card Management System (12-09-E-3609).
- ad. DOD Directive 5500.7, Standards of Conduct, with change 1 dated 2 November 1994.
- ae. AR 600-82, The U.S. Army Regimental System (12-09-E-2217).
- af. AR 600-83, The New Manning System - COHORT Unit Replacement System (12-09-E-2218).
- ag. AR 600-85, Alcohol and Drug Abuse Prevention and Control Program (12-09-E-2219).
- ah. AR 601-210, Regular Army and Army Reserve Enlistment Program (12-09-E-2229).
- ai. AR 608-99, Family Support, Child Custody, and Paternity (12-09-E-2235).
- aj. AR 621-5, Army Continuing Education System (ACES) (12-09-E-2256).
- ak. AR 634-40, Physical Evaluation for Retention, Retirement or Separation (12-09-E-2266).
- al. AR 634-100, Officer Personnel (12-09-E-3659).
- am. AR 634-120, Officer Resignations and Discharges (12-09-E-3660).
- an. AR 640-30, Photographs for Military Personnel Files (12-09-E-2272).
- ao. AR 670-1, Wear and Appearance of Army Uniforms and Insignia (12-09-E-2273).
- ap. AR 680-29, Military Personnel - Organization and Type of Transaction Codes (12-09-E-2280).
- aq. DA Pam 24-30, Consolidated Index of Army Publications and Blank Forms (12-09-E-0117).
- ar. DA Pam 24-33, The Standard Army Publications System (STARPUBS) (12-04-E-0112).
- as. DA Pam 27-17, Procedural Guide for Article 32(B) Investigating Officer (12-09-E-4063).
- at. DA Pam 351-4, Army Formal Schools Catalog (12-093-E-2346).
- au. DA Pam 351-20, Army Correspondence Course Program Catalog (12-09-E-2347).
- av. DA Pam 600-8-1, SIDPERS Battalion Level Procedures (12-09-E-2351).
- aw. DA Pam 600-8-20, SIDPERS Handbook for Commanders (12-09-E-4663).
- ax. DA Pam 600-67, Effective Writing for Army Leaders (12-09-E-2400).
- ay. FM 12-6, Personnel Doctrine (12-11-E-4404).
- az. FM 22-101, Leadership Counseling (12-11-E-0468).
- ba. FM 24-100, Training the Force (12-11-E-1080).
- bb. FM 26-2, Management of Stress in Army Operations (12-11-E-0473).
- bc. FM 27-1, Legal Guide for Commanders (12-11-E-1087).
- bd. Technical Circular (TC) 12-16, PAC Noncommissioned Officer's Guide (12-11-E-1087).
- be. TC 12-17, Adjutant's Call, the S1 Handbook (12-11-E-0040).
- bf. TC 12-18, Battalion Commander's Guide to the S1 section (Distribution Unlimited 1992).
- bg. TC 26-3, Conducting Effective Meetings (12-11-E-1357).
- bh. TM 11-7010-213-12, Operators and Organizational Maintenance tactical Army Combat Service Support Computer System AN/TYQ-33(V) (12-36-7845).
- bi. Manuel for Courts-Martial (MCM), United States 1984 (12-04-E-0002).
- bj. DOD 4525.6-M, Vol 1, Department of Defense Postal Manual (Volume 1) (12-04-E-0097).
- bk. DOD 4526.6-M, Vol 2, Department of Defense Postal Manual (Volume 2) (12-04-E-0098).
- bl. United States Postal Service (USPS). Domestic Mail Manual (DMM) ( 12-04-E-0059).
- bm. USPS International Mail Manual (IMM), (DMM) (12-04-E-0061).
- bn. USPS Pub 65A, 1985 National Five Digit Zip Code and Post Office Directory (12-04-E-0335).
- bo. Veterans Administration (VA) Pam 29-78-1, Questions and Answers on Servicemember's Group Life Insurance (12-04-E-0494).
- bp. Reserve Components Personnel UPSATE (12-09-E-2559).
- bq. All Ranks Personnel UPDATE (12-09-E-2563).

- br. Officer Ranks Personnel UPDATE (12-09-E-2564).
- bs. Enlisted Ranks Personnel UPDATE (12-09-E-2565).
- bt. Finance UPDATE (12-09-E-2566).
- bu. Message Address Directory UPDATE (12-09-E-2567).
- bv. Physical Security UPDATE (12-09-E-2568).
- bw. Evaluation UPDATE (12-09-E-2569).
- bx. Military Occupational Classification and Structure UPDATE (12-09-E-3927).
- by. Baltimore Publications Print-Out.

**Checklist for Overall Battalion S1 Operations**

	YES	NO	N/A
<b>1. Battalion S1 (Bn S1) Administration.</b>			
a. Does the BN S1 maintain a Soldier Information File (SIF) on every soldier that includes Month-of-Birth Checklist updating personnel and dental records, Human Immune-Virus (HIV) testing, and optical inserts?	___	___	___
b. Does the Bn S1 maintain a copy of the latest authorization document and orders organizing the units under their Table of Distribution and Allowances (TDA) or Modified Table Organization and Equipment (MTOE)?	___	___	___
c. Does the S1, PS, and APS provide adequate checks and balances within the Bn S1 to ensure that personnel functions are being performed properly?	___	___	___
d. Are Bn S1 supervisory personnel reviewing key management reports to manage Bn S1 operations?	___	___	___
e. Are the PS, APS, and separate company clerk attending the Personnel/Finance Conferences?	___	___	___
f. How often does the S1, PS, APS, Personnel Clerk, or Legal Clerk visit the Personnel Service Battalion (PSB)?			
(1) Daily? _____			
(2) Twice or more per week? _____			
(3) Weekly? _____			
g. Is the Saint Louis Publications Center notified of any changes in the unit's publication requirements? (para 4-7a, Sec II, DA Pam 24-33).	___	___	___
h. Are the unit requirements reviewed at least twice a year? (para 4-7b(2), Sec II, DA Pam 24-33).	___	___	___
i. Does the unit understand how to request a printout of the current requirements on file? (para 4-7c, Sec II, DA Pam 24-33).	___	___	___
<b>2. References.</b>			
a. AR 14-6, Procedures for Investigating Officers and Boards of Officers (12-09-E-3130)			
*b. AR 14-185, Army Board for Correction of Military Records (12-09-E-3138)			
c. AR 24-51, Official Mail and Distribution Management (12-09-E-5372)			
*d. AR 24-400-2, The Modern Army Record-keeping System (MARKS) (12-09-E-2396)			
*e. AR 27-10, Military Justice (12-09-E-2038)			
f. AR 30-1, The Army Food Service Program (12-09-E-2041)			
g. AR 40-15, Medical Warning Tag and Emergency Medical Identification Symbol (12-09-E-3425)			
h. AR 40-501, Standards of Medical Fitness (12-09-E-2524)			
*i. AR 220-1, Unit Status Reporting (12-09-E-2144)			
*j. AR 220-10, Preparation for Overseas Movement of Units (POM) (12-09-E-3218)			
*k. AR 310-10, Military Orders (12-09-E-2146)			
l. AR 310-50, Authorized Abbreviations and Brevity Codes (12-09-E-2148)			
m. AR 340-21, The Army Privacy Program (12-09-E-2158)			
n. AR 350-17, Noncommissioned Officer Development Program (NCO DP) (12-09-E-2164)			
o. AR 350-21, Instruction in Benefits of an Honorable Discharge (12-09-E-2165)			
p. AR 570-2, Manpower Requirements Criteria (12-09-E-2201)			
q. AR 380-5, Department of the Army Information Security Program (12-09-E-2403)			
r. AR 600-2, Name and Birth Data, and Social Security Number (12-09-E-2202)			
*s. AR 600-8-1, Army Casualty and Memorial Affairs and Line of Duty Investigations (12-09-E-2205)			
*t. AR 600-8-2, Suspension of Favorable Personnel Actions (FLAGS) (12-09-E-2532)			

**Figure 5-2a. Checklist for Overall Battalion S1 Operations**

**Checklist for Overall Battalion S1 Operations**

- \*u. AR 600-8-3, Unit Postal Operations (12-09-E-5033)
- \*v. AR 600-8-10, Leaves and Passes
- \*w. AR 600-8-11, Reassignment (12-09-E-5090)
- \*x. AR 600-8-14, Identification Cards, Tags and Badges (12-09-E-2270)
- \*y. AR 600-8-19, Enlisted Promotions and Reductions (12-09-E-5320)
- \*z. AR 600-8-101, Personnel Processing (In-and Out and Mobilization Processing) (12-09-E-5034)
- \*aa. AR 600-8-103, Battalion S1 (12-09-E-5009)
- ab. AR 600-20, Army Command Policy (12-09-E-2389)
- ac. AR 600-37, Unfavorable Information (12-09-E-2389)
- \*ad. AR 600-38, Meal Card Management System (12-09-E-3609)
- ae. DOD Directive 5500.7, Standards of Conduct, with change 1 dated 2 November 1994
- af. AR 600-82, The U.S. Army Regimental System (12-09-E-2217)
- ag. AR 600-83, The New Manning System - COHORT Unit Replacement System (12-09-E-2218)
- ah. AR 600-85, Alcohol and Drug Abuse Prevention and Control Program (12-09-E-2219)
- ai. AR 601-210, Regular Army and Army Reserve Enlistment Program (12-09-E-2229)
- \*aj. AR 608-99, Family Support, Child Custody, and Paternity (12-09-E-2235)
- ak. AR 621-5, Army Continuing Education System (ACES) (12-09-E-2256)
- al. AR 634-40, Physical Evaluation for Retention, Retirement or Separation (12-09-E-2266)
- am. AR 634-100, Officer Personnel (12-09-E-3659)
- an. AR 634-120, Officer Resignations and Discharges (12-09-E-3660)
- \*ao. AR 640-30, Photographs for Military Personnel Files (12-09-E-2272)
- ap. AR 670-1, Wear and Appearance of Army Uniforms and Insignia (12-09-E-2273)
- \*aq. AR 680-29, Military Personnel - Organization and Type of Transaction Codes (12-09-E-2280)
- \*ar. DA Pam 24-30, Consolidated Index of Army Publications and Blank Forms (12-09-E-0117)
- \*as. DA Pam 24-33, The Standard Army Publications System (STARPUBS) (12-04-E-0112)
- at. DA Pam 27-17, Procedural Guide for Article 32(B) Investigating Officer (12-09-E-4063)
- au. DA Pam 351-4, Army Formal Schools Catalog (12-093-E-2346)
- av. DA Pam 351-20, Army Correspondence Course Program Catalog (12-09-E-2347)
- \*aw. DA Pam 600-8-1, SIDPERS Battalion Level Procedures (12-09-E-2351)
- \*ax. DA Pam 600-8-20, SIDPERS Handbook for Commanders (12-09-E-4663)
- ay. DA Pam 600-67, Effective Writing for Army Leaders (12-09-E-2400)
- az. FM 12-6, Personnel Doctrine (12-11-E-4404)
- ba. FM 22-101, Leadership Counseling (12-11-E-0468)
- bb. FM 24-100, Training the Force (12-11-E-1080)
- bc. FM 26-2, Management of Stress in Army Operations (12-11-E-0473)
- bd. FM 27-1, Legal Guide for Commanders (12-11-E-1087)
- \*be. TC 12-16, PAC Noncommissioned Officer's Guide (12-11-E-1087)
- \*bf. TC 12-17, Adjutant's Call, the S1 Handbook (12-11-E-0040)
- \*bg. TC 12-18, Battalion Commander's Guide to the S1 section (Distribution Unlimited 1992)
- bh. TC 26-3, Conducting Effective Meetings (12-11-E-1357)
- \*bi. TM 11-7010-213-12, Tactical Army Combat Service Support Computer System AN/TYQ-33(V) (12-36-7845)
- \*bj. MCM, Manuel for courts-martial, United States 1984 (12-04-E-0002)
- bk. DOD 4525.6-M, Vol 1, Department of Defense Postal Manuel (Volume 1) (12-04-E-0097)
- bl. DOD 4526.6-M, Vol 2, Department of Defense Postal Manuel (Volume 2) (12-04-E-0098)
- bm. USPS DMM, Domestic Mail Manuel (DMM) ( 12-04-E-0059)
- bn. USPS IMM, International Mail Manuel (DMM) (12-04-E-0061)
- bo. USPS Pub 65A, 1985 National Five Digit Zip Code and Post Office Directory (12-04-E-0335)
- \*bp. VA Pam 29-78-1, Questions and Answers on Servicemember's Group Life Insurance (12-04-E-0494)

**Figure 5-2a (continued). Checklist for Overall Battalion S1 Operations**

**Checklist for Overall Battalion S1 Operations**

- bq. Reserve Components Personnel UPSATE (12-09-E-2559)
- \*br. All Ranks Personnel UPDATE (12-09-E-2563)
- \*bs. Enlisted Ranks Personnel UPDATE (12-09-E-2565)
- \*bt. Finance UPDATE (12-09-E-2566)
  - bu. Message Address Directory UPDATE (12-09-E-2567)
  - bv. Physical Security UPDATE (12-09-E-2568)
- \*bw. Evaluation UPDATE (12-09-E-2569)
- \*bx. Military Occupational Classification and Structure UPDATE (12-09-E-3927)
- \*by. DA Form 12 Series Printout
- \*bz. 5th PSB Memorandums of Instruction

**3. References.**

- a. AR 24-30, The Army Integrated Publishing and Printing Program (12-09-E-3926)
- b. DA Pam 24-30, Consolidated Index of Army Publications and Blank Forms (FICHE) (12-04-E-0017)
- c. DA Pam 24-33, The Standard Army Publications System (STARPUBS) (12-04-E-0112)
- d. DA Pam 24-40, Posting and Filing Publications

**Figure 5-2a (continued). Checklist for Overall Battalion S1 Operations**

**Checklist for Overall Battalion S1 Operations  
Family Care Plans**

	YES	NO	N/A
<b>1. FCP Procedures.</b>			
*a. Does the commander have a viable way to identify soldiers who are required to complete a FCP? (AR 600-20, para 4-5a)	___	___	___
*b. Are pregnant soldiers counseled NLT 90 days prior to expected date of delivery? (AR 600-20, para 4-5a (1) )	___	___	___
*c. Are pregnant soldiers' FCPs approved NLT 60 days prior to expected date of delivery? (AR600-20, para 4-5g (2) )	___	___	___
*d. Are FCPs being re-certified NLT 45 days following the date of birth of the child? (AR 600-20, para 4-5i)	___	___	___
*e. Are units identifying soldiers during in processing that require FCPs? (AR 600-20, para 4-5a, and AR 600-8-101, Table 2-17, Step 5, para 2-37)	___	___	___
*f. Are FCPs approved within 60 days from the date of counseling? (AR 600-20, para 4-5h)	___	___	___
*g. Are FCPs being re-certified during soldiers' birth month or after any change of circumstances requiring a change in family care arrangements? (AR 600-20, para 4-5h (i) )	___	___	___
*h. Are soldiers being re-counseled and FCPs re-certified prior to final out-processing for PCS? (AR 600-20, para 4-5f (2))	___	___	___
*i. Are all documents in the FCPs (DD Form 2558, DA Forms 5304-R, 5303-R, and 5840-R, and 5841-R; DD Form 1172; and Letter of Instruction (LOI) and (Family Financial Care) completed properly and on hand? (AR 600-20, para 4-5)	___	___	___
j. Are commanders receiving and utilizing the AAA-340 (Family Care Counseling Report)? (AR 600-20, para 4-5i).	___	___	___
*k. Is the commander, or designated representative indicating re-certification of approval by initialing and dating DA Form 5303-R? (AR 600-20).	___	___	___
<b>*2. References.</b>			
a. AR 600-8-11, Reassignment.			
b. AR 600-8-101, Personnel Processing (In and Out and Mobilization Processing).			
c. AR 600-20, Army Command Policy.			
d. AR 608-99, Family Support, Child Custody, and Paternity.			
e. AR 600-8-14, Identification Cards, Tags, and Badges.			

**Figure 5-2b. Checklist for Overall Battalion S1 Operations (Family Care Plans)**

**Checklist for Overall Battalion S1 Operations**

**Management Control Process**

	YES	NO	N/A
<b>1. Management Control Process Procedures.</b>			
*a. Are effective procedures in place to test the Bn S1 work center? (DA Cir 600-8-8 9-1)	—	—	—
*b. Is corrective action taken when deficiencies are noted? (DA Cir 60-8-89-1)	—	—	—
<b>*2. References.</b>			
a. AR 600-8-103, Battalion S1.			
b. TC 12-16, PAC Noncommissioned Officers Guide.			
c. TC 12-17, Adjutant's Call/The S1 Handbook.			
d. TC 12-18, Battalion Commander's Guide to the S1 Section.			

**Figure 5-2c. Checklist for Overall Battalion S1 Operations (Management Control Process)**

**Checklist for Overall Battalion S1 Operations**

**SIDPERS**

	YES	NO	N/A
<b>1. SIDPERS Procedures.</b>			
**a. Is the correct software version loaded?	___	___	___
*b. Is the "FOUO" screen displayed at startup?	___	___	___
c. Does the number of records on the battalion system match the number of records on the PAS system?	___	___	___
d. Does the soldier tables contain any record status codes of 1D, 1Q, 2Y, 3B, 3E or 3S?	___	___	___
e. Are local system tables configured for battalion/brigade operation?	___	___	___
f. Is the last database update today's date?	___	___	___
g. Are MITCUTS completed as of the last change packet date?	___	___	___
h. Are the SIDPERS-3 user accounts current?	___	___	___
i. Is the Work Center Station (WCS) unlocked?	___	___	___
j. Is the archive frequency set for 7-14 days?	___	___	___
k. Is the date of the last Audit Trail Archive within 30 days.	___	___	___
l. Is the order control log set?	___	___	___
m. Is the backup being done before transactions are sent?	___	___	___
n. Is the backup deleted when PAS confirms receipt of transactions?	___	___	___
o. Is any transaction in the out queue over 24 hrs old?	___	___	___
p. Was the out queue sent within the last 24 hrs?	___	___	___
q. Is a log of the date/number of transactions sent and received maintained?	___	___	___
r. Are there any transactions in the in queue and are they over 24 hrs old?	___	___	___
s. Was the in queue processed in the last 24 hrs?	___	___	___
t. Are there any transactions repeated on the latest AAA-650 compared to the AAA-650 of ten days ago?	___	___	___
u. Is the suspense queue processed daily?	___	___	___
v. Are the following functional process reports being worked?			
(1) Unit Accountability Report (AAA-162)	___	___	___
(2) Alpha Roster (AAA-342)	___	___	___
(3) Unit Personnel Accountability Notice (AAA-165)	___	___	___
(4) Unit Manning Report (AAA-161)	___	___	___
(5) Report of AWOL by name (AAA-160)	___	___	___
(6) Suspense of Favorable Personnel Actions (AAA-095)	___	___	___
(7) E4-E6 Recommendation for Promotion List (AAA-242)	___	___	___
(8) Unit Enlisted Advancement Report (AAA-117)	___	___	___
(9) Waiver Allocation Report (AAA-119)	___	___	___
(10) Personnel Requirements Report (AAA-001)	___	___	___
(11) Personnel Summary (AAA-256)	___	___	___
(12) PRR Officers (AAA-274, AAA-275, AAA-276)	___	___	___
(13) Personnel Summary Recap (AAA-293)	___	___	___
w. Are functional reports being worked?	___	___	___
x. Are current SIDPERS-3 publications on hand?	___	___	___
<b>*2. References.</b>			
a. DA Pam 600-8-31 (Draft)			
b. DA Pam 600-8-30			
c. Error Resolution Manual			

**Figure 5-2d. Checklist for Overall Battalion S1 Operations (SIDPERS)**

**JRTC & FP Reg 20-2**

**Checklist for Overall Battalion S1 Operations**

- d. SIDPERS-3 MOI from PAS
- e. FSD Homepage Guidance

**Figure 5-2d (continued). Checklist for Overall Battalion S1 Operations (SIDPERS)**

**Checklist for Overall Battalion S1 Operations**

**Promotions and Reductions**

	YES	NO	N/A
<b>1. Semi-Centralized Promotions.</b>			
*a. Is a copy of the C-10 posted on the unit bulletin board?	___	___	___
**b. Are the SSNs blanked off the C-10 posted to the bulletin board?	___	___	___
*c. Are Promotion Boards held monthly? (AR 600-8-19, para 3-2)	___	___	___
*d. Are female soldiers appointed as board members when female enlisted soldiers are considered? (AR 600-8-19, para 3-16e(3) )	___	___	___
*e. Are promotion boards composed of an ethnic mixture? (AR 600-8-19, para 3-16e(4) )	___	___	___
*f. When counseling was conducted with soldiers not recommended by the board, is the statement signed by the soldier and filed with the approved Report of Promotion Board Proceedings? (AR 600-8-19, para 3-18) )	___	___	___
*g. Is the Report of Promotion Board Proceedings signed by the Board President and Promotion Authority within 3 working days? (AR 600-8-10, para 3-18)	___	___	___
h. Are board proceedings forwarded to the PSC by the 20th of the month? (AR 600-8-19, para 3-18(h) )	___	___	___
*i. Are the Promotion Board Proceedings on file for the current and previous two years? (AR 600-8-19, para 3-18(2))	___	___	___
*j. Is the C10 current and on file? (AR 600-18-9, Section VII, Table 3-6, Steps 15 and 16)	___	___	___
k. Are soldiers who are fully eligible (no waiver) for advancement/promotion and not recommended being counseled in writing by the commander?	___	___	___
<b>2. PV2-SPC/CPL Advancements.</b>			
a. Does the Battalion S1 maintain the AAA-117 to monitor advancement to PV2, PFC, and SPC/CPL?	___	___	___
b. Does the battalion/brigade have a system to notify units of soldiers eligible for advancement? (AR 600-8-19, para 2-4, Table 2-1 and para 2-6, Table 2-2)	___	___	___
*c. Are allocations for advancement to PFC and SPC/CPL with waiver being distributed to companies appropriately? (AR 600-8-19, para 2-6, Table 2-2, Steps 7 through 10; para 2-5, Table 2-2, Steps 7 through 10 )	___	___	___
*d. Are units submitting timely SIDPERS grade change transactions? (AR 600-8-19, Chap 2, para 2 e, f, g, and para 2-5e)	___	___	___
e. Are the C01 and DA Forms 4187-E completed and forwarded to the PSB by the required suspense date? (AR 600-8-19, para 2-4, Table 2-1, Step 18)	___	___	___
*f. Are the unit commanders annotating the C01 properly (yes or no and initialing)? (AR 600-8-19, para 2-4, Table 2-1, Step 10, and Table 2-2 Step 10)	___	___	___
g. Is the C01 authenticated by the unit and battalion commander? (AR 600-8-19, para 2-4, Table 2-1 Step 10, Table 2-2, Step 10)	___	___	___
*h. Is the current C01 report reconciled against last month's report for additions/deletions/grade discrepancies, part 3 of the C01 screened for blank data, and coordination made with PSB to obtain missing data? (AR 600-8-19, para 2-4, Table 2-1, Steps 3 and 4, Table 2-2, Steps 3 and 4)	___	___	___
<b>3. Reductions.</b>			
*a. Are copies of DA Form 2627 (Record of Proceedings Under Article 15, UCMJ)			

**Figure 5-2e. Checklist for Overall Battalion S1 Operations (Promotions and Reductions)**

**Checklist for Overall Battalion S1 Operations**

	YES	NO	N/A
being forwarded properly? (AR 27-10, para 3-38)	—	—	—
*b. Is DA Form 4187-E being submitted when the DA Form 2627 is filed in restricted fiche and soldier is reduced? (AR 27-10, para 3-37c(3) )	—	—	—
*c. Are grade changes (GRCH) submitted in a timely manner? AR 600-8-19, para 6-1(c)	—	—	—

**\*4. References.**

- a. AR 27-10
- b. AR 600-8-103
- c. AR 600-8-2
- d. DA Pam 24-400-2
- e. DA Pam 600-8-1 (SSD Error Codes & Advisory Msgs)
- f. AR 600-8-19

**Figure 5-2e (continued). Checklist for Overall Battalion S1 Operations (Promotions and Reductions)**

**Checklist for Overall Battalion S1 Operations**

<b>Suspension of Favorable Actions (Flags)</b>	YES	NO	N/A
<b>1. Flags Procedures.</b>			
*a. Are all flags initiated and removed within 2 working days of occurrence? (AR 600-8-2, para 2-1, 5th PSB MOI #4)	___	___	___
*b. Are correct effective dates used? (AR 600-8-2, para 2-1a)	___	___	___
*c. Are separate reports submitted on each suspension? (AR 600-8-2, para 2-1a)	___	___	___
*d. Is DA Form 268-E properly completed? (AR 600-8-2, Figures 2-1, 2-2 and 2-3)	___	___	___
*e. Is the adjutant, commander, or executive officer authenticating all DA Forms 268-E? (AR 600-8-2, Chap 2)	___	___	___
*f. Are copies of Article 15s being forwarded to F&AO for processing? (AR 27-10, AR 600-8-2, Chap 2, and DA Pam 600-8)	___	___	___
*g. Is SIDPERS flag transaction being submitted?	___	___	___
*h. Are SIDPERS transaction reports reconciled to ensure all FLAG transactions have processed? (AR 600-8-1, Chap 3)	___	___	___
i. Are soldiers within 90 days of ETS identified and reviewed for the potential to exceed processing beyond ETS? (AR 600-8-2, para 2-9)	___	___	___
j. Are the promotions and reassignments branch being notified of flagged soldiers who are on a promotion list or reassignment instructions. (AR 600-8-2, para 2-2)	___	___	___
<b>2. References.</b>			
a. AR 27-10			
b. AR 600-8-103			
c. AR 600-8-2			
d. DA Pam 600-8-1			
e. DA Cir 600-8-89-1			
f. 5th PSB MOI #4 (Subj: Suspension of Favorable Personnel Actions)			

**Figure 5-2f. Checklist for Overall Battalion S1 Operations (Flags)**

**Checklist for Overall Battalion S1 Operations**

<b>Evaluation Systems</b>	YES	NO	N/A
<b>1. Evaluation Systems Procedures.</b>			
*a. Does the unit have a published rating scheme? (AR 623-205, Para 1-4b(1))	___	___	___
*b. Is each member of the unit aware of who their rating officials are, or when applicable, who they must rate? (DA Cir 623-88-1, para 1-6a(1), and AR 623-205, para 1-4b(1))	___	___	___
*c. Is the unit rating scheme published quarterly and updated/published as changes occur, with a copy of the officer and NCO rating schemes sent to the PSC? (AR 623-105, App O, DA Cir 623-88-1 App F; and 5th PSB MOIs #6 and #7)	___	___	___
d. Is the rating scheme distributed to each rated officer/NCO and rating officials? (AR 623-105, App O, and DA Cir 623-88-1, para 1-6a(1))	___	___	___
*e. Does the rating scheme include the date designated for each rating official? (DA Cir 623-88-1, para 1-6a(1), and AR 623-105, App O)	___	___	___
f. Does the battalion have a method to monitor working evaluations? (5 <sup>th</sup> PSB MOI #7)	___	___	___
g. Are evaluations completed and returned to the PSB NLT 30 days after the end date of the report? (5 <sup>th</sup> PSB MOI # 7)	___	___	___
<b>2. References.</b>			
a. Personnel Evaluation Update 6 (AR 623-105, AR 623-205)			
b. 5th PSB MOI #6 (Subj: Preparation, Control, and Monitoring of Officer Evaluation Reports (OERs), date 24 May 1994)			
c. 5th PSB MOI #7 (Subj: Preparation, Control, and Monitoring of Noncommissioned Officer Evaluation Reports, dated 24 May 1994)			

**Figure 5-2g. Checklist for Overall Battalion S1 Operations (Evaluations)**

**Checklist for Overall Battalion S1 Operations**

**Army Sponsorship Program**

	YES	NO	N/A
<b>1. Army Sponsorship Program Procedures.</b>			
*a. Are sponsors appointed for each incoming soldier within 10 calendar days after receipt of DA Form 5434 (Sponsorship Program Counseling and Information Sheet)?	—	—	—
b. Are welcome letters from the battalion commander (for officers) or command sergeant major (for enlisted) prepared and forwarded to each incoming soldier within 10 calendar days after receipt of DA Form 5434?	—	—	—
c. Are welcome letters from the appointed sponsor prepared and forwarded to each incoming soldier within 10 calendar days of being notified of their responsibilities as a sponsor?	—	—	—
<b>*2. References.</b>			
a. AR 600-8-11, Reassignments			
b. AR 600-8-101, Personnel Processing (In-Out and Mobilization Processing)			
c. AR 600-8-8, The Total Army Sponsorship Program			
d. AR 600-8, Military Personnel Management			
e. AR 608-1, Army Community Service Program			
f. JRTC & Fort Polk Sponsorship Program MOI			

**Figure 5-2h. Checklist for Overall Battalion S1 Operations (Army Sponsorship Program)**

**Checklist for Overall Battalion S1 Operations**

**Reassignment Processing**

	YES	NO	N/A
<b>1. Reassignment Processing Procedures.</b>			
*a. Is battalion S-1 notifying the soldiers unit of his/her pending reassignment in sufficient time to attend their scheduled levy briefing? (AR 600-8-11, para 2-9)	___	___	___
*b. Are soldiers counseled by the Bn S1 on the Reassignment Interview Checklist, (DA Form 5118-R) Section II, Bn Questionnaire & Section III, Soldier Questionnaire? (AR 600-8-11, para 2-9)	___	___	___
*c. Are the soldiers attending the Reassignment Processing Briefing within 30 days of EDAS cycle date? (DA Cir 600-8-89-1)	___	___	___
*d. Are effective procedures in place to screen for EFMP? (AR 600-8-11; AR 600-8-101, Table 3-1, Step 5)	___	___	___
*e. Are DA Forms 4991-R (Declination of Continued Service Statement) initiated by the battalion retention NCO within 30 days of EDAS cycle date for soldiers who refuse to extend/reenlist? (AR 601-280, para 3-2c)	___	___	___
*f. Are deletion/deferment requests submitted within 60 days of EDAS cycle? (AR 600-8-11, para 2-17)	___	___	___
*g. Are requests for early arrival processed prior to 90 days before the first day of the new requested arrival month? (AR 600-8-11, para 2-23)	___	___	___
<b>*2. References.</b>			
a. AR 600-8-11			
b. AR 600-8-101			
c. 5th PSB MOI #17 (Subj: Deletion/Deferment Requests, dated 24 May 1994)			

**Figure 5-2i. Checklist for Overall Battalion S1 Operations (Reassignment Processing)**

**Checklist for Overall Battalion S1 Operations**

<b>Leave Processing</b>	YES	NO	N/A
<b>1. Leave Processing Procedures.</b>			
*a. Is the DA Form 31 (Request Authority for Leave) pulled and annotated in block 17, and suspended until the soldier's return from leave? (AR 600-8-10, para 12.1(j))	___	___	___
*b. Upon return to duty status, is the DA Form 31 pulled from suspense for completion of blocks 16, and 17?	___	___	___
**c. Are DA Forms 4179-E (Leave Control Log) maintained? (AR 600-8-10, para 12-1f)	___	___	___
*d. Is the Bn S1 preparing a backup copy of the automated DA Form 4179-E daily or every other day? (AR 600-8-10, para 12-1g)	___	___	___
*e. Does the Bn S1 have established procedures in the event the automated DA Form 4179-E leave log is not available or inoperative? (AR 600-8-10, para 12-1h)	___	___	___
*f. Are control numbers assigned and logged after approval of leave? (AR 600-8-10, table 12-3, step 3)	___	___	___
*g. Are DA Forms 4179-E filed and retained on file for the required period? (AR 600-8-10, para 12-1h(2) )	___	___	___
*h. Are original DA Forms 31 sent to the local finance and accounting office (F&AO) within 3 days after completion of leave? (AR 600-8-103, para 1-10k)	___	___	___
*i. Has the proper authority signed block 17 on all voided leaves? (AR 600-8-10)	___	___	___
*j. Are copies of voided leaves maintained in numerical sequence for 6 months? (AR 600-8-10, table 12-3, step 9)	___	___	___
*k. Are organizational copies of DA Form 31 on file and maintained properly for the required retention period? (AR 600-8-10, table 12-4, step 10)	___	___	___
*l. Is a correction memorandum used to correct discrepancies identified by Bn S1 as to the periods of leave and dates charged? (AR 00-8-10, table 12-12)	___	___	___
*m. Is a copy of the reconciliation memorandum retained by the Bn S1 in the organizational DA Form 31 file? (AR 600-8-10, table 12-12, step 16)	___	___	___
<b>*2. References.</b>			
a. All Ranks Update			
b. AR 600-8-10 Leaves and Passes			

**Figure 5-2j. Checklist for Overall Battalion S1 Operations (Leave Processing)**

**Checklist for Overall Battalion S1 Operations**

**Meal Card System**

	YES	NO	N/A
1. Is the Unit Level User Documentation (hard copy or floppy disk) for the Meal Card Module on hand for the work area?	___	___	___
2. Are the following publications on hand or on requisition for the work areas?	___	___	___
a. AR 37-106, Finance and Accounting for installation: Travel and Transportation Allowances	___	___	___
b. AR 600-38, The Meal Card Management System and FORSCOM Supplement 1 to AR 600-38	___	___	___
c. DA Pam 210-90-1, Basic Allowance for Subsistence	___	___	___
3. Has the Meal Card System been re-initialized since original transfer from the manual system?	___	___	___
4. If the Meal Card System has been re-initialized, is there written documentation for the reason? Has it been certified by a responsible officer?	___	___	___
5. Does the total number of assigned personnel correspond with the total number of soldiers on the Soldier Support File (SSF) for each Unit Processing Code (UPC) serviced?	___	___	___
6. Are the following records maintained for each UPC serviced and a copy on file?	___	___	___
a. Field Operations	___	___	___
b. Meal Card Log Report	___	___	___
c. Monthly Transaction	___	___	___
d. Miscellaneous	___	___	___
7. Are the weekly Meal Card Log Report and purge list generated and a copy on file?	___	___	___
8. Are monthly Separate Ration Data reports and Query Report generated and a copy on file?	___	___	___
9. Are semi-annual command comparisons (with Defense Accounting Office (DAO) ) Basic Allowance for Subsistence (BAS) listing and Separate Ration Data Report(s) on file?	___	___	___
10. Are blank entitlement logs maintained on file and annotated with the reason for issue?	___	___	___
11. Does the Field Operation Record, per UPC serviced, contain the following:	___	___	___
a. Adjusted Basic Allowance for Subsistence (BAS) rosters (enlisted and officer) submitted by the Commander to the Personnel Administration Center (PAC) reflecting actual start and stop dates soldiers were in a field duty status?	___	___	___
b. Defense Accounting Officer (DAO) action (DA Form 4187-E) submitted for enlisted and officer personnel?	___	___	___
c. Purge list from field operations?	___	___	___
d. Weekly training Schedule (S-3)?	___	___	___
e. Documents for termination, or canceled field operations?	___	___	___
12. Randomly select two UPCs serviced by the PAC. Based on data contained in the field operations record, determine the following:	___	___	___
a. Is there any scheduled field training (requiring overnight field billeting) that does not have DAO action (DA Form 4187-E) submitted for enlisted and officer personnel?	___	___	___
b. Is there unit documentation on file terminating, or canceling any field training?	___	___	___
c. Do the dates of the scheduled training correspond with the dates on the rosters, or DAO action, submitted to DAO for collection?	___	___	___
d. Does the number of enlisted and officer personnel, submitted to DAO for collection, represent the total number of participants?	___	___	___

**Figure 5-2k. Checklist for Overall Battalion S1 Operations (Meal Card System)**

**Checklist for Overall Battalion S1 Operations**

	YES	NO	N/A
e. When field duty is greater than 15 days in duration, has DA Form 4187-E been submitted to DAO 3 days prior to the actual dates of the field duty?	___	___	___
f. Have missed meal claims (DA Form 1475) been submitted for officer and enlisted soldiers during this period?	___	___	___
13. Have the administrative procedures been completed to turn-in meal cards prior to authorizing BAS, or when a soldier PCS?	___	___	___
14. Does a responsible officer or the PAC personally supervise the destruction (burning or shredding) of all meal cards that have been mutilated, or turned-in because a soldier has been authorized BAS, or has PCS from the unit?	___	___	___
15. Does the PAC have on file a memorandum (validated annually) listing surcharge exempt officers and their duty position signed by the commander?	___	___	___

**Figure 5-2k (continued). Checklist for Overall Battalion S1 Operations (Meal Card Operations)**

## **JRTC & FP Reg 20-2**

### **Section III. Command Publications Inspection**

**5-9. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's unit level Command Publications Inspection.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the unit level Command Publications Inspection.

b. Point of contact for this task is the Director of Information Management (DOIM), Building 330, 1820 Corps Road, telephone number 1658.

**5-10. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an effective publications account at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**5-11. Standards.** Satisfactory effective controls for command publications will be based upon the following standards:

a. Implementation of established policies and compliance with applicable regulations within the unit/activity.

b. Satisfactory achievement of the minimum standards (critical task) for command publications as outlined in the checklist.

c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC and FP Regulations or Supplements.

d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

### **5-12. References.**

a. DA Pam 24-30, Consolidated Index of Army Publications and Blank Forms. EM 0001

b. DA Pam 24-33, Users Guide for Army Publications and Forms.

c. JRTC & FP Pam 24-31, Index of Command Publications.

d. JRTC & FP Pam 24-30, Index of Fort Polk Forms.

e. JRTC & FP Reg 24-1, Fort Polk Information Management Resources Program.

f. AR 24-30, The Army Integrated Publishing and Printing Program.

g. All new updates.

h. DA Pam 24-33, User's Guide for Army Publications and Forms.

**Checklist for Command Publications**

	YES	NO	N/A
1. Are DA Forms 12-series being used to reflect unit/activity requirements on the following forms? (DA Pam 24-33) (Applicable to all)			
a. DA Form 12-04-E	___	___	___
b. DA Form 12-04-E	___	___	___
c. DA Form 12-09-E	___	___	___
2. Has a quarterly review of DA Form 12-R series been conducted and a memo on file indicating that the review was accomplished? (AR 24-30) (Applicable to all)	___	___	___
3. Are initial DA Form 12-R series on file? (AR 24-400-2, FN 1p, Office Services Supply Files) (Applicable to all)	___	___	___
4. Is DA Form 12-R current and prepared? (DA Pam 24-33) (Applicable to all)	___	___	___
5. Is DA Form 12-99 current and prepared? (DA Pam 24-33) (Applicable to all)	___	___	___
6. Is DA Form 12-R series submitted through DOIM, Admin Services Division, Publications Stockroom Section? (DA Pam 24-33) (Applicable to all)	___	___	___
7. Is an updated copy of the Saint Louis DA Form 12 Series Printout on file and does the DA Form 12-R series correspond with the printout? If NO, is updated printout on file and does the unit/activity have proof that they requested an updated printout? (AR 24-30, Para 12-10b(2)) (Applicable to all)	___	___	___
8. Are DA Forms 12-99 being kept on file? (DA Pam 24-33) (Applicable to all)	___	___	___
9. Has a system been established whereby publications received on initial distribution are redistributed to the users? (DA Pam 24-33) (Applicable to all)	___	___	___
10. Is the Publications Clerk maintaining a 60-day supply level of forms on hand? (To determine the amount required, multiply the amount used daily x 3 = safety level; multiply this total x 2 for 60-day level required.) (Example: is S1 using 3 DA Forms 31 per day to determine Safety Level: 3x30=90)? To determine 60-day level, (90x2=180). (AR 24-30, Para 12-10f) (Applicable to all)	___	___	___
11. Is a current working copy of the unit's TOE/TDA on file? (Applicable to all)	___	___	___
12. Is unit/activity ordering publications for it's authorized TOE/TDA equipment and personnel from DA Form 12-09-E? (Applicable to all)	___	___	___
13. Has a Unit/Activity Publications Officer, NCO, Warrant Officer or civilian) been appointed? (DA Pam 24-33) (Applicable to all)	___	___	___
14. Has a copy of the unit/activity Publications Officer/Clerk's appointment memo and the required signature cards been provided to the DOIM, Admin Services Division Publications Stockroom Section? (DA Pam 24-33) (Applicable to all)	___	___	___

**Figure 5-3. Checklist for Command Publications Inspection.**

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**Checklist for Command Publications Inspection.**

**Reference Library (AR 24-30 and DA Pam 24-33)**

- |   |     |     |     |
|---|-----|-----|-----|
| 15. Are superseded/rescinded publications removed from file? (DA Circulars, FORSCOM Circulars, JRTC & FP Circulars, DA Pam 24-30, FORSCOM Pam 24-30, and JRTC & FP Pam 24-31) (Applicable to all) | ___ | ___ | ___ |
| 16. Are current editions of the following required publications on hand? (Applicable to all)  |     |     |     |
| a. DA Pam 24-30, Consolidated Index of Army Publications and Blank Forms  | ___ | ___ | ___ |
| b. DA Pam 24-33, User's Guide for Army Publications and Forms   | ___ | ___ | ___ |
| c. JRTC & FP Pam 24-31, Index of Command Publications   | ___ | ___ | ___ |
| d. JRTC & FP Pam 24-30, Index of Fort Polk Forms  | ___ | ___ | ___ |
| e. AR 24-30, The Army Integrated Publishing and Printing Programs   | ___ | ___ | ___ |
| f. All new Updates  | ___ | ___ | ___ |
| g. Current DA Pam 24-30 (EM-0001) (DA Pam 24-33-STARPUBS)   | ___ | ___ | ___ |
| 17. Are changes to publications being posted correctly? (DA Pam 24-40, Posting and Filing Publications) (Applicable to all)   | ___ | ___ | ___ |
| 18. Are binders containing the materials listed on label and in numerical order? (Applicable to all)  | ___ | ___ | ___ |

#### Section IV. Safety

**5-13. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation's unit level Safety Program.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the unit level Safety Program.

b. Point of contact for this task is the Installation Safety Manager, Building 911, telephone numbers 531-1981/4329.

**5-14. Responsibility.** Unit Commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate level of safety at all times, and enable them to conduct internal inspections as part of the Command Inspection Program.

**5-15. Standards.** A satisfactory rating will be received when 95% of the safety standards are fully met. Satisfactory effective controls for safety will be based upon the following standards.

- a. Compliance with regulations, guidelines and management of administrative accident and safety files.
- b. Satisfactory achievement of the minimum standards (critical tasks) as outlined in the checklist.
- c. Maintenance of current guidelines, i.e., DOD Regulations, ARs, Filed Manuals, TMs, applicable JRTC and FP Regs and Supplements, and applicable Nuclear Regulatory Commission Licenses.
- d. Abatement of Risk Assessment Code (RAC) 1 and 2 IAW AR 384-10, paragraphs 3-9.
- e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

#### 5-16. References.

- a. AR 384-10 Safety.
- b. AR 384-11 Radiation Safety.
- c. AR 384-32.
- d. AR 384-40 Accident Reporting.
- e. AR 384-55.
- f. AR 384-63.
- g. AR 384-64.
- h. AR 40-5.
- i. AR 54-29.
- j. AR 420-90.
- k. AR 600-55.
- l. DA Pam 384-1.
- m. DA Pam 384-40.
- n. DA Pam 40-501.
- o. FM 100-14.
- p. TB MED 501.
- q. TB MED 506.
- r. TB MED 524.
- s. TB 43-0142.
- t. TB 43-0151.
- u. TB 384-4.
- v. TM 9-1300-206.
- w. TM 21-301.
- x. FORSCOM Reg 384-1.
- y. JRTC & FP Suppl 1 to FORSCOM Reg 384-1.
- z. JRTC & FP 94-2.
- aa. JRTC & FP 384-1.

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- ab. JRTC & FP 384-2.
- ac. JRTC & FP 384-3.
- ad. JRTC & FP 384-4.
- ae. JRTC & FP 384-5.
- af. JRTC & FP 384-6.
- ag. Code of Federal Regulation (CFR) 10, 20, 29, and 49.
- ah. DOD Instruction 6055.1.
- ai. DOD Instruction 6055.5.
- aj. Nuclear Regulatory Licenses for M43A1, CAMs, MC-1, Fire Control Devices, LAW Sights, Thorium-Magnesium Alloy Engine Parts, Thorium-Fluoride Coated Optics, Electron Tubes, Radium Devices, and Radiographic

**Checklist for Safety**

	YES	NO	N/A
<b>1. Brigade Checklist for Program Management.</b>			
* a. Is there a written SOP establishing a safety program?	___	___	___
* b. Accident Reporting?	___	___	___
c. Safety Awards?	___	___	___
* d. Hazardous Contamination?	___	___	___
e. Lock Out Tag Out?	___	___	___
* f. Confined Space?	___	___	___
* g. Personnel Protective Equipment?	___	___	___
h. Risk Management?	___	___	___
* i. Explosive/Ammunition/Pyrotechnics Safety?	___	___	___
j. Driver's Safety?	___	___	___
k. Radiation Safety?	___	___	___
* l. Non-Ionizing Radiation Safety?	___	___	___
m. Laser Safety?	___	___	___
n. Range Safety?	___	___	___
* o. Ergonomics Safety?	___	___	___
p. Respirator Protection?	___	___	___
* q. Hearing Protection?	___	___	___
r. Abatement Program?	___	___	___
* s. Fire Safety?	___	___	___
t. Motor Pool Safety?	___	___	___
u. Maintenance Safety?	___	___	___
* v. POV Accident Prevention?	___	___	___
w. Does the SOP define and assign specific responsibilities?	___	___	___
x. In implementing the program?	___	___	___
* y. Is Risk Management integrated into all Operations Orders, Warning Orders, FRAGOs, etc. for field exercises or deployment at all levels?	___	___	___
z. Have unit/organization Safety personnel been appointed in writing?	___	___	___
aa. Has a copy of the appointment memorandum been furnished to the Installation Safety Office?	___	___	___
ab. Has the Unit/organization Safety Officer/NCO completed the Installation's Safety Officer training course?	___	___	___
ac. Has a unit/organization Safety Council been appointed in writing ?	___	___	___
ad. Does the Council meet periodically and publish minutes of the meeting?	___	___	___
ae. Is the unit/organization Commander/Director or Safety Officer a member of the council ?	___	___	___
af. Does the unit/organization maintain a ready reference library of regulations, pamphlets, bulletins, letters, Safety of Use/ Maintenance/Flight, Safety Grams/Alerts ?	___	___	___
ag. Are all accidents investigated promptly and in a timely manner (within 48 hours); and are accident reports (DA Form 285 AGARS, DA Form 285 and CA Form 1s) completely and properly filled out?	___	___	___
ah. Are the required safety records on file and being maintained up to 1 year?	___	___	___
ai. Is the DoD Occupational Safety and Health Protection Program poster (DD Form 2272) posted?	___	___	___
aj. Is safety a rating element in all OERs, NCOERs and civilian appraisal reports?	___	___	___
ak. Has the unit/organization conducted a Hazard Assessment (Job Site or Work Site Analysis)?	___	___	___
* al. Have individuals required to use Personal Protective Equipment (PPE) been identified, trained, and issued PPE?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

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- \* am. Do individuals use PPE (ear plugs, safety glasses, safety shoes, gloves, aprons, hard hats, etc.) when required? \_\_\_ \_\_\_ \_\_\_
- an. Has the Brigade/Battalion Safety Officer/NCO established procedures to ensure that the subordinate units are conducting monthly safety inspections? \_\_\_ \_\_\_ \_\_\_
- ao. Are Unit Safety Personnel conducting monthly safety inspections of the units facilities and operations and maintaining them up to 1 year? \_\_\_ \_\_\_ \_\_\_
- ap. Are copies of the required inspections forwarded to the next higher Safety Officer, i.e., company/battery to battalion to brigade? \_\_\_ \_\_\_ \_\_\_
- \* aq. Are personnel properly trained and licensed to operate equipment being used or maintained? \_\_\_ \_\_\_ \_\_\_
- ar. Is there a program in effect to encourage the reporting of hazards, near accidents, unsafe shop practices, and unsafe working conditions? \_\_\_ \_\_\_ \_\_\_
- as. Are placement, periodic, and termination surveillance exams provided to potentially exposed personnel? \_\_\_ \_\_\_ \_\_\_
- \* at. Does the unit/organization have on file evidence of the annual noise survey? \_\_\_ \_\_\_ \_\_\_
- au. Is there an inventory of health hazards in the workplace? \_\_\_ \_\_\_ \_\_\_
- \* av. Does the unit have a Fire Marshall appointed on orders? \_\_\_ \_\_\_ \_\_\_
- \* aw. Is the organization's Fire Prevention Program implemented? \_\_\_ \_\_\_ \_\_\_

**2. Company/Brigade Checklist for Barracks and Quarters Safety.**

- \* a. Are landings, stairs, and steps adequately illuminated and in good conditions? \_\_\_ \_\_\_ \_\_\_
- b. Are stairs free of items that constitute a tripping or slipping hazard? \_\_\_ \_\_\_ \_\_\_
- c. Are floor surfaces in good repair and free of slipping and tripping hazards? \_\_\_ \_\_\_ \_\_\_
- d. Are floor buffers in good conditions? \_\_\_ \_\_\_ \_\_\_
- e. Is the outer insulation of the cord intact? \_\_\_ \_\_\_ \_\_\_
- f. Does the outer insulation of the cord extend through the aperture of the motor? \_\_\_ \_\_\_ \_\_\_
- g. Is there an insulated disk covering the conductors/wires inside the male plug? \_\_\_ \_\_\_ \_\_\_
- \* h. Is exit doors marked and readily open from the inside? \_\_\_ \_\_\_ \_\_\_
- \* i. Are flammables stored at least 50 feet from buildings in approved storage cabinets or buildings? \_\_\_ \_\_\_ \_\_\_
- j. Are lights and switches functional and not broken or damaged? \_\_\_ \_\_\_ \_\_\_
- k. Are fuses of proper size? \_\_\_ \_\_\_ \_\_\_
- l. Is there evidence of tampering or over-fusing? \_\_\_ \_\_\_ \_\_\_
- m. Is gas fired equipment properly ventilated in quarters where sleeping occurs? \_\_\_ \_\_\_ \_\_\_
- n. Are soap receptacles provided in shower rooms? \_\_\_ \_\_\_ \_\_\_
- o. Are floors maintained in a clean and safe condition? \_\_\_ \_\_\_ \_\_\_
- p. Are gas and electrical appliances checked regularly? \_\_\_ \_\_\_ \_\_\_
- q. Are separate containers provided for trash and cigarette butts? \_\_\_ \_\_\_ \_\_\_
- r. Are covers kept on trashcans in barracks? \_\_\_ \_\_\_ \_\_\_
- s. Are brooms, mops, and buffers stored properly? \_\_\_ \_\_\_ \_\_\_
- t. Are only approved or authorized extension cords in use? \_\_\_ \_\_\_ \_\_\_
- u. Is a single appliance attached to each electrical wall receptacle? \_\_\_ \_\_\_ \_\_\_
- \* v. Are safety rules or SOPs posted in the orderly rooms? \_\_\_ \_\_\_ \_\_\_
- w. Are electrical appliances provided a ground circuit in the latrine? \_\_\_ \_\_\_ \_\_\_
- x. Do electrical lights in showers have vapor proof globes? \_\_\_ \_\_\_ \_\_\_
- y. Are fire escapes and ladders in good repair and lighted at night? \_\_\_ \_\_\_ \_\_\_
- z. Do windows and doors open and close freely? \_\_\_ \_\_\_ \_\_\_
- aa. Does storage of personnel items present a hazard? \_\_\_ \_\_\_ \_\_\_
- ab. Are assigned personnel organized and trained to control an orderly exit of occupants in the event of an emergency? \_\_\_ \_\_\_ \_\_\_
- ac. Are smoke detectors provided in sleeping rooms? \_\_\_ \_\_\_ \_\_\_

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection.**

**3. Brigade Checklist for Dining Facilities.**

- a. Is a current safety SOP posted at the dining facility?
- b. Are floors free of slipping and tripping hazards such as grease, food, water, electrical cords, utensils, etc.?
- \* c. Are electrical appliances grounded?
- d. Are electrical cords in good condition?
- e. Are emergency release latches on walk-in refrigerators and freezers checked daily?
- f. Are pads, potholders and other insulating devices for handling hot objects readily available?
- g. Are two people used for handling large pots of hot substances?
- h. Are boxes and crates opened with proper tools and protruding nails, splinters, and metal scrapping removed?
- \* i. Is steam equipment and pressure cookers, gauges and fittings inspected periodically?
- \* j. Do vents, hoods and other parts of the ranges, deep fryers, and broilers present a fire or explosive hazard?
- k. Are grease splatters, spills and exhaust grills cleaned ?
- l. Are precautions taken to ensure that floors do not present a trip, slip, or fall hazard?
- m. Are belts, pulleys, gears, shafts, or other reciprocating, rotating, or other moving parts of appliances and power equipment adequately guarded?
- \* n. Are fire extinguishers of the proper type readily available on hangers or stands?
- \* o. Is protective shielding provided light bulbs or tubes in food preparation, utensil, and equipment washing or display areas?
- p. Is proper rodent and insect control established?
- q. Is storage are safe for overhead storage?
- \* r. Do light fixtures over kitchen ranges have vapor proof covers?
- \* s. Is the step stool or ladder used to access high shelves equipped with nonskid feet?
- t. Are floors buffers properly grounded?
- u. Are heavy items stored on bottom shelves?

**4. Company/Battalion Checklist for Supply and Storage Areas.**

- a. Is supply room kept neat and orderly?
- b. Are shelves well designed and secured to prevent movement?
- c. Are heavy items stored on bottom shelves?
- d. Are incompatible materials stored in the supply room?
- \* e. Is ammunition stored in the supply room?
- f. Are tools for issue in good condition?
- g. Is a rack provided for the storage of long handled tools such as shovels and rakes?
- h. Are make shift tools used or issued?
- \* i. Is gasoline powered equipment kept in authorized storage areas?
- j. Are adequate precautions written and posted for personnel guidance?
- k. Is smoking prohibited in other than designated areas?
- \* l. Are flammable liquids, paints, grease and other petroleum, oils, and lubricants (POL) items stored in a NO SMOKING AREA at least 50 feet from other stored material?
- m. Are mattresses, tentage and like materials neatly stacked on dunnage or pallets for stability, and ventilated to minimize fire hazard?
- n. Are pedestal and desk type fans with openings larger than ½ inch provided with small mesh guards prior to use?

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

- o. Is material stored so as not to interfere with sprinkler head, fire line valves, fire extinguishers, fire exits, or fire doors? \_\_\_
- p. Are warehouse principles being followed as to aisles, clearing space, boundary lines, and capacity? \_\_\_
- q. Are hand tools with cutting edges properly stored or guarded when not in use? \_\_\_
- r. Are lights functional and adequate? \_\_\_
- s. Are clothing and other combustible material kept at least 30 inches from stoves, stove pipes, heaters and 18 inches from light bulbs? \_\_\_
- t. Are electrical fuses the proper size? \_\_\_
- u. Is there evidence of tampering or over-fusing? \_\_\_
- v. Are brooms, mops, and buffers stored properly? \_\_\_
- w. Are electrical tools, extension cords and droplights in safe condition? \_\_\_
- x. Are switch boxes marked to indicate item of facility they control? \_\_\_

**5. Company/Battalion Checklist for Motor Pool.**

- a. Are buildings and grounds neat and orderly? \_\_\_
- b. Are tools in good condition and not used for purposes other than those for which they were designed? \_\_\_
- \* c. Are shop floors kept clean and free of oil, grease, gasoline and other hazardous or slippery substances? \_\_\_
- \* d. Are hearing and eye protection items in use by personnel, and hearing/eye protection signs posted? \_\_\_
- \* e. Are tire safety cage and extension air hoses used during inflation of tires with split ring? \_\_\_
- \* f. Is oxygen gas/acetylene cylinders secure at all times, and valves caps in place when not in use? \_\_\_
- g. Are special activities such as painting, welding, battery work confined to separate parts of the maintenance areas and isolated from each other to avoid dangerous interference? \_\_\_
- h. Is the vehicle maintenance are separated from other activities by walls or partitions with fire resistance rating of not less than 2 hours? \_\_\_
- i. Are doorways and other openings in a firewall protected with automatic-closing fire door or doors with landing and stairway 44 inches wide, not more than 7 1/2-inch risers, 10 inch depth, 6 foot 8 inch minimum head room? \_\_\_
- \* j. Are shop entrances and exits clearly identified? \_\_\_
- k. Is clear aisle space maintained for fire-fighting equipment? \_\_\_
- l. Are fire extinguishers inspected and tag annotated monthly? \_\_\_
- m. Are fire extinguishers provided cabinet, stand, or hung on wall? \_\_\_
- n. Is only an approved water solution or detergent, floor sweeping compound, and absorbents used for cleaning floors? \_\_\_
- \* o. If floor drains are provided, are they properly trapped and discharged through oil separator to the sewer or outside vented sump? \_\_\_
- p. Are garage, shops, or other enclosures used for vehicles servicing properly ventilated at all times as a precaution against asphyxiation by exhaust gases of vehicle engines, space heaters, and other injurious vapors? \_\_\_
- q. Is smoking prohibited in shops, garages, or motor pool parking areas with receptacles or discarding smoking material? \_\_\_
- r. Are noise hazard signs or decals posted to ensure maximum visibility in required areas, operations, and on tools and equipment that are a noise hazard? \_\_\_
- s. Are disposable earplugs provided in noise hazard areas? \_\_\_

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
t. Are eye hazard signs or decals posted at eye hazardous areas?	___	___	___
u. Are only approved work stands or scaffolding used?	___	___	___
v. Are portable guardrails or covers placed around or over grease or repair pits, vats, tanks, etc. when not in use?	___	___	___
w. Are pits cleaned regularly with soap and water or caustic solutions?	___	___	___
x. Are walls, floors, and piers of pits constructed of masonry, concrete, or other suitable noncombustible material?	___	___	___
y. Do pits have adequate exits to allow personnel to exit in the event of a fire?	___	___	___
z. Are pit steps noncombustible, slip proof, and constructed with space underneath?	___	___	___
aa. Are pits ventilated and drainage provided?	___	___	___
ab. Do portable lamps (drop lights) have an approved shield to prevent accidental breakage of bulb?	___	___	___
ac. Is electrical wiring for lights, power, heat, and signal or control circuits grounded and electrically operated tools, portable appliances and devices have grounding capability or double insulation?	___	___	___
ad. Is open flame light not used to examine or repair a vehicle?	___	___	___
ae. Are personnel prohibited from stretching extension cords along the floor?	___	___	___
af. Are improvised furnaces, salamanders or space heaters not permitted?	___	___	___
ag. Does heating equipment installed in vehicle servicing areas with no dispensing of Class I flammable liquids or liquefied petroleum gas, meet the following requirements?	___	___	___
(1) Is the bottom of chamber at least 18 inches above floor?	___	___	___
(2) Is heating equipment protected from physical damage by vehicles?	___	___	___
(3) Is continuous mechanical ventilation provided at a rate of 1.75 cfm per square foot of floor space or four air changes per hour?	___	___	___
(4) Are approved suspended unit heaters not less than 8 feet above floor?	___	___	___
(5) Is only approved nonflammable or high flash point types of solvents used for cleaning parts and equipment?	___	___	___
(6) Are positive controls used to ensure that gasoline and petroleum fuels are not used as cleaning agents for latrines, floors, vehicle engines, and other unauthorized use?	___	___	___
(7) Is a flammable storage cabinet provided for safe storage of flammable liquids?	___	___	___
(8) Are clean rags, used or oily rags, and trash containers provided with cover and painted yellow with black lettering to indicate contents?	___	___	___
(9) Is flammable waste material removed to a designated collection area outside *ops and garages at the close of each day?	___	___	___
ah. Are shop tools and tool kits periodically inspected and defective tools replaced?	___	___	___
ai. Are extension cords checked periodically for deterioration due to contact with oil or grease, pinch, kink or other insulation cut or crack?	___	___	___
aj. Are jacks inspected regularly and prior to use for defects, safety locks and hydraulic fluids?	___	___	___
* ak. Are jacks labeled with their load limit and next inspection due date?	___	___	___
al. Are vehicles supported securely in position on safety stands after being raised by jacks?	___	___	___
am. Are lifts provided with a device to hold the lift in the fully extended position?	___	___	___
an. Is lift marked with rated load capacity?	___	___	___
* ao. Are gas tanks and other fuel containers removed from vehicles drained, purged or rendered inert, tested and then filled with water before welding or other heat producing operations are performed?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
ap. Are steam cleaning devices used the approved type, and located and safeguarded so as not to present hazards to other personnel or operations?	___	___	___
aq. Is a drainage system at wash rack provided with trap or separator?	___	___	___
ar. Is ground guide, horn warning or other prescribed signals given by vehicle when entering or exiting shop?	___	___	___
as. Is capacity indicated on out door drive up grease racks?	___	___	___
at. Is ground guide provided for vehicles driving on or off grease racks?	___	___	___
au. Is area under and around the grease rack maintained in an orderly and clean condition?	___	___	___
av. Are braces, beams, and other parts of a grease rack attached?	___	___	___
aw. Does the unit have a chemical inventory list of all hazardous materials in the work place?	___	___	___
* ax. Is the chemical name, manufacturer, stock number and quantity included on the Chemical Inventory List?	___	___	___
ay. Are hazardous warning labels on individual bulk containers?	___	___	___
<b>6. Company/Battalion Checklist for Battery Shop.</b>			
a. Are deluge showers/eye bath fountain provided for handlers of batteries or acid handling operations?	___	___	___
b. Are handlers of batteries or electrolytes wearing chemical splash goggles/face shield, rubber gloves and rubber aprons?	___	___	___
c. Are sources of ignition kept away from battery operations area?	___	___	___
d. Is electrical equipment used to change batteries grounded?	___	___	___
e. Are terminal straps, hoists or other approved material handling equipment used for handling batteries?	___	___	___
f. When mixing electrolyte, is sulfuric acid always poured into the water?	___	___	___
g. Is carbon filter or siphon used for handling electrolyte?	___	___	___
h. Are facilities provided for flushing and neutralizing spilled electrolyte?	___	___	___
i. Is adequate ventilation provided by lateral exhaust or other type of hood at the charging rack with control velocity at least 50 fpm or general ventilation rate of 2 cubic feet per minute per square foot of floor area?	___	___	___
j. Is proper equipment used for handling batteries?	___	___	___
k. Are floors kept clean at all times?	___	___	___
l. Are battery racks painted with acid resisting paint?	___	___	___
m. Are vent caps kept in place on batteries to avoid electrolyte spray, and function properly?	___	___	___
n. Is battery charging and storage room used for no other purpose?	___	___	___
o. Are nickel cadmium (NICAD) battery charging, storage, and tools provided in a separate room?	___	___	___
<b>7. Company/Battalion Checklist for Abrasive Wheels (Grinders).</b>			
a. Are abrasive wheels used only on machines with safety guards?	___	___	___
b. Are grinders adjustable work rests provided and maintained at 1/8 inch or less from the wheel and tongue guards maintained at 1/4 inches or less from the wheel?	___	___	___
c. Are fixed location machines securely anchored to prevent movement?	___	___	___
d. Do operators wear the proper personal protection equipment (PPE)?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
<b>8. Company/Battalion Checklist for Spray Painting.</b>			
a. Is spray painting prohibited within buildings where standard spray rooms constructed?	___	___	___
b. Is spot/touch-up painting only used for bumper markings and small chipped areas?	___	___	___
c. Is painting (spot/touch-up) conducted outside in a well-ventilated area?	___	___	___
d. Has the unit provided the soldier with training and proper protective clothing/equipment?	___	___	___
<b>9. Company/Battalion Checklist for Compressed Cylinders.</b>			
a. Are flammable compressed gas cylinders stored 20 ft away from heat sources and oxidizer, stored in an upright position and chained or secured to prevent falling?	___	___	___
b. Are oxygen compressed gas cylinders stored ft away from flammable gases or separated by a fire-resistant partition and stored in an upright position and chained or secured to prevent falling?	___	___	___
c. When cylinders are not in use, are valves closed tightly and the valve protector caps installed?	___	___	___
d. Are filled and empty cylinders stored separately?	___	___	___
e. Are empty cylinders labeled "EMPTY"?	___	___	___
f. Is smoking prohibited within 50 feet of compressed gas storage areas and are "No Smoking" signs posted?	___	___	___
<b>10. Company/Battalion Checklist for Asbestos.</b>			
* a. Have all personnel involved in brake operations, to include inspections, received initial training before being assigned to this task?	___	___	___
b. Have mechanics and leaders who are involved in brake operation, receive annual refresher training?	___	___	___
c. Are records of this training being maintained in the individuals training record for one year?	___	___	___
d. Are maintenance personnel on the respirator protection program?	___	___	___
(1) Been given a respirator physical?	___	___	___
(2) Been fit tested?	___	___	___
(3) Been trained on respirators?	___	___	___
(4) Been issued respirator?	___	___	___
e. Are procedures (wet only) being followed for brake shoe removal and disposals?	___	___	___
<b>11. Company/Battalion Checklist for Welding Operations.</b>			
* a. Are only qualified and authorized personnel permitted to perform welding operations?	___	___	___
b. Are shielding and eye protection provided for personnel protection?	___	___	___
<b>12. Company/Battalion Checklist for Hand Tools.</b>			
a. Are maintenance personnel on the respirator protection program?	___	___	___
(1) Been given a respirator physical?	___	___	___
(2) Been fit tested?	___	___	___
(3) Been trained on respirators?	___	___	___
(4) Been issued respirator?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
b. Are curtains or screens provided around all welding locations and are caution signs posted “ <i>DO NOT WATCH THE ARC</i> ” at arc welding areas?	___	___	___
c. Is an exhaust system provided whenever natural ventilation is inadequate to remove injurious fumes and gases?	___	___	___
d. Are hand tools kept in safe condition? Are handles tight, free of cracks and splinters? Are wedges and chisels free of mushroomed heads?	___	___	___
e. Frames of portable electrical tools are double insulated or properly grounded?	___	___	___
f. Are worn, deteriorated or inadequately insulated electric power tools and equipment removed from services and repaired or replaced?	___	___	___
g. Do operators wear PPE?	___	___	___
<b>13. Company/Battalion Checklist for Emergency Eye Wash/Shower Facilities.</b>			
a. Are there emergency eye wash/shower facilities available in the workplace where corrosive/hazardous materials are used and are these facilities serviceable and readily available?	___	___	___
b. Are emergency eye wash/shower facilities inspected for serviceability and operations and, permanently installed units flushed weekly for at least 5 minutes to removed harmful bacteria? Is this documented?	___	___	___
c. Are portable emergency eye wash facilities inspected and water changed according to manufacturer guidance? Is this documented?	___	___	___
<b>14. Company/Battalion Checklist for Floor Opening and Open Sides.</b>			
a. Is every floor hole opening into which person can accidentally walk, guarded by a standard railing or a floor cover?	___	___	___
b. Are maintenance personnel on the respirator protection program?	___	___	___
(1) Been given a respirator physical?	___	___	___
(2) Been fit tested?	___	___	___
(3) Been trained on respirators?	___	___	___
(4) Been issued respirator?	___	___	___
<b>15. Company/Battalion Checklist for Ventilation.</b>			
a. Are motor pool shops and other enclosed areas being used for vehicle maintenance ventilated to prevent asphyxiation?	___	___	___
<b>16. Company/Battalion Checklist for Storage.</b>			
a. Are stored materials stacked in tiers interlocked, blocked and limited in height so as to secure against sliding or collapse?	___	___	___
b. Are storage areas free from tripping and allow for aisles?	___	___	___
<b>17. Company/Battalion Checklist for Range and Explosive Safety.</b>			
* a. Does unit have a current SOP on receipt, storage and turn-in of ammunition?	___	___	___
b. Does the unit SOP for FASSs, ATP, ammunition-holding areas (AHAs) follow guidance in current publications?	___	___	___
c. Does the unit SOP cover proper procedures for use of ammunition to include waiver request procedures?	___	___	___
d. Does unit SOP contain detailed instructions on the proper use of simulators and pyrotechnics?	___	___	___
e. Does the unit have trained Explosive Ordnance Reconnaissance Personnel?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
f. Does the unit have a copy of all waivers that pertain to the unit for use off non-standard explosives, ammunition, pyrotechnics and standard explosives, ammunition, and pyrotechnics used in a non-standard methods?	___	___	___
g. Does the unit report all accidents to Range Control and Safety involving any weapon system, ammunition, explosive or pyrotechnics to include misfires and short rounds?	___	___	___
(1) Does the unit maintain a copy of accident/incident report for the above mentioned paragraph g?	___	___	___
(2) Are unit personnel briefed prior to field training exercises (FTXs)?	___	___	___
(3) Are all accidents reported to Range Control when the unit is in the field?	___	___	___
<b>18. Brigade/Battalion/Company Checklist for Ionizing Radiation Safety.</b>			
a. General:			
(1) Is there a unit SOP?	___	___	___
(2) Has the Commander provided and maintained adequate resources for the RPP to ensure safety of personnel, property, and the environment?	___	___	___
(3) Is a Radiation Protection Officer (RPO) designated in writing by the Commander?	___	___	___
(4) Is an alternate RPO (ARPO) designated in writing by the Commander?	___	___	___
(5) Does the RPO and ARPO have sufficient education or training as required for the position?	___	___	___
(6) Is an annual physical inventory of radioactive materials maintained for 3 years or as specified by applicable license?	___	___	___
(7) Is an inventory of ionizing radiation producing device maintained?	___	___	___
(8) Are radiation files maintained IAW AR 24-400-2 and the provisions of 10 CFR, as applicable?	___	___	___
(9) Has an annual review of the RPP content and implementation been performed by installation RPO?	___	___	___
(10) Has training, including instruction consistent with 10 CFR 19.12, NRC Regulatory Guide 8.9,8.10, and 29 CFR, been conducted within the last 18 months?	___	___	___
(11) Are copies of the Radioactive Material Movement Form given to the local Transportation Officer and a copy included with the shipping records?	___	___	___
(12) Are inventories maintained for radioactive material pending disposal?	___	___	___
(13) Are all radiation accidents/incidents reported IAW AR 384-40?	___	___	___
(14) Are records showing results of surveys and calibrations maintained and retained on file for minimum period 3 years?	___	___	___
(15) Has a Dosimetry Program (internal/external) been implemented?	___	___	___
(16) Are quarterly Dosimetry Reports provided to the Installation RPO (IRPO)?	___	___	___
(17) Are swipe test results provided to the IRPO?	___	___	___
(18) Is the instrumentation adequate to properly perform routine radiation surveys?	___	___	___
(19) Is the instrumentation properly calibrated for ACTIVE use?	___	___	___
(20) Are personnel aware of the requirement to prohibit radioactive materials from the Defense Reutilization and Marketing Office (DRMO)?	___	___	___
(21) Are procedures available to properly receive and open packages of radioactive materials?	___	___	___
(22) Are all incoming items surveyed within 72 hours of arrival?	___	___	___
(23) Are quarterly radiation surveys performed in areas where radioactive materials are used/stored/transported?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
(24) Are radioactive surveys accurately documented (Drawing of area, types of sources, background reading, radiation levels, type of measurement, instrument, instrument calibration due date, instrument serial number, and emergency POC)?	___	___	___
(25) Are radioactive material (stored in unrestricted areas) secure from unauthorized access?	___	___	___
(26) Is storage facility constructed of fire retardant material and/or protected by a fire sprinkler system or otherwise under the control of rapid fire department response?	___	___	___
(27) Is smoking, eating, drinking, chewing gum, tobacco or applying cosmetics, prohibited in the radiation storage or maintenance area?	___	___	___
(28) Are storage, maintenance, and transportation holding areas properly posted with the following:			
(a) NRC Form 3.	___	___	___
(c) No Eating, Smoking, Drinking, or Use of Cosmetics.	___	___	___
(d) NRC Licenses, Parts 19, 20, 21 of 10 CFR available at Safety Office.	___	___	___
(e) Emergency POC with telephone Numbers.	___	___	___
(f) Caution Radioactive Material.	___	___	___
(29) Have employees received an annual radiation briefing (documentation required)?	___	___	___
(30) Have all maintenance personnel been properly trained and provided with annual briefing (documentation required)?	___	___	___
(31) Is the Dosimetry Custodian designated in writing by the Commander/RPO?	___	___	___
(32) Is the TLD storage location approved in writing by the RPO?	___	___	___
b. M43A1 (Chemical Agent Detector) and CAM (Chemical Agent Monitor):			
(1) Are procedures in place so that these items will be wipe tested when due even if not notified by ACALA?	___	___	___
(2) Are procedures in place to ensure that the IRPO is immediately notified in case of damage, loss, or theft?	___	___	___
(3) Does the maintenance facility have a published SOP, which has been approved by the IRPO?	___	___	___
(4) Does the Local RPO maintain a copy of the SOP?	___	___	___
(5) Are users properly trained and is the training documented?	___	___	___
(6) Is an annual physical inventory performed and the results maintained for 5 years?	___	___	___
(7) Does the inventory include the following:			
(a) Serial number (D and C for M43A1) and CAM serial number.	___	___	___
(b) Unit UIC.	___	___	___
(c) Location.	___	___	___
(d) POC.	___	___	___
(8) Are annual source leak tests performed?	___	___	___
(9) Are leak tests performed prior to maintenance?	___	___	___
(10) Are source leak tests forwarded to ACALA for analysis?	___	___	___
(11) Is the storage area and maintenance are properly posted?	___	___	___
(12) Workbench covered with kraft paper?	___	___	___
(13) Is paper secured to work surface with tape?	___	___	___
(14) Are all seams sealed with tape?	___	___	___
(15) Are disposable gloves worn while performing maintenance?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
(16) Is work area wiped and the wipe surveyed with and Alpha/Beta Meter at the end of each day maintenance operations are performed?	___	___	___
(17) Is an outlet filter used the M43A1 is used in an enclosed area?	___	___	___
(a) Is the filter bagged, labeled, and stored properly (radioactive waste)?	___	___	___
(b) Is an inventory maintained of used outlet filters?	___	___	___
(c) When turned-in for disposal is a document maintained on file?	___	___	___
(18) Are hands washed at the end of maintenance or testing?	___	___	___
(19) Have maintenance personnel received 8 hours training covering?	___	___	___
(a) Hazards of Americium 241?	___	___	___
(b) Units of radiation?	___	___	___
(c) Biological effects?	___	___	___
(d) Detection instrumentation?	___	___	___
(e) Wipe testing?	___	___	___
(f) Serial number tracking?	___	___	___
(g) Emergency procedures?	___	___	___
(20) Are radioactive sources secured against unauthorized use?	___	___	___
(21) Have user personnel received 2 hours training as a minimum on:	___	___	___
(a) Radiation Safety?	___	___	___
(b) Emergency procedures?	___	___	___
(c) Maintenance restrictions?	___	___	___
(d) Serial number tracking?	___	___	___
(e) Proper use?	___	___	___
(22) Is the radioactive waste container painted yellow in and outside, has a plastic bag liner and marked?	___	___	___
c. Tritium (H3) Items (fire control, watches, compasses):			
(1) Is the maintenance work site a controlled area?	___	___	___
(2) Limited access? Secured?	___	___	___
(3) Under constant surveillance?	___	___	___
(4) Is the area properly posted?	___	___	___
(5) Does the storage and maintenance areas have at least 12 exchanges an hour?	___	___	___
(6) Is there any inventory of all H3 items on hand?	___	___	___
(7) Does inventory include quantity and activity of items?	___	___	___
NOTE: Storage Requirements			
(a) No greater than a ratio of 1 Curie per cubic foot (e.g. 1000 Curies per 1000 cubic feet)	___	___	___
(b) Maximum of 1000 Curies of indoor storage	___	___	___
(c) Maximum of 2,5000 Curies with approval of ACALA RPO	___	___	___
(8) Is there a SOP posted which has been reviewed and approved by IRPO?	___	___	___
(9) Are storage and maintenance areas covered with kraft paper?	___	___	___
(10) Are nitrogen gas gauges capable of measuring 3 pounds per square inch (PSI) (maintenance operations only)?	___	___	___
(11) Is the radioactive waste container painted yellow in and outside, has a plastic bag liner and marked?	___	___	___
(12) Are tritium storage/work/user areas monitored (wipe tested) in a timely manner?	___	___	___
(a) Field user storage.....Quarterly?	___	___	___
(b) DS/GS work areas and storage.....Quarterly?	___	___	___
(c) Transportation Holding Areas.....Quarterly?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
(d) H3 Instrument Repair Room.....Monthly?	___	___	___
(13) Is H3 material (including waste) stored properly?	___	___	___
(a) H3 will be stored in a segregated area away from personnel.	___	___	___
(b) H3 items awaiting maintenance will be stored in a separate area (room) prior to maintenance.	___	___	___
(14) Are M11 pistol sights (front/rear){1004-01-359-8429 and 1004-01-359-8431} disposed of as radioactive material?	___	___	___
<b>20. Checklist for Ionizing Radiation Safety 46<sup>th</sup> Engineer <u>ONLY</u>.</b>			
d. Tester Density and Moisture Campbell Pacific Model MC-1			
(1) Is the LRPO and ARPO properly trained and certified?	___	___	___
(2) Are operators school trained?	___	___	___
(3) Are operators provided periodic refresher training?	___	___	___
(4) Are a list of operators, copies of training certifications and notice of changes to assigned operators reported through channels for units who are without trained and appointed LRPOs/ALRPO, through the IRPO to MACOM RPO to the License Holder?	___	___	___
(5) Has the local Fire Department been advised, in writing, of the type, quantity and location of radioactive material stored by the unit?	___	___	___
(6) Does the unit have an approved (by IRPO) SOP, which is current for use, storage, transportation and maintenance of the testers?	___	___	___
(7) Is the tester under control at all times and do only tester school trained personnel operate or maintain it?	___	___	___
(8) Are all personnel working with or around the tester provided annual radiation awareness and safety training?	___	___	___
(9) Is the storage area and work site properly marked and posted?	___	___	___
(10) Is the storage area surveyed quarterly and properly documented?	___	___	___
Documentation should include date of survey, who conducted survey, instrument used, serial number of instrument, calibration due date, background reading, areas surveyed to include map.			
(11) As a minimum the following surveys must be conducted:			
(a) Initial prior to use?	___	___	___
(b) Quarterly?	___	___	___
(c) Termination of storage area?	___	___	___
(12) Is the unoccupied storage area, isolated and free from fire or flooding hazards and exposure to other hazardous materials?	___	___	___
(13) Are the radiation levels inside the area less 2.5 mrem/hr or 0.025 mSv/hr?	___	___	___
(14) Does the occupied storage area have a locked metal storage cabinet?	___	___	___
(15) Is a two meter exclusion area established and clearly delineated around the tester storage area?	___	___	___
(16) When transportation is required, is a letter for movement of the tester prepared for vehicle movement?	___	___	___
(17) Is the IRPO notified when the tester will be going off post?	___	___	___
(18) Has the unit established a Dosimetry Program?	___	___	___
(19) Is the quarterly Dosimetry Report reviewed by LRPO?	___	___	___
(20) Are TLDs worn when operating the tester, upon entering the storage area and at other times as determined by LRPO?	___	___	___

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
(21) Has the unit established a medical surveillance program for all personnel identified as radiation workers?	___	___	___
(22) Is an individual designated (in writing) by the Commander as the “Custodian of Records” to prepare and maintain radiation exposure records?	___	___	___
(23) Is the IRPO provided a copy of quarterly dosimetry reports?	___	___	___
(24) Do operators get annual physical?	___	___	___
(25) Is each radiation worker (LRPO, ALRPO and operators) advised annually in writing of their radiation dose presented by the AIRDC computerized Dosimetry Report?	___	___	___
<b>21. Company Checklist for Ionizing Radiation Safety.</b>			
e. Maintenance of Magnesium-Thorium Alloy Aircraft Engine Parts:			
(1) Is licensed maintenance limited to Aviation Intermediate Maintenance (AVIM) and only those Aviation Unit Maintenance (AVUM) units specifically authorized in writing?	___	___	___
(2) Is maintenance limited to those procedures specifically called out in the license? (Authorized maintenance includes hand filing, hand sanding, hand re-tapping of threads, chemical removal of and treatment of corrosion, reapplication of protective coatings, and drilling. Prohibited procedures include all operations involving machine tools except drilling)	___	___	___
(3) Is instruction provided to aviation maintenance personnel prior to their authorization to perform licensed maintenance?	___	___	___
(4) Is annual retraining provided at intervals not to exceed 18 months and documentation provided to ATCOM as to the names and dates required training was conducted?	___	___	___
(5) Are all chips and filings disposed of as radioactive (pyrophoric) waste?	___	___	___
(6) Are all unserviceable, non-repairable parts disposed of as radioactive waste (with out use of demilitarization procedures which are otherwise not authorized by the license)?	___	___	___
f. Thorium Fluoride Coated Optics:			
(1) Is there an approved (by IRPO) SOP?	___	___	___
(2) Are surveys accurately documented?	___	___	___
(a) Date of survey?	___	___	___
(b) Conducted by?	___	___	___
(c) Instrument used?	___	___	___
(d) Calibration due date?	___	___	___
(e) Background reading?	___	___	___
(f) Areas surveyed?	___	___	___
(g) Drawing of areas surveyed?	___	___	___
(3) Are radioactive materials secure from unauthorized access?	___	___	___
(4) Is the storage facility constructed of fire retardant material?	___	___	___
(5) Is the area properly marked and posted?	___	___	___
g. Industrial Radiographic Equipment (AVIM/AVUM and EOD Units):			
(1) Is there an approved (by IRPO) SOP?	___	___	___
(2) Does the radiation safety program for X-ray include sufficient controls to assure that restricted areas are adequately marked and controlled and that all-essential procedural controls have been implemented to ensure that all radiation exposures are maintained “as low as reasonably achievable”?	___	___	___
(3) Has the LRPO been trained and certified?	___	___	___
(4) Has a Dosimetry Program been established?	___	___	___
(5) Has the LRPO approved (in writing) the storage site of TLDs?	___	___	___
(6) Is the IRPO provided with a copy of the quarterly dosimetry report?	___	___	___
(7) Is the quarterly dosimetry report reviewed by LRPO?	___	___	___

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- (8) Is the Dosimetry Custodian designated in writing by Commander or LRPO?    \_\_\_    \_\_\_    \_\_\_
- (9) Are operator given an annual physical?    \_\_\_    \_\_\_    \_\_\_
- (10) Do radiation workers (those on a Dosimetry Program) and ancillary personnel receive applicable initial instruction and annual retraining briefings regarding radiation hazards/biological effects?    \_\_\_    \_\_\_    \_\_\_
- (11) Are only qualified operators allowed to operate x-ray equipment?    \_\_\_    \_\_\_    \_\_\_
- (12) Do operators perform “daily pre-operational/operational/post-operational” checks on the equipment and the surveys to ensure radiation safety?    \_\_\_    \_\_\_    \_\_\_

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

**Checklist for Safety Inspection**

	YES	NO	N/A
(13) Are at least two survey meters designed for x-ray measurement placed in use for all unshielded x-ray operations to properly perform routine radiation surveys?	___	___	___
(14) So operator receive annual radiation safety briefings?	___	___	___
(15) Does the training program mandate and document annual safety retraining of at least eight hours for radiographers?	___	___	___
h. M72A2 Light Antitank Weapon (LAW):			
(1) Is a LRPO and ALRPO appointed in writing?	___	___	___
(2) Are they adequately trained for their position?	___	___	___
(3) Is the storage area and maintenance area properly marked and posted?	___	___	___
(4) Are personnel who handle the LAWS, or must work in the area where they are stored, aware/knowledgeable of the hazards associated with the devices?	___	___	___
(5) Are sights turned-in to the IRPO for disposal?	___	___	___
i. UDM-2 (TMDE) Compiles with License requirements.	___	___	___
j. Medical x-ray Units:			
(1) Does the unit have an approved (By IRPO) SOP?	___	___	___
(2) Is a LRPO and ALRPO appointed in writing?	___	___	___
(3) Are the LRPO and ARPO properly trained and certified?	___	___	___
(4) Has the unit established a Dosimetry Program?	___	___	___
(5) Has the LRPO approved the storage area of TLDS?	___	___	___
(6) Do operators wear TLDS?	___	___	___
(7) Has the LRPO reviewed the quarterly dosimetry report?	___	___	___
(8) Is the IRPO provided a copy of the quarterly dosimetry report?	___	___	___
(9) Are operators trained and certified?	___	___	___
(10) Is the x-ray equipment surveyed and calibrated?	___	___	___
k. Non-ionizing Radiation (LASERS, Radio Frequencies, Bright Light Sources):			
(1) Does unit SOP address non-ionizing radiation safety?	___	___	___
(2) Does the unit have a Laser Range Safety Officer/NCO (LSRO?NCO) appointed?	___	___	___
(3) Has the LRSO/NCO been certified?	___	___	___
(4) Are maintenance personnel given annual optical physicals?	___	___	___
(5) Is the IRPO provided a copy of the annual inventory?	___	___	___

22. **Aviation Safety:** Use FORSCOM ARMS Inspection Checklist. Contact Installation Safety Office.

**Figure 5-4 (Continued). Checklist for Safety Inspection.**

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**Section V. Records Management Program**

**5-17. Purpose.** This section contains the evaluation criteria and checklist for assessment of the unit level and staff office/directorate Records Management Program.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through unit level, staff office/directorate's records management.
- b. Point of contact for this task is the Directorate of Information Management, Records Manager, Bldg 330.

**5-18. Responsibility.** Unit commanders and activity directors'/custodians are urged to use these standards as a management tool to help maintain an adequate level of records management at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**5-19. Standards.** Satisfactory effective controls for records management control will be based upon the following standards.

- a. Implementation of established policies and procedures, and compliance with applicable records management regulations within the unit.
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC and FP Regulations or Supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**Checklist for Records Management**

	YES	NO	N/A
<b>1. Records Manager.</b>			
a. Is an individual appointed to manage the unit's/activity's Records Management Program, i.e., Records Management Coordinator IAW JRTC & FP Suppl 1 to AR 24-1? (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
b. Is a copy of the current appointment sent to the DOIM, Admin Services Division, IAW JRTC & FP Reg 24-1? (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
c. Does that individual evaluate the unit's/activity's program at least once annually IAW JRTC & FP Suppl 1 to AR 24-1? (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
<b>2. The Army Privacy Program.</b> (AR 340-21 and FORSCOM Suppl to AR 340-21).			
a. Is a current copy of AR 340-21 with supplement available? (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
b. Is a Privacy Act Coordinator appointed?(AR 340-21, Para 1-9) (Applicable to Stf Ofc/Dir, Bde, Bn, and Sep Co)	___	___	___
c. Is the Privacy Act Coordinator maintaining narrative and statistical data for annual reports? (AR 340-21, Para 4-7) (Applicable to Stf/Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
d. Are disclosure accounting records maintained, whenever personal information from a system of records is disclosed to someone other than the data subject; DOD officials who have a need for it to perform official business; or information releasable IAW AR 340-21, Paras 3-3 and 3-4? (Applicable to all)	___	___	___
e. Do all forms used for requesting personal information from individuals contain a Privacy Act Statement? (AR 340-21, Para 4-2). Applicable to all)	___	___	___
f. Do all records retrieved by personal identifier have an applicable Privacy Act system notice? (DA Pam 24-51; AR 340-21, Para 4-6c; and AR 24-400-2) (Applicable to all)	___	___	___
g. Are separate Privacy Act Statements available for issue when not incorporated into a form, or when requesting any personal information from an individual? (AR 340-21, Para 4-2) (Applicable to all)	___	___	___

**Figure 5-5 (Continued). Checklist for Records Management Inspection.**

	YES	NO	N/A
h. Are Privacy Act requests processed promptly IAW AR 340-21, Para 2-2 and a copy furnished to the Installation Records Manager? (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
i. Did the duty instruction files (staff duty officer/NCO) contain accurate instructions on disclosure policies for release of personal information from rosters and other records? (AR 340-21, Para 3-3 and FORSCOM Poster 113-R) (Applicable to all)	___	___	___
j. Are all personnel aware of the criminal and civil sanctions which may be imposed for violating the provisions of the Privacy Act? (AR 340-21, Para 4-9) (Applicable to all)	___	___	___
k. Are records/files covered by the Privacy Act being destroyed in a manner that affords the proper safeguards of personal information? (AR 340-21, Para 4-4, and AR 24-55, Para 4-501) (Applicable to all)	___	___	___
l. Are all personnel (all levels of command) familiar with conditions under which a disclosure of personal information may be made without written consent of the individual concerned? (AR 340-21, Paras 3-1 and 3-2) (Applicable to all)	___	___	___
<b>3. The Department of the Army Freedom of Information Act (FOIA) Program.</b>			
(AR 24-55, FORSCOM Suppl 1 to AR 24-55, and JRTC & FP Suppl 1 to AR 24-55)			
a. Are current copies of above references available? (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
b. Is a Freedom of Information Act Coordinator appointed IAW JRTC & FP Suppl 1 to AR 24-55? (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
c. Are all requests citing or implying the FOIA processed immediately IAW AR 24-55? NOTE: Each request will immediately be hand-carried to the Installation FOIA Official for date, time stamping, and suspense control. (AR 24-55, Para 1-503) (Applicable to all)	___	___	___
d. <i>"FOR OFFICIAL USE ONLY"</i> material.			
(1) Was unclassified information that may be withheld from the public under FOIA Exemptions 2 through 9 marked "FOR OFFICIAL USE ONLY" (FOUO)? (AR 24-55, Para 4-100). (Applicable to all)	___	___	___
(2) Are unclassified documents containing FOUO information marked <i>"FOR OFFICIAL USE ONLY"</i> in bold letters at least 3/16 inch high at bottom on the outside front cover (if any), on each page containing FOUO information, and on the outside of the back cover, if any? (AR 24-55, Para 4-200a) (Applicable to all)	___	___	___
(3) When material marked FOUO is removed from storage, is a DA Label 87 (For Official Use Only Cover Sheet) attached to the material? (AR 24-55, Para 4-301) (Applicable to all)	___	___	___
(4) During non-duty hours, is FOUO material stored so as to preclude unauthorized access? (AR 24-55, Para 4-401) (Applicable to all)	___	___	___
(5) Is FOUO material destroyed properly? (AR 24-55, Para 4-501). (Applicable to all)	___	___	___
e. Do personnel who routinely deal with the public have the DA Form 4948-R on their desks as a guide to FOIA/Operation Security (OPSEC) matters? (Applicable to all)	___	___	___

**4. Preparing and Managing Correspondence.** (AR 24-50)

**Figure 5-5 (Continued). Checklist for Records Management Inspection.**

	YES	NO	N/A
a. Is a current copy of AR 24-50 available? (Applicable to all)	___	___	___
b. Is the informal memorandum (prepared on plain paper) being used for corresponding between activities, units, and tenants on the installation? (AR 24-50, Para 2-2b) (Applicable to all)	___	___	___
c. Is the formal memorandum (prepared on letterhead) being used for correspondence sent outside the installation? (AR 24-50, Para 2-2a) (Applicable to all)	___	___	___
d. Is the letter format used for official business with non-DOD, DOD civilian and military members addressed by name, civilian agencies, and other government agency officials, including state and local? (AR 24-50, Para 4-2) (Applicable to all)	___	___	___
e. Is the record or file copy of correspondence prepared and a copy prepared when additional endorsements are added to the original correspondence? (AR 24-50, Para 1-28b) (Applicable to all)	___	___	___
f. Is the file copy marked "record or file copy" along the edge of the right margin? (AR 24-50, Para 1-28b) (Applicable to all)	___	___	___
g. Is the identification of the writer or point of contact, organization, and telephone number placed in the last paragraph of memorandums and letters? (AR 24-50, Para 1-30) (Applicable to all)	___	___	___
h. Is correspondence formatted correctly for the following: (1) Memorandum? (AR 24-50, Para 2-4);(2) Endorsement? (AR 24-50, Para 2-8); and (3) Non-military letters? (AR 24-50, Para 4-8) (Applicable to all)	___	___	___
i. Is correspondence assembled correctly? (AR 24-50, Figures 4-2 and 4-3) (Applicable to all)	___	___	___
j. Is the MARKS number being placed on memorandums and endorsements following the office symbol? (AR 24-50, Paras 2-4 and 2-8) (Applicable to all)	___	___	___
<b>5. Files Management. (AR 24-400-2)</b>			
a. Are copies of AR 24-400-2 available for reference? (Applicable to all)	___	___	___
b. Are personnel trained to use the Modern Army Recordkeeping System (MARKS)? (JRTC & FP Suppl 1 to AR 24-1) (Applicable to Stf Ofc/Dir, Bde, Bn, and Co equivalent))	___	___	___
c. Are Army records filed under MARKS? (AR 24-400-2, Para 1-6a) (Applicable all)	___	___	___
d. As directed in AR 24-400-2, para 7-2 does the unit or staff office terminate files that specify "COFF" at year's end and create new files for the current year? (Applicable to all)	___	___	___
e. Is an updated list of file numbers prepared on FORSCOM Form 350-R and approved by the Installation Records Manager available? (AR 24-400-2, Para 4-13 with FORSCOM Suppl 1) (Applicable to all)	___	___	___
f. Are labels positioned correctly on folders to indicate the ultimate disposition? (FORSCOM Suppl 1 to AR 24-400-2, Para 4-13c). (Applicable to all)	___	___	___
g. Are correct disposition instructions reflected on file folder labels? (AR 24-400-2, Paras 7-1 and 7-3). (Applicable to all)	___	___	___
h. Are file drawers labeled? (AR 24-400-2, Para 6-2e and Figure 6-4) (Applicable to all)	___	___	___
i. Are file folders labeled? (AR 24-400-2, Para 6-2b and Figure 6-3) (Applicable to all)	___	___	___
j. Are file guides and folders used? (AR 24-400-2, Para 4-7) (Applicable to all)	___	___	___

**Figure 5-5 (Continued). Checklist for Records Management Inspection.**

	YES	NO	N/A
k. Are file binders labeled IAW AR 24-400-2, Para 6-2a and Figure 6-4? (Applicable to all)	___	___	___
l. Is correspondence assembled, fastened, and marked correctly with file numbers prior to filing? (AR 24-400-2, Paras 4-2 and 4-3) (Applicable to all)	___	___	___
m. Are file numbers being placed in parenthesis following the reference/office symbol on correspondence at the time of preparation? (AR 24-400-2, Para 4-4) (Applicable to all)	___	___	___
n. Is file number 1a, Office File Number, established as required by AR 24-400-2, Appendix, A Section V, and also File Number 1g, Office Record Transmittals, if applicable? (Applicable to all)	___	___	___
o. Are filing arrangements and procedures being followed? (AR 24-400-2, Para 4-9) (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___
p. Are charge-out forms being used for records removed from the Centralized Files Area (CFA)? (AR 24-400-2, Para 8-3) (Applicable to all)	___	___	___
q. Are classified documents segregated from unclassified? (AR 24-400-2, Para 4-10)	___	___	___
r. Are Standard Forms 135, Records Transmittal and Receipt, reflecting transfer of records to RHA on file? (AR 24-400-2, Para 9-1b) (Applicable to all)	___	___	___
s. Are records with retention periods of more than 2 years being transferred to the Records Holding Area? (AR 24-400-2, Para 9-1 and Table 7-1) (Applicable to all)	___	___	___
t. Are the "general correspondence" (ACTION AND NO ACTION) files being used as outlined in the concept of MARKS? (AR 24-400-2, Para 6-1 and Appendix B). (Applicable to all)	___	___	___
<b>6. Forms Management.</b> (AR 24-30 and JRTC & FP Reg 24-1)			
a. Is a Forms Coordinator appointed on a duty appointment? (JRTC & FP Reg 24-1, Para 4-12) (Applicable to Stf/Dir, Bde, Bn, Sep Co)	___	___	___
b. Are copies of AR 24-30, with FORSCOM Suppl 1 and JRTC & FP Reg 24-1 available? (Applicable to Stf/Dir, Bde, Bn, Sep Co)	___	___	___
c. Does the Forms Manager approve all local blank forms? (AR 24-30, Para 3-2a(3)) (Applicable to all).	___	___	___
d. Are only essential and current forms being used? (AR 24-30, Para 3-5, and DA, FORSCOM, JRTC & FP Pams 24-30) (Applicable to all))	___	___	___
e. Are blank forms being obtained from DOIM Pubs Stockroom, Installation Forms Manager (located in Bldg 330), or DOIM Electronic Workplace ( <a href="http://doimnt1">http://doimnt1</a> ) instead of being reproduced on an office copier? (AR 24-30, Paras 3-17b and 11-47b(2)) (Applicable to all)).	___	___	___
f. Are Army forms free of any type of alteration or modification? (AR 24-30, Para 3-16) (Applicable to all).	___	___	___
g. Did forms requesting personal information directly from the individual have a Privacy Act Statement? (AR 24-30, Para 3-12) (Applicable to all)	___	___	___
h. Are electronic generated forms approved through the Forms Manager and contain -E after the form number? (AR 24-30, Para 3-15 and JRTC & FP Reg 24-1, Para 4-12) (Applicable to all)	___	___	___

**Figure 5-5 (Continued). Checklist for Records Management Inspection.**

**Section VI. Equal Opportunity Program**

**5-20. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation’s unit level Equal Opportunity Program.

a. The following is provided for information and use as a guide in preparing for the installation’s assessment of the organization’s individual proficiency through the Equal Opportunity Program.

b. Point of contact for this task is the Equal Opportunity NCOIC, Equal Opportunity Program Office, building 1715, telephone numbers 1802/1788.

**5-21. Responsibility.** Unit Commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain a comprehensive Equal Opportunity Program and enable them to conduct internal inspections as a part of the Command Inspection Program.

**5-22. Standards.** Satisfactory effective controls for Equal Opportunity Program will be based upon the following standards.

- a. Areas of administration, training, complaint procedures, and climate assessment.
- b. The focus of this inspection is on compliance with referenced regulations and soldier knowledge as measured by random interviews of assigned personnel.
- c. Satisfactory achievement of the minimum standards (critical tasks as indicated by (\*) asterisk) of the Equal Opportunity Program as outlined in the checklist.
- d. Maintenance of (current) guidelines, i.e. DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.
- e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-23. References.**

- a. AR 600-20, Army Command Policy.
- b. FORSCOM Suppl 1 to AR 600-20.
- c. JRTC & FP Affirmative Action Plan (AAP) and Brigade AAP.
- d. FORSCOM Cir 600-97-1, Affirmative Action Plan.
- e. DA PAM 600-26, Affirmative Action Plan

**Checklist for Equal Opportunity Program**  
(Applies to Bde/Bn/Co/Det)

	YES	NO	N/A
<b>1. Administration.</b> Are the following equal opportunity publications on hand or on valid requisition?			
a. AR 600-20, Army Command Policy, 15 Jul 99.	___	___	___
b. FORSCOM Suppl 1 to AR 600-20, TBP.	___	___	___
c. DA PAM 600-26, Affirmative Action Plan, 23 May 90.	___	___	___
d. FORSCOM Cir 600-97-1, Affirmative Action Plan, 1 Apr 97.	___	___	___
e. JRTC & FP Affirmative Action Plan (AAP), 14 Oct 98, and Brigade AAP.	___	___	___
(Required for brigade and higher only.)	___	___	___
<b>2. Training.</b>			
*a. Does the commander incorporate equal opportunity training with the overall training plan for the unit? (para 6-14a(1), AR 600-20)	___	___	___
* b. Is training reported at the QTBs? (para 6-14a(1) (a-d), AR 600-20)	___	___	___
*c. Is EO/SH training conducted on a quarterly basis? (para 6-14a(2), AR 600-20)	___	___	___
d. Is training properly documented? (para 6-14a(2)(a-d), AR 600-20)	___	___	___

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\*e. Has the Equal Opportunity Representative (EOR) attended or been scheduled to attend the JRTC 80-hour Equal Opportunity Representative Course (EORC)? (para 6-2i, AR 600-20)

\_\_\_ \_\_\_ \_\_\_

**Figure 5-6. Checklist for the Equal Employment Opportunity Program Inspection.**

YES NO N/A

f. Does the commander have a policy ensuring that all personnel desiring to participate in special/ethnic observances are given a reasonable opportunity to do so? (para 6-18g, AR 600-20)

\_\_\_ \_\_\_ \_\_\_

**3. Complaint Procedures.**

\*a. At all times, are unit level equal opportunity complaint procedures displayed where soldiers have access to them? (para 6-2g(11), AR 600-20 and Appendix E)

\_\_\_ \_\_\_ \_\_\_

b. Are there procedures to identify unlawful discriminatory practices, initiate corrective actions, and take appropriate action against reprisal? (para 6-2g(4 & 14), AR 600-20)

\_\_\_ \_\_\_ \_\_\_

\*c. Is the GCMCA notified within 72 hours of receipt of a formal complaint? (para 6-2g(3), AR 600-20)

\_\_\_ \_\_\_ \_\_\_

**4. Climate/Assessment/General Knowledge.** (Random sample one-on-one interviews should be conducted with at least 10% of the assigned personnel by race and gender).

a. Does the command provide equal opportunity and fair treatment, and an environment free of unlawful discrimination and offensive behavior to all soldiers, civilians, and family members? (para 6-3, AR 600-20)

\_\_\_ \_\_\_ \_\_\_

b. Are the demographics of the EORs in the command monitored to ensure it reflects that of the unit as a whole? (para 6-2g(16), AR 600-20)

\_\_\_ \_\_\_ \_\_\_

c. Are command climate assessments conducted within 90 days of assumption of command and annually thereafter? (para 6-2g(12), AR 600-20)

\_\_\_ \_\_\_ \_\_\_

d. Is emphasis given to matters relating to affirmative actions? (DA Pam 600-26)

\_\_\_ \_\_\_ \_\_\_

e. Are unit equal opportunity personnel knowledgeable of equal opportunity policies, procedures and publications? (Ch. 6, AR 600-20)

\_\_\_ \_\_\_ \_\_\_

**Figure 5-6. Checklist for the Equal Opportunity Program Inspection.**

**Section VII. Equal Employment Opportunity Program**

**5-24. Purpose.** This section contains the evaluation criteria and checklist for assessment of the JFTC and Fort Polk’s Equal Employment Opportunity Program.

- a. The following is provided for information and used as a guide in preparing the assessment of the organization’s individual proficiency through the Equal Employment Opportunity Program.
- b. Point of contact for this task is the Equal Employment manager, Equal Employment Opportunity Office, Building 1715, telephone number 531-1802/1804.

**5-25. Responsibility.** Directors, commanders, supervisors and managers are urged to use these standards as a management tool to help organizations maintain a comprehensive Equal Employment Opportunity Program and enable them to conduct internal inspections as part of the Command Inspection Program.

**5-26. References.**

- a. AR 690-12, Equal Employment Opportunity and Affirmative Action.
- b. 29 CFR 1614, EEO Complaint Procedures in the Federal Sector.
- c. EEO MD-713 AA for the Hiring, Placement and Advancement of Individuals with Disabilities.
- d. Plan of Action for Individuals with Disabilities (memorandum).
- e. JRTC & FP Affirmative Employment Plan (AEP) and Affirmative Employment Plan and Accomplishment Report and Update.
- f. AR 690-600, EEO Complaint Procedures for Minorities and Women.
- g. Federal Manager’s Guide to EEO.

**Checklist for Equal Employment Opportunity Program**

**(Applies to all Program Directorates and/or organizations where civilians are employed (NAF/AF))**

	YES	NO	N/A
<b>1. Administration.</b> Are the following equal employment Opportunity publications on hand or on valid requisition?			
a. AR 690-12, Equal Employment Opportunity and Affirmative Action.	___	___	___
b. AR 690-600, Equal Employment Opportunity Discrimination Complaints.	___	___	___
c. AR 600-7, Nondiscrimination on the Basis of Handicap in Programs and Activities Assisted or Conducted by the Department of the Army.	___	___	___
d. JRTC & Fort Polk Affirmative Employment Plan.	___	___	___
e. Special Emphasis Program/Ethnic Observance SOP	___	___	___
f. Annual Ethnic Observance Calendar for Current Calendar Year	___	___	___
g. MOI on Consideration of Others (CO2)	___	___	___
h. Plan of Action for Individuals with Disabilities (memorandum)	___	___	___
i. JRTC & Fort Polk, DA and DoD Policy Letters dealing with all aspects of EEO.	___	___	___
<b>2. Policy.</b> Are the following policy memorandums posted on bulletin boards or displayed where employees have access to them?			
a. Command Policy Memorandum – Equal Employment Opportunity for Civilian Employees and Applicants for Employment.	___	___	___
b. Command Policy Memorandum – Prevention of Sexual Harassment.	___	___	___
c. Command Policy Memorandum – Affirmative Action Program for Hiring,			

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Placement and Advancement of Individuals with Disabilities (Physical or Mental).	___	___	___
d. Command Policy Memorandum – Consideration of Others	___	___	___

**Figure 5-7. Checklist for Equal Employment Opportunity Program Inspection.**

	YES	NO	N/A
<b>3. Complaints.</b> Are the following documents posted on bulletin boards or displayed where employees have access to them?			
a. EEO Poster with the names and telephone numbers of EEO Personnel and Counselors.	___	___	___
b. EEO Complaint Procedures.	___	___	___
<b>4. Training.</b>			
a. Have all employment and supervisory personnel attended Prevention of Sexual Harassment Training?	___	___	___
b. Do activity officials meet periodically with community leaders and representatives of organizations representing minorities, women and individuals with disabilities to seek to enhance the EEO Program?	___	___	___
c. Is EEO, as a critical element, included in the performance standard of appropriate supervisory personnel?	___	___	___
<b>5. Special Emphasis Program.</b>			
a. Do management officials provide support and resources to institute actions and programs to ensure attainment of equal employment opportunity for minorities, women and individuals with disabilities?	___	___	___
b. Have official appointment orders been prepared and issued to appoint representatives to the Federal Women’s Program, Hispanic Employment Program, Black Employment Program and Individuals with Disabilities Program Committees?	___	___	___

**Figure 5-7. Checklist for Equal Employment Opportunity Program Inspection.**

**Section VIII. Family Support Plan**

**5-27. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's Battalion and Company level Family Support Plan.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the Family Support Plan.
- b. Point of contact for this task is the Director of Community and Family Activities (DCFA), Army Community Service Branch, ATTN: ACS Director, Building 420, telephone numbers 1940/2840.

**5-28. Responsibility.** Commanders are urged to use these standards as a management tool to maintain a Family Support Plan at all times, enabling them to conduct internal inspections as a part of the Command Inspection Program.

**5-29. Standards.** Satisfactory effective controls for the Family Support Plan will be based upon the following standards.

- a. Procedures have been implemented requiring soldiers to review and certify their family's preparedness to address the hardships associated with the absence of the unit and soldier.
- b. Procedures have been implemented to identify family situations that have a potential to become a crisis or emergency. (e.g., medical problems anticipated, financial crisis situations, serious illness).
- c. Procedures have been implemented that allow for assistance in initiating timely responses to help families resolve crisis, emergency or social problems.
- d. Satisfactory achievement of the minimum standards (critical tasks) for the Family Support Plan as outlined in the checklist.
- e. Maintenance of current guidelines, i.e., DA Pams, ARs and applicable JRTC & FP Regulations or Supplements.
- f. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-30. References.**

- a. AR 608-1, Army Community Service Program. 23 Jan 98
- d. DA Pam 608-47, A Guide to Establishing a Family Support Group. 16 Aug 93
- e. Army Community Service Pre & Post Deployment Handbook.

**Battalion and Company Level Checklist for Family Support**

	YES	NO	N/A
*1. Does a SOP or continuity file covering all aspects of Family Support group operations exist at battalion and company level? (DA PAM 608-47, App B-6)	___	___	___
*2. Has a Family Support Group been established and publicized? (DA PAM 608-47, App B-5 & B-6)	___	___	___
*3. Has the Family Support Group been registered with ACS, to include names and			

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telephone numbers of family member points of contact? (DA PAM 608-47, App B-6)	___	___	___
*4. Have family member points of contact been updated at least semi-annually and updates forwarded to Army Community Service? (DA PAM 608-47, Para 1.7)	___	___	___
*5. Do Family Member Pre-Deployment Briefings give an overview of resources to sustain quality-of-life functions and procedures in case of emergencies? Resources include such activities as the Rear Detachment Cdr, Red Cross, Army Community Service, Staff Judge Advocate, Chaplain, Provost Marshal, MEDDAC, etc. (AR 608-1, Para 2.12, DA PAM 608-47, App B-6 & ACS Pre & Post Deployment Handbook)	___	___	___

**Figure 5-8. Checklist for Family Support Plan Inspection.**

	YES	NO	N/A
a. Have family members been informed on how to initiate action in case of an emergency (e.g., of serious illness, death, medical emergency, financial crisis, etc.)?	___	___	___
b. When unclassified, have families been informed of the deployment schedule?	___	___	___
c. Have family members been informed of mail procedures, for both the theater of operations and mail coming back to the unit?	___	___	___
*6. Do unit rear detachment commanders have telephone numbers and street addresses, or strip maps to all soldiers' residences in case needed? (DA PAM 608-47, Para 3.2)	___	___	___
7. Are volunteer family members involved in the family support process and are procedures in effect to record family support group volunteer hours for unit/installation recognition? (DA PAM 608-47, Para 4.4)	___	___	___
8. Are procedures in effect to record family support issues or problems encountered during deployment for inclusion into the planning for the next deployment? (AR 608-1, Para 2.11)	___	___	___
9. Is a current copy of DA PAM 608-47, A Guide to Establishing Family Support Groups and Army Community Service Pre & Post Deployment Handbook on hand?	___	___	___

**Company Level Checklist for Family Support**

*1. Do procedures exist to identify incoming families with special needs (e.g., medical, educational, etc.) (AR 608-1, Para 2.10)	___	___	___
*2. Are new families informed of the Family Support Group and provided the opportunity to join? (DA PAM 608-47, Para 4.2 and App B-5)	___	___	___
3. Does the Commander or First Sergeant attend Family Support Group meetings at least quarterly? (DA PAM 608-47, Para 1.8.B and Para 4.2)	___	___	___
*4. Has the unit established a pre-deployment checklist to assist soldiers in planning and preparing their families for sustainment of quality-of-life functions during deployments? (DA PAM 608-47, App B-5, Army Community Service Pre & Post Deployment Handbook)	___	___	___
a. Does the checklist include the review of financial support arrangements so			

the spouse or adult family member has access to adequate income to provide food, shelter, clothing, medical attention, transportation and payment of debts? \_\_\_ \_\_\_ \_\_\_

b. Does the checklist include the review of legal/administrative requirements and knowing where to locate important documents such as wills, powers of attorney, birth certificates and other important papers? Do the procedures include the verification of valid identification cards held by family members. \_\_\_ \_\_\_ \_\_\_

5. Is a current copy of DA PAM 608-47, A Guide to Establishing Family Support Groups and Army Community Service Pre & Post Deployment Handbook on hand? \_\_\_ \_\_\_ \_\_\_

**Figure 5-8 (Continued). Checklist for Family Support Plan Inspection.  
Section IX. Alcohol and Drug Abuse Prevention and Control Program (ADAPCP)**

**5-31. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's unit level ADAPCP.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the ADAPCP.

b. Point of contact for this task is the Alcohol and Drug Control Officer, Directorate of Community and family Activities, Building 4736, telephone number 6187/2961.

**5-32. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain a comprehensive Alcohol and Drug Abuse Prevention and Control program and enable them to conduct internal inspections as a part of the Command Inspection Program.

**5-33. Standards.** Satisfactory effective controls for unit level ADAPCP will be based upon the following standards.

- a. Identifying illegal drug and alcohol abusers.
- b. Providing alcohol and (other) drug abuse prevention education to all soldiers.
- c. Soldiers identified as alcohol or (other) drug abusers are afforded the opportunity for rehabilitation. Those who are identified who do not warrant retention are processed for expeditious separation from the military.
- d. Satisfactory achievement of the minimum standards (critical tasks) of ADAPCP as outlined in the checklist.
- e. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.
- f. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-34. References.**

- a. AR 600-85, Alcohol and Drug Abuse Prevention and Control Program.
- b. MOI, Urinalysis Testing Program.
- c. JRTC & FP Reg 210-1, Alcoholic Beverages.

**Company Level Checklist for Alcohol and Drug Abuse Prevention and Control Program (ADAPCP)**

	YES	NO	N/A
1. Do commanders/supervisors confront/screen suspected alcohol or drug abusing individuals under their supervision with the specifics of their behavior, inadequate performance, or unacceptable conduct? (AR 600-85, para 1-9c).	___	___	___

2. Does the unit conduct random urinalysis testing in accordance with schedule or notify DCFA, Alcohol and Drug Control Office, in advance? (AFZX-PA-AD memo, dated	___	___	___
---	-----	-----	-----

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- 7 Oct 97 subject: MOI, Urinalysis Testing Program, para 43 (6) (b). \_\_\_ \_\_\_ \_\_\_
3. Are soldiers enrolled for alcohol/drug treatment within 24 hours? Rehab tested frequently? (Once per week per para 10-3 c(3), AR 600-85) \_\_\_ \_\_\_ \_\_\_
- \*4. Does a random sampling of soldiers indicate that it is common knowledge that family members are encouraged to participate in ADAPCP Programs? (AR 600-85, para 1-13 and para 1-9n). \_\_\_ \_\_\_ \_\_\_
- \*5. Is urinalysis chain of custody conducted in accordance with the checklist attached to the installation MOI? (AFZX-PA-AD memo, dtd 7 Oct 97, subj: MOI, Urinalysis Testing Program, para 4). \_\_\_ \_\_\_ \_\_\_

**Figure 5-9. Checklist for Alcohol and Drug Abuse Prevention and Control Program (ADAPCP) Inspection.**

- |  | YES | NO  | N/A |
|--|-----|-----|-----|
| 6. Does the commander refer all individuals who are suspected or identified as drug and/or alcohol abusers, including those identified through urinalysis and blood alcohol tests, to ADAPCP? (AR 600-85, para 3-7b).  | ___ | ___ | ___ |
| 7. Are all soldiers apprehended for DWI referred to the ADAPCP for enrollment in the rehabilitation program? (All DWIs within the past 3 months will be reviewed.)   | ___ | ___ | ___ |
| *8. Does a random sampling/interview of soldiers indicate it is common knowledge that personnel will not drink alcoholic beverages during duty hours? Also, anyone with a blood alcohol of .05 or above is subject to disciplinary Action under the Uniform Code of Military Justice (UCMJ). (AR 600-85, Para 1-10b) | ___ | ___ | ___ |
| 9. Due to alcohol or other drug abuse, are soldiers who are involved in Family violence immediately referred to the ADAPCP, whether or not the Incident resulted in a written report? (AR 600-85, para 1-9f).  | ___ | ___ | ___ |
| 10. Does the unit conduct random urinalysis testing for 100 percent of Unit strength per fiscal quarter or one-third per month? (FP MOI, Para 5).  | ___ | ___ | ___ |
| 11. Is a current copy of AR 600-85, FP Reg 210-1, and MOI (AFZX-PA-AD memo, dated 7 Oct 97 subject: MOI, urinalysis Testing Program) for urinalysis testing on hand?   | ___ | ___ | ___ |

**Figure 5-9 (Continued). Checklist for Alcohol and Drug Abuse Prevention and Control Program (ADAPCP) Inspection.**

**Section X. Unit Fund**

**5-35. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation level Unit Fund.

a. The following is provided for information and is to be used as a guide in preparing for the installation’s assessment of unit level Unit Fund Inspection.

b. Point of contact for this task is the Installation Morale Welfare and Recreation Fund, Financial Management Office (IMWRF, FMO), 6959 Radio Road, telephone number 531-2653.

**5-36. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate control of the Unit Fund Program and enable them to conduct internal inspections as a part of the Command Inspection Program.

**5-37. Standards.**

a. A NAF Purchase Request, DA Form 4064-R, will be properly filled out and signed by authorized representative as delegated on DA Form 1687 maintained by IMWRF Financial Management Office (FMO).

b. Receipts for purchases must be returned to IMWRF FMO by close of the business day.

c. Satisfactory achievement of the minimum standards (critical tasks) for the Unit Fund Program as outlined in the checklist(s).

d. Maintenance of current guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-38. References.**

a. DOD 7000-14R Financial Management Regulation, Nonappropriated Funds, Policy and Procedures, dated August 1994.

b. AR 214-1 Nonappropriated Fund Instrumentality’s and Morale, Welfare, and Recreation Activities dated 29 September 1995.

c. IMWRF Standing Operating Procedures (IMWRF SOP), dated 01 October 1999.

**Battalion/Company Level Checklist for Unit Fund**

YES NO N/A

\*1. Are all procurement requests for unit fund expenditures for the primary benefit of military personnel and for the incidental benefit of their family members?

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(IMWRF SOP)	___	___	___
*2. Are receipts submitted to IMWRF Manager immediately after purchase? (IMWRF SOP)	___	___	___
3. Were requests made for items submitted to IMWRF which were available through appropriated fund sources? (IMWRF SOP),	___	___	___
*4. Is a current DA Form 1687, Notice of Delegation of Authority-Receipt for Supplies, on file and a copy provided to IMWRF, FMO? (IMWRF SOP)	___	___	___
*5. Do hand-receipt holders conduct a semiannual inventory? (IMWRF SOP)	___	___	___
*6. Is an inventory conducted upon change of hand-receipt holders? (IMWRF SOP)	___	___	___
*7. Is a current copy of IMWRF Standing Operating Procedures for Unit Funds on hand? (IMWRF SOP)	___	___	___

**Figure 5-10. Checklist for Unit Fund Inspection.**

**Section XI. Hearing Conservation**

**5-39. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation's unit level Hearing Conservation Program.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the unit level Hearing Conservation Program.

b. Point of contact for this task is the Installation Hearing Conservation Officer, Preventive Medicine Service, Building 1561, telephone numbers 531-3904/3277.

**5-40. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate Hearing Conservation Program, and enable them to conduct internal inspections as a part of the Hearing Conservation Program.

**5-41. Standards.**

a. To achieve a FULLY MET RATING, the unit must receive a "YES" in 7 of 7 major areas, and 11 of 13 minor areas.

b. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-42. References.**

- a. AR 40-5, Preventive Medicine.
- b. AR 384-10, Army Safety Program.
- c. AR 384-30, Safety Color Code Marking and Signs.
- d. AR 384-32, Protective Clothing and Equipment.
- e. DA Pam 40-501, Hearing Conservation.
- f. USAEHA TG No. 175, Guide to Hearing Conservation for Unit Commanders and Supervisors.

**Company Level Checklist for Hearing Conservation Program**

	YES	NO	N/A
*1. Does an active Hearing Conservation Program exist?	___	___	___

*2. Is an officer and/or noncommissioned officer appointed on orders as the Hearing Conservation Manager?	___	___	___
3. Does the commander have AR 40-5, DA Pam 40-501, and related publications on hand?	___	___	___
*4. Has the commander requested, and received an annual hearing conservation briefing conducted by the Installation Hearing Conservation Officer or a representative?	___	___	___
5. Has the unit identified all noise-hazardous areas?	___	___	___
6. Has the commander requested a Noise Level Survey for areas suspected or known to have hazardous noise levels which have changed, i.e., new vehicles, modification of motor pool, movement to a new motor pool, etc.? Request through command channels to MEDDAC, Chief Preventive Medicine Service, ATTN: Industrial Hygiene?	___	___	___
7. Has the MEDDAC, Preventive Medicine Service, Industrial Hygiene Section provided an inventory of all noise hazardous areas kept on file at the unit?	___	___	___
8. Is the report containing the inventory of noise hazardous areas kept on file in the unit?	___	___	___

**Figure 5-11. Company Level Checklist for Hearing Conservation Program Inspection.**

	YES	NO	N/A
*9. Are soldiers assigned duties in noise-hazardous areas made aware that they must wear hearing protection when working in those areas?	___	___	___
*10. Are noise-hazardous areas, vehicles and equipment in the unit's areas of responsibility CONSPICUOUSLY marked with "DANGER" signs or decals? (AR 384-30)	___	___	___
11. Does the unit maintain an adequate supply of three sizes of triple flange earplugs, five sizes of single flange earplugs for soldiers, and hand-formed earplugs for visitors?	___	___	___
12. Are newly assigned soldiers fitted with preformed earplugs by medically trained personnel and issued an earplug carrying case?	___	___	___
*13. Do soldiers maintain the earplug carrying case with proper earplugs?	___	___	___
14. Are earplugs checked annually for proper fit and condition?	___	___	___
15. Does the unit have an SOP indicating procedures and location to obtain reissue of earplugs?	___	___	___
*16. Have all soldiers received an annual audiometric evaluation (hearing test) ?	___	___	___
17. Are soldiers who deliberately and/or carelessly violate regulations regarding the use of hearing protection devices subject to disciplinary actions?	___	___	___
18. Are supervisors who do not enforce the use of hearing protective devices subject to			

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disciplinary actions?	___	___	___
19. Are the ear cup seals in combat vehicle crew (CVC) member helmets (DH-132), aviator helmets (SPH-4) and noise muffs in serviceable condition to allow for maximum noise attenuation?	___	___	___
20. Does the unit maintain an adequate stock of replacement seals for noise attenuating helmets and noise muffs?	___	___	___

**Figure 5-11. Company Level Checklist for Hearing Conservation Program Inspection.**  
**Section XII. Industrial Hygiene**

**5-43. Purpose.** This section contains the evaluation criteria and checklist for assessment of compliance with the Department of Army Industrial Hygiene Program.

a. The following is provided for information and used as a guide for preparing the installation’s assessment of the organization’s individual proficiency through the unit level Industrial Hygiene Program.

b. Point of contact for this task is the Industrial Hygiene Section, Preventive Medicine Service, Building 1561, telephone 531-4905 or 531-2630.

**5-44. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units comply with applicable regulations and directives pertaining to the Industrial Hygiene Program.

**5-45. Standards.** Satisfactory effective controls will be based on the standard as follows:

- a. Satisfactory achievement of the minimum standards (critical tasks) outlined in the checklist.
- b. Designate responsible unit/facility personnel to ensure compliance with established regulations.
- c. Maintenance of current guidelines, i.e. DoD Regulations and Instructions, Army Regulations, and applicable JRTC & FP Regulations or supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-46. References.**

- a. AR 11-34 (Respiratory Protection Program).
- b. AR 40-5 (Preventive Medicine).
- c. AR 384-10 (The Army Safety Program).
- d. AR 384-32 (Protective Clothing and Equipment).
- e. DoD Instruction 6050.5 (Hazardous Materials Information System).
- f. DoD Instruction 6055.1 (DoD Occupational Safety and Health Program).

- g. DoD Instruction 6055.5 (Industrial Hygiene and Occupational Health).
- h. JRTC & FP Reg 40-4 (Industrial Hygiene Program).

**Company Level Checklist Industrial Hygiene Program**

	YES	NO	N/A
* 1. Has the commander requested (or the unit received) an initial Health Hazard Inventory/Assessment conducted by the Industrial Hygiene Section, Preventive Medicine Service?	___	___	___
* 2. Does the unit have the most recent Health Hazard Inventory Assessment report on hand?	___	___	___
* 3. Have all deficiencies noted on the most recent Health Hazard Inventory/Assessment report been corrected?	___	___	___

**Figure 5-12. Company Level Checklist for Industrial Hygiene Program.**

**Section XIII. Weight Control Program**

**5-47. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation’s assessment of the unit level Weight Control Program.

- a. The following is provided for information and use as a guide in preparing for the installation’s assessment of the unit level Weight Control Program.
- b. Point of contact for this task is the G1/AG.

**5-48. Responsibility.** Unit commanders and activity directors/ custodians are urged to use these standards as a management tool to help units maintain adequate Weight Control Programs, and enable them to conduct internal inspections as a part of the Army Weight Control Program.

**5-49. Standards.** Commanders provide documentation indicating that all members of their command are monitored to ensure that soldiers maintain proper weight, body composition and personal appearance, or are entered into the Weight Control Program IAW AR 600-9. There will be no deficiencies in the critical areas (\*) listed in the following checklist.

**5-50. Reference.** AR 600-9, Army Weight Control Program and Fort Polk Command Policy #29.

**Checklist for Weight Control Program**

YES    NO    N/A

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**CRITICAL AREA OF INTEREST.**

Brigade/Regiment - Battalion/Company Checklist

- |   |     |     |     |
|---|-----|-----|-----|
| 1. Is a copy of the DA Form 628, Suspension of Favorable Personnel Actions, reflecting the date of AWCP placement notification on file? | ___ | ___ | ___ |
| 2. Is monthly reporting accomplished IAW JRTC & Fort Polk Policy #29?   | ___ | ___ | ___ |

**SCREENING AND PLACEMENT IN AWCP**

Company/Troop Checklist

- |  |     |     |     |
|--|-----|-----|-----|
| *1. Are all unit personnel weighed at a minimum semiannually and a record of the results maintained in the unit?   | ___ | ___ | ___ |
| 2. Are soldiers who exceed the Screening Table Weight (STW) or who do not present a satisfactory appearance measured for percent body fat content? (By the tape measure method).   | ___ | ___ | ___ |
| 3. Does the soldier identified for placement in the program have a medical condition that warrants an evaluation by a health care provider? Is that evaluation on file?  | ___ | ___ | ___ |
| 4. If there is no medical condition, is a copy of the memorandum notifying the soldier of placement in the Army Weight Control Program (AWCP) and the soldier's endorsement (encl 1) on file IAW AR 600-9?   | ___ | ___ | ___ |
| *5. Have soldiers, notified of placement on the AWCP, been flagged under the provisions of AR 600-31? Is a copy of the DA Form 628, Suspension of Favorable Personnel Actions, reflecting the date of AWCP placement notification on file and was the flag submitted on SIDPERS? | ___ | ___ | ___ |

**Figure 5-13. Checklist for Weight Control Program Inspection.**

- |   | YES | NO  | N/A |
|---|-----|-----|-----|
| 6. Did the soldier receive nutrition and weight reduction counseling from a health care professional shortly after being placed on the program and is the memorandum on file?   | ___ | ___ | ___ |
| 7. Are soldiers in the program weighed monthly and documented IAW Fort Polk Policy #29 on Form 370-E? Is the form filled out correctly (Rank, Name, Date Entered, Age, Height, Auth Weight, Auth Body Fat %, Initial Weight, Initial Body Fat %, and Remark Codes)? | ___ | ___ | ___ |
| *8. Are soldiers removed from the AWCP as soon as they meet the body fat standard and is the suspension of favorable action removed and a copy of the final flag placed on file and was the flag removal submitted on SIDPERS?                                      | ___ | ___ | ___ |
| 9. Are soldiers with unsatisfactory weight loss after two consecutive monthly weigh-ins referred to a health care provider for medical evaluation?  | ___ | ___ | ___ |
| 10. Are soldiers with unsatisfactory weight loss after six months referred to a health care provider for medical evaluation?  | ___ | ___ | ___ |

- \*11. Are separation proceedings considered on soldiers with unsatisfactory progress after being cleared by a health care professional? \_\_\_ \_\_\_ \_\_\_
- 12. Are soldiers who exceed the allowable body fat percentage and exceed the STW within one year of removal considered for separation when cleared by a health care professional? \_\_\_ \_\_\_ \_\_\_
- 13. Are soldiers who exceed allowable body fat percentage and who exceed the STW during the 13th to 36th month after removal from the program counseled and given 90 days to achieve standards? \_\_\_ \_\_\_ \_\_\_
- \*14. Is a chronological record maintained for each soldier in the program for 3 years after removal or until PCS? \_\_\_ \_\_\_ \_\_\_

**REPORTING**

- \*15. Is monthly reporting accomplished IAW JRTC & Fort Polk Policy #29? \_\_\_ \_\_\_ \_\_\_

**REENLISTMENT CRITERIA**

- 16. Are soldiers denied reenlistment and/or extension of enlistment when they exceed weight standards? (STW and body fat, para 22a, AR 600-9). \_\_\_ \_\_\_ \_\_\_
- 17. Are “Exception to Policy” reenlistments in accordance with AR 600-9, para 22b, AR 600-9? (i.e., pregnancy or temporary medical condition). \_\_\_ \_\_\_ \_\_\_

**Figure 5-13. Checklist for Weight Control Program Inspection.**

**Section XIV. Field Sanitation Teams**

**5-51. Purpose.** This section contains the evaluation criteria and checklist for assessment of the unit’s Field Sanitation Team (FST).

- a. The following is provided as information and used as a guide for preparing the installation’s assessment of the organization’s individual proficiency through review of the unit level FST.
- b. Point of contact for this task is the Environmental Health Section, Preventive Medicine Service, Building 1561, telephone 531-2051.

**5-52. Responsibility.** Unit commanders/directors are urged to use these standards as a management tool to help units comply with applicable regulations pertaining to their FST.

**5-53. Standards.** Standards include:

- a. Satisfactory achievement of the minimum standards outlined in the checklist.
- b. Designation of responsible unit personnel to ensure compliance with established regulations.
- c. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

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**5-54. References.**

- a. AR 40-5, Preventive Medicine.
- b. CTA 8-100, Army Medical Department Expendable/Durable Items.
- c. CTA 50-909 Field and Garrison Furnishings and Equipment.
- d. FM 10-23, Basic Doctrine for Army Field Feeding.
- e. FM 10-52, Water Supply in Theaters of Operations.
- f. FM 21-10, Field Hygiene and Sanitation.
- g. FM 21-10-1, Unit Field Sanitation Team.
- h. FORSCOM Reg 700-2
- i. SB 3-40 Pesticides.
- j. TB MED 507, Occupational and Environmental Health Prevention, Treatment and Control of Heat Injuries.
- k. TB MED 530, Occupational and Environmental Health Food Service Sanitation.
- l. TB MED 577, Occupational and Environmental Health Sanitary Control and Surveillance of Field Water Supplies.
- m. TM 4-632, Military Entomology Operational Handbook.

**Company Level Checklist for Field Sanitation Team**

	YES	NO	N/A
*1. Are there at least two Medical MOS soldiers (or two non-medical MOS, including one NCO) on orders to be Field Sanitation Team members? (AR 40-5)	___	___	___
*2. Do FST members have a Field Sanitation Team training certificate?	___	___	___
*3. Do team members have time to complete their mission in a field environment?	___	___	___
*4. Have they given unit required training? (FM 21-10-1)	___	___	___
*5. Does the FST have authorized quantities of supplies and equipment?	___	___	___

	<u>QTY</u>	YES	NO	N/A
a. Calcium hypochlorite, 6 oz	3	___	___	___
b. Chest, No. 3 aluminum	1	___	___	___
c. Chlorination kit, water	10	___	___	___
d. Disinfectant, food service, 12'S	2	___	___	___
e. Glove, chemical/oil protective	1	___	___	___

**Figure 5-14. Company Level Checklist for Field Sanitation Team.**

	<u>QTY</u>	YES	NO	N/A
f. Goggles, industrial, non-vented	1	___	___	___
g. Repellent, personal insect	384	___	___	___
h. Insecticide, Chlorpyrifos, 40 ml, 12's	1	___	___	___
i. Insecticide, D-Phenothrin, 12 oz, 1/indv	144	___	___	___
j. Mousetrap, spring, 12's	2	___	___	___
k. Rattrap, spring, 12's	2	___	___	___
l. Respirator, pesticide	1	___	___	___
m. Rodenticide, bait, 5 lb	2	___	___	___
n. Sprayer, insecticide	1	___	___	___
o. Sprayer, insecticide, repair parts kit	1	___	___	___

p. Swatter, fly, 12's	1	—	—	—
q. Water purification tablet, iodine, 50's	400	—	—	—
*6. Are needed publications and references on hand or on order?				
a. AR 40-5, Preventive Medicine.		—	—	—
b. FM 10-23, Army Food Service Operations.		—	—	—
c. FM 10-52, Field Water Supply.		—	—	—
d. FM 21-10, Field Hygiene and Sanitation.		—	—	—
e. FM 21-10-1, Unit Field Sanitation team.		—	—	—
f. TB MED 507, Occupational and Environmental Health Prevention Treatment and Control of Heat Injury.		—	—	—
g. TB MED 530, Occupational and Environmental Health Food Service Sanitation.		—	—	—
h. TB MED 577, Occupational and Environmental Health Sanitary Control and Surveillance of Field Water Supplies.		—	—	—
i. TM 4-632, Military Entomology Operational Handbook.		—	—	—

**Figure 5-14 (Continued). Company Level Checklist for Field Sanitation Team.**  
**Section XV. Command Unit Mailroom Inspection**

**5-55. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's unit level mail operations.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the Command Unit Mailroom Inspection.
- b. Point of contact for this task is the Director of Information Management (DOIM), Installation Postal Officer.

**5-56. Responsibility.** Unit commanders and unit postal officers are encouraged to use these standards as a management tool to help units maintain a proficient unit mailroom operation and provide prompt, efficient and economical service in support of the DOD mission and consistent with the required delivery date, security, accountability, and class of mail.

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**5-57. Standards.** Satisfactory effective controls for unit mail operations will be based upon the following standards:

- a. Implementation of established policies and compliance with applicable regulations within the unit.
- b. Satisfactory achievement of the minimum standards (critical task) for unit mail operations as outlined in the checklist.
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FORSCOM Regulations, Supplements, and applicable JRTC and FP Regulations, Supplements, and Standard Operating Procedures.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**5-58. References.**

- a. DOD 4525.6-M, Vol 11, DOD Postal Manual
- b. FORSCOM Supplement 1 to DOD 4525.6-M, Vol 11, Mail Handling and Delivery Procedures for Military Post Offices, Mailrooms, and Postal Service Centers
- c. AR 600-8-3, Unit Postal Operations
- d. AR 24-51, Official Mail and Distribution Management
- e. FORSCOM Form 97-R, Unit Mail Service Inspection Checklist
- f. FORSCOM Form 108-R, Locator Card File Inspection Record
- g. JRTC and Fort Polk Unit Mailroom Standing Operating Procedures (SOP)
- h. JRTC and Fort Polk Regulation 24-1, Chapter 6
- i. AR 24-400-2, Modern Army Recordkeeping System (MARKS)

**Checklist for Unit Mailroom Inspections**

	YES	NO	N/A
1. Is there a current copy of the following regulations on file in the mailroom?			
a. DoD 4525.6-M, Volume II dated Feb 87	_____	_____	_____
b. FORSCOM Supplement to DoD 4525.6-M, Vol II, dated 15 Feb 91	_____	_____	_____
c. AR 600-8-3, dated 28 Dec 89	_____	_____	_____
d. AR 24-51 dated 30 Nov 92	_____	_____	_____
<b>2. Appointments/Revocations for Unit Mailroom Personnel</b>			
a. Is FP Form 36E being used for appointments and revocations? (JRTC and Ft Polk Unit Mailroom Standing Operating Procedures (SOP)) (All)	_____	_____	_____
b. Does each appointment reflect a security clearance of at least Interim Secret or higher? (DOD 4525.6-M Vol II, Chap 3, Para 302(1)(a); AR 600-8-3, Para 2-4(b)(2); and JRTC & Ft Polk (FP) Unit Mailroom SOP, Para 1-5) (All)	_____	_____	_____

**Figure 5-15. Checklist for Unit Mailroom Inspections.**

	YES	NO	N/A
c. Is there a completed DD Form 285 card on file with each appointment order? (DOD 4524-6-M, Vol II, Chap 3, Para 303.1) (All)	_____	_____	_____
d. Did the same individual (Battalion/Squadron Commander or the primary/alternate Postal Officer) sign the DD Form 285 and the FP Form 36E? (JRTC & FP Unit Mailroom SOP, Para 1-4(a)(2)) (Stf Ofc/Dir, Bde, Bn & Sep Co)	_____	_____	_____
e. On the DD Form 285, did the appointing official initial next to the appropriate selection(s) in Item 9? (JRTC & FP Unit Mailroom SOP, Figures 1-3 and 1-5) (Stf Ofc/	_____	_____	_____

Dir, Bde, Bn & Sep Co)	_____	_____	_____
f. Is there an appointment for one primary and a minimum of one or a maximum of three alternate Postal Officers? (FORSCOM Suppl 1 to DOD 4525.6-M, Vol II) (Stf Ofc/Dir, Bde, Bn & Sep Co)	_____	_____	_____
g. Is there an appointment for one primary and a minimum of one or a maximum of three alternate mailclerks? (JRTC & FP Unit Mailroom SOP, Para 1-4(a)(1))(Stf Ofc/Dir, Bde, Bn & Sep Co)	_____	_____	_____
h. Does each mailclerk and mail orderly have a copy of DD Form 285 in possession when handling mail in the mailroom? (DOD 4525.6-M, Vol II, Para 305.3 and JRTC & FP Unit Mailroom SOP) (All)	_____	_____	_____
i. Was the revocation effective 30 days prior to departure of individual from Fort Polk? (JRTC & FP Unit Mailroom SOP, Para 1-7(e)) (Stf Ofc/Dir, Bde, Bnn & Sep Co)	_____	_____	_____
j. All revocations will have the appointment order and DD Form 285 attached to the revocation. Does the appointment order and DD Form 285 have <b>VOID</b> printed or stamped across the face of each? (All)	_____	_____	_____
k. On the revoked DD Form 285, is date entered in the <b>DATE REVOKED</b> block? (DOD 4525.6-M, Vol II, Para 306.1) (All)	_____	_____	_____
<b>3. Training for Mailclerks</b>			
a. Did each mailclerk perform at least 30 days OJT in the mailroom? (JRTC & FP Unit Mailroom SOP, Para 1-7(b)) (All)	_____	_____	_____
b. Did each mailclerk attend the Mailclerk/Postal Officer orientation conducted by the DOIM Postal Division? (DOD 4525.6-M, Vol II, Para 304.1-3 and JRTC & FP Unit Mailroom SOP, Para 1-6) (All)	_____	_____	_____
c. Did each mailclerk and Postal Officer attend the required annual training? (FORSCOM Suppl 1 to DOD 4525.6-M, Vol II, Para 304.4) (All)	_____	_____	_____
<b>4. USPS Mailbags</b>			
a. Do the mailclerks issue mail in mailbags to the mail orderlies to transport mail? (DOD 4525.6-M, Vol II, Para 301.2(j); JRTC & FP Unit Mailroom SOP, Para 1-8(d); and AR 600-8-3, Para 3-7(b)) (All)	_____	_____	_____
b. Are the empty bags returned each day to the Post Office? (DOD 4525.6-M, Vol II, Para 301.2(j) and JRTC & FP Unit Mailroom SOP, Para 1-8(d)) (All)	_____	_____	_____
<b>5. Mailroom structure and equipment</b>			
a. Is the mailroom being used as a storage place for items other than mail? (JRTC & FP Unit Mailroom SOP, Para 1-8(b)) (Stf Ofc/Dir, Bde, Bn & Sep Co)	_____	_____	_____
b. Do the doors have suitable locks; are the hinges mounted to the inside to prevent removal of door from outside? (DOD 4525.6-M, Vol II, Para 309.4 and Annex A and FM 19-30) (Stf Ofc/Dir, Bde, Bn & Sep Co)	_____	_____	_____

**Figure 5-15. Checklist for Unit Mailroom Inspections.**

	YES	NO	N/A
c. Are windows which are accessible from the outside barred? (DOD 4525.6-M, Vol II, Para 309.4 and FM 19-30) (Stf Ofc/Dir, Bde, Bn & Sep Co)	_____	_____	_____
d. Are the walls and ceiling constructed of material that prevents forcible entry? (DOD 4525.6-M, Vol II, Para 309.4 and Annex A and FM 19-30) (Stf Ofc/Dir, Bde, Bn & Sep Co)	_____	_____	_____
e. Are receptacles, when used, installed to prevent access to other receptacles or access rom a customer service window? (DOD 4525.6-M, Vol II, Para 309-4 and Annex A and	_____	_____	_____

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FM 19-30) (Stf Ofc/Dir, Bde, Bn & Sep Co) \_\_\_\_\_  
 f. Are the hours of operation being complied with? (JRTC & FP Unit Mailroom SOP, Para 1-9(g) and DOD 4525.6-M, Vol II, Para 301.2(g)) (All) \_\_\_\_\_

**6. Access to Mailroom**

a. Is an access roster posted on the mailroom door? (AR 600-8-3, Para 2-8 and JRTC & FP Unit Mailroom SOP, Para 1-8c)) (All) \_\_\_\_\_  
 b. Is a memorandum posted in mailroom for any current OJT clerk? (JRTC and FP Unit Mailroom SOP, Para 1-7(b) and FORSCOM Suppl 1 to DOD 4525.6-M, Vol II, Para 304.6) (All) \_\_\_\_\_  
 c. Is OJT clerk a mail orderly? Check the postal file to verify, if so revocation required before paperwork can be validated for mail clerk. (All) \_\_\_\_\_  
 d. Are mail orderlies allowed in mailroom? (All) \_\_\_\_\_  
 e. Did the mailclerk ask the inspectors for ID/DD Form 285 before allowing them to enter the mailroom? (All) \_\_\_\_\_  
 f. Are OJT clerks restricted to observing the mail handling duties? (FORSCOM Suppl 1 to DOD 4525.6-M, Vol II, Para 304.6 and JRTC & FP Unit Mailroom SOP, Para 1-8(c)(3)) (All) \_\_\_\_\_  
 g. Are OJT clerks allowed to assist in the maintenance of the DA Forms 3955, Change of Address and Directory Cards? (JRTC & FP Unit Mailroom SOP, Para 1-8(c)(3)) (All) \_\_\_\_\_  
 h. Are maintenance personnel and work details allowed in the mailroom unescorted? (DOD 4525.6-M, Vol II, Para 309.5) (All) \_\_\_\_\_

**7. Duplicate Keys/Combinations and DA ISM, if maintained**

a. Is each duplicate key maintained in a separate PS Form 3977 envelope? (AR 600-8-3, Para 2-8(e) and DOD 4525.6-M, Vol II, Para 309.6(c)) (All) \_\_\_\_\_  
 b. Are the duplicate key envelopes maintained in a safe with limited accessibility? (S-2 usually) (AR 600-8-3, Para 2-8(e) and DOD 4525.6-M, Vol II, Para 309.6(c)) (All) \_\_\_\_\_  
 c. Are the flaps of the PS Form 3977 signed by the Primary mailclerk and the safe keeper? (AR 600-8-3, Para 2-8(e) and DOD 4525.6-M, Vol II, Para 309.6(c)) (All) \_\_\_\_\_  
 d. If the mailroom has a computer with access to the DA ISM, does each mailclerk have his/her Password issued by DOIM Postal Division? (All) \_\_\_\_\_  
 e. Does the primary mailclerk carry the primary set of mailroom keys at all times? (FORSCOM Suppl 1 to DOD 4525.6-M, Vol II, Para 309.6) and AR 600-8-3, Para 2-8(c)) (All) \_\_\_\_\_

**8. Transporting Mail**

a. Is mail transported to and from the mailroom in a military vehicle? (DOD 4525.6-M, Vol II, Para 309.7(b) and AR 600-8-3, Para 3-7(c)) (All) \_\_\_\_\_

**Figure 5-15. Checklist for Unit Mailroom Inspections.**

	YES	NO	N/A
b. Is mail secured at all times while in a vehicle? (DOD 4525.6-M, Vol II, Chap 3, Para 309.2 and AR 600-8-3, Para 3-7(e)) (All)	_____	_____	_____
c. Mail being delivered by mail orderlies, is it transported in a mailbag to its destination? (All)	_____	_____	_____

**9. Delivery of mail**

a. Are mailclerks and mail orderlies familiar with the proper procedures for delivery of

the mail? (DOD 4525.6-M, Vol II, Chap 4 and JRTC & FP Unit Mailroom SOP, Chap 3) (All)	_____	_____	_____
b. Does mailclerk know how to endorse mail that is received in the mailroom opened? (DOD 4525.6-M, Vol II, Para 402.2) (All)	_____	_____	_____
c. Does mailclerk know how to endorse mail that has been opened by mistake? (DOD 4525.6-M, Vol II, Para 402.4) (All)	_____	_____	_____
d. Are mailclerks and mail orderlies aware that mail cannot be left unsecured? (DOD 4525.6-M, Vol II, Para 309.6(a) and AR 600-8-3, Para 3-7(e)) (All)	_____	_____	_____
e. Does the mailclerk know the proper procedure for handling mail that is received damaged from the Post Office? (DOD 4525.6-M, Vol II, Para 402.2) (All)	_____	_____	_____
f. Is personal mail delivered to addressee or authorized agent only? (DOD 4525.6-M, Vol II, Para 404.4(a)(b) and JRTC & FP SOP, Paras 3-2(a)-(c) (All)	_____	_____	_____
g. Are personnel living offpost/quarters receiving personal mail through the unit mail- room? (DOD 4525.6-M, Vol II, Paras 301.1(d) and 404.1) (All)	_____	_____	_____
h. Is mail addressed to the "commander of" delivered to the commander? (JRTC & FP Unit Mailroom SOP, Para 3-6) (All)	_____	_____	_____
i. Is there a PS Form 3801 on file for each staff office which is serviced by the mail- room? (JRTC & FP Unit Mailroom SOP, Para 1-10(b)) (All)	_____	_____	_____
j. Is official mail delivered as such to an individual listed on the PS Form 3801? (JRTC & FP Unit Mailroom SOP, Para 4-5(c)) (All)	_____	_____	_____
k. Is mail addressed to the unit mailclerks and mail orderlies handled properly? (DOD 4525.6-M, Vol II, Para 402.7) (All)	_____	_____	_____
l. If the mail is delivered by mail orderlies, are personnel required to pick up mail within 48 hours? (All)	_____	_____	_____
m. If mail is not picked up within 48 hours, is the mailclerk aware of who to notify? (FORSCOM Suppl 1 to DOD 4525.6-M, Vol II, Para 301.2m) (All)	_____	_____	_____
n. Is the Postal Officer aware that the Commander will be notified of individuals not picking up their mail within 48 hours? (FORSCOM Suppl 1 to DOD 4525.6-M, Vol II, Para 301.2m and JRTC & FP Unit Mailroom SOP, Para 1-12(a)) (All)	_____	_____	_____
o. Is the Commander aware that corrective action will be taken when individuals fail to pick up their mail within 48 hours? (FORSCOM Suppl 1 to DOD 4525.6-M, Vol II, Para 301.2m) (All)	_____	_____	_____
<b>10. Accountable Mail</b>			
a. Is the mailclerk familiar with the proper procedure for processing accountable mail? (DOD 4525.6-M, Vol II, Para 406 and JRTC & FP Unit Mailroom SOP, Chap 4) (All)	_____	_____	_____
b. Are the PS Forms 3849 filled out and filed properly? (JRTC & FP Unit Mailroom SOP, Figures 4-1, 4-2 and 4-4) (All)	_____	_____	_____
c. Are accountable articles stored separately from nonaccountable mail? (DOD 4524-6. M, Vol II, Para 406.1(b)) (All)	_____	_____	_____

**Figure 5-15. Checklist for Unit Mailroom Inspections.**

	YES	NO	N/A
d. Are all accountable articles date stamped on the back? (JRTC & FP Unit Mailroom SOP, Para 3-2(d) and FORSCOM Suppl 1 to DOD 4524-6.M, Vol II, Para 301.4.d) (All)	_____	_____	_____
e. If accountable articles are present, is there a PS Form 3883 reflecting receipt of article from the Post Office? (JRTC & FP Unit Mailroom SOP, Paras 4-2(a)(1) and 4-4(a)) (All)	_____	_____	_____
f. Are accountable articles delivered to addressee or agent bearing written authorization? (JRTC & FP Unit Mailroom SOP, Para 4-4(c)) (All)	_____	_____	_____

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- g. Is positive identification required before delivery is made? (DOD 4524-6.M, Vol II, Para 406.1(h)) (All) \_\_\_\_\_
- h. On the PS Form 3849 in the Delivery Section, does the name appear as printed and a payroll signature? (DOD 4524-6.M, Vol II, Para 406.1(g)(h) and AR 600-8-3, Para 4-5(c)(1)) (All) \_\_\_\_\_
- i. Is the mailclerk maintaining the PS Form 3883 on file numerically in bill number order in the mailroom? (DOD 4524-6.M, Vol II, Para 406.3) (All) \_\_\_\_\_
- j. Are all the PS Forms 3883 accounted for? (DOD 4524-6.M, Vol II, Paras 406.1(i) and 406.3) (All) \_\_\_\_\_

**11. Postal Officer’s SOP**

- a. Has the Postal Officer developed a SOP to cover security and delivery of mail to field exercises? (JRTC & FP Unit Mailroom SOP, Para 1-9(a) and DOD 4524-6.M, Vol II, Para 301.2(a)) (Stf Ofc/Dir, Bde, Bn & Sep Co) \_\_\_\_\_
- b. Is the SOP updated every 6 months or when the Primary Postal Officer changes, whichever occurs first? (JRTC & FP Unit Mailroom SOP, Para 1-9(a)) (Stf Ofc/Dir, Bde, Bn & Sep Co) \_\_\_\_\_
- c. Is the SOP signed and dated by the Primary Postal Officer? (Stf Ofc/Dir, Bde, Bn & Sep Co) \_\_\_\_\_

**12. Postal Offenses.** If a postal offense or irregularity is suspected, is the Commander or Postal Officer notified immediately? (DOD 4524-6.M, Vol II, Para 301.3(g)) (All) \_\_\_\_\_

**13. Postal Officer’s Daily and Weekly Inspections**

- a. Does the Postal Officer (primary or alternate) enter the mailroom daily to validate the accountable mail and audit the accountable mail which remains in the safe as undelivered? (JRTC & FP Unit Mailroom SOP, Para 4-7; AR 600-8-3, Para 2-10; and DOD 4524-6.M, Vol II, Para 307.1) (Stf Ofc/Dir, Bde, Bn & Sep Co) \_\_\_\_\_
- b. Are the forms dated and initialed by the Postal Officer? (JRTC & FP Unit Mailroom SOP, Figures 4-1, 4-2 and Para 4-7; DOD 4524-6.M, Vol II, Para 307.2; and FORSCOM Suppl 1 to DOD 4524-6.M, Vol II, Para 406.1) (Stf Ofc/Dir, Bde, Bn & Sep Co) \_\_\_\_\_
- c. Is the Postal Officer conducting weekly inspections on FORSCOM Form 97-R and 108-R? (DOD 4524-6.M, Vol II, Para 301.2(e); FORSCOM Suppl 1 to DOD 4524-6.M, Vol II, Para 301.2(f); JRTC & FP Unit Mailroom SOP, Para 1-9(k); and AR 600-8-3, Para 2-10) (Stf Ofc/Dir, Bde, Bn & Sep Co) \_\_\_\_\_

**14. Privacy of Mail**

- a. Is the privacy of mail protected? (DOD 4524-6.M, Vol II, Para 309.8) (All) \_\_\_\_\_
- b. Does the mailclerk allow the breaking of the seal of any mail matter for any reason? (DOD 4524-6.M, Vol II, Para 309.8) (All) \_\_\_\_\_

**Figure 5-15. Checklist for Unit Mailroom Inspections.**

YES      NO      N/A

c. Does the mailclerk safeguard information regarding mail or postal records? (DOD 4524-6.M, Vol II, Para 309.8) (All) \_\_\_\_\_

**15. Mail Receptacles**

- a. Are receptacles assigned to only one person? (DOD 4524-6.M, Vol II, Para 502.3 and JRTC & FP Unit Mailroom SOP, Para 4-2(d)) (All) \_\_\_\_\_
- b. Is the receptacle that has been unused longest reissued first? (JRTC & FP Unit Mail-

room SOP, Para 4-2(d) and DOD 4524-6.M, Vol II, Para 502.3) (All)	_____	_____	_____
c. Is each receptacle assigned properly and labeled to identify the holder? (DOD 4524-6.M, Vol II, Para 502.9 and JRTC & FP Unit Mailroom SOP, Para 4-2(c)) (All)	_____	_____	_____
d. Are receptacles numbered vertically in rows of nine? (DOD 4524-6.M, Vol II, Para 503.1; JRTC & FP Unit Mailroom SOP, Para 4-3(a); and AR 600-8-3, Para 2-19) (All)	_____	_____	_____
e. Is a receptacle card, DD Form 2262, maintained for each receptacle? (DOD 4524-6.M, Vol II, Para 502.8 and JRTC & FP Unit Mailroom SOP, Paras 4-2(b) and 4-3(a)) (All)	_____	_____	_____
f. Are the forms from unassigned receptacles filed chronologically by closure date in an inactive file? (DOD 4524-6.M, Vol II, Para 503.8(b)) (All)	_____	_____	_____
g. Are the forms for assigned receptacles filed numerically in the active file? (DOD 4524-6.M, Vol II, Para 503.8(a)) (All)	_____	_____	_____
h. Are unassigned receptacles' labels removed and blocked to prevent mail from being placed within? (DOD 4524-6.M, Vol II, Para 507.7(1-4) and JRTC & FP Unit Mailroom SOP, Para 4-4(b)) (All)	_____	_____	_____
i. Are the keys or combinations to receptacles changed within 5 days of closures and noted on the DD Form 2262? (DOD 4524-6.M, Vol II, Para 505.1) (All)	_____	_____	_____
j. Are customers notified of articles too large to fit in receptacles? (DOD 4524-6.M, Vol II, Para 506.4) (All)	_____	_____	_____
k. Are DD Forms 2258 used for marking receptacle of soldiers who are absent temporarily for any reason? (DOD 4524-6.M, Vol II, Para 506.5) (All)	_____	_____	_____
l. Using the date backstamped on the mail piece, is mail found in receptacles more than 10 days old? (DOD 4524-6.M, Vol II, Para 504.1) (All)	_____	_____	_____
m. Does the mailclerk know the status of the individual having mail accumulate in his/her receptacle? (DOD 4524-6.M, Vol II, Para 504.2) (All)	_____	_____	_____
n. Are items other than mail found in mail receptacles? (DOD 4524-6.M, Vol II, Para 506.1) (All)	_____	_____	_____
o. Is there opened mail in the receptacles? (DOD 4524-6.M, Vol II, Para 309.2 and JRTC & FP Unit Mailroom SOP, Para 4-1) (All)	_____	_____	_____
p. Does any of the receptacles easily open from the front without trying a combination? (JRTC & FP Unit Mailroom SOP, Para 4-3(b)) (All)	_____	_____	_____
<b>16. Directory Cards</b>			
a. Are the directory cards filed alphabetically by last name with no regards to rank? (DOD 4524-6.M, Vol II, Para 602.1; JRTC & FP Unit Mailroom SOP, Para 6-1; and AR 600-8-3, Para 4-2(e)) (All)	_____	_____	_____
b. Are all directory cards filled out properly? (DOD 4524-6.M, Vol II, Para 602.2) (All)	_____	_____	_____
c. Are the correct purge dates found on the directory file cards? (JRTC & FP Unit Mailroom SOP, Para 6-4 and AR 600-8-3, Para 4-2(b)) (All)	_____	_____	_____
d. Are the directory cards purged during the first 5 working days of each month? (DOD 4524-6.M, Vol II, Para 602.6) (All)	_____	_____	_____

**Figure 5-15. Checklist for Unit Mailroom Inspections.**

	YES	NO	N/A
e. Are directory cards maintained on every soldier assigned and attached to the unit? (JRTC & FP Unit Mailroom SOP, Para 6-1 and AR 600-8-3, Para 4-2(a)) (All)	_____	_____	_____
<b>17. Redirect Mail</b>			
a. Is undeliverable mail returned to the Post Office within 24 hours of receipt in the mailroom? (JRTC & FP Unit Mailroom SOP, Para 7-1) (All)	_____	_____	_____
b. Is the redirected mail endorsed properly? (DOD 4524-6.M, Vol II, Para 604.5 and	_____	_____	_____

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JRTC & FP Unit Mailroom SOP, Paras 7-2 and 7-3) (All) \_\_\_\_\_  
c. Is all incorrect addresses and barcodes lined through with a single black line (preferably with a china marker)? (DOD 4524-6.M, Vol II, Para 604.3 and JRTC & FP Unit Mailroom SOP, Paras 7-2(f) and 7-2(g)(2)) (All) \_\_\_\_\_

**18. Second Class Mail**

a. Is 2nd class mail forwarded to the individual for 60 days? (DOD 4524-6.M, Vol II, Para 605.2(a)) (All) \_\_\_\_\_  
b. Is newspapers being forwarded outside the Leesville/Fort Polk Post Office? (DOD 4524-6.M, Vol II, Table 6-2, Note 1) (All) \_\_\_\_\_  
c. Is a record of PS form 3579 which is sent to the publishers maintained on the back of the directory card (DA Form 3955)? (DOD 4524-6.M, Vol II, Para 605.2.c(2)(c)) (All) \_\_\_\_\_  
d. Does the mailclerk know the proper endorsement for 2nd class mail after the publisher has been notified? (DOD 4524-6.M, Vol II, Para 605.2.c (2)(d)) (All) \_\_\_\_\_

**19. Hold Mail for Incoming Personnel**

a. Is the mailclerk aware of how long mail will be held for incoming personnel? (DOD 4524-6.M, Vol II, Para 605.4) (All) \_\_\_\_\_  
b. Is the mailclerk aware of the correct date to return hold mail back to the post office? (DOD 4524-6.M, Vol II, Para 605.4) (All) \_\_\_\_\_

**20. Casualty Mail**

a. Does the mailclerk know the procedure for handling casualty mail? (DOD 4524-6.M, Vol II, Para 608 and AR 600-8-3, Para 4-1) (All) \_\_\_\_\_  
b. Is the mailclerk aware that casualty mail can be forwarded, if requested by the next-of-kin? (DOD 4524-6.M, Vol II, Para 608.1) (All) \_\_\_\_\_  
c. Is casualty mail being processed in a timely manner? (All) \_\_\_\_\_

**21. Postal Files (AR 24-400-2)**

a. Are unit postal files and records being properly maintained IAW AR 24-400-2? (All) \_\_\_\_\_  
b. Do all records and files have current file labels on them? (All) \_\_\_\_\_  
c. Are the files and records updated for the present year? (All) \_\_\_\_\_

**22. Previous Deficiencies.** Have the irregularities noted on the last inspection checklist been corrected? (FORSCOM Suppl 1 to DOD 4524-6.M, Vol II, Para 307.3(d)(1)(c)) (All) \_\_\_\_\_

**Figure 5-15 (Continued). Checklist for Unit Mailroom Inspections.**

## **Chapter 6**

### **Plans, Training, Mobilization And Security**

#### **Section I. Intelligence Oversight**

**6-1. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation's unit level Intelligence Oversight.

a. The following is provided for information and is used as a guide in preparing for the installation's assessment of the organizations compliance with applicable laws, directives, and regulations.

b. Point of contact for this task is the Inspector General.

**6-2. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain and adequate level of intelligence oversight and enable them to conduct internal inspections as a part of the Command Inspection Program. This checklist applies to all personnel assigned to Army intelligence components and other military and civilian employees of the Army when they engage in intelligence activities as that term is defined in AR 381-10

**6-3. Standards.** Satisfactory effective controls for Intelligence Oversight will be based upon satisfactory achievement of the minimum standards (a "yes" rating on all tasks) as outlined in the checklist.

#### **6-4. References.**

a. Executive Order 12333, United States Intelligence Activities, 4 Dec 1981.

b. DOD Directive 5240.1 DOD Intelligence Activities, 25 Apr 1988.

c. DOD Regulation 5240.1-R, Dec 82.

d. DOD Directive 5148.11, Intelligence Oversight, 1 Jul 94.

e. AR 381-10, U.S. Army Intelligence Activities, 1 Aug 84.

f. FORSCOM electronic message, Subject: AR 381-10, Policy Book, DTG 281810Z Oct 85.

g. DA electronic message, Subject: clarification of AR 381-10, DTG 081900Z Sep 86.

h. HQ DA electronic message, Subject: Oversight of Intelligence Activities, DTG 230900Z Dec 94.

i. AR 1-201, Army Inspection Policy, 17 May 1993.

**Checklist for Intelligence Oversight**

	YES	NO	N/A
1. Has the unit appointed, in writing, an Intelligence Oversight Officer to manage the I/O program (DA electronic message, Subject: Clarification of AR 381-10, DTG 081900Z Sep 86)?	___	___	___
2. Does AR 381-10 policy books contain as a minimum the following (Para. 2, FORSCOM E message, Subject: AR 381-10, Policy Book, DTG 281810Z Oct 85.):			
a. Executive Order 12333, United States Intelligence Activities, 4 Dec 1981?	___	___	___
b. DOD Directive 5240.1 DOD Intelligence Activities, 25 Apr 1988?	___	___	___
c. DOD Regulation 5240.1-R, Dec 82?	___	___	___
d. DOD Directive 5148.11, Intelligence Oversight, 1 Jul 94?	___	___	___
e. AR 381-10, U.S. Army Intelligence Activities, 1 Aug 84?	___	___	___
f. FORSCOM electronic message, Subject: AR 381-10, Policy Book, DTG 281810Z Oct 85?	___	___	___
g. DA electronic message, Subject: clarification of AR 381-10, DTG 081900Z Sep 86?	___	___	___
h. HQ DA electronic message, Subject: Oversight of Intelligence Activities, DTG 230900Z Dec 94?	___	___	___
i. JRTC & FP Reg 20-2 Inspection Checklists? Figure 6-1. Checklist for Intelligence Oversight Inspection	___	___	___
j. An acknowledgment by personnel required to do so indicating they have read the policy book and a statement of individual employee reporting responsibilities required by AR 381-10, Procedure 15?	___	___	___

	YES	NO	N/A
3. Are all personnel assigned to any S2 or military intelligence element, regardless of MOS familiar with EO 12333?	—	—	—
4. Are all personnel assigned to any S2 or military intelligence element, regardless of MOS familiar with DOD Directive 5240.1-R?	—	—	—
5. Are all personnel assigned to any S2 or military intelligence element, regardless of MOS familiar with AR 381-10?	—	—	—
6. Has the unit/element conducted familiarization training on the following:			
a. Procedures 1 through 4, 14 and 15?	—	—	—
b. A summary of other procedures that pertain to collection techniques which are, or may be, employed by the unit?	—	—	—
c. Does the training emphasize that reporting questionable activities is mandatory, and that no adverse action may be taken against employees for reporting questionable activities	—	—	—

**6-1a. Checklist for Intelligence Oversight Inspection (continued)**

## **JRTC & FP Regulation 20-2**

### **Operations Security (OPSEC)**

**6-5. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation's Operations Security Program.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the Operations Security Program.
- b. Point of contact for this task is the G3/DPTMS Plans and Operations Division.

**6-6. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate level of operations security, and enable them to conduct internal inspections as part of the Organization Inspection Program.

**6-7. Standards.** The goal of these evaluations is to ascertain how well the OPSEC process is being carried out by the organization, whether the requirements established for the program are being met and to ensure program standards are maintained. It is not the objective of these evaluations to discover how well critical information is being protected. Satisfactory effective controls for operations security will be based on the following standards:

- a. Satisfactory achievement of the minimum standards (critical tasks) for OPSEC as outlined in the following checklist.
- b. Maintenance of current guidelines.
- c. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

### **6-8. References.**

- a. AR 380-5, Department of the Army Information Security.
- b. AR 381-12, Subversion and Espionage Directed Against the Army (SAEDA).
- c. AR 380-67, DA Personnel Security Program.
- d. AR 530-1, Operations Security (OPSEC).
- e. JRTC & FP Reg 530-1, JRTC & FP OPSEC Program

**Checklist for Operations Security  
(Brigade and Battalion Inspections)**

	YES	NO	N/A
1. Does the unit have a unit-specific SOP that covers information security (handling, storage, and destruction of classified information); communications security (proper use, storage, and protection of communications equipment); and operations security (all measures taken to protect friendly operations)?	___	___	___
2. Are the following regulations on hand or on order			
a. AR 380-5, Department of the Army Information Security Program.	___	___	___
b. AR 530-1, Operations Security.	___	___	___
c. AR 381-12, SAEDA.	___	___	___
d. AR 380-67, DA Personnel Security Program	___	___	___
3. Upon notification of deployment is an information security briefing given to unit?	___	___	___
4. Upon notification of deployment, is an OPSEC Briefing, to include Essential Elements of Friendly Information (EEFI), given to unit?	___	___	___
5. Annually, and upon notification of deployment, is SAEDA briefing given to unit?	___	___	___
6. Upon notification of deployment, is a Terrorism/Antiterrorism Briefing (Force Protection Level 1a/1b Class) given to unit?	___	___	___
7. Does the unit have access control procedures established for sensitive areas, such as a unit headquarters, motor pools, and Emergency Operations Centers?	___	___	___
8. Are the unit's personnel familiar with the unit's EEFI and SAEDA reporting procedures and OPSEC measures? (Ten soldiers, selected at random, will complete the OPSEC Questionnaire. Is the average score of these 10 soldiers 80% or above?)	___	___	___

**Figure 6-2b. Checklist for OPSEC Program Inspection**



### Section III. Subversion And Espionage Directed Against The Army (SAEDA)

**6-9. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's SAEDA Training Program.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the SAEDA Training Program.
- b. Point of contact for this task is the G3/DPTMS Intelligence & Security Division.

**6-10. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units establish training and testing standards and enable them to conduct internal inspections as part of the Command Inspection Program.

**6-11. Standards.** Satisfactory effective controls for the SAEDA Training Program will be based on the following standards:

- a. Written records show when SAEDA briefings were given and how many personnel attended the briefings. Unit goal should be set at 100% attendance by assigned personnel. Attendance of 90% or above is acceptable.
- b. Ten soldiers are given the tests. An average score of 90% or above is accepted.
- c. Maintenance of (current) guidelines, i.e., DoD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

### **6-12. References.**

- a. AR 381-12, Subversion and Espionage Directed Against the Army (SAEDA).
- b. AR 380-5, Department of Army Information Security Program.

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### SAEDA Test

1. What do the letters S-A-E-D-A stand for?
2. Who has the responsibility for safeguarding defense information?
  - a. The Provost Marshal
  - b. The S2 section
  - c. The unit commander
  - d. Every soldier and all Department of Defense civilian employees
3. Why are military personnel targeted by foreign intelligence agents?
  - a. Foreigners just do not like the military.
  - b. All military personnel have access to classified information.
  - c. Military personnel aren't as smart as civilians.
  - d. Military personnel have access to all kinds of information that foreign countries want.
4. Classified information is the only information we need to safeguard.
  - a. True
  - b. False
5. What is the most common reason for military personnel giving defense information to foreign intelligence agents?
  - a. They are blackmailed.
  - b. They have a grudge against the U.S.
  - c. They are paid money for it.
  - d. They do not know they are not supposed to.
6. Foreign intelligence agents do not use an individual's personal problems such as indebtedness, adultery, or criminal conduct to blackmail them.
  - a. True
  - b. False
7. What should you do if you or a friend are approached by an enemy agent?
  - a. Tell the agent that you are going to report him to authorities
  - b. Act like you are interested and see if the agent gets caught.
  - c. Remain calm and report the incident as soon as possible. Figure 6-4. SAEDA Test
  - d. Do not report the incident.
8. To whom will you first go to report a SAEDA incident?

**Figure 6-4d SAEDA Test**

- a. First Sergeant.
  - b. Nearest counterintelligence office or unit security manager.
  - c. Military Police.
  - d. Supervisor.
9. What is the most frequently used terrorist tactic?
- a. Assassination
  - b. Bombing
  - c. Kidnapping
  - d. Rape
10. The measures you would use to protect yourself from a common criminal would also protect you from a terrorist.
- a. True
  - b. False
11. Two of the following three situations should be reported as SAEDA incidents. Which situation need not be reported?
- a. You have been going to a local bar for 2 years and have made some friends there. One night, while you and the "Wild Boys" are playing "pass out," you notice a good-looking blond sitting by herself at the table across from you. Since you are a friendly, young, single soldier, you invite her to join you and your friends. She hesitates for a moment, but soon she is sitting on your lap. She takes you back to the barracks later and asks if you can get a copy of the unit manning roster so she can see if she knows any people in your unit. The next evening you meet her at the same bar. You brought the roster, and you notice someone taking a picture of you and the girl when you hand over the roster. She looks over the manning roster and says she does not recognize any of the names. She hands the roster back to you and the rest of the night passes without incident.
  - b. You have been stationed at Fort Polk for 6 months after your tour in Germany. One day you get a call from an old friend who got out of the Army right before you left Germany. This friend pays you a visit from his home in Beaumont, Texas, and tells you how well he is doing working in a shoe store. One weekend you visit him in Beaumont. He lives in a huge five-bedroom house with a pool and a sauna. You ask him how he can afford it, and he says that he does some odd jobs on the side when he is not selling shoes. Three weeks later your friend picks you up in a new Corvette. He asks you for a copy of the latest *Army Times* to keep up with how things are going in the Army. He also wants a few FMs to read and a copy of the post phone book so he can call some of his friends that have been stationed at Fort Polk.
  - c. You are a female soldier stationed at a remote site in Germany. During your spare time, you frequently go to the local guesthouse. A young local who has been giving you "the eye" for some time finally works up the nerve to strike up a conversation with you. You invite him to sit at your table and during the course of the evening, he asks you what unit you are assigned to and what you do in the unit. He makes no other inquiries along that line and the rest of the evening passes without incident.

**Figure 6-4d SAEDA Test (Continued)**

**JRTC & FP Regulation 20-2**

**SAEDA Test Answer Sheet**

General Knowledge Test Answer

1. Subversion and Espionage Directed Against the Army
2. d
3. d
4. b
5. c
6. b
7. c
8. b
9. b
10. a
11. c

**Figure 6-5e. Answer Sheet**

#### **Section IV. Information Systems Security Program**

**6-13. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of a unit/directorate's Information Systems Security Program.

a. The following information is provided as a guide for preparing the installation's assessment of the organization's proficiency in establishing and maintaining an Information Systems Security Program.

b. Point of contact for this task is the Installation Information Systems Security Manager (IISSM), G3/DPTMS, Intelligence/Security Division, Building 1714, telephone number 531-1340.

**6-14. Responsibility.** Unit commanders and activity directors are responsible for maintaining an adequate level of information systems security at all times. The use of these checklists as a management tool will assist their AISSM/ISSOs in achieving this standard and enable them to conduct internal inspections as a part of the Command Inspection Program. This checklist is applicable to all organizations processing government information.

**6-15. Standards.** Satisfactory effective controls for Information Systems Security will be based upon the following standards:

a. Implementation of an effective Information Systems Security Program that will ensure effective enforcement of regulatory requirements governing protection of automated information systems, information processed by the equipment, software used by the equipment, and accreditation of those systems that process sensitive information.

b. Establishment of an internal inspection program consisting of security inspections and spot checks, both during and after duty hours, to ensure regulatory compliance.

c. Satisfactory achievement of the minimum standards as outlined in the checklist.

d. Maintenance of current guidelines, i.e., DOD Regulations, Army Regulations, and applicable JRTC & FP Regulations, supplements and Command Policy Letters.

e. All questions on the following checklist marked with an asterisk (\*) are major deficiencies. Unmarked questions are minor deficiencies.

f. Attainment of standards will be determined according to the following:

(1) OUTSTANDING - No major nor minor deficiency.

(2) SATISFACTORY - No major deficiency and no more than four minor deficiencies.

(3) UNSATISFACTORY- One or more major deficiencies or five or more minor deficiencies; or uncorrected deficiencies from previous years inspection.

**6-16. Reference.** AR 380-19, Information Systems Security.

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**Checklist for Information Systems Security Inspection**

YES NO N/A

**Part I. Garrison Systems:  
(Systems operated by military and civilian organizations on Fort Polk)**

<p>*1 Has an Assistant Information Systems Security Manager (AISSM) been appointed, in writing, at each MSC/Separate Company and Directorate? Has an Information Systems Security Officer (ISSO) been appointed, in writing, at subordinate units, and divisions. This applies to each group of automated information systems (AIS), project activity, or site handling sensitive defense information. AR 380-19, paragraph 1-6d(3)</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>2. Does the written appointment indicate the AISSM/ISSO can cause operations to be partially or completely suspended upon detection of any action which affects the security of the operation, and gives the AISSM/ISSO authority to suspend access to any system user? AR 380-19, paragraph 1-6(3)d.</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>3. In Major Subordinate Commands, Separate Companies and Directorates is the AISSM overseeing the execution and management of the Army Information Systems Security Program (AISSP), to include developing and managing the ISS training program and conducting inspections to determine compliance with AR 380-19 and other applicable laws and directives? AR 380-19, paragraph 1-6</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>4. Is the AISSM/ISSO knowledgeable of responsibilities and managing the program IAW AR 380-19, paragraph 1-6d(3)?</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>*5. Does the inspected organization have on file a current accreditation document and letter signed by the appropriate Designated Accreditation Authority for all systems processing government information? AR 380-19, paragraph 2-3a(9)</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>6. Are all privately-owned personal computers, operating in the inspected area, and processing government information, approved and accredited? AR 25-1, Chapter 5 and AR 380-19, paragraph 2-24</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>7. Does the inspected organization have on file a current inventory of all ADP equipment (serially numbered hardware and executable software) AR 380-19, paragraph 2-4c</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>*8 Is the inspected organization using only software that has been purchased, approved, or leased for use on government-owned computers? AR 380-19, paragraph 2-4</p>	<p>___</p>	<p>___</p>	<p>___</p>
<p>*9. Has the AISSM/ISSO prepared a written SOP prescribing unit/activity implementation of the Information Systems Security policies and procedures? AR 380-19, Appendix D-8, paragraph 2-15</p>	<p>___</p>	<p>___</p>	<p>___</p>

**Figure 6-6f. Information Systems Security Program Inspection.**

10. Does the SOP contain the following:			
a. Procedures for physical protection and control of access to automation equipment? AR 380-19, paragraph 2-10, 2-11			
b. Protection procedures for software used by the system? AR 380-19, paragraph 2-3a(12), 2-4	___	___	___
*c. Procedures and guidance for marking, classification, receipting, inventory and storage of AIS media? AR 380-19, paragraph 2-3a(5), 2-19, and 2-21	___	___	___
*d. Procedures for adhering to the copyright requirements of the software manufacturer and prohibit the loading of software that has not been approved, purchased, or leased for use on government-owned computers? AR 380-19, paragraph 2-3a(12), 2-4	___	___	___
e. Provisions for a Continuity of Operations Plan? AR 380-19, Appendix C	___	___	___
f. Provisions for maintaining backup files and documentation at another location in the event primary computer resources/data are lost or damaged? AR 380-19, D-8f	___	___	___
g. Provisions for environmental security to include no eating, drinking or use of tobacco products in close proximity to computer systems? Federal Information Processing Standards (FIPS) Pub 31, 10.2, A, 7.	___	___	___
*h. Procedures for processing classified information on systems with non-removable hard media? AR 380-19, paragraph 2-21	___	___	___
11. Is there written evidence of organization members being briefed on the provisions of the SOP? AR 380-19, 2-15	___	___	___
12. Are measures outlined in the SOP being followed?	___	___	___
13. Can the organization furnish documentation verifying a security awareness and training program for all managers and users of automation assets? AR 380-19, paragraph 2-15	___	___	___
14. Is the organization complying with personnel security standards as stated in AR 380-19, paragraph 2-16 and AR 380-67, Appendix K?	___	___	___
15. Does the organization meet the minimum requirements of accountability, access control, least privilege and data integrity by having passwords and either automated or manual audit trails in operation on all systems? AR 380-19, paragraph 2-3a	___	___	___
16. Are the passwords composed of at least eight characters consisting of three of the following possible combinations: Alpha/numeric, upper and lower case, character. AR 380-19, 2-14j.	___	___	___
17. Have users been briefed on password classification, exclusiveness safeguarding and disclosure? AR 380-19, paragraph 2-14	___	___	___
18. Has the organization installed the DOD/FORSCOM Telecommunications Warning Banner on all government-owned computer systems? AR 380-19, paragraph 4-11	___	___	___

**Figure 6-6f (continued) Information Systems Security Program Inspection.**

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- |   |     |     |     |
|---|-----|-----|-----|
| 19. Is an approved current DOD virus detection program installed on all systems?<br>FORSCOM NISP IV3.                   | ___ | ___ | ___ |
| 20. Has the organization implemented an effective four-phased risk management/<br>assessment plan? AR 380-19, Chapter 5 | ___ | ___ | ___ |
| 21. Does the organization have a copy of AR 380-19?   | ___ | ___ | ___ |
| 22. Have users been briefed on the provisions of Command Policy Letters 48 and 63?                                      | ___ | ___ | ___ |

**Figure 6-6f (continued). Information Systems Security Program Inspection**

**Part II. Tactical Battlefield Automation Systems (BAS)  
(Systems intended to be operated solely in a field or combat environment)**

	YES	NO	N/A
*1. Are BAS and deployable AIS which function in garrison accredited to operate in garrison, in transit and while deployed? AR 380-19, paragraph 2-25	___	___	___
*2. Does the unit have a tactical security plan or SOP for all BAS as required by AR 380-19, paragraph 2-25d?	___	___	___
3. Does the security plan/SOP contain the following?			
*a Provisions for removal, movement, handling and destruction of classified material processed on BAS systems. AR 380-19, paragraph 2-25	___	___	___
*b. Instructions and procedures for processing classified material and clearing the hard drive in the event of inadvertent writing of classified material to the hard drive. AR 380-19, paragraph 2-25	___	___	___
c. Mechanisms to render the BAS inoperable in case of imminent capture. AR 380-19, paragraph 2-25	___	___	___
d. Measures to enhance security during the transportation of the BAS. AR 380-19, paragraph 2-25	___	___	___
*4. Is the BAS using only software that has been authorized for purchase, use or lease on government-owned computers? AR 380-19, paragraph 2-4	___	___	___

**Figure 6-6f (continued). Information Systems Security Program Inspection**

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### Section V. Personnel Security

**6-17. Purpose.** This section contains the evaluation criteria and checklist(s) for the assessment of the installation's unit level Personnel Security Program.

- a. The following is provided for information and may be used as a guide in preparation for the installation assessment of the organization's individual proficiency through the Personnel Security Program.
- b. Point of contact for this task is the Chief, Security Division, G3/Directorate of Plans, Training, Mobilization, and Security.

**6-18. Responsibility.** Commanders and activity directors are encouraged to use these standards as a management tool to help units maintain an adequate level of personnel security at all times, to maintain the continuous evaluation process and enable them to conduct internal inspections as a part of the Command Inspection Program.

**6-19. Standards.** Satisfactory effective controls for personnel security will be based upon the following standards:

- a. Implementation of established policies and compliance with applicable security regulations within the unit/activity.
- b. Establishment of local procedures within the unit/ activity that will ensure that personnel required access to classified material are properly cleared, briefed on their responsibilities, and continually evaluated for suitability for access to classified information.
- c. Establishment of internal procedures that ensure close coordination between the security manager and administrative, medical, legal personnel, and supervisors to ensure that all pertinent information available within the unit/activity is considered in the personnel security process.
- d. Satisfactory achievement of the minimum standards (critical tasks) for personnel security as outlined in the checklist.
- e. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC and Fort Polk Regulations or Supplements.
- f. All Questions on the following checklist marked with an asterisk (\*) are major deficiencies. Unmarked questions are minor deficiencies.
- g. Attainment of the standards will be determined according to the following:
  - (1) OUTSTANDING: No major nor minor deficiencies.
  - (2) SATISFACTORY: No major deficiencies and no more than two minor deficiencies.
  - (3) UNSATISFACTORY: One or more major deficiencies or three or more minor deficiencies; or uncorrected deficiencies from previous inspection.

**6-20. References.**

- a. AR 380-67, Department of Army Personnel Security Program Regulation.
- b. FORSCOM Supplement 1 to AR 380-67.
- c. AR 380-5, Department of Army Information Security Program.
- d. FORSCOM Supplement 1 to AR 380-5.

**Checklist for Personnel Security**

	YES	NO	N/A
*1. Have procedures been established for maintaining suspended items? (AR 380-67, paragraph 2-200 and 8-101)	___	___	___
Type of system or method used:			
2. Are personnel security procedures a part of the SOP? (AR 380-5, paragraph 13-304)	___	___	___
*3. Are procedures established for timely submission of Reports of Unfavorable Information (DA Form 5248-R) including follow-up and final reports? (AR 380-67, paragraph 2-200 and 8-101)	___	___	___
*4. Are procedures established for timely submission of PCCF-O Form letters and endorsements to memorandums for USA Central Personnel Clearance Facility (CCF) through G3/DPTMS, Intelligence/Security Division? (AR 380-67, paragraph 8-201)	___	___	___
*5. Are procedures established to meet security clearance requirements for levy assignments? (AR 600-8-11, paragraph 2-6b(3))	___	___	___
6. Are procedures established documentation of individuals whose access has been suspended by their command/director? (AR 380-67, paragraph 8-102)	___	___	___
*7. Are procedures established to maintain investigation/clearance data on all personnel? (AR 380-S, paragraph 13-304)	___	___	___
8. Are procedures established between S2/ Security Manager and legal clerk to receive courts-martial and discharge packets? Are AWOL and Article 15 procedures being brought to S2/Security Manger's attention in a timely manner? (AR 380-67, paragraph 8-101 and 2-200)?	___	___	___
*9. Does the S2/Security Manager have on hand a current Roster of Personnel Authorized Access to Classified Information for personnel (ACCESS ROSTER) in the unit/activity? (AR 380-S, paragraph 7-100)	___	___	___
10. Are procedures established to initiate periodic reinvestigations for personnel identified by the Department of the Army and for those exempt from the Centralized Periodic Reinvestigation Program? (Personnel Security Update 95-2 and FORSCOM message, subject: PR CHANGE MSG)	___	___	___
11. Does the activity have a current AR 380-67 on hand or on order? (AR 380-67, paragraph 1-200)	___	___	___

**Figure 6-7g. Checklist for Personnel Security Program Inspection.**

## **Section VI. Security Of Controlled Cryptographic Items (CCI)**

**6-21. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's units/activities Controlled Cryptographic Items (CCI).

- a. The following is provided for information and used as a guide for preparing the installation's assessment of the organization's individual proficiency through the CCI.
- b. Point of contact for this task is the Director of Information Management, Information Assurance Office.

**6-22. Responsibility.** Unit commanders/activity directors, COMSEC Custodians, Property Book Officers and Users are responsible for maintaining proper control, accountability, access of CCI in both the Keyed and Unkeyed state.

**6-23. Standards.** Satisfactory ratings are achieved if a unit or activity meets the minimum standards set forth in DA Pam 25-380-2 and associated regulations. Deficiencies in the following areas will result in an UNSATISFACTORY rating:

- a. Any reportable access discrepancy.
- b. Loss of Control or Accountability.
- c. Unauthorized Maintenance or Modification of CCI equipment or components.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

### **6-24. References.**

- a. AR 190-51 (UPDATE Physical Security), Security of Army Property at Unit and Installation Level.
- b. AR 380-40 Policy for Safeguarding and Controlling COMSEC Information (FOUO).
- c. AR 710-2 (UPDATE Unit Supply Procedures), Supply Policy Below the wholesale level.
- d. DA Pam 25-380-2, Security Standards for Controlled Cryptographic Items.
- e. TB 380-41, Security Procedures for Safeguarding and Supply Control of COMSEC Material.
- f. JRTC & FP Reg 380-3, CCI Procedures.
- g. AR 190-11, Physical Security of Arms, Ammunition and Explosive.

**for Security of Controlled Cryptographic Items**

	YES	NO	N/A
1. Has the unit/organization developed an SOP, which outlines procedures for physical protection and control of access to CCI equipment? (AR 380-40, Para 2-11) (Instl/Unit/Dir)	___	___	___
2. Are CCI end items centrally controlled by serial number and reconciled IAW DA Pam 25-380-2, Para 2-2? (Instl/Unit/Dir)	___	___	___
3. Is access to CCI controlled IAW DA PAM 25-380-2? (All)	___	___	___
4. Are requirements understood for the protection of unattended CCI? (DA Pam 25-380-2, Para 2-7) (All)	___	___	___
5. Are approved methods of shipment and transportation utilized, for the movement of CCI in CONUS and OCONUS? (DA Pam 25-380-2, Para 2-9) (All)	___	___	___
6. Does the unit or activity have plan for emergency storage, evacuation and protection of CCI held? (DA Pam 25-380-2, Para 2-11) (Instl/Unit/Dir)	___	___	___
7. Are maintenance personnel properly certified to repair CCI and are their qualification properly documented on the DA 1435? (AR 380-40, Para 4-7) (DOL/546th Maint)	___	___	___
8. Are full maintenance personnel enrolled in the DACAP Program? (AR 380-40, Para 8-2) (DOL/546th Maint)	___	___	___
9. Are CCI equipment and keying devices, i.e. KYK-13, KOI-18, zeroed prior to storage or shipment? (DA Pam 25-380-2, Para 2-4) (All)	___	___	___
10. When CCI is stored with COMSEC Key, is the device locked in a GSA approved safe? (AR 380-40, Para 1-5) (All)	___	___	___
11. Is the CIK or FORTEZZA card removed from the STU-III/STE or computer when unattended? (DA Pam 25-16, Para 3-3) (All)	___	___	___
12. Have Property Book Officers and users received a command inspection of CCI records? (AR 380-40, Para 1-4(h)) (Instl/Sep Units)	___	___	___

**Figure 6-8h. Checklist for CCI Inspection**

## **JRTC & FP Regulation 20-2**

### **Section VII. Communications Security (COMSEC)**

**6-25. Purpose.** This section contains the criteria and format for the evaluation of COMSEC accounts, sub-accounts and hand receipt holders. Generally, the inspection of COMSEC account/holdings are conducted by COMSEC inspectors at various levels IAW Chapter 6, AR 380-40. The same chapter outlines the minimum qualifications of a Command COMSEC Inspector.

**6-26. Responsibility.** IAW TB 380-41, para 3.6.2 the operational responsibilities and oversight of COMSEC are assigned to the DOIM. Whoever, commanders of units with COMSEC accounts should use this checklist to evaluate their COMSEC posture. The Command COMSEC Inspector for Fort Polk is found at the Director of Information Management, Information Assurance Office.

**6-27. Standards.** Satisfactory effective controls for COMSEC will be based upon the procedural control and 100% accountability of COMSEC material and equipment assigned to a unit or activity. Deficiencies in the following areas will result in an UNSATIS-FACTORY rating:

- a. Loss of control or accountability of COMSEC material or equipment.
- b. Recurring deficiencies.
- c. Facility Relocation or modification without prior written approval.
- d. Any reportable Incident IAW Chapter 5, TB 380-41.
- e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**6-28. References.**

- a. AR 380-40, Policy for Safeguarding and Controlling COMSEC Security Material.
- b. TB 380-41, Procedures for Safeguarding, Accounting, and Control of COMSEC Material.
- c. AR 380-5, Department of the Army Information Security Program.
- d. AR 710-2, Supply Policy Below the Wholesale Level, Unit Supply Update.
- e. AR 381-14(S), Technical Surveillance Countermeasures.

**Checklist for COMSEC Facility IAW TB 380-41**

	YES	NO	N/A
1. The basis for approval of the facility, as reflected in the latest memorandum, “COMSEC Facility Approval Request,” remain unchanged. (AR 380-40, Para 4-5) (Accounts/Sub-Accounts)	___	___	___
2. All discrepancies indicated on previous inspection reports have been reconciled (AR 380-40, Para 6-3) (Accounts/Sub-Accounts)	___	___	___
3. Command COMSEC inspections are conducted at least every 24 months (AR 380-40, Para 6-3(a)) (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
4. An SOP has been prepared IAW AR 380-40, Para 6-3. (Accounts/Sub-Accounts)	___	___	___
5. Supervisory personnel are aware of the requirements for Technical Surveillance Countermeasures (TSCM) services. (AR 380-40, Para 7-7(b)) (Accounts/Sub-Accounts)	___	___	___
6. Maintenance personnel have been certified on DD Form 1435. (AR 380-40, Para 4-7) (DOL/546th Maint)	___	___	___
7. The requirements for access to COMSEC information are known and adhered to (AR 380-40, Para 2-2). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
8. The following documents are readily available or on requisition: AR 380-40, TB 380-41, AR 380-5, and AR 710-2/Unit Supply Update. (AR 380-40, Appendix A) (Accounts/Sub-Accounts)	___	___	___
9. Personnel understand the use of the marking “CRYPTO” (Chapter 5, TB 380-41) (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
10. Personnel are aware of the limitations imposed on the handling and release of UNCLASSIFIED COMSEC information (TB 380-41, Chap 5) (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
11. The COMSEC Custodian and alternate custodian(s) have been appointed on a current DA Form 2012 (AR 380-40, Para 2-1(a)) (Accounts/Sub-Accounts)	___	___	___
12. The COMSEC Custodian is a graduate of the Standardized COMSEC Custodian Course (SCCC) (AR 380-40, Para 2-1(b)) (Accounts)	___	___	___
13. The COMSEC custodians other assigned duties permit sufficient time to adequately discharge their custodial duties (TB 380-41, Chap 2) (Accounts)	___	___	___
14. The COMSEC accounting system provides for proper security control and handling of the accountable COMSEC material (TB 380-41, Chap 4). (Accounts/Sub-Accounts)	___	___	___

**Figure 6-9i. Checklist for CCI Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
16. All authorized quantities of classified Crypto equipment on hand or on order are being used and are required for mission accomplishment. (TB 380-41, Para 3-7) 15. COMSEC records are maintained IAW AR 25-400-2 and AR 380-40, Para 4-6, Table 4-1. (Accounts/Sub-Accounts)	___	___	___
(Accounts/Sub-Accounts)	___	___	___
17. All mandatory modifications to classified COMSEC equipment are applied and the equipment modification record plates accurately reflect their application IAW TB 380-41, Para 2-3. (Accounts/Sub-Accounts/DOL/546th Maint)	___	___	___
18. Procedures for checking packages upon receipt for evidence of tampering or exposure of contents are known (TB 380-41, Para 4-7). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
19. Keying material is inventoried in a manner that assures continuous protection and control (TB 380-41, Para 4-11). (Accounts/Sub-Accounts/HandReceipt Holders)	___	___	___
20. Inventories of ALC 3 and 4 material are recorded on IR cards, IR Cards, SF-153 or ACCLAIMS generated reporting and are prepared, signed and witnessed listing all ALC 3 and 4 material held by the account (TB 380-41, Para 4-3). (Accounts/Sub-Accounts)	___	___	___
21. COMSEC material (including amendment residue), is destroyed in accordance with the schedule and procedures in TB 380-41, Para 5-20. Superseded key is completely destroyed by burning or by destruction devices and methods which are locally authorized. (Accounts/Sub-Accounts)	___	___	___
22. COMSEC publications, as required, are posted with the latest changes and amendments and page checked (TB 380-41, Para 3-2). (Accounts/Sub-Accounts)	___	___	___
23. Local accounting procedures for issuing COMSEC material are known and properly implemented (AR 380-40, Para 2-3). (Accounts/Sub-Accounts)	___	___	___
24. All cryptosystems and authentication systems used by the Command are NSA approved (TB 380-41, Para 3-3). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
25. All keying material on hand is being used on a routine basis or is held for valid contingency purposes (TB 380-41, Para 3-6). (Accounts/Sub-Accounts)	___	___	___
26. The number of editions and copy count of key held are the minimum required (TB 380-41, Para 3-6(5)). (Accounts/Sub-Accounts)	___	___	___
27. Training cryptosystems and/or authentication systems are used only as prescribed in TB 380-41, Para 3-3. (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___

**Figure 6-9i (continued). Checklist for CCI Inspection.**

	YES	NO	N/A
28. All users know the identity and address of the CONAUTH for all key held. (TB 380-41, Para 3-6). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
29. Crypto personnel are proficient in the operation of all systems and/or Crypto equipment held or an adequate training program is in effect. (TB 380-41, Para 2-2) (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
30. If a secure room is used for operations, it meets the minimum requirements of TB 380-41, Para 5-8). (Accounts/Sub-Accounts)	___	___	___
31. When the COMSEC facility is unoccupied, it is provided with safeguards which are deemed by the commander to afford proper protection against unauthorized access (TB 380-41, Para 5-7). (Accounts/Sub-Accounts)	___	___	___
32. Unsecured telephones and other transmitting devices on site are actually required for operation(TB 380-41, Para 5-3). (Accounts/Sub-Accounts)	___	___	___
33. Only mission essential government owned tape recorders, radios, television receivers and cameras, etc. are authorized in the operational COMSEC facility (TB 380-41, Para 5-3). (Accounts/Sub-Accounts)	___	___	___
34. Installation and operation of electronic access control devices conform to the requirements of (TB 380-41, Para 5-3). (Accounts/Sub-Accounts)	___	___	___
35. COMSEC key is stored as required by (TB 380-41, Chap 5). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
36. Location where classified CRYPTO key is stored is augmented by facilities which prevent unauthorized access to the storage container or vault itself (TB 380-41, Para 5-8a(2)). (Accounts/Sub-Accounts)	___	___	___
37. Containers used for storing classified COMSEC information meet original procurement specifications for physical security (TB 380-41, Para 5-8). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
38. Locks used to secure storage containers or secure rooms are approved built-in combination locks or, where prescribed for the classification of material and circumstances, approved combination padlocks (TB 380-41, Para 5-8). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
39. When not installed in an operational configuration, classified crypto equipment and components are stored securely (TB 380-41, Para 5-8). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___

Figure 6-9i (continued). Checklist for CCI Inspection.

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	YES	NO	N/A
40. When installed in an operational configuration, unattended, unkeyed Crypto equipment is left installed and protected in a manner approved by the Commander IAW (TB 380-41, Para 5-8). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
41. All classified COMSEC documents are stored securely (TB 380-41, Para 5-8). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
42. Lock Combinations have been changed within the past 12 months. For containers storing NATO material every 6 months, or when an individual knowing the combination no longer requires access (TB 380-41, Para 5-8). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
43. Lock combinations are disseminated to an absolute minimum number of authorized personnel (TB 380-41, Para 5-3(c)). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
44. Access to the COMSEC facility is granted and controlled IAW the provisions of (TB 380-41, Para 5-2). (Accounts/Sub-Accounts)	___	___	___
45. Daily security checks are made at the end of each workday and on non-workdays as required (TB 380-41, Para 5-4). (Accounts/Sub-Accounts)	___	___	___
46. The procedures for preparing classified material for shipment are known and adhered to (TB 380-41, Para 5-10). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
47. Authorized means of transporting classified COMSEC material are known and adhered to (TB 380-41, Chap 5). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
48. An emergency plan has been prepared and includes those provisions of TB 380-41, Para 5-18 deemed appropriate by the commander. (Accounts/Sub-Accounts)	___	___	___
49. The emergency plan is compatible with command emergency plans (TB 380-41, Para 5-17). (Accounts/Sub-Accounts)	___	___	___
50. Emergency procedures provide for the immediate destruction of superseded key IAW (TB 380-41, Para 5-18). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
51. Emergency destruction materials are adequate and readily available for use (TB 380-41, Para 5-20). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
52. Briefings and dry runs are held quarterly (and documented) and all personnel are aware of their responsibilities in the event of an emergency (TB 380-41, Para 5-17(b)). (Accounts/Sub-Accounts)	___	___	___

**Figure 6-9i (continued). Checklist for CCI Inspection.**

	YES	NO	N/A
53. Sensitive pages of COMSEC maintenance manuals (KAM) have been prepared for quick removal, where required, and personnel are familiar with the emergency implementing procedures (TB 380-41, Para 5-21). (Accounts/Sub-Accounts)	___	___	___
54. Personnel are familiar with reportable incidents pertaining to the Crypto systems and associated material held (TB 380-41, Para 5-25). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
55. Supervisory personnel are thoroughly familiar with the requirements for reporting incidents (TB 380-41, Para 5-25). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
56. Users are aware of the requirements to report all circumstances, occurrences, or acts which could lead to a compromise of key directly to the appropriate CONAUTH (TB 380-41, Para 5-26). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
57. All centrally accountable COMSEC material on hand, including the number of copies or items, is mission essential (TB 380-41, Para 3-8). (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
58. Preventive maintenance is being performed as directed in the appropriate organizational/operator level technical manual for the COMSEC equipment held. (Accounts/Sub-Accounts/Hand Receipt Holders)	___	___	___
59. In COMSEC facilities with a continuous (24 hour) operation, the SF 702 is properly annotated at the end of each shift change. (AR 380-41, Para 4-6) (Accounts/Sub-Accounts)	___	___	___
60. All personnel whose duties require them to be in the DACAP IAW AR 380-40, Para 8-1, have received the DACAP briefing and have read and signed their DACAP certification memorandum. (Accounts/Sub-Accounts/Hand Receipt Holders/DOL/546th Maint)	___	___	___
60a. A roster of all personnel assigned who are enrolled in DACAP has been forwarded to the appropriate local security office. (AR 380-41, Para 8-4) (Accounts/Sub-Accounts/DOL/546th Maint)	___	___	___
60b. Personnel that no longer qualify for DACAP have signed the termination of access portion of the DACAP certification memorandum and a copy of their memo has been forwarded to the appropriate local security office. (AR 380-41, Para 8-4) (Accounts/Sub-Accounts/DOL/546 <sup>th</sup> Maint)	___	___	___
61. Annual review by CONAUTH is accomplished and required documentation is on hand. (AR 380-40, Para 1-4) (Accounts/Sub-Accounts)	___	___	___
62. The quarterly review of key holding and usage is accomplished by the COMSEC custodian and reported to the Controlling Authority and USACCSLA, ATTN: SELCL-KP-KEY as required by (AR 380-40). (Accounts/Sub-Accounts)	___	___	___

Figure 6-9i (continued). Checklist for CCI Inspection.

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
63. The CONAUTH has taken appropriate action to adjust key issue quantities based on quarterly reports received from COMSEC custodians. (TB 380-41, Para 3-6) (Accounts/Sub-Accounts)	—	—	—

**Figure 6-9i (continued). Checklist for CCI Inspection.**

## Section VIII. Information Security

**6-29. Purpose.** This section contains the evaluation criteria and checklist(s) for information security inspections.

- a. The following is provided for information and used as a guide in preparing for the assessment of the individual organization's proficiency in the Information Security Program.
- b. Point of contact for this task is the G3/ DPTMS, Intelligence & Security Division.

**6-30. Responsibility.** Commanders, directors, and Security Managers are urged to use these standards to help units maintain an adequate level of information security, and to enable them to conduct the internal inspection of the Command Inspection Program.

**6-31. Standards.** Satisfactory controls for information security will meet the following standards.

- a. Implementation of established policies and procedures and compliance with applicable regulations within the unit/ activity.
- b. Establishment of local procedures within the unit/activity that will ensure the security of classified information and equipment.
- c. Establishment of an internal program of security inspections and spot checks, announced and unannounced, and during and after duty hours, to ensure regulatory compliance.
- d. All questions on the following checklist marked with an asterisk (\*) are major deficiencies/critical tasks. Unmarked questions are minor deficiencies.

e. Attainment of standards will be determined according to the following:

(1) SATISFACTORY - No major deficiency (critical task), zero or one recurring deficiency (from last inspection) and no more than 10 % noncompliance with checklist items.

(2) UNSATISFACTORY- One or more major deficiencies, two or more recurring deficiencies or more than 10% noncompliance with checklist items.

f. Applicability: Items marked "All" pertain to Brigade, Battalion and Separate Unit and O-5 or equivalent organizations (including directorates). Items marked "B/B" pertain to Brigade and Battalion. Items marked "B/B/S" pertain to Brigade, Battalion and Separate Units. Items marked "TS-H,P,S" pertain to "where TOP SECRET items are handled, processed or stored". Items marked "C-H,P,S" pertain to "where classified (documents or equipment) is handled, processed or stored".

**6-32. References.**

- a. AR 380-5, Department of Army Information Security Program.
- b. FORSCOM Supplement 1 to AR 380-5.

**JRTC & FP Regulation 20-2**

**Checklist for Security Inspection**

	YES	NO	N/A
*1. Has a properly cleared commissioned officer, warrant officer, noncommissioned officer (E7 or above) or qualified GS-07 or above been formally appointed in writing as the Security Manager (FORSCOM Supplement 1, to AR 380-5, paragraph 13-304a(1)(a)) [All, C-H,P,S]	___	___	___
2. Does the written appointment indicate that the Security Manager has been appointed IAW paragraph 13-304 of AR 380-5 and that he/she is responsible for administration of the Information Security Program for that unit/activity? (AR 380-5) [All, C-H,P,S]	___	___	___
*3. Have a classified document custodian and alternate been appointed in writing? Does the written appointment indicate that the individual was briefed by the Security Manager and is knowledgeable of his/her responsibilities? [All, C-H,P,S]	___	___	___
4. Do unit procedures for handling classified material require that the classified document custodian be advised of all material placed in or withdrawn from storage in the security container? (AR 380-5, paragraph 5-200) [All, C-H,P,S]	___	___	___
5. If appropriate, has TOP SECRET Control Officer (TSCO) and alternate been appointed? (AR 380-5, paragraph 7-300a) [TS-H,P,S]	___	___	___
*6. Has the Security Manager prepared a written SOP prescribing unit/activity implementation of the Information Security Program policies and procedures? [All, TS-H,P,S, C-H,P,S]	___	___	___
Specifically, does the SOP contain the following?			
7. Outline procedures for control of access to classified information? (AR 380-5, paragraph 7-100 and 7-103) [All, TS-H,P,S; C-H,P,S]	___	___	___
8. Outline protection/destruction procedures for classified waste and end-of-day security checks using SF 701 (Activity Security Checklist)? (AR 380-5, paragraph 5-202 and 9-103) [All, TS-H,P,S; C-H,P,S]	___	___	___
9. Outline protective measures for classified materials when removed from storage for working purposes? (AR 380-5, paragraph 5-201) [All, TS-H,P,S; C-H,P,S]	___	___	___
10. Outline procedures for notification when a security container is found unlocked and unattended? (AR 380-5, paragraph 5-202) [All, TS-H,P,S; C-H,P,S]	___	___	___
11. Outline procedures to ensure only appropriately cleared personnel determine the contents of mail? [ All ]	___	___	___

**Figure 6-10j. Checklist for Security Inspection**

	YES	NO	N/A
12. Outline procedures to be taken when a possible insecurity has occurred? (AR 380-5, paragraph 5-202, 6-102 and 6-103) [ All ]	___	___	___
13. Is the Standard Form 312 (Classified Information Nondisclosure Agreement ) executed for each person granted access? (AR 380-5, Appendix P) [ All ]	___	___	___
14. Are personnel who have their access suspended immediately removed from all copies of the unit access roster and is G3/ DPTMS, Security Division notified? (AR 380-5, paragraph 7-100) [ All ]	___	___	___
*15 Where classified material is processed and/or stored, has the Security Manager conducted an annual security inspection of all subordinate elements? (AR 380-5, paragraph 13-304h) [All, TS-H,P,S; C-H,P,S]	___	___	___
16. If so, is a copy of the report with corrective action taken, (if any) on filed in the unit? (FORSCOM Supplement 1 to AR 380-5, Appendix U) [All, TS-H,P,S; C-H,P,S]	___	___	___
17. Where classified material is processed and/or stored, has the Security Manager conducted an annual after duty hours check of subordinate elements? (FORSCOM Supplement 1 to AR 380-5, paragraph 13-304c1 (c ) (2)) [All, TS-H,P,S; C-H,P,S]	___	___	___
18. If so, is a copy of the report (Unannounced Security Check) (After Duty Hours) on file? (FORSCOM Supplement 1 to AR 380-5, Appendix V) [All, TS-H,P,S; C-H,P,S]	___	___	___
19. Has the Security Manager conducted periodic spot checks? (FORSCOM Supplement 1 to AR 380-5, paragraph 13-304cl (h ) 3) [All, TS-H,P,S; C-H,P,S]	___	___	___
20. Has the Security Manager/ Classified Document Custodian conducted and annual review of classified material on hand and has an MFR been prepared indicating its completion? (AR 380-5, paragraph 13-304g) [TS-H,P,S; C-H,P,S]	___	___	___
22. Has the Security Manager designated a self service copier machine for making 25 or less copies per original of CLASSIFIED information, and has FORSCOM Form 138-R been posted? (FORSCOM Supplement 1 to AR 380 -5, paragraph 7-305c) [TS-H,P,S; C-H,P,S]	___	___	___
23. Has the Security Manager posted FORSCOM Poster 93-R on or near all equipment <u>not</u> authorized for reproduction of classified material? (FORSCOM Supplement 1 to AR 380-5, paragraph 7-3305d) [All, TS-H,P,S; C-H,P,S]	___	___	___
24. Has the Security Manager posted FORSCOM Form 102-R stating he is the Security Manager? (FORSCOM Supplement 1, AR 380-5, paragraph 13-304c) [All]	___	___	___
25. Has an SF 701 (Activity Security Checklist) been posted and checked at the close of each work day? (AR 380-5, paragraph 5-202) [TS-H, P, S; C-H, P, S]	___	___	___

Figure 6-10j (continued). Checklist for Security Inspection

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
26. Has the Security Manager ensured that all incoming personnel received a security orientation briefing? Are copies of FP Form 473 (Security Orientation Briefing) on file for all individuals listed on the access roster? (AR 380-5, paragraph 10-101) [All]	___	___	___

**Program Management**

27. Does the activity have copies of AR 380-5 and FORSCOM Supplement 1 AR 380-5? (AR 380-5, paragraph 1-201) [All, TS-H,P,S; C-H,P,S]	___	___	___
28. Is a receipt being obtained for all classified material/information had carried or forwarded by mail to a contractor? (DA Form 3964) [All, TS-H,P,S; C-H,P,S]	___	___	___
29. Are DA Forms 3964 retained for 2 years? [All, TS-H,P,S; C-H,P,S]	___	___	___
30. Are Special restrictions on dissemination of intelligence information on NO CONTRACTOR (NOCONTRACT) observed? [All, TS-H,P,S; C-H,P,S]	___	___	___

**Marking**

31. Does the Security Manager/Classified Document Custodian review incoming classified material for administrative correctness IAW AR 380-5, Chapter 1, Section 4? [All, TS-H,P,S; C-H,P,S]	___	___	___
32. Have classified documents been properly marked IAW AR 380-5, Chapter 4? [TS-H,P,S; C-H,P,S]	___	___	___
33. Has the Classified Document Custodian canceled classification markings IAW AR 380-5, paragraph 4-400? [TS-H,P,S; C-H,P,S]	___	___	___
34. Are electronically transmitted messages properly marked? (AR 380-5, paragraph 4-207) [All, TS-H,P,S; C-H,P,S]	___	___	___

**Safekeeping and Storage Of Classified Material**

*35. Is the classified information properly guarded or stored in approved General Services Administration (GSA) containers? (AR 380-5, paragraph 5-102 and FORSCOM Supplement 1 to AR 380-5, paragraph 5-201c) [TS-H,P,S; C-H,P,S]	___	___	___
36. If security container does not have a GSA label attached, is a copy of the memo from G3/DPTMS, Security Division on file re-certifying the container? (FORSCOM Supplement 1 to AR 380-5, paragraph 5-102b) [TS-H,P,S; C-H,P,S]	___	___	___

**Figure 6-10j(continued). Checklist for Security Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
37. Are combinations to security containers changed at least biennially and/or as otherwise required? (AR 380-5, paragraph 5-104b1) [TS-H,P,S; C-H,P,S]	___	___	___
38. Is SF 702 (Security Container Check Sheet) displayed conspicuously on all containers and vaults used to store classified material? (AR 380-5, paragraph 5-202) [TS-H,P,S; C-H,P,S]	___	___	___
39. Is the current and workable Emergency Removal Plan Affixed to or near the container of vault? (FORSCOM Supplement 1 to AR 380-5, paragraph 5-203 and 5-203a) [TS-H,P,S; C-H,P,S ]	___	___	___
Specifically, IAW AR 380-5, paragraph 5-203, does the Emergency Removal Plan:			
40. Provide for the protection of classified material in a manner that will minimize the risk of injury or loss of life of personnel? [TS-H,P,S; C-H,P,S ]	___	___	___
41. Assign a priority for emergency evacuation or destruction based on the type of classified material being stored? [TS-H,P,S; C-H,P,S]	___	___	___
42. Are the records of combinations assigned a security classification equal to the highest category of classified material authorized to be stored in the containers? (AR 380-5, paragraph 5-104b2) [All, TS-H,P,S; C-H,P,S]	___	___	___
43. Are procedures established for controlling the removal of classified material from the physical confines of the facility/building? (FORSCOM Supplement 1 to AR 380-5, paragraph 5-200). [All, TS-H,P,S; C-H,P,S]	___	___	___
44. Are carbon and plastic typewriter ribbons and carbon papers used in the production of classified information destroyed after use? (AR 380-5, paragraph 5-201c) [All, TS-H,P,S; C-H,P,S]	___	___	___
45. Is an adequate system of security checks set up for the close of the working day? Is the SF 701 filled out and signed? (AR 380-5, paragraph 5-202) [TS-H,P,S; C-H,P,S]	___	___	___
46. Are appropriate security precautions taken before conferences or other meetings in which classified information is to be discussed or disclosed? (AR 380-5, paragraph 5-205) [All]	___	___	___
47. Is SF 700 (Security Container Information) maintained for each container used for storing classified information? (AR 380-5, paragraph 5-104) [All, TS-H,P,S; C-H,P,S]	___	___	___
<b>Compromise Of Classified Information</b>			
48. Are personnel aware of their responsibilities in the event of an actual or possible compromise? (AR 380-5, paragraph 6-102, 6-105, 6-106 ) [All, TS-H,P,S; C-H,P,S]	___	___	___

**Figure 6-10j(continued). Checklist for Security Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
49. Has a program been established to report Special Category Absentees and AWOL persons who have been granted access? (AR 380-5, paragraph 6-110 and DA Message DAMO-ODC, dated 280930Z, Jun 90, Subject: Processing of Special Category Absentees) [All, TS-H,P,S]	___	___	___

**Access, Dissemination, and Accountability**

50. Are TOP SECRET accountability registers and access rosters maintained? (AR 380-5, paragraph 7-300) [TS-H,P,S]	___	___	___
51. Are 10% of the TOP SECRET documents inventoried monthly? (AR 380-5, paragraph 7-300) [TS-H,P,S]	___	___	___
52. Are working papers marked, protected, accounted for, controlled and destroyed IAW classification level of the material? (AR 380-5) [All, TS-H,P,S; C-H,P,S]	___	___	___
53. Is a list showing unclassified title, date, and location of classified documents maintained by the Security Manager? [All, TS-H,P,S; C-H,P,S]	___	___	___

**Transmission**

54. Does the preparation of classified material for transmission or shipment meet minimum requirements? Are appropriate receipt systems used? (AR 380-5, paragraph 8-200 and 8-202) [All, TS-H,P,S; C-H,P,S]	___	___	___
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**Figure 6-10. Checklist for Security Inspection.**

	YES	NO	N/A
55. Are the restriction, procedures and authorization requirements concerning escort and hand carry of classified observed? (AR 380-5, paragraph 8-200) [All, TS-H,P,S; C-H,P,S]	___	___	___

**Disposal and Destruction**

56. Are approved methods of destruction used? (outlined in SOP) (AR 380-5, paragraph 9-101) [All, TS-H,P,S; C-H,P,S]	___	___	___
57. Are records of destruction maintained for TOP SECRET material and for SECRET? (AR 380-5, paragraph 9-103) [All, TS-H,P,S; C-H,P,S]	___	___	___
58. Is classified material destroyed in the presence of two cleared witnesses for TOP SECRET and one cleared witness for SECRET? (AR 380-5, paragraph 9-103) [All, TS-H,P,S; C-H,P,S]	___	___	___

**Figure 6-10j(continued). Checklist for Security Inspection.**

	YES	NO	N/A
59. Are records of destruction maintained for at least two years? (AR 380-5, paragraph 9-103) [All, TS-H,P,S; C-H,P,S]	___	___	___

**Security Education**

*60. Have security education programs been established to meet the objective of improving the protection of information as required? (AR 380-5, paragraph 10-100) [All, TS-H,P,S; C-H,P,S]	___	___	___
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61. Have programs been established to provide periodic (at least annual) refresher training? (AR 380-5, paragraph 10-103) [All, TS-H,P,S; C-H,P,S]	___	___	___
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62. Are personnel who have had access to classified information given foreign travel briefings when required? (AR 380-5, paragraph 10-104) Are the remainder given defensive foreign travel briefing when required. [All, TS-H,P,S; C-H,P,S]	___	___	___
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63. Are DA Forms 2962 (Security Termination Statements) executed when required? Are steps taken to ensure that departing personnel have no classified documents in their possession? (AR 380-5, paragraph 10-105) [All, TS-H,P,S; C-H,P,S]	___	___	___
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**Foreign Government Information**

64. Are the classification, declassification, marking, and safeguarding requirements for foreign government information being met? (AR 380-5, Chapter XI) [All, TS-H,P,S; C-H,P,S]	___	___	___
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**Administrative Sanctions**

65. Have administrative sanctions been imposed against military and civilian personnel for violating provisions of AR 380-5, subsection 14-101? Is prompt corrective action taken? (AR 380-5, paragraph 14-102) [All, TS-H,P,S; C-H,P,S]	___	___	___
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	YES	NO	N/A
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66. Are violations properly reported when required? (AR 380-5, paragraph 14-104) [All, TS-H,P,S; C-H,P,S]	___	___	___
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67. Does the unit maintain policy books on AR 381-10 or AR 380-13 (as applicable)? Is training occurring? [All, TS-H,P,S; C-H,P,S]	___	___	___
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(Security Inspector should sign and date this checklist when completed)

**Figure 6-10j (Continued). Checklist for Security Inspection**

## **Section IX. Crime Prevention**

**6-33. Purpose.** This section contains the evaluation criteria and checklist (s) for assessment of the installation's unit level Crime Prevention Program.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the unit level Crime Prevention Program.

b. Point of contact for this task is the Provost Marshal Office, Physical Security Division, Building 2396, telephone numbers 7907/4913.

**6-34. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units to maintain a comprehensive Crime Prevention Program, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**6-35. Standards.** Satisfactory effective control for crime prevention will be based upon the following standards:

a. Designated responsible unit/facility personnel to ensure compliance with established regulations.

b. Actual inspections/inventories to insure accountability of property, and adhere to required procedures.

c. Satisfactory achievement of minimum standards (critical tasks) of crime prevention, as outlined in the checklist.

d. Maintenance of current reference material, i. e., DOD Regulations, Army Regulations, Field Manuals, and applicable JRTC & Fort Polk Regulations and Supplements.

e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

### **6-36. References.**

a. AR 190-13, The Army Physical Security Program.

b. AR 190-51, Security of Army Property at Unit and Installation Level.

c. JRTC and Fort Polk Regulation 190-31, Crime Prevention Program.



**JRTC & FP Regulation 20-2**

**Checklist for Crime Prevention  
Brigade  
Administration**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies. Critical task deficiencies are identified by an asterisk (\*). Four (4) or more deficiencies other than critical will result in a (NO GO) (POOR) rating.

	YES	NO	N/A
1. Does the brigade have a Crime Prevention council established? (JRTC & FP Reg 190-31, para 5a)	___	___	___
2. Does the Brigade Crime Prevention council Meet semiannually? (JRTC & FP Reg 190-31, para 5a)	___	___	___
3. Does the Brigade Commander have a Crime Prevention Officer and/or NCO designated? (JRTC & FP Reg 190-31, para 5b(4))	___	___	___
4. Does the Brigade maintain a Crime Prevention program? (JRTC & FP Reg 190-31, para 5b(1))	___	___	___
5. Does the Brigade take positive command actions to eliminate multiple criminal offenders from the army? (JRTC & FP Reg 190-31, para 5b(5))	___	___	___

**Battalion/Squadron  
Administration**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies. Critical task deficiencies are identified by an asterisk (\*). Four (4) or more deficiencies other than critical will result in a (NO GO) (POOR) rating.

	YES	NO	N/A
1. Does the Battalion/Squadron have a Crime Prevention council established? (JRTC & FP Reg 190-31, para 5a)	___	___	___
2. Does the Battalion/Squadron Crime Prevention council Meet semiannually? (JRTC & FP Reg 190-31, para 5a)	___	___	___
3. Does the Battalion/Squadron Commander have a Crime Prevention Officer and/or NCO designated? (JRTC & FP Reg 190-31, para 5b(4))	___	___	___
4. Does the Battalion/Squadron maintain a Prevention program? (JRTC & FP Reg 190-31, para 5b(1))	___	___	___
5. Does the unit take positive command actions to eliminate multiple criminal offenders from the army? (JRTC & FP Reg 190-31, para 5b(5))	___	___	___

**Figure 6-11k. Checklist for Crime Prevention Program Inspection.**

**Company/Battery/Troop/Detachment  
Administration**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies. Critical task deficiencies are identified by an asterisk (\*). Four (4) or more deficiencies other than critical will result in a (NO GO) (POOR) rating.

	YES	NO	N/A
1. Does the battalion/troop/company have a Crime Prevention council established? (JRTC & FP Reg 190-31, para 5a)	___	___	___
2. Does the battalion/troop/company have a Crime Prevention Officer and/or NCO designated? (JRTC & FP Reg 190-31, para 5b(4))	___	___	___
3. Does the unit maintain a Unit Crime Prevention SOP? (JRTC & FP Reg 190-31, para 5c(2))	___	___	___
4. References.			
a. Is AR 190-51 on hand?	___	___	___
b. Is JRTC & FP Reg 190-31 on hand?	___	___	___
5. Are all newly assigned personnel briefed on the following within three (3) working days after assignment to the unit and documented? (JRTC & FP Reg 190-31, App C, para C-2)	___	___	___
a. The contents of JRTC & FP Reg 190-31? (JRTC & FP REG 190-31, App C, para 2c(2))	___	___	___
b. Unit crime trends, crime hazards, unit programs, and individual responsibilities? (JRTC & FP Reg 190-31, para 5c(1))	___	___	___
c. Their responsibility to report knowledge of criminal activity to the military police? (JRTC & FP Reg 190-31, para 3a))	___	___	___
*6. Does the unit maintain an up-to-date list of privately owned vehicles by unit personnel with license plate numbers? (JRTC & FP Reg 190-31, para 5c(7))	___	___	___
*7. Does the unit have a crime prevention personnel property, security SOP containing , at a minimum, the following requirements?			
a. That all assigned/attached unit personnel read the Crime Prevention/ Personal Property Security SOP? (JRTC & FP Reg 190-31, para 5c (2)(a))	___	___	___
b. The unit personnel SSG and below reside in the troop billets participate in the Army Operation Identification Program? (JRTC & FP Reg 190-31, para 5c (2)(b))	___	___	___
c. That DA Form 4986 (Personal Property Record ) be appropriately maintained (original in secure storage within the unit; 1 copy with the individual ) and verified within 5 working days or moving into troop billets/BEQ and updated quarterly? (JRTC & FP Reg 190-31, para 5c (2) (b) )	___	___	___
d. That unit make available and encourage the use of an engraver for marking personal property? (JRTC & FP Reg 190-31, para 5c (2) (c) )	___	___	___

**Figure 6-11I (continued). Checklist for Crime Prevention Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
8. Are personal departing the unit interviewed to gain information of possible criminal activity within the unit? (JRTC & FP Reg 190-31, App C, para 5c (3) )	___	___	___
9. Rape Prevention Seminar.			
a. Are all female soldiers scheduled to attend the PMO sponsored Rape Prevention Seminar within 60 days of initial assignment and annually thereafter? ( JRTC & FP Reg 190-31, para 5c (3) )	___	___	___
b. Are all male soldiers, the rank of MSG and below, scheduled annually to attend a PMO sponsored Rape Prevention Seminar ? ( JRTC & FP Reg 190-31, para 5c (3) )	___	___	___
*10. If the unit safe is utilized to store pilferable items or money with an aggregate value of excess of \$1000, is the safe secured to the building structure and maintained limited access of authorized/assigned personnel? ( JRTC & FP Reg 190-31, para 5c (4) )	___	___	___
11. Are current “Off Limits Establishments” posted on the unit’s bulletin board ? (JRTC & FP Reg 190-31, para 5c (8) )	___	___	___
12. Does the unit have, on file, a copy of the last/most recent Crime Prevention Inspection report, to include monthly inspection initiated by the unit ? ( JRTC & FP Reg 190-31, para 5c (11) )	___	___	___
13. Does the unit conduct semiannual crime prevention training/briefing to all soldiers and is it documented ? (JRTC & FP Reg 190-31, APP C, Para 3c)	___	___	___

**Figure 6-11I (continued). Checklist for Crime Prevention Program Inspection.**

**Company/Battery/Troop/Detachment  
Billet/Parking Lots Security**

Rating Guidelines : To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies. Critical task deficiencies are identified by an asterisk (\*). Three (3) or more deficiencies other than critical will result in a (NO GO) (POOR) rating.

	YES	NO	N/A
*1. If non-unit personnel are found in the unit area, are they escorted to the commander, First Sergeant, or CQ ? (JRTC & FP Reg 190-31, App C, para 2d (5) )	___	___	___
*2. Are unoccupied rooms in billets secured ? (JRTC & FP Reg 190-31, App C, para 2d (4) )	___	___	___
*3. Are wall lockers secured and locked when room is unattended ? ( JRTC & FP Reg 190-31, App C, para 2d (3) )	___	___	___
*4. Is TA-50 and equipment properly secured ( i.e., duffel bags padlocked, etc.) to the wall locker ? (JRTC & FP Reg 190-31, para 5c (9) )	___	___	___
*5. Are small items of high value (i.e., cash, stamps, etc.) secured unless under the direct observation of the owner ? (JRTC & FP Reg 190-31, APP C, para 2d (1) )	___	___	___
*6. Is personal property of personnel in the field or on leave properly secured (i.e., inventoried and wall lockers banded (seals can be used) ) or stored in a secured area ? (JRTC & FP Reg 190-31, App C, para 2c (5) (c) )	___	___	___
*7. Are billet rooms and common areas secured when unattended ? (JRTC & FP Reg, App A, para 2h )	___	___	___

**Figure 6-11m (continued). Checklist for Crime Prevention Program Inspection**

**JRTC & FP Regulation 20-2**

**Company/Battery/Troop/Detachment  
Supply Room**

Rating Guidelines: To achieve the minimum standards in this area, there will be no deficiencies. One deficiency will result in a (NO GO) (Poor) rating.

	YES	NO	N/A
1. Are supply room crime prevention techniques included in the unit Crime Prevention SOP to include, as a minimum: (JRTC & FP Reg 190-31, para 5c (12))			
*a. A requirement to control access to the supply room and all other unit storage areas? (JRTC & Fp Reg 190-31, App A, para 3a)	___	___	___
*b. A requirement to secure the supply room and all its annexes when authorized personnel are not present? (AR 190-51, para 3-23b)	___	___	___
*2. Is the personal property of personnel in TDY status, AWOL, or in the hospital, inventoried and secured in the supply room or annex? (JRTC & FP Reg 190-31, App C, para 2c(5) (c))	___	___	___

**Figure 6-11n. Checklist for Crime Prevention Program Inspection.**

	YES	NO	N/A
*3. Are tools capable of breaking security devices (i.e., bolt cutters, crowbars, chisels, etc.) secured in a separate locked container within the supply? (AR 190-51, Para 3-22)	___	___	___

**Company/Battery/Troop/Detachment  
Billet Key Control**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies and no recurring deficiency. Critical task deficiencies are identified by an asterisk (\*). Five (5) or more deficiencies other than critical will result in a (NO GO) (Poor) rating.

1. Was a key custodian (or alternate, if applicable) appointed in writing? (AR 190-51, App D, para D-2)	___	___	___
2. Had the key custodian (or alternate, if applicable) taken steps to ensure that personnel who were designated to issue, receive, and account for keys in his/her absence clearly understood local key control procedures? ( AR 190-51, App D, para D-2)	___	___	___
3. Did the key custodian (or alternate, if applicable) properly maintain a key control register (DA Form 5513-R) at all times? (AR 190-51, App D, para D-2)	___	___	___
4. Were the keys properly signed out to authorized personnel on a key control register (DA Form 5513-R)? (AR 190-51, App D, para D-3)	___	___	___

**Figure 6-11o. Checklist for Crime Prevention Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
5. Was the key control register (DA Form 5513-R) properly secured when not in use? (AR 190-51, App D, para D-3)	___	___	___
6. Were keys properly secured in a approved container? (AR 190-51, App D, para D-4)	___	___	___
7. Is the key depository located in a room where it is kept under 24-hour surveillance, or in a room that is locked when unoccupied? (AR 190-51, App D, para D-4)	___	___	___
8. Was an unauthorized master key system or multiple key system was in use? (AR 190-51, App D, para D-5)	___	___	___
9. Were unauthorized locks/locking devices used to protect unclassified, non-sensitive Army supplies and equipment? (AR 190-51, App D, para D-1 and D-5)	___	___	___
10. Are padlocks and/or keys not in use properly secured? (AR 190-51, App D, para D-5)	___	___	___
11. Are keys and/or combinations to locks properly accounted for at all times? (AR 190-51, App D, para D-6)	___	___	___
12. Are differences between keys on hand and the key control register (DA Form 5513-R) properly reconciled at the end of each duty day? (AR 190-51, App D, para D-6)	___	___	___
13. Was a semiannual inventory of padlocks and/or keys properly conducted and/or recorded? (AR 190-51, App D, para D-6)	___	___	___

**Figure 6-11o (continued). Checklist for Crime Prevention Program Inspection.**

	YES	NO	N/A
14. Were padlocks replaced or recoded when a key was identified as lost or missing? (AR 190-51, App D, para D-6)	___	___	___
15. Is a key and lock inventory list (FP Form 641) properly maintained and secured in the key depository? (AR 190-51, App D, para D-6)	___	___	___
16. Are keys which do not have serial numbers given one? (AR 190-51, App D, para D-6)	___	___	___
17. Are like keys further identified? (AR 190-51, App C, para C-4)	___	___	___
18. Are the key(s) to the key container properly safe-guarded? (AR 190-51, App D, para D-7)	___	___	___
19. Are the roster of personnel authorized access to the key container and/or personnel authorized to receive keys from the key custodian properly maintained? (AR 190-51, App D, para D-7)	___	___	___

**Figure 6-11p. Checklist for Crime Prevention Program Inspection**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
20. Are keys were in the possession of a person not listed on the key access roster? (AR 190-51, App D, para D-7)	___	___	___
21. Were change of combinations to locks on vault doors and/or Class 5 or Class 6 security containers (other than AA&E) properly conducted and/or recorded as required? (AR 190-51, App D, para D-7?)	___	___	___
22. Were unauthorized chain used for security of unclassified, non-sensitive equipment and supplies? (AR 190-51, App D, para D-1 and D-9)	___	___	___
23. Was a key control/accountability system established? (AR 190-51, para 3-25 and App D)	___	___	___

**Figure 6-11p (continued) Checklist for Crime Prevention Program Inspection**

## Section X. Physical Security

**6-37. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's Physical Security Program.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's proficiency through the Physical Security Program.

b. Point of contact for this task is the Provost Marshal's Office, Physical Security Division, Building 2396, telephone number 7907/7756.

**6-38. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain a comprehensive Physical Security Program, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**6-39. Standards.** Satisfactory effective controls for physical security will be based upon the following standards.

a. Establishment of written procedures (SOPs) defining security responsibilities for receipt, utilization, and maintenance of all government property within the area of responsibility.

b. Satisfactory achievement of the minimum standards (critical tasks) of physical security, as outlined in the checklists.

c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

### **6-40. References.**

a. AR 190-11, Physical Security of Arms, Ammunition, and Explosives.

b. AR 190-13, The Army Physical Security Program.

c. AR 190-51, Physical Security of Unclassified Army Property (Sensitive and Non-sensitive).

d. AR 380-5, Department of the Army Information Security Program.

e. AR 380-19, Information Systems Security.

f. AR 385-64, Ammunition and Explosives Safety Standards.

g. AR 710-2, Supply Policy Below the Wholesale Level.

h. DA Pam 710-2-1, Using Unit Supply System (Manual Procedures).

i. DA Pam 25-400-2, Modern Army Record keeping System (MARKS).

j. JRTC & Fp Reg 75-1, Ammunition Control Procedures.

k. FM 19-30, Physical Security.

l. TB 9-3200-422-20.

m. TM 9-1300-206, Ammunition and Explosive Standards.

n. CG E-mail message dated 18 Aug 94, SUBJ: Security of Night Vision Devices.

o. JRTC & FP Reg 190-3, Privately-Owned Weapons.

p. Command Policy Memorandum Number 28, Subject: Privately-Owned Weapons

q. Provost Marshal Physical Security.

**JRTC & FP Regulation 20-2**

**Checklist for Physical Security**

**Arms Rooms**

**(Applies to any unit at any level that stores arms, ammunition, explosives, and/or night vision devices)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no critical task or recurring deficiencies. Critical task deficiencies are identified by an asterisk (\*). Four (4) or more deficiencies other than critical elements will also result in a NO GO (Poor) rating.

	YES	NO	N/A
1. Was the arms room posted as a restricted area? (AR 190-11, para 4-15)	___	___	___
2. Was the restricted area sign visible when the arms room door/issue window was in the open position? (AR 190-11, para 4-15)	___	___	___
3. Was the alarm system sign posted? (AR 190-11, para 4-16)	___	___	___
4. Was the alarm system sign visible when the arms room door/issue window is in the open position? (AR 190-11, para 4-16)	___	___	___
*5. Was the most secure door to the arms room secured with a DA or DOD approved high security padlock? (AR 190-11, para 4-2)	___	___	___
*6. Had a qualified facility engineer verified the structure composition of the arms room and prepared a valid DA Form 4604-R (Security construction statement)? (AR 190-11, para 2-2)	___	___	___
7. Were requests for physical security waivers or exceptions coordinated with the Provost Marshal Office or Security Office of the installation or activity? (AR 190-11, para 2-4)	___	___	___
8. Was the unit Standing Operating Procedures (SOP) current and in keeping with Command and Headquarters Department of the Army Physical Security directives, and/or been coordinated (reviewed) by local law enforcement activity annually, and a copy of reviewed SOP on hand? (AR 190-11, para 1-11 & 1-12)	___	___	___
9. Did the unit SOP cover security of weapons during emergency evacuation of personnel from the field? (AR 190-11, para 4-1)	___	___	___
10. Did the armorer properly conduct and/or record visual counts whenever accessing the arms room? (AR 710-2, Table 2-1)	___	___	___
*11. Were weapons serial numbered inventories properly conducted and/or recorded on an informal memorandum? (AR 190-11, para 2-6, AR 710-2, Table 2-1 and DA Pam 710-2-1 Para 9-10)	___	___	___

**Figure 6-12a Checklist for Physical Security Program Inspection.**

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	YES	NO	N/A
*12. Were weapons/sensitive item serial numbers listed correctly and/or included on the 100% monthly serial numbered inventory? (DA Pam 710-2-1, para 9-10)	___	___	___
*13. Did the informal memorandum listing the 100% monthly serial numbered inventory contain the printed name and/or signature of the person conducting the inventory? (DA Pam 710-2-1, para 9-10)	___	___	___
14. Were weapons serial numbered inventories conducted by the same person consecutively? (AR 710-2, para 2-12, and DA Pam 710-2-1, para 9-10)	___	___	___
15. Was the unit armorer aware that he/she cannot conduct monthly serial numbered inventories? (AR 710-2, para 2-12, and DA Pam 710-2-1, para 9-10)	___	___	___
*16. Was all ammunition stored in the arms room properly inventoried and accounted for? (AR 190-11, para 6-3, and DA Pam 710-2-1, para 9-10)	___	___	___
17. Was ammunition secured separately from weapons? (AR 190-11, para 5-8, and JRTC FP REG 75-1, Para 9-3)	___	___	___
*18. Were Night Vision Devices properly secured in the arms room and /or properly inventoried? (FORSCOM Msg dtd 081400Z JUL 87, Subj: Accountability and Security of Night Vision Devices. DA Pam 710-2-1, Appendix L, Para L3g(6))	___	___	___
*19. Was the joint inventory of weapons (visual count) for change of custody properly conducted and/or recorded? (DA Pam 710-2-1, para 9-10)	___	___	___
*20. Was there an arms room key and lock custodian appointed in writing? (AR 190-11, para 3-8)	___	___	___
21. Were combination(s) to locks properly changed? (AR 190-11, para 3-8)	___	___	___
22. Was a SF 700 properly completed and/or stored? (AR 190-11, para 3-8)	___	___	___
23. Was a SF 702 used to record entry/secure check of vaults and/or weapons containers? (AR 190-11, Para 3-8)	___	___	___
24. Was a Key Control Register (DA Form 5513-R) properly maintained for the arms room keys? (AR 190-11, para 3-8)	___	___	___
25. Was the key/lock inventory list properly maintained and/or stored? (AR 190-11, para 3-8)	___	___	___

**Figure 6-12a (Continued). Checklist for Physical Security Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
*26. Were keys to arms room/racks properly accounted for and/or documented upon change of custody? (AR 190-11, para 3-8, and DA Pam 710-2-1, para 9-10)	___	___	___
*27. Were the semi-annual inventories of arms room locks and keys properly conducted and/or recorded? (AR 190-11, para 3-8)	___	___	___
28. Were the arms room keys properly stored? (AR 190-11, para 3-8)	___	___	___
*29. Were the arms room keys properly attended/secured at all times? (AR 190-11, para 3-8)	___	___	___
30. Were completed Key Control Registers (DA Form 5513-R) maintained in unit files for a minimum of 90 days? (AR 190-11, para 3-8)	___	___	___
31. Was the alternate set of arms room keys maintained at the next higher headquarters? (AR 190-11, para 3-8)	___	___	___
32. Did all keys have serial numbers? (AR 190-11, para 3-8)	___	___	___
33. Was the Master Authorization List (MAL) properly maintained? (DA Pam 710-2-1, para 5-6)	___	___	___
34. Were unit personnel issued a DA Form 3749 (Equipment Receipt)? (DA Pam 710-2-1, para 5-6)	___	___	___
*35. Was the DA Form 3749 (Equipment Receipt) turned in for weapons issue and/or returned to the soldier when the weapon is turned in? (DA Pam 710-2-1, para 5-6)	___	___	___
36. Is the weapons log used when weapons are issued for more than 24 hours, and/or the appropriate blocks filled in? (DA Pam 710-2-1, para 5-6)	___	___	___
37. Upon weapons turn-in, is the weapons log closed out and/or the appropriate blocks filled in? (DA Pam 710-2-1, para 5-6)	___	___	___
38. Are the weapons control logs kept in the unit file until completion of the next monthly serial numbered inventory? (DA Pam 710-2-1, para 5-6)	___	___	___
*39. Were hand receipts and weapons logs used for issue of other than assigned weapons? (DA Pam 710-2-1, para 5-6)	___	___	___
*40. Did the unit properly maintain a current unaccompanied access roster for the arms room? (AR 190-11, para 4-19)	___	___	___
*41. Had the unit completed required background checks? (AR 190-11, para 2-11)	___	___	___

**Figure 6-12a (Continued). Checklist for Physical Security Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
42. Were background checks initiated every three (3) years and/or recorded on DA Form 7281-R? (AR 190-11, para 2-11)	___	___	___
43. Were weapons separated by unit or battery in a consolidated arms room? (AR 190-11, para 4-4, and DA PAM 710-2-1, Para 5-6)	___	___	___
44. Was there a signed letter of agreement between all the commanders concerned for the consolidated arms room? (AR 190-11, para 4-4, and DA Pam 710-2-1, para 5-6)	___	___	___
45. Are there procedures established in the unit SOP for the operation of a consolidated arms room? (AR 190-11, para 4-4, and DA Pam 710-2-1, para 5-6)	___	___	___
46. Was one commander designated as having responsibility for the overall security of the consolidated arms room? (AR 190-11, para 4-4, and DA Pam 710-2-1, para 5-6)	___	___	___
47. Do the arms racks and/or containers meet security specifications? (AR 190-11, para 4-2)	___	___	___
48. Were the arms racks and/or containers weighing less than 500 pounds secured together in groups weighing more than 500 pounds, or secured to the structure? (AR 190-11, para 4-2)	___	___	___
49. Have the racks been constructed so that weapons cannot be removed by partial disassembly of weapon or rack? (AR 190-11, para 4-2)	___	___	___
50. Were the arms racks and containers secured with a series 200 or 5200 secondary padlock? (AR 190-11, para 3-8)	___	___	___
51. Are sensitive items other than military arms and ammunition stored in the arms room without the approval in writing by the unit commander? (AR 190-11, para 4-18)	___	___	___
52. Are tools kept in a locked container within the arms room? (AR 190-11, para 4-18)	___	___	___
53. Are privately-owned weapons (POW) stored in the unit arms room without written authorization from the unit commander or his delegated representative? (AR 190-11, para 4-5, and JRTC & FP Reg 190-3)	___	___	___
54. Were privately-owned weapons/ammunition secured in locked containers separated from military AA&E? (AR 190-11, para 4-5)	___	___	___
*55. Were privately-owned weapons hand-receipted by the unit armorer when turned in for storage? (AR 190-11, para 4-5)	___	___	___

**Figure 6-12a (Continued). Checklist for Physical Security Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
56. Was a DA Form 3749 (Equipment Receipt) issued to individuals who are storing privately-owned weapon(s) in the arms room? (AR 190-11, para 4-5)	___	___	___
57. Were privately-owned weapons registered with the Provost Marshal's Office? (AR 190-11, para 4-5, and JRTC & FP Reg 190-3)	___	___	___
*58. Were privately-owned weapons/ammunition inventoried the same as military AA&E? (AR 190-11, para 4-5)	___	___	___
59. Were privately-owned weapons listed on the DA Form 2062 and included in the daily visual counts? (AR 190-11, para 4-5)	___	___	___
*60. Are privately-owned weapons stored in the arms room withdrawn without written approval of the commander or designated representative? (AR 190-11, para 4-5, and JRTC & FP Reg 190-3)	___	___	___
61. Are abandoned Privately-owned weapons properly disposed of? (AR 190-11, para 6-7)	___	___	___
62. Are knives and restricted weapons stored in the unit arms room properly registered? (JRTC & FP Reg 190-3, para 3-1)	___	___	___
*63. Is the arms room protected by a Intrusion Detection System (IDS), or under constant surveillance to prevent unobserved access? (AR 190-11, para 4-2 and Ch 1 to AR 190-11))	___	___	___
*64. Is the quarterly IDS test conducted and/or recorded, and maintained on file for one year? (AR 190-11, para 3-6)	___	___	___
*65. Was the armorer able to correctly perform an IDS test in accordance with the test procedures? (AR 190-11, para 3-6)	___	___	___
66. Was applicable state and local law information on the ownership, registration and possession of privately-owned weapons posted on the unit bulletin board? (AR 190-11, para 4-5)	___	___	___

**Figure 6-12a (Continued). Checklist for Physical Security Program Inspection.**

**Army Airfield Facilities**

**(Applies to any unit at any level that maintains aircraft at army airfields)**

Rating Guidelines: To achieve minimum standards in this area, there can be no more than two (2) task deficiencies and no recurring deficiencies.

	YES	NO	N/A
1. Were army aircraft at the aviation facilities secured with manufacturer-installed or approved modified ignition and door locking security devices? (AR 190-51, Para 3-3)	___	___	___
2. Is aircraft parking area at aviation facility sufficiently lighted? (AR 190-51, Para 3-3)	___	___	___
3. Was access to aviation facility properly controlled? (AR 190-51, Para 3-3)	___	___	___
4. Were privately-owned vehicles allowed access to the flight line? (AR 190-51, Para 3-3)	___	___	___
5. Are aviation facility auxiliary power units for starting aircraft, vehicle tugs, forklifts, aircraft boarding ladders, and other items which can be used to circumvent existing security measures secured? (AR 190-51, para 3-3 )	___	___	___
6. Are entry into and exit from aviation facility, aircraft parking areas, and support equipment storage areas, controlled? (AR 190-51, Para 3-3)	___	___	___
7. Are aviation fuel identiplate and credit cards properly controlled? (AR 710-2-1, Para 12-10)	___	___	___

**Figure 6-12a. Checklist for Physical Security Program Inspection.**

**Motor Pool**

**(Applies to any unit at any level that maintains military vehicles)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies, and no recurring deficiency. Critical task deficiencies are identified by an asterisk (\*). Five (5) or more deficiencies other than critical will result in a (NO GO) (Poor) rating.

	YES	NO	N/A
*1. Was the motor pool protected by a perimeter fence or dedicated guards? (AR 190-51, para 3-5)	___	___	___
*2. Did the motor pool have protective lighting installed? (AR 190-51, para 3-5)	___	___	___

**Figure 6-12b Checklist for Physical Security Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
3. Was the motor pool posted "OFF LIMITS TO UNAUTHORIZED PERSONNEL"? (AR 190-51, para 3-5)	___	___	___
*4. Was entry/exit to the motor pool controlled, leaving only the minimum number of gates open for efficient operation? (AR 190-51, para 3-5)	___	___	___
5. Were privately owned vehicles allowed access to the motor pool? (AR 190-51, para 3-5)	___	___	___
6. Were military vehicles parked in motor pool? (AR 190-51, para 3-5)	___	___	___
7. Were vehicles secured with an appropriate locking mechanism while parked and unattended? (AR 190-51, para 3-5)	___	___	___
8. Were the steering wheels of tactical vehicles properly secured? (AR 190-51, para 3-5, and TB 9-2300-422-20)	___	___	___
9. Were items that can be used to defeat security measures properly secured? (AR 190-51, para 3-5)	___	___	___
*10. Were fuel pods on vehicles and fuel vehicle tanks properly secured with non-spark producing padlocks? (AR 190-51, para 3-13)	___	___	___
*11. Were POL pumps properly secured, and/or electrical power turned off? (AR 190-51, para 3-13)	___	___	___
12. Were adequate written instructions provided to POL dispensing personnel? (AR 190-51, para 3-13 and 3-13)	___	___	___
13. Were issues of fuel adequately supervised? (AR 190-51, para 3-13 )	___	___	___
14. Were hoses and other devices used to siphon fuel, and/or containers that can be used to carry fuel properly secured? (AR 190-51, para 3-13)	___	___	___
*15. Was a key control/accountability system established? (AR 190-51, para 3-13 and 3-14, and App D)	___	___	___

**Figure 6-12b (Continued). Checklist for Physical Security Program Inspection.**

**Perimeter Fence**

**(Applies to any unit at any level that is responsible for maintaining a perimeter fence)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical deficiencies, and no recurring deficiency. Critical task deficiencies are identified by an asterisk (\*). Five (5) or more deficiencies other than critical will result in a (NO GO) (Poor) rating.

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
1. Did the perimeter fence meet minimum height requirements? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
*2. Did the perimeter fence meet minimum construction standards? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
3. Was the perimeter fence taut and/or securely fastened to posts? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
4. Did the perimeter fence reach to within two (2) inches of hard ground or paving? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
*5. Was the perimeter fence properly equipped with a top guard? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
6. Were the top guard supporting arms permanently affixed to the posts? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
7. Was the top guard properly equipped with barbed wire? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
8. Were unused gates properly secured? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
9. Did gates and/or entrances, when closed, meet the minimum structural requirements? (AR 190-51 and FM 19-30, para 5-4)	___	___	___
10. Were sewers, air and water intakes, and exhausts, and/or other utility openings that pass through the perimeter barrier properly secured? (AR 190-51 and FM 19-30, para 5-5)	___	___	___
11. Were interior manhole covers properly secured? (AR 190-51 and FM 19-30, para 5-5)	___	___	___
12. Were drainage ditches, culverts, vents, ducts, and/or other openings properly secured? (AR 190-51 and FM 19-30, para 5-5)	___	___	___
13. Did building walls and/or roofs which serve as part of the perimeter barrier provide the minimum required security? (AR 190-51 and FM 19-30, para 5-6)	___	___	___
*14. Is a clear zone properly maintained, and/or fence free of vegetation? (FM 19-30, Para 5-12)	___	___	___

**Figure 6-12c . Checklist for Physical Security Program Inspection.**

**JRTC & FP Regulation 20-2**

**Truck/Tool Room**

**(Applies to any unit ant any level that maintains a tool room/tool truck.)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical deficiencies, and no recurring deficiency. Critical task deficiencies are identified be an asterisk (\*). Five (5) or more deficiencies other than critical will result in a (NO GO) (Poor) rating.

	YES	NO	N/A
*1. Does the tool room meet storage structure requirements? (AR 190-51, para 3-22)	___	___	___
2. Were tool sets/kits properly secured? (AR 190-51, para 3-22)	___	___	___
*3. Were portable hand tools, tool sets or kits, and shop equipment, stored in a secure location when not in use? (AR 190-51, para 3-22)	___	___	___
4. Were common tools and portable shop equipment not on hand receipt or sub-hand receipt properly controlled through a locally devised receipt, sign in/out log, or exchangeable tag (chit) system? (AR 190-51, para 3-22)	___	___	___
*5. Was access to tools and shop equipment properly controlled? (AR 190-51, para 3-22)	___	___	___
6. Is there a current listing of those personnel who are authorized to withdraw tools from the tool room? (DA Pam 710-2-1, para 6-3)	___	___	___
7. Was the log or temporary hand receipt properly completed? (DA Pam 710-2-1, para 6-3)	___	___	___
*8. Did the tool room custodian properly check/maintain the log? (DA Pam 710-2-1, para 6-3)	___	___	___
9. Were tool sets properly controlled? (DA Pam 710-2-1, para 6-3)	___	___	___

**Figure 6-12d Checklist for Physical Security Program Inspection.**

**Storage Structure**

**(Applies to any unit at any level that stores government supplies and/or equipment)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no critical task or recurring deficiencies. Critical task deficiencies are identified by an asterisk (\*). Four (4) or more deficiencies other than critical elements will also result in a NO GO (Poor) rating.

	YES	NO	N/A
1. Do all structure components provide an equivalent degree of security? (AR 190-51, App B, para B-2)	___	___	___
2. Do doors meet minimum structural standards? (AR 190-51, App B, para B-2)	___	___	___
3. Do door frames meet minimum structural standards? (AR 190-51, App B, para B-2)	___	___	___
4. Were door hinges were not properly mounted? (AR 190-51, App B, para B-2)	___	___	___
*5. Were door hinges and/or other door hardware mounted with nails? (AR 190-51, App B, para B-2)	___	___	___
6. Did door hinge pins meet minimum security standards? (AR 190-51, App B, para B-2)	___	___	___
7. Were doors secured from the inside equipped with appropriate locks/locking devices? (AR 190-51, App B, para B-2)	___	___	___
8. Were doors secured from the outside equipped with appropriate locks/locking devices? (AR 190-51, App B, para B-2)	___	___	___
*9. Were operable windows equipped with appropriate locks/locking devices? (AR 190-51, App B, para B-2)	___	___	___
*10. Were windows properly equipped with protective material? (AR 190-51, App B, para B-2)	___	___	___
11. Were air conditioners properly equipped with protective material? (AR 190-51, App B, para B-2)	___	___	___
12. Do walls meet minimum structural standards? (AR 190-51, App B, para B-2)	___	___	___
13. Do floors and/or ceilings meet minimum structural standards? (AR 190-51, App B, para B-2)	___	___	___

**Figure 6-12 e (continued) Checklist for Physical Security Program Inspection**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
14. Were storage structures containing government furniture and mess equipment secured, when occupants of that activity were not present? (AR 190-51, para 3-23b)	___	___	___

**Figure 6-12 e (continued) Checklist for Physical Security Program Inspection**

**Supply room/Communications**

**(Applies to any unit at any level that maintains a supply room and/or communications)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies and no recurring deficiency. Critical task deficiencies are identified by an asterisk (\*). Five (5) or more deficiencies other than critical will result in a (NO GO) (Poor) rating.

	YES	NO	N/A
1. Are sensitive items other than weapons inventoried quarterly? (DA Pam 710-2-1, para 9-9)	___	___	___
2. Are "OFF LIMITS TO UNAUTHORIZED PERSONNEL" signs posted? (AR 190-51, para 3-7)	___	___	___
3. Do the Supply Room/Supply Annex meet structure requirements? (AR 190-51, para 3-25 and App B)	___	___	___
4. Are tool sets and kits properly secured? (AR 190-51, para 3-22)	___	___	___
5. Are stock of unissued items kept secured? (AR 190-51, para 3-23)	___	___	___
6. Was a key control/accountability system established? (AR 190-51, para 3-25 and App D)	___	___	___
7. Were portable items provided double barrier protection? (AR 190-51, Para 3-66)	___	___	___
8. Are communication and electronic test measurement, and diagnostic non-portable items secured in a building with doors/windows locked during non-operational hours? (AR190-51, Para 3-6b (2))	___	___	___
9. Are STU III units secured as required? (AR 190-51, Para 3-24c (1))	___	___	___

**Figure 6-12f Checklist for Physical Security Program Inspection**

**Key and Lock Control**

**(Applies to any unit at any level that maintains and controls keys that protect government supplies, equipment. And facilities)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies and no recurring deficiency. Critical task deficiencies are identified by an asterisk (\*). Five (5) or more deficiencies other than critical will result in a (NO GO) (Poor) rating.

**Checklist for Physical Security Program Inspection.**

	YES	NO	N/A
1. Was a key custodian (or alternate, if applicable) appointed in writing? (AR 190-51, App D, para D-2)	___	___	___
2. Had the key custodian (or alternate, if applicable) taken steps to ensure that personnel who were designated to issue, receive, and account for keys in his/her absence clearly understood local key control procedures? ( AR 190-51, App D, para D-2)	___	___	___
3. Did the key custodian (or alternate, if applicable) properly maintain a key control register (DA Form 5513-R) at all times? (AR 190-51, App D, para D-2)	___	___	___
4. Were the keys properly signed out to authorized personnel on a key control register (DA Form 5513-R)? (AR 190-51, App D, para D-3)	___	___	___
5. Was the key control register (DA Form 5513-R) properly secured when not in use? (AR 190-51, App D, para D-3)	___	___	___
6. Were keys properly secured in a approved container? (AR 190-51, App D, para D-4)	___	___	___
7. Is the key depository located in a room where it is kept under 24-hour surveillance, or in a room that is locked when unoccupied? (AR 190-51, App D, para D-4)	___	___	___
8. Was an unauthorized master key system or multiple key system was in use? (AR 190-51, App D, para D-5)	___	___	___
9. Were unauthorized locks/locking devices used to protect unclassified, non-sensitive Army supplies and equipment? (AR 190-51, App D, para D-1 and D-5)	___	___	___
10. Are padlocks and/or keys not in use properly secured? (AR 190-51, App D, para D-5)	___	___	___

**Figure 6-12g Checklist for Physical Security Program Inspection**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
11. Are keys and/or combinations to locks properly accounted for at all times? (AR 190-51, App D, para D-6)	___	___	___
12. Are differences between keys on hand and the key control register (DA Form 5513-R) properly reconciled at the end of each duty day? (AR 190-51, App D, para D-6)	___	___	___
13. Was a semiannual inventory of padlocks and/or keys properly conducted and/or recorded? (AR 190-51, App D, para D-6)	___	___	___
14. Were padlocks replaced or recorded when a key was identified as lost or missing? (AR 190-51, App D, para D-6)	___	___	___
15. Is a key and lock inventory list (FP Form 641) properly maintained and secured in the key depository? (AR 190-51, App D, para D-6)	___	___	___
16. Are keys which do not have serial numbers given one? (AR 190-51, App D, para D-6)	___	___	___
17. Are like keys further identified? (AR 190-51, App C, para C-4)	___	___	___
18. Are the key(s) to the key container properly safe-guarded? (AR 190-51, App D, para D-7)	___	___	___
19. Are the roster of personnel authorized access to the key container and/or personnel authorized to receive keys from the key custodian properly maintained? (AR 190-51, App D, para D-7)	___	___	___
20. Are keys were in the possession of a person not listed on the key access roster? (AR 190-51, App D, para D-7)	___	___	___
21. Were change of combinations to locks on vault doors and/or Class 5 or Class 6 security containers (other than AA&E) properly conducted and/or recorded as required? (AR 190-51, App D, para D-7?)	___	___	___
22. Were unauthorized chain used for security of unclassified, non-sensitive equipment and supplies? (AR 190-51, App D, para D-1 and D-9)	___	___	___
23. Was a key control/accountability system established? (AR 190-51, para 3-25 and App D)	___	___	___

**Figure 6-12g (Continued). Checklist for Physical Security Program Inspection.**

**Arms Room Ammunition Storage**

**(Applies to any unit at any level that stores ammunition and or explosives)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no critical task or recurring deficiencies. Critical task deficiencies are identified by an asterisk (\*). Four (4) or more deficiencies other than critical elements will also result in a NO GO (Poor) rating.

	YES	NO	N/A
*1. Were Hazard Classification signs properly posted? (JRTC & FP Reg 75-1, App N, para N-8)	___	___	___
*2. Was training ammunition properly stored? (JRTC & FP Reg 75-1, para 9-3, and App N, Para N-5)	___	___	___
*3. Was the storage container marked "Training Ammunition Only"? (JRTC & FP Reg 75-1, App N, para N-5)	___	___	___
*4. Were ammunition containers labeled with quantity contained therein? (JRTC & FP Reg 75-1, App N, para N-5)	___	___	___
*5. Were residue and live ammunition stored separately? (JRTC & FP Reg 75-1, App N, para N-7)	___	___	___
*6. Did the quantity by category exceed the authorized amount? (JRTC & FP Reg 75-1, App N, para N-2 & N-3)	___	___	___
*7. Were the DA Form 581 and DA Form 5515-R maintained with the ammunition? (JRTC & FP Reg 75-1, App N, para N-7)	___	___	___
*8. Was the DA Form 581 properly annotated? (JRTC & FP Reg 75-1, App N, para N-7)	___	___	___
*9. Was the ammunition signed for, and stored by, the unit that will utilize it? (JRTC & FP Reg 75-1, App N, para N-5)	___	___	___
*10. Were training ammunition and operational ammunition stored separately with no substitutions? (JRTC & FP Reg 75-1, App N, para N-8)	___	___	___
*11. Was unauthorized ammunition stored in the arms room? (JRTC & FP Reg 75-1, App N, para N-2)	___	___	___
*12. Did the unit make proper and timely notification of storage? (JRTC & FP Reg 75-1, App N, para N-9)	___	___	___

**Figure 6-12h. Checklist for Physical Security Program Inspection**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
*13. Did the unit have a letter of authorization for storage? (JRTC & FP Reg 75-1, App N, para N-6)	___	___	___
*14. Was the SAA in the unit arms room beyond the 72 hour limitation? (JRTC & FP Reg 75-1, App N, para N-3)	___	___	___
*15. Was ammunition turned over to and released from the unit armorer properly signed for on DA Form 5515-R? (JRTC & FP Reg 75-1, Chap 4, para 4-6)	___	___	___
*16. Was ammunition issued to and received from authorized range personnel? (JRTC & FP Reg 75-1, App N, para N-10)	___	___	___
*17. Were inventories properly conducted and/or recorded when the Arms Room was accessed? (JRTC & FP Reg 75-1, App N, para N-7)	___	___	___
*18. Did the unit receive an “adequate” rating on the last Provost Marshal Physical Security Inspection? (JRTC & FP Reg 75-1, App N, para N-6)	___	___	___
*19. Had the Fire Department been notified prior to storage? (JRTC & FP Reg 75-1, App N, para N-11)	___	___	___

**Figure 6-12h(continued). Checklist for Physical Security Program Inspection**

**FASS (Field Ammunition Storage Site)**

**(Applies to any unit at any level that stores ammunition and or explosives)**

Rating Guidelines: To achieve the minimum standards in the area, there will be no deficiencies. One deficiency will result in a not adequate rating.

	YES	NO	N/A
*1. Were Restricted Area, No Smoking, and Hazard Class signs properly posted? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2)	___	___	___
*2. Was ammunition protected by triple strand concertina? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2)	___	___	___
*3. Were stocks properly separated and identified by unit? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2 & 9-4)	___	___	___
*4. Was one unit designated as having responsibility for security of the entire area? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2)	___	___	___
*5. Were guards properly posted? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*6. Had guards been briefed and/or provided explicit written instructions? (JRTC & FP Reg 75-1, para 9-11)	___	___	___

**Figure 6-12i. Checklist for Physical Security Program Inspection**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
*7. Were guards able to correctly explain their guard orders? (JRTC & FP Reg 75-1, para 9-11)	___	___	___
*8. Were armed guards qualified with the type of weapon issued? (JRTC & FP Reg 75-1, para 9-11)	___	___	___
*9. Was Security Category II ammunition protected by two armed guards? (JRTC & FP Reg 75-1, para 9-11)	___	___	___
*10. Was classified ammunition protected by two armed guards? (AR 380-5, and JRTC & FP Reg 75-1, para 9-11)	___	___	___
*11. Did guards have appropriate security clearance? (AR 380-5, and JRTC & FP Reg 75-1, para 9-11)	___	___	___
*12. Did guards have communication with Range Control? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2)	___	___	___
*13. Did guards have a proper access roster of personnel authorized access to the FASS? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2)	___	___	___
*14. Were weapons inside the FASS? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*15. Were personnel in the grade of SSG or above signed for security Category I and II ammunition? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-11)	___	___	___
*16. Was the DA Form 581 present? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2)	___	___	___
*17. Were ammunition inventories properly conducted and/ or recorded on DA Form 3020-R? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-4)	___	___	___
*18. Was ammunition properly hand receipted or sub-hand receipted on DA Form 5515-R? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 4-9. Para 1)	___	___	___
*19. Could ammunition be reconciled? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2 & 9-4)	___	___	___
*20. Did the storage site have adequate security lighting? (AR 190-11, para 5-8, and JRTC & FP Reg 75-1, para 9-2)	___	___	___
*21. Were electrical power cables properly positioned? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*22. Was a two-person rule established for access to a Category I storage site? (JRTC & FP Reg 75-1, para 9-11)	___	___	___

**Figure 6-12i (continued). Checklist for Physical Security Program Inspection**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
*23. Was ammunition placed on dunnage? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*24. Was ammunition protected from the elements? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*25. Was ammunition retained in original containers until ready to issue? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*26. Was unexpended ammunition to be returned to the ASP being properly re-packaged? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*27. Was misfire and damaged ammunition properly marked and segregated? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*28. Were incompatible ammunition and explosives correctly segregated? (TM 9-1300-206, para 5-18 & Table 5-19)	___	___	___
*29. Was ammunition properly stacked by type and lot number? (TM 9-1300-206, para 4-1)	___	___	___
*30. Were explosive initiating devices (Group B items) properly segregated? (TM 9-1300-206, para 4-41)	___	___	___
*31. Were rockets and guided missile nose-ends (except WP) pointing in the same direction and toward an area which offers the least exposure to personnel and property? (TM 9-1300-206, para 4-6)	___	___	___
*32. Were empty ammunition boxes, containers, pallets, dunnage, and lumber stored properly? (TM 9-1300-206, para 3-2)	___	___	___
*33. Was WP-filled ammunition stored upright? (TM 9-1300-206, para 4-20)	___	___	___
*34. Was a container of water large enough to submerge a leaking round of WP present? (TM 9-1300-206, para 4-21)	___	___	___
*35. Were special handling instructions on ammunition containers properly adhered to? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*36. Were appropriate serviceable fire extinguishers present? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*37. Were the wheels of vehicles loading or unloading ammunition properly chocked? (JRTC & FP Reg 75-1, para 9-2)	___	___	___
*38. Did the unit notify Range Control of its FASS location? (JRTC & FP Reg 75-1, para 9-2)	___	___	___

**Figure 6-12i (continued). Checklist for Physical Security Program Inspection**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
*39. Was a relief area for personnel present inside the FASS? (TM 9-1300-206, change 4, Chapter 5-3)	___	___	___
*40. Were ignitable and/or flammable materials found inside the perimeter of the FASS? (TM 9-1300-206, Sec. 4-2, para a (3), (4))	___	___	___
*41. Was Security Category I ammunition stored in open air storage? (AR 190-11, MESSAGE HQDA, DAMO-ODL, 141445Z AUG 95, SAB)	___	___	___
*42. Were personnel having continuous positive control of the ammunition present? (AR 190-11 Par. 5-8 & JRTC and FP Reg 75-1, Para 9-11)	___	___	___

**Figure 6-12i (Continued). Checklist for Physical Security Program Inspection.**

YES NO N/A

**Deployment Arms Room**

**(Applies to any unit at any level that stores arms, ammunition , explosives, and/or night vision devices.)**

Rating Guidelines: To achieve the minimum standards in this area, there can be no critical task or recurring deficiencies. Critical task deficiencies are identified by an asterisk (\*). Four (4) or more deficiencies other than critical elements will also result in a NO GO (Poor) rating.

*1. Was a 100 percent serial numbered inventory properly conducted and/or recorded? (AR 190-11)	___	___	___
*2. Was a serial numbered inventory of all items remaining in the arms room properly conducted and/or recorded? (AR 190-11)	___	___	___
*3. Was a test of the Intrusion Detection System (IDS) properly conducted and/or recorded? (AR 190-11)	___	___	___
4. Were guards posted when the Intrusion Detection System (IDS) was not operational? (AR 190-11)	___	___	___
5. Was the arms room properly sealed? (AR 190-11)	___	___	___
6. Was a copy of the access roster properly filed at the central alarm monitoring station (CAMS)? (Provost Marshal Office, Physical Security Division, Intergraded Commercial Intrusion Detection System operating instructions: Page 146 thru 170)	___	___	___
7. Did the unit SOP (if applicable) reflect procedures for transporting Category I & II AA&E? (AR 190-11, para 7-15)	___	___	___

**Figure 6-12j. Checklist for Physical Security Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
8. Was a Record of Daily Duty Officer/Duty NCO checks obtained upon return of the deployed unit? (AR 190-11)	___	___	___
9. Was an inventory of all items in the arms room properly conducted and/or recorded upon the unit's return? (AR 190-11)	___	___	___
10. Did the unit assume complete operational control of the arms room? (AR 190-11, AR 710-2, and DA Pam 710-2-1)	___	___	___

**Figure 6-12j (Continued). Checklist for Physical Security Program Inspection.**

	YES	NO	N/A
<b>Administrative Seal Control</b>			
<b>(Applies to any unit at any level that maintains and controls seals.)</b>			

Rating Guidelines: To achieve the minimum standards in this area, there can be no more than two (2) critical task deficiencies and no recurring deficiency. Critical task deficiencies are identified by an asterisk (\*). Five (5) or more deficiencies other than critical will result in a (NO GO) (Poor) rating.

*1. Was there a seal custodian (or alternate, if applicable) appointed in writing? (AR 190-51, App D, para D-10)	___	___	___
2. Had the seal custodian (or alternate, if applicable) taken steps to ensure that personnel who were designated to issue, and account for seals in his/her absence clearly understood local seal control procedures? (AR 190-51, App D, para D-10)	___	___	___
*3. Did the seal custodian (or alternate, if applicable) properly maintain a seal control register at all times? (AR 190-51, App D, para D-10)	___	___	___
*4. Was a seal control/accountability system established? (AR 190-51, para D-10)	___	___	___
5. Did seals in use meet authorized specifications? (AR 190-51, App D, para D-10)	___	___	___
*6. Were unused seals properly secured? (AR 190-51, App D, para D-10)	___	___	___
*7. Were monthly serial numbered inventories of unused seals properly conducted and/or recorded? (AR 190-51, App D, para D-10)	___	___	___
*8. Was the seal logbook properly maintained? (AR 190-51, App D, para D-10)	___	___	___

**Figure 6-12k . Checklist for Physical Security Program Inspection.**

## Chapter 7 Training And Operations

### Section I. Nuclear, Biological, and Chemical Defense

**7-1. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's Nuclear, Biological, and Chemical (NBC) Defense Evaluation Criteria.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's NBC Defense Evaluation Criteria.
- b. Point of contact for this task is the Installation Chemical Officer.

**7-2. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate level of NBC defense at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**7-3. Standards.** Satisfactory effective controls for NBC defense will be based upon the standards as follows:

- a. Establish and conduct NBC room operations.
- b. Maintain unit level procedures in unit NBC SOP.
- c. Maintain required stock quantities for Chemical Defense Equipment (CDE) contingency items.
- d. Use and perform operator maintenance on assigned NBC defense equipment.
- e. Equipment will be ready/available or all deficiencies will be properly recorded and parts on valid requisition or documented on equipment turned in to support maintenance.
- f. Satisfactory achievement of the minimum standards (critical tasks) for NBC defense as outlined in the checklist(s).
- g. Maintenance of (current) guidelines, i.e. DOD Regs, ARs, FMs, TBs, and applicable JRTC and FP Regulations or Supplements.
- h. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

### 7-4. References.

- a. AR 350-41, Training in Units, 19 Mar 93.
- b. CTA 50-970, Expendable/Durable Items, 21 Sep 90.
- c. DA Pam 25-30, Consolidated Index of Army Publications and Blank Forms, 1 Oct 94.
- d. DA Pam 50-3, The Effects of Nuclear Weapons.
- e. DA Pam 738-750, Functional Users Manual for the Army Maintenance Management System (TAMMS), 27 Sep 91.
- f. EAI Report, 69-4/95/002F, Combined Arms in a Nuclear-Chemical Environment Force Development Test and Experimentation Program/DU/Low Level Radiologically Contaminated Environment
- g. FM 101-2, Army Aviation in an NBC Environment, 30 Sep 85.
- h. FM 3-3, Chemical and Biological Contamination Avoidance, Nov 92, with Change 1.
- i. FM 3-3-1, Nuclear Contamination Avoidance, Sep 94.
- j. FM 3-4, NBC Protection, 29 May 92, with Change 2.
- k. FM 3-4-1, Fixed Site Protection, 16 Aug 89.
- l. FM 3-5, NBC Decontamination, 17 Nov 93.
- m. FM 3-6, Field Behavior of NBC Agents (including Smoke and Incendiaries), 3 Nov 86.
- n. FM 3-7, NBC Field Handbook, 29 Sep 94.
- o. FM 3-11, Flame Field Expedients, 19 Sep 90.
- p. FM 3-21, Chemical Accident Contamination Control, 23 Feb 78.
- q. FM 3-50, Smoke Operations, 4 Dec 90.
- r. FM 3-100, Chemical Operations: Principles and Fundamentals.
- s. FORSCOM Reg 700-2, FORSCOM Standing Logistics Instructions, 15 Jun 93.
- t. STP 21-1-SMCT, Soldiers Manual of Common Tasks Level 1, 1 Oct 94.
- u. STP 21-24-SMCT, Soldiers Manual of Common Tasks Level 2-4, 1 Oct 92.
- v. TM 3-4240-339-10, Operator Manual for Chemical/Biological Mask, Field, M40.

**Checklist for Nuclear, Biological, And Chemical Defense**

	YES	NO	N/A
<b>1. NBC Room Operations.</b> Establish and conduct NBC room operations.			
a. Are the masks fitted to the soldier that they are assigned to IAW the procedures outlined in TM 3-4240-339-10, para 2-8 or M41 PATS? <b>(CO)</b>	___	___	___
b. Is there a system or procedure for identifying the following information regarding masks and Military Oriented Protective Posture (MOPP) ensembles, i.e., 3"x5" index cards or mask assignment chart? <b>(CO)</b>	___	___	___
(1) Admin number.	___	___	___
(2) Type of mask.	___	___	___
(3) Size of mask.	___	___	___
(4) Assigned to individual.	___	___	___
(5) Lot number of installed filters.	___	___	___
(6) Date mask fitted and tested with banana oil/ M41 PATS.	___	___	___
(7) Over-garment, boot, and glove sizes.	___	___	___
(8) Optical inserts.	___	___	___
c. Are inventory lists of the filters in contingency stocks maintained listing lot numbers and quantity of the lot? <b>(CO)</b>	___	___	___
d. Is there a minimum of one TM on hand for each type of NBC equipment authorized? <b>(CO)</b>	___	___	___
e. Does the NBC Officer, NCO and enlisted alternate meet the requirements to serve in these positions IAW AR 350-41, para 11-6? <b>(ALL)</b>	___	___	___
f. Are decontamination solution No. 2 (DS2) and super tropical bleach (STB) being stored properly? (FM 3-5, para D-4). <b>(CO)</b>	___	___	___
g. Does the unit have at least 50% of its assigned radiac equipment on hand with no more than 50% turned in for calibration at one time? <b>(CO)</b>	___	___	___
h. Does the unit have load plans for NBC equipment and supplies? <b>(CO)</b>	___	___	___
i. Is DS2 and STB separated in the load plan? (FM 3-5, Appendix D). <b>(CO)</b>	___	___	___
j. Is there an optical insert program that includes the following? <b>(CO)</b>	___	___	___
(1) In/Out-processing procedures.	___	___	___
(2) Follow-up procedures.	___	___	___
(3) Installation procedures.	___	___	___
(4) List of personnel requiring inserts.	___	___	___
<b>2. Standing Operating Procedures (SOP).</b>			
a. Does the unit SOP or NBC Annex define the following NBC responsibilities? <b>(ALL)</b>			
(1) Unit Commander.	___	___	___
(2) NBC Officer.	___	___	___
(3) NBC NCO.	___	___	___
(4) NBC Alternate.	___	___	___
(5) Individual Soldiers.	___	___	___
b. Does the SOP identify the unit's alarm and warning systems? <b>(ALL)</b> (FM 3-100, pg C-1).	___	___	___
c. Does the SOP define the unit's plan for decon by priority of the unit's equipment? (FM 3-5, pg 2-3) <b>(ALL)</b>	___	___	___

**Figure 7-1. Checklist for NBC Defense Inspection.**

	YES	NO	N/A
d. Does the SOP define actions required before, during, and after each type of NBC attack, to include any unique actions required because of the unit's equipment			

or Mission? (FM 3-4, pg C-1). <b>(ALL)</b>	___	___	___
e. Does the SOP use MOPP analysis for procedures to determine MOPP levels? (FM 3-5, para 2-5). <b>(ALL)</b>	___	___	___
(1) Mission.	___	___	___
(2) Work.	___	___	___
(3) Required time.	___	___	___
(4) Target.	___	___	___
(5) Warning time.	___	___	___
(6) Weather.	___	___	___
(7) Additional protection.	___	___	___
(8) Troop preparedness.	___	___	___
(9) Time of day.	___	___	___
f. Does the unit SOP include a description of the flow of NBC reports to include means of transmission? Are samples of NBC reports, Effective Downwind Message (CDM), Chemical Downwind Message (CDM), and strike warns in proper format IAW Tactical Standing Operating Procedures (TSOP) included? <b>(ALL)</b>	___	___	___
g. Does the unit SOP identify the following issues IAW FM 3-100? <b>(ALL)</b>	___	___	___
(1) Who will perform monitoring?	___	___	___
(2) The time interval and location for periodic monitoring?	___	___	___
(3) Conditions for continuous monitoring?	___	___	___
(4) Who sets guidelines for radiation exposure?	___	___	___
(5) Who wears tactical dosimetry equipment and reports radiation exposure?	___	___	___
h. Does the SOP include a plan for the drawing of the Battle Dress Over Garments (BDO) ensembles from Directorate Of Logistics (DOL) Central Issue Facility (CIF), and issuing them to be individual soldiers? <b>(ALL)</b>	___	___	___
i. Does the SOP include a replacement policy for protective mask filters in an NBC environment? (FM 3-4, pg 5-3) <b>(CO)</b>	___	___	___
j. Does unit NBC SOP have in/out processing procedures for the NBC room? <b>(CO)</b>	___	___	___
 3. Chemical Defense Equipment Status. Maintain the required stock IAW FORSCOM Regulation 700-2, Chapter 6.			
a. Are MTOE authorized items on hand or valid requisition with valid document number <b>(CO)</b>	___	___	___
b. Are contingency stock items on hand at the required stock levels, and if not, are they on order with valid document number? (FORSCOM Reg 700-2)? <b>(CO)</b>	___	___	___
c. Does the unit maintain a five percent overage on authorized items, i.e., mask, mask accessories? (FORSCOM Reg 700-2) <b>(CO)</b>	___	___	___
d. Does the unit MTOE/Property Book listing agree with the NBC room hand receipt? <b>(CO)</b>	___	___	___
e. Is there an accountability system for control of NBC equipment? <b>(CO)</b>	___	___	___
(1) DA Form 2062 (Hand Receipt/Annex Number).	___	___	___
(2) DA Form 3161 (Request for Issue or Turn-In).	___	___	___
(3) DD Form 314 (Preventive Maintenance Schedule and Record).	___	___	___
(4) DD Form 1150 (Request for Issue or Turn-In)	___	___	___
f. Are required quantities of repair parts on hand or on order with valid document number? <b>(CO)</b>	___	___	___

**JRTC & FP Regulation 20-2**

**Figure 7-1 (Continued). Checklist for NBC Defense Inspection.**

	YES	NO	N/A
g. Are contingency stocks of NBC equipment and supplies identified as such and separated from training stocks? <b>(CO)</b>	___	___	___
h. Does unit have up-to-date signature cards and pre-planned copies of DA Form 3161 on file with CIF to draw MOPP ensemble? (Are quantities computed based upon authorized levels of organization (ALO) 1 strength with five percent overage?) <b>(CO)</b>	___	___	___
i. Does the unit have up-to-date signature cards and pre-planned copies of DA Form 2765-1 to draw NBC medical contingency and training equipment from DMSO? <b>(CO)</b>	___	___	___
j. Are contingency requirements filled prior to training requirements for items that have a dual purpose of contingency and training (i.e., M8 paper)? <b>(CO)</b>	___	___	___
4. NBC Defense Training. Does the unit have an effective NBC training program that ensures:			
a. All soldiers and leaders are trained and evaluated in NBC survival skills <b>(ALL)</b>	___	___	___
b. All sections and platoons are trained and evaluated in their collective tasks and are able to conduct their mission in a NBC environment. <b>(ALL)</b>	___	___	___
c. The unit long/short range training plan includes NBC training events that will assist the commander in achieving the training standards IAW AR 350-41, Chapter 11. <b>(ALL)</b>	___	___	___
d. Unit NBC personnel maintain training documentation to support training conducted. <b>(ALL)</b>	___	___	___
5. Individual Training.			
a. Have at least 90 percent of the soldiers trained and qualified in their individual weapon while wearing MOPP level 4 within the past 12 months? <b>(CO)</b>	___	___	___
b. Has each soldier been trained and evaluated in all the NBC tasks listed in STP 21-1-SMCT within the past 12 months? <b>(CO)</b>	___	___	___
c. Has each soldier been trained and evaluated in the proper procedures for entry and exit of collective protection equipment such as the M20 Simplified Collective Protection Equipment? <b>(CO)</b>	___	___	___
d. Has each soldier participated in a CS Chamber Exercise or exposed to CS while conducting a field training exercise within the past 12 months IAW AR 350-41? <b>(CO)</b>	___	___	___
6. Leader Training. Has each SGT and above been trained and evaluated in all appropriate skill level NBC tasks listed in STP 21-24-SMCT within the past 12 months? <b>(CO)</b>	___	___	___
7. Unit Training			
a. Does the unit fully integrate realistic NBC training into FTX and ARTEP IAW AR 350-41? <b>(ALL)</b>	___	___	___
b. Does the NBC personnel maintain training records reflecting unit training? <b>(ALL)</b>	___	___	___
c. Do sections, squads, or platoons that are assigned NBC defense equipment have primary and alternate operator trained in the operation and maintenance of the equipment? <b>(CO)</b>	___	___	___
d. Is training on NBC defense equipment scheduled on the unit training schedule? <b>(CO)</b>	___	___	___
e. Are operators of the M8A1, Chemical Agent Alarm licensed? <b>(CO)</b>	___	___	___

Figure 7-1 (Continued). Checklist for NBC Defense Inspection.

	YES	NO	N/A
f. Are personnel assigned to the following able to correctly perform PMCS and correctly operate the equipment? <b>(CO)</b>	---	---	---
(1) IM 93 Dosimeter	---	---	---
(2) PP1578 Charger	---	---	---
(3) M256 Chemical Agent Detector Kit	---	---	---
(4) M8A1 Chemical Agent Alarm	---	---	---
(5) M11 Decontamination Apparatus	---	---	---
(6) M13 Decontaminating Apparatus (DAPP)	---	---	---
(7) AN/VDR-2 Radiac Meter	---	---	---
(8) AN/PDR-75 Radiac Meter	---	---	---
(9) Chemical Agent Monitor (CAM)	---	---	---
(10) M41 PATS	---	---	---
(11) AN/PDR 27 Radiac Meter	---	---	---
<b>8. Publications.</b> Publications and references will be on hand or on order IAW DA Pam 25-30. Does the unit NBC NCO have on hand, access to, or on order up-to-date copies of the following references:			
a. AR 350-41, Training in Units, 19 Mar 93. <b>(ALL)</b>	---	---	---
b. CAT 50-970, Expendable/Durable Items, 21 Sep 90? <b>(ALL)</b>	---	---	---
c. DA Pam 25-30, Consolidated Indexes of Army Publications and Blank Forms <b>(ALL)</b>	---	---	---
d. DA Pam 50 -3, The Effects of Nuclear Weapons <b>(ALL)</b>	---	---	---
e. DA Pam 738-750, Functional Users Manual for the Army Maintenance Management System (TAMMS). <b>(CO)</b>	---	---	---
f. FM 1-102, Army Aviation in an NBC Environment (Aviation units only), 30 Sep 85? <b>(ALL)</b>	---	---	---
g. FM 3-3, Chemical and Biological Contamination Avoidance, Nov 92, with Change 1 <b>(ALL)</b>	---	---	---
h. FM 3-3-1, Nuclear Contamination Avoidance, Sep 94? <b>(ALL)</b>	---	---	---
i. FM 3-4, NBC Protection, 29 May 92, with Change 2? <b>(ALL)</b>	---	---	---

<u>ITEM</u>	<u>REQUIRED FORMS</u>	<u>SCHEDULED INTERVAL</u>
Protective Mask	DD Form 314	S
IM 174	DD Form 314	Q
AN/PDR 27 (R&P)	DD Form 314	Q
AN/PDR 27	DD Form 314	M (J, L, Q, & S)
Dosimeters (Operator)	DA Form 2404	M
PP 1578	DA Form 314	Q
M-11	DD Form 314	S
M-13 DAP (Operator)	DA Form 2404	M & O
(Organizational)	DD Form 314	
VD-2	DA Form 2404	M
CAM	DA Form 2404	M

Table 7-1. Requirements for NBC.

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
j. FM 3-4-1, Fixed Site Protection, 16 Aug 89? <b>(ALL)</b>	___	___	___
k. FM 3-5, NBC Decontamination, 17 Nov 93? <b>(ALL)</b>	___	___	___
l. FM 3-6, Field Behavior of NBC Agents, 3 Nov 86? <b>(ALL)</b>	___	___	___
m. FM 3-7, NBC Field Handbook, 29 Sep 94? <b>(ALL)</b>	___	___	___
n. FM 3-11, Flame Field Expedients, 19 Sep 90? <b>(ALL)</b>	___	___	___
o. FM 3-50, Smoke Operations, 4 Dec 90? <b>(ALL)</b>	___	___	___
p. FM 3-100, Chemical Operations: Principles and Fundamentals <b>(ALL)</b>	___	___	___
q. FORSCOM Reg 700-2, FORSCOM Standing Logistic Procedures, 15 Jun 93, with Change 1? <b>(ALL)</b>	___	___	___
r. STP 21-1, Soldiers Manual of Common Tasks, Level 1, 23 May 93? <b>(ALL)</b>	___	___	___
s. STP 21-24, Soldiers Manual of Common Tasks, Levels 2/3/4, 10 Jan 93? <b>(CO)</b>	___	___	___
<b>9. Maintenance.</b> Using the Army Maintenance Management System (TAMMS) to ensure proper maintenance procedures for NBC equipment are followed.			
a. Are DD Forms 314 (Preventive Maintenance Schedule and Record) and DA Forms 2404 (Equipment Inspection and Maintenance Worksheet) properly annotated IAW DA Pam 738-750, para 3-3? <b>(CO)</b>	___	___	___
*b. Does equipment meet standards for availability? (Ten percent of each type of NBC equipment on hand will be inspected, except protective masks. Ten masks will be inspected.) <b>(CO)</b>	___	___	___
<b>10. Logistics.</b>			
a. Does the unit have all authorized NBC equipment either on hand or on valid requisition? <b>(CO)</b>	___	___	___
(1) Unit must maintain latest copy of the unit Chemical Defense Equipment (CDE) Report. <b>(CO)</b>	___	___	___
(2) For due-in items unit must have latest due-in roster(s). <b>(CO)</b>	___	___	___
b. Is all NBC equipment properly hand receipted and accounted for IAW the supply update. <b>(CO)</b>	___	___	___
(1) Does unit maintain sufficient repair parts, kits, batteries on hand or valid requisition in order to sustain operation. <b>(CO)</b>	___	___	___
(2) Does the unit have on hand or on order the necessary equipment to conduct Operational and Thorough decontamination operations IAW FM 3-5? <b>(CO)</b>	___	___	___
(3) Is All NBC equipment including PLL included on the unit load plans? <b>(CO)</b>	___	___	___
c. Are NBC supplies and equipment being stored properly IAW FORSCOM Regulation 700-2? <b>(CO)</b>	___	___	___
(1) All environmental hazard producing items such as the M256, Super-tropical Bleach (STB), etc. <b>(CO)</b>	___	___	___
(2) All radioactive equipment to include the M8A1 Chemical Agent Alarm, PP1578/PD Chargers, AN/VDR 2 Radiac Set etc. <b>(CO)</b>	___	___	___
(3) Are NBC storage areas marked properly. <b>(CO)</b>	___	___	___
(4) Are NBC air filter decals posted on all vehicles and equipment requiring air filters? <b>(BN/CO)</b>	___	___	___
d. Does the unit have procedures to track NBC contingency items by manufacturer's date lot numbers or shelf-life restrictions <b>(BN/CO)</b>	___	___	___
e. Does the unit have a list with all the calibration/wipe test expiration dates for all items requiring calibration/wipe testing. <b>(CO)</b>	___	___	___

**Figure 7-1 (Continued). Checklist for NBC Defense Inspection.**

**Section II. Ammunition Management**

**7-5. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the BDE/ BN level Ammunition Management.

- a. The following is provided for information and used as a guide in preparing for the assessment of the organization’s individual proficiency through unit level ammunition management.
- b. Point of contact for this task is the G3/ Directorate of Plans, Training, Mobilization, and Security (G3/DPTMS).

**7-6. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to ensure that units comply with ammunition management procedures at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**7-7. Standards.** Satisfactory accomplishment of effective controls for the security and accounting of ammunition will be based upon the standards as follows:

- a. Existence of written procedures (unit SOP) for receipt, safeguard, transportation, and turn-in including the unit designation of property book orders and designated representatives.
- b. Satisfactory compliance (80% of items completed on Appendix A) with applicable references (JRTC and FP Reg 75-1; AR 710-2; DA Pam 710-2-1; DA Pam 710-2-2 for accounting procedures on DA Form 581, No 3, No 7; DA Form 1687, No 2; DA Form 2064, No 5; DA Form 5203, No 12).
- c. Satisfactory compliance with JRTC and FP Reg 75-1 Forecasting Procedures, TAMIS-R and Unforecast Requests, No 14.
- d. Availability of mandatory references.
- e. Satisfactory achievement of the minimum standards (critical tasks) for ammunition management as outlined in the checklist.
- f. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC and FP Regulations or Supplements.
- g. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**7-8. References.**

- a. AR 5-13, Training Ammunition Management System.
- b. AR 75-1, Malfunction Involving Ammunition and Explosives.
- c. AR 190-11, Physical Security of Arms, Ammunition, and Explosives.
- d. AR 385-63, Policies and Procedures for Firing Ammunition for Training, Target Practice, and Combat.
- e. AR 385-64, Ammunition and Explosives Safety Standards.
- f. AR 385-65, Identification of Inert Ammunition and Ammunition Components.
- g. AR 710-2, Supply Policy Below the Wholesale Level.
- h. DA Pam 710-2-1, Using Unit Supply System.
- i. DA Pam 710-2-2, Supply Support Activity System Manual Procedures.
- j. JRTC and Fort Polk Command Training Guidance.
- k. JRTC and FP Reg 75-1, Ammunition Control Procedures.
- l. JRTC and FP Reg 385-1, Commanders and Trainers Facilities Guide.

**Checklist for Ammunition Management**

	YES	NO	N/A
*1. Does unit have current SOP for ammunition management?	—	—	—
a. Are current Property Book Officer (PBO) orders on hand?	—	—	—



**Section III. Noncommissioned Officer Education System (NCOES).**

**7-9. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation’s NCOES.

- a. The following is provided for information and used as a guide in preparing for the installation’s assessment of the organization’s proficiency through the Noncommissioned officer Education System (NCOES).
- b. Point of contact for this task is the G3/DPTMS, Training Division, Building 1713.

**7-10. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units establish an NCOES program and enable them to conduct internal inspections as a part of the Command Inspection Program.

**7-11. Standards.** Satisfactory effective controls for the NCOES will be based upon the standards as follows:

- a. All qualified soldiers are listed on an Order of Merit List (OML) within 90 days after becoming eligible or joining the unit. Quotas for NCOES have been requested and filled from the OML.
- b. GO. All qualified soldiers (IAW AR 350-1) eligible for on-post NCOES courses have been placed on OMLs within 90 days after becoming eligible or joining the unit. The unit has requested quotas and filled all allocated.
- c. NO GO. The OMLs do not list all eligible soldiers within 90 days of becoming eligible. All allocated quotas have not been filled.
- d. Satisfactory achievement of the minimum standards (critical tasks) for NCOES as outlined in the checklist.
- e. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC and FP Regulations or Supplements.
- f. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**7-12. References.**

- a. AR 351-1, Individual Military Education and Training.
- b. AR 600-9, The Army Weight Control Program.
- c. JRTC and Fort Polk Reg 351-1, Individual Military Education and Training.

**Checklist for NCOES**

**Company Level:**

	YES	NO	N/A
*1. Are the commander and 1SG familiar with AR 351-1 and JRTC Annual Command Training Guidance?	___	___	___
2. Is the OML updated and submitted as required to higher headquarters?	___	___	___
3. Is the OML prioritized by rank?	___	___	___
*4. Are unqualified personnel deleted from the OML?	___	___	___
5. Are the best qualified soldiers being selected for attendance to BNCOC/PLDC, and those not selected counseled?	___	___	___
*6. Do soldiers receive notification at least 45 days prior to attendance?	___	___	___
7. Do first-line supervisors inventory soldiers’ equipment prior to attendance?	___	___	___

**Figure 7-3. Checklist for NCO Inspection.**

	YES	NO	N/A
8. Does the Company Commander/1SG verify information on FP Form 7656 (PLDC Prerequisite Checklist) prior to endorsement?	___	___	___
9. Are sponsors being appointed for all prospective students?	___	___	___
10. Are sponsors briefed on their duties/responsibilities?	___	___	___
11. Are soldiers aware that it is not a requirement to purchase new items (TA-50/initial issue items) prior to attendance?	___	___	___
*12. Are soldiers' separate rations being stopped while soldiers attend BNCOC/PLDC?	___	___	___
13. Are BNCOC/PLDC graduates being utilized to help brief and sponsor prospective students?	___	___	___
14. Are soldiers being briefed on conducting their personal affairs prior to attendance to BNCOC/PLDC (e.g., mail, checks, Power of Attorneys for dependents)?	___	___	___
*15. Are soldiers being allowed to attend school without regard to unit training/deployment?	___	___	___
<b>Battalion Level</b>			
*1. Is a consolidated OML maintained at battalion headquarters?	___	___	___
2. Are battalion quotas assigned fairly and equally?	___	___	___
*3. Are Battalion School Representatives present during BNCOC/PLDC Orientations?	___	___	___
*4. Do Battalion School Representatives accompany soldiers to the Academy on "Fill Day"?	___	___	___
5. Are Battalion School Representatives authorized to make substitutions with alternate personnel for all no-shows or for personnel found to be unqualified on "Fill Day"?	___	___	___

**Figure 7-3 (Continued). Checklist for NCO Inspection.**

**Section IV. Physical Fitness Training**

**7-13. Purpose.** This section contains the evaluation criteria and checklists(s) for assessment of the installation's unit level physical fitness training.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the unit level Physical Fitness Program.

b. Point of contact for this task is the G3/ Directorate for Plans, Training, Mobilization, and Security (G3/DPTMS), Training Division, Building 1713.

**7-14. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate level of physical fitness at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**7-15. Standards.** Satisfactory effective controls for physical fitness training will be based upon the standards as follows:

a. Establishment of written procedures (SOP) defining physical fitness training for all soldiers assigned or attached.

b. Satisfactory achievement of the minimum standards (critical tasks) for physical fitness training as outlined in the checklist.

c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**7-16. References.**

a. AR 350-41, Training in Units, 19 Mar 93.

b. AR 600-9, The Army Weight Control Program, 1 Oct 86.

c. FM 21-20, Physical Fitness Training, 30 Sep 92.

d. Command Policy Memorandum #7 – Physical Training, dated 2 Jun 97.

**Checklist for Physical Training**

	YES	NO	N/A
*1. Does the unit maintain DA Form 705 for each soldier assigned or attached? (Remarks mandatory for "No" response) <b>(Company level only)</b>	___	___	___
*2. Does the unit have a viable physical training program for soldiers with temporary profile? <b>(CO)</b>	___	___	___
3. Do physical training sessions include the components of fitness: <b>(CO)</b>			
a. Cardio-respiratory endurance.	___	___	___
b. Muscular strength.	___	___	___
c. Muscular endurance.	___	___	___
d. Flexibility.	___	___	___
e. Variety	___	___	___
*4. Are soldiers identified as not in compliance with AR 600-9 screened by medical officers to determine course of action? Are soldiers flagged? <b>(CO)</b>	___	___	___
*5. Is the unit physical training program in compliance with Commanding General letter? <b>(BDE/CO)</b>	___	___	___
6. Is there evidence of acclimation for soldiers new to unit? <b>(BDE/CO)</b>	___	___	___

**Figure 7-4. Checklist for Physical Fitness Training Inspection.**

	YES	NO	N/A
7. If assigned, is the master fitness trainer the commander’s instrument for developing the unit’s fitness training program? <b>(CO)</b>	___	___	___
8. Is there evidence of ability group participation? <b>(CO)</b>	___	___	___
*9. Are there any soldiers assigned to the unit over the age of 40 years that have not been screened for participation in the unit fitness program? (Remarks mandatory for “Yes” response). <b>(BDE/CO)</b>	___	___	___
*10. Is there a special fitness program for Army Physical Fitness Test (APFT) failures (with no medical reason)? <b>(CO)</b>	___	___	___
11. Is there a consistent record that soldiers assigned to the unit have been tested (APFT) semiannually? <b>(CO)</b>	___	___	___
12. Does the unit have a readily available inclement weather plan for fitness training? <b>(BDE/CO)</b>	___	___	___
*13. During unit runs, is there straggler control? <b>(CO)</b>	___	___	___
14. Does the unit run pace strive for all soldiers to meet the 4-mile run in 36 minutes. <b>(BDE/CO)</b>	___	___	___
15. Does the unit publish a schedule for fitness leaders identifying tasks, and date of session? <b>(CO)</b>	___	___	___
16. Does the unit have a written procedure (SOP), defining physical fitness training for all soldiers assigned or attached? <b>(BDE/BN/CO)</b>	___	___	___
17. Does SOP address new soldier acclimatization? <b>(BDE/BN/CO)</b>	___	___	___
18. Does Brigade and Battalion document Physical Training results of inspections? <b>(BDE/BN)</b>	___	___	___

**Figure 7-4. Checklist for Physical Fitness Training Inspection.**

**Section V. Training Management**

**7-17. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation’s unit level Training Management Program.

a. The following is provided for information and used as a guide in preparing for the installation’s assessment of the organization’s individual proficiency through the Training Management Program.

b. Point of contact for this task is the G3/ Directorate of Plans, Training Mobilization, and Security, Training Support Division.

**7-18. Responsibility.** Unit commanders and activity directors/custodians are urged to set these standards as a management tool to help units maintain an adequate level of training at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**7-19. Standards.** Satisfactory effective controls for unit level training will be based upon the standards as follows:

a. Training guidance will be published annually and quarterly to reflect the JRTC and Fort Polk Training Guidance.

b. Long-range training calendar will be maintained projecting training events at least 1 year in advance.

c. A unit Mission Essential Task List (METL) is established with critical tasks identified IAW FM 25-100 and the JRTC and Fort Polk Training Guidance.

d. Training schedules are published/posted IAW JRTC and Fort Polk Command Training Guidance.

e. Duty roster appointments are re posted at least 14 days in advance.

f. Required training resources are identified and forecasted or requested before the training event IAW the JRTC and Fort Polk Command Training Guidance.

g. Training events and their associated costs are identified and input into the Training Management Program.

h. Satisfactory achievement of the minimum standards (critical tasks) for training management as outlined in the checklist.

i. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC and FP Regulations or Supplements.

j. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**7-20. References.**

a. FM 25-100, Training the Force, Nov 88.

b. FM 25-101, Battle Focused Training, Sep 90.

c. JRTC and Fort Polk Command Training Guidance.

d. JRTC and Fort Polk Reg 350-1, JRTC and Fort Polk Training Directive.

**Checklist for Training Management**

	YES	NO	N/A
1. Is training guidance published two months prior to the start of the quarter? <b>(BDE)</b>	___	___	___
2. Is training guidance published 6 weeks prior to the start of the quarter? <b>(BN )</b>	___	___	___
3. Are training schedules prepared and published four weeks in advance? <b>(CO)</b>	___	___	___
4. Are training schedules posted in a common use area two weeks in advance? <b>(CO)</b>	___	___	___
5. Is the current training guidance from the next higher headquarters on hand? <b>(BDE/BN/CO)</b>	___	___	___
6. Is the current Long-Range Training Calendar from the next higher headquarters on hand? <b>(BDE/BN/CO)</b>	___	___	___

**JRTC & FP Regulation 20-2**

**Figure 7-5. Checklist for Training Management Inspection.**

	YES	NO	N/A
7. Is a current METL established and on hand at the next higher headquarters?			
a. Brigade.	—	—	—
b. Battalion.	—	—	—
c. Company.	—	—	—
8. Are collective tasks on hand and approved for? <b>(CO)</b>			
a. Platoon.	—	—	—
b. Squad.	—	—	—
9. Are training schedules kept on file for one year? <b>(BN/CO)</b>	—	—	—
10. Are quarterly training briefings conducted prior to the start of the quarter? <b>(BDE/BN/CO)</b>	—	—	—
11. Is Sergeant's Time scheduled each week on the training schedule for 5 hours? <b>(CO)</b>	—	—	—
12. Are duty rosters posted in a common use area at least 14 days before the prescribed duty? <b>(BN/CO)</b>	—	—	—
13. Are training devices such as Multiple Integrated Laser Engagement System (MILES) and range equipment scheduled at least 30 days in advance? <b>(BDE/BN)</b>	—	—	—
14. Are range and training area requirements scheduled at least 90 days in advance at the appropriate Resource Allocation Conference? <b>(BDE/BN)</b>	—	—	—
15. Are training meetings conducted IAW FM 25-101? <b>(CO)</b>	—	—	—
16. Are After Action Reviews (AAR) used in the evaluation of training? <b>(CO)</b>	—	—	—

**Figure 6-5 (Continued). Checklist for Training Management Inspection.**

**Section VI. Weapons Training**

**7-21. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's unit level weapons training program.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the unit level weapons training program.

b. Point of contact for this task is the G3/ Directorate for Plans, Training, Mobilization, and Security (G3/DPTMS), Training Branch, Building 1713.

**7-22. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate level of weapons training at all times and enable them to conduct internal inspections as a part of the Command Inspection Program.

**7-23. Standards.** Satisfactory effective controls for weapons training will be based upon the standards as follows:

a. Demonstrated knowledge and implementation of established procedures, records, and compliance with regulations within the unit/activity.

b. Actual physical inspection of field sites, arms rooms and other areas that may be used for storage of weapons.

c. Satisfactory achievement of the minimum standards (critical tasks) for weapons training as outlined in the checklist.

d. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**7-24. References.**

a. AR 25-30, the Army Integrated Publishing and Printing Program.

b. All FM 23- Series as applicable.

c. DA Pam 350-38; Standards in Weapons Training.

**Checklist for Weapons Training  
(Company Level Only)**

	YES	NO	N/A
*1. Does the unit have a weapon assigned for each soldier?	___	___	___
*2. Does the unit maintain qualification records for all individual and crew served weapons?	___	___	___
*3. Is weapons training scheduled on unit training calendar?	___	___	___
4. Does noncommissioned officer professional development include leader task training for unit weapon systems?	___	___	___
5. Does the unit maintain adequate reference material (TM-10s, FMs and TCs) to conduct weapons training to STRAC standards?	___	___	___
6. Are unserviceable weapons identified, and job orders recorded for repairs?	___	___	___
7. Does unit maintenance periods include individual weapons (including unassigned weapons)?	___	___	___
*8. Does the unit conduct preliminary marksmanship training for all firers prior to range firing? (Dime/washer, target box, Weaponeer)	___	___	___

**Figure 7-6. Checklist for Weapons Training Inspection.**

**JRTC & FP Regulation 20-2**

**Section VII. Force Protection**

**7-25. Purpose.** This section contains the evaluation criteria and checklists for assessment of the AT/FP Program.

- a. The following is provided for information and use as a guide in preparing for the assessment of the organization's individual proficiency through the AT/ FP Program.
- b. Point of contact for this task is the G3/DPTMS Plans & Operations Division.

**7-26. Responsibility.** Brigade and Battalion or equivalent Commanders that deploy subordinate elements must use these standards as a management tool to maintain an adequate level of protection and conduct internal inspections as part of the Command Inspection Program.

**7-27. Standards.** Satisfactory effective controls for force protection will be based on the following standards:

- a. To establish AT/FP during and after deployment from home station.
- b. Satisfactory achievement of the standards for AT/FP as outlined in the following checklist.
- c. Maintenance of current guidelines, i.e., DoD Directives, Instructions, Army Regulations, and applicable JRTC & FP Regulations or Supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**7-28. References.**

- a. AR 525-13, Antiterrorism Force Protection (AT/FP): Security of Personnel, Information, and Critical Resources.
- b. DOD Directive 2000.12 and O-2000-H, DOD Combating Terrorism Program.
- c. DOD Instruction 2000.14, Combating Terrorism Program Procedures.
- d. DOD Instruction 0-2000.16, DOD Combating Terrorism Program Standards.
- e. FORSCOM OPOD 01-98, Force Protection.
- f. JRTC & FP OPLAN 97-01, Force Protection Plan.
- g. JRTC & FP MOI, Force Protection Training Program/Policy.

**Checklist for Force Protection Program  
(Standards from AR 525-13 and the cited paragraph)**

	YES	NO	N/A
1. Has AT/FP responsibility been assigned? (paragraph 5-3)	___	___	___
2. Are AT/FP programs and plans implemented? (paragraph 5-4)	___	___	___
3. Is the Army 5-step risk management process integrated into all AT/FP related planning and program execution? (paragraph 5-7)	___	___	___
4. Is an AT/FP Officer designated? (paragraph 5-9)	___	___	___
5. Are THREATCON transition procedures and measures developed, disseminated, and implemented? (paragraph 5-10)	___	___	___
6. Is potential threat use of Weapons of Mass Destruction addressed in plans? (paragraph 5-11)	___	___	___
7. Is AT/FP incorporated into the Command Information Program? (paragraph 5-13)	___	___	___
8. Is there a fully integrated AT/FP intelligence program? (paragraph 5-14)	___	___	___

**Figure 7-7. Checklist for Force Protection Program Inspection.**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
9. Has a threat and vulnerability assessment been prepared? (paragraph 5-15)	___	___	___
10. Is AT/FP intelligence information disseminated? (paragraph 5-16)	___	___	___
11. Is individual antiterrorism training being provided? (paragraph 5-17)	___	___	___
12. Are leaders trained for their command AT/FP responsibilities? (paragraph 5-18)	___	___	___
13. Is there an AT/FP resource management program? (paragraph 5-21)	___	___	___
14. Is C2 Protect integrated into AT/FP planning and program execution? (paragraph 5-22)	___	___	___
15. Has a C2 Protect threat and vulnerability assessment been conducted? (paragraph 5-23)	___	___	___
16. Are restricted areas formally designated and controlled? (paragraph 5-26)	___	___	___
17. Has a Random Antiterrorism Measures Program been developed? (paragraph 5-27)	___	___	___
18. Have AT/FP factors for facility and site selection been developed? (paragraph 5-29)	___	___	___
19. Has AT/FP coordination been conducted with law enforcement agencies? (paragraph 5-31)	___	___	___
20. Has the Force Protection Assessment Tool in FORSCOM OPORD 01-98, Annex O, Appendix 1, been completed? (FORSCOM BDE/BN only)	___	___	___

**Figure 7-7 (Continued). Checklist for Force Protection Program Inspection.**

**Section VIII. Consideration of Others Program**

**7-29. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation's unit level Consideration of Others Program.

- a. The following is provided for information and is to be used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the Consideration of Others Program.
- b. Point of contact for this task is the Equal Opportunity NCOIC, Equal Opportunity Programs Office, Building 1715.

**7-30. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain a comprehensive human relations program, and to enable them to conduct internal inspections as a part of the Command Inspection Program.

**7-31. Standards.** Satisfactory effective controls for the Consideration of Others Program will be based upon the following standards.

- a. Areas of Administration, training, and facilitating procedures.
- b. The focus of this inspection on compliance with referenced regulations and soldier/personnel knowledge as measured by random interviews of assigned personnel.
- c. Satisfactory achievement of the minimum standards (critical tasks as indicated by (\*) asterisk) of the Consideration of Others Program as outlined in the checklist.
- d. Maintenance of the current guidelines, i.e., JRTC & Fort Polk written policies.

**7-32. References.**

- a. JRTC & Fort Polk Policy Memorandum #68, Consideration of Others - A Command Emphasis Program, dated 10 Mar 99.
- .....b. JRTC & Fort Polk Memorandum of Instruction, Consideration of Others - A Command Emphasis, dated 10 Mar 99.

**Checklist for Consideration of Others Program**  
(Applies to Bde/Bn/Co/Det and all Program Directorates)

**ADMINISTRATION**

	YES	NO	N/A
1. Are the following Consideration of Others program publications on hand?			
a. JRTC & Fort Polk Memorandum of Instruction (MOI), Consideration of Others (CO2) - A Command Emphasis Program, 10 Mar 99.	___	___	___
b. JRTC & Fort Polk Command Policy Memorandum #68, Consideration of Others (CO2) - A Command Emphasis Program, 10 Mar 99.	___	___	___

**TRAINING**

1. Does the unit commander have a written and posted policy memorandum? (para 4d, CPM #68)	___	___	___
2. Is training annotated on the unit training schedule? (para 4d, CPM #68)	___	___	___
3. Have facilitators been properly trained? (para 3b(3)(a)-(d), CO2 MOI)	___	___	___
4. Is training being conducted on a quarterly basis, in 2-hour increments? (para 4a, CPM #68)	___	___	___
5. Is CO2 training data presented at the QTB? (para 3b(6), CO2 MOI)	___	___	___

**Figure 7-8. Checklist for Consideration of Others Program**

**JRTC & FP Regulation 20-2**

	YES	NO	N/A
6. Has the commander attempted to maintain a minimum of one facilitator per 23 personnel? (para 3b(2), CO2 MOI)	_____	_____	_____

**FACILITATING PROCEDURES**

1. Are topics for discussion selected by the commander and are sites obtained for small group discussion? (para 3b(5), CO2 MOI)	_____	_____	_____
2. Is group size for discussions kept within the 12-23 persons limit? (paras 2 and 3c, CPM #68)	_____	_____	_____
3. Are outside facilitators used when necessary? (para 3c(2)(a-c))	_____	_____	_____

**Figure 7-8. Checklist for Consideration of Others Program**

# Chapter 8 Logistics

## Section I. Energy Awareness

**8-1. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation’s unit level Energy Conservation Program.

a. The following is provided for information and used as a guide in preparing for the installation’s assessment of the organization’s individual proficiency through the Energy Conservation Program.

b. The checklist is organized into company/troop level tasks and battalion/squadron and above tasks. The purpose of this is to focus company/battery-level responsibility of unit and living areas. Collective program areas to include motor pools, dining facilities and work areas are under the scope of battalion/squadron-level and above.

c. Point of contact for this task is the Directorate of Public Works, Engineer Plans and Services Division, (DPW/EPDS) building 3304, telephone number 531-2421/1428.

**8-2. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units implement comprehensive energy measures and enable them to conduct internal inspections as a part of the Organizational Inspection Program.

**8-3. Standards.** Satisfactory effective controls for energy conservation will be based on the standards as follows:

- a. Designate responsible unit/facility personnel to ensure compliance with established regulations.
- b. Satisfactory achievement of the minimum standards (critical tasks) of energy conservation as outlined in the checklist.
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

**8-4. References.**

- a. AR 11-27, Army Energy Program
- b. AR 200-1, Environmental Protection and Enhancement.
- c. JRTC and FP Regulation 420-5, Fire Prevention and Protection.

### Checklist for Energy Awareness

**A/B. Brigade/Regiment/Directorate/Battalion/Squadron**

	YES	NO	NA
<b>1. Energy Conservation Program (AR 11-27)</b>			
a. Are orders designating Energy Awareness Officer, NCO, and Building Monitors on file in the appropriate office?	___	___	___
b. Does the unit have a Brigade/Regiment/Directorate SOP for energy conservation and a program that is enforced?	___	___	___
c. Are incoming personnel properly briefed on the Energy Conservation Program?	___	___	___
d. Do Duty Officer instructions books have Energy Conservation Checklist of checks to be made on a regular basis?	___	___	___
e. Are conservation instructions given in the Command Information Program at least four times a year and indicated on unit’s training or activity schedule, and kept on file at Battalion/Squadron level?	___	___	___
f. Does the unit Energy Awareness Officer or NCO conduct an inspection at least once a week to ensure compliance with published directives and good conservation practices?	___	___	___

**Figure 8-1a. Checklist for Energy Awareness Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
g. Does the Energy Awareness NCO make informal reports to the unit commander as to irregularities noted and corrective action taken or to be taken?	___	___	___
h. Does the unit have a 20 percent contingency plan with a copy furnished to the Installation Energy Manager at the Engineer Plans and Services Division, Directorate of Public Works?	___	___	___
i. Are conservation SOPs posted on Bulletin Boards for all assigned personnel to view?	___	___	___
j. Are Army Regulations present pertaining to Energy Conservation?	___	___	___
<b>2. Lighting.</b>			
a. Are windows and lights maintained in good repair, and are they clean?	___	___	___
b. Are window shades and blinds used correctly?	___	___	___
c. Is DA Poster 5-26, "IF NOT NEEDED, OFF PLEASE", or a reasonable facsimile, posted near all light switches?	___	___	___
d. Are all unnecessary lights turned off in unoccupied areas?	___	___	___
e. Are all exterior lights turned off during the day?	___	___	___
<b>3. Appliances.</b>			
a. Does unit have Fort Polk Form 818 (Special Utility Equipment Permit) (REV) posted near privately owned, coffee pots, refrigerators, air conditioners and microwave ovens, as outlined in JRTC & FP Reg 11-27, Appendix J?	___	___	___
b. Are all appliances used for their intended purpose?	___	___	___
c. Is the use of multiple sockets prohibited?	___	___	___
d. Are all appliances turned off when not in use?	___	___	___
e. Is the number of any one type of appliance kept to a minimum?	___	___	___
f. Is the appliance being serviced on a regular basis as recommended by the manufacturer?	___	___	___
g. Is there a unit file/log for FP Form 818 (Special Utility Equipment Permit) (REV) requests?	___	___	___
<b>4. Air-Conditioning.</b>			
a. Are all windows closed during air conditioning season?	___	___	___
b. Is system cut off in unoccupied areas?	___	___	___
c. Are filters cleaned and annotated on a tag every 30 days during air-conditioning season?	___	___	___
d. Is system winterized during heating season?	___	___	___
e. Are light, lamps TVs, stereos, and other heat generating equipment kept away from air return vents?	___	___	___
f. Does the unit have a plan to have DPW inspect the air-conditioning System prior to 1 June?	___	___	___
<b>5. Heating System</b>			
a. Has it been serviced during non-heating season?	___	___	___
b. Does the system have clean filters, and is it serviced and tagged every 30 days?	___	___	___
c. Are vent outlets clean and clear of all objects that would interfere with airflow?	___	___	___
d. Are open doors, broken windows, holes in walls or ceilings repaired or otherwise sealed up?	___	___	___
e. Are exhaust louvers closed?	___	___	___

**Figure 8-1a(continued). Checklist for Energy Awareness Inspection.**

	YES	NO	N/A
f. Are gas lines free of leaks and pilot lights turned off during cooling season?	___	___	___
g. Has permission been granted from DPW, Engineer Plans and Services Division (EPSD) for any electric heaters on hand or in use?	___	___	___
<b>6. Exhaust Fans</b>			
a. Are blades and louvers clean and free of obstacles?	___	___	___
b. Do louvers close completely and are they kept closed during the heating season?	___	___	___
c. Are the blades free of bends, cracks, and are the belts free of excessive wear and fraying?	___	___	___
<b>7. Water</b>			
a. Have all water leaks (if any) been reported for repair?	___	___	___
b. Are faucets off when not in use?	___	___	___
c. Is the washing of vehicles in barracks area prohibited?	___	___	___
d. Is the use of lawn sprinklers kept to a minimum?	___	___	___
e. Is the wash rack properly maintained?	___	___	___
f. Is DA Poster 5-27 "WATER WASTE MEANS WATER SHORTAGE", or a reasonable facsimile posted near all water outlets?	___	___	___
<b>8. Dining Facilities</b> - Has unit finalized and implemented energy conservation measures established in the Army food Service Energy Maintenance Program Manual (AFSEM)?	___	___	___
<b>9. Deactivated Buildings</b>			
a. Was the DPW, Maintenance and Operations Division Notified?	___	___	___
b. Are the power and water turned off?	___	___	___
c. Have fire hazards been eliminated?	___	___	___
d. Is building secured"?	___	___	___
e. Is building signed for an are emergency numbers posted?	___	___	___
<b>10. Mobility Fuels</b>			
a. Is unit using proper maintenance procedures?	___	___	___
b. Is unit logging all consumption of fuel?	___	___	___
c. Are all fuel and oil spills reported and cleaned up?	___	___	___
d. Is unit reporting to Battalion/Squadron, fuel consumed and available for vehicles and fuel tankers?	___	___	___
e. Is unit using proper dispatch procedures?	___	___	___
<b>11. Work Requests (Corrective Action)</b>			
a. Is telephone number 531-2953 for emergency work requests in the unit SOP?"	___	___	___
b. Has unit submitted work requests for deficiencies on energy consumption devices?	___	___	___
c. Have work requests been logged, i.e., dated and signed by individual who is responsible for work requests in unit and on file at battalion/squadron/activity level?	___	___	___
d. Has unit been following through, after 7 days, on routine work requests and after 24 hours on emergency work requests?	___	___	___
e. When work requests are completed, are they initialed and logged off by individual handling work requests?	___	___	___

Figure 8-1a (Continued). Checklist for Physical Security Program Inspection.

**JRTC & FP Reg 20-2**

	YES	NO	N/A
f. Are assigned buildings being utilized to maximum extent possible?	___	___	___
g. When inspector completes checklist, ensure are any deficiencies found corrected by unit or turned in to DPW, EPSD?	___	___	___
h. Maintains this checklist until after next inspection or for a 2-year period?	___	___	___
	YES	NO	N/A

**C. Company/Troop/Battery First Sergeant**

**1. Energy Conservation Program (AR 11-27)**

a. Are orders designating Energy Awareness Officer, NCO and Building Monitor on file in unit?	___	___	___
b. Does the unit have a copy of the Brigade/Regiment SOP for energy conservation?	___	___	___
c. Does the unit maintain a briefing checklist for all incoming personnel outlining the Energy Conservation Program?	___	___	___
d. Are conservation SOPs posted on Bulletin Boards for all assigned personnel to view?	___	___	___
e. Are conservation instructions given in the Command Information Program at least four times a year and indicated on unit's training or activity schedule, and kept on file?	___	___	___
f. Does the unit Energy Awareness Officer or NCO conduct an inspection at least once a week to ensure compliance with published directives and good conservation practices?	___	___	___
g. Does the Energy Awareness NCO make informal reports to the unit commander as to irregularities noted and corrective action taken or to be taken?	___	___	___
h. Are Army Regulations present pertaining to Energy Conservation?	___	___	___

**2. Lighting.**

a. Are windows and lights maintained in good repair, and are they clean?	___	___	___
b. Are window shades and blinds used correctly?	___	___	___
c. Is DA Poster 5-26, "IF NOT NEED, OFF PLEASE", or a reasonable facsimile, posted near all light switches?	___	___	___
d. Are all unnecessary lights turned off in unoccupied areas?	___	___	___
e. Are all exterior lights turned off during the day?	___	___	___

**3. Appliances.**

a. Does unit have Fort Polk Form 818 (Special Utility Equipment Permit) (REV) posted near privately owned, coffee pots, refrigerators, air conditioners and microwave ovens, as outlined in JRTC & FP Reg 11-27, Appendix J?	___	___	___
b. Are all appliances used for their intended purpose?	___	___	___
c. Is the use of multiple sockets prohibited?	___	___	___
d. Are all appliances turned off when not in use?	___	___	___
e. Is the number of any one type of appliance kept to a minimum?	___	___	___

**Figure 8-1a (Continued). Checklist for Physical Security Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
f. Is the appliance being serviced on a regular basis as recommended by the manufacturer?	___	___	___
g. Is there a unit file/log for FP Form 818 (Special Utility Equipment Permit) (REV) requests?	___	___	___
<b>4. Air-Conditioning.</b>			
a. Are all windows closed during air-conditioning season?	___	___	___
b. Is system cut off in unoccupied areas?	___	___	___
c. Are filters cleaned and annotated on a tag every 30 days during air-conditioning season?	___	___	___
d. Is system winterized during heating season?	___	___	___
e. Are light, lamps TVs, stereos and other heat generating equipment kept away from air return vents?	___	___	___
<b>5. Heating System</b>			
a. Has it been serviced during non-heating season?	___	___	___
b. Does the system have clean filters, and is it serviced and tagged every 30 days?	___	___	___
c. Are vent outlets clean and clear of all objects that would interfere with airflow?	___	___	___
d. Are open doors, broken windows, holes in walls or ceilings repaired or otherwise sealed up?	___	___	___
e. Are exhaust louvers closed?	___	___	___
f. Has permission been granted from DPW, Engineer Plans and Services Division (EPSD) for any electric heaters on hand or in use?	___	___	___
<b>6. Exhaust Fans</b>			
a. Are blades and louvers clean and free of obstacles?	___	___	___
b. Do louvers close completely and are they kept closed during the heating season?	___	___	___
c. Are the blades free of bends, cracks, and are the belts free of excessive wear and fraying?	___	___	___
<b>7. Water</b>			
a. Have all water leaks (if any) been reported for repair?	___	___	___
b. Are faucets off when not in use?	___	___	___
c. Is the washing of vehicles in barracks area prohibited?	___	___	___
d. Is the use of lawn sprinklers kept to a minimum?	___	___	___
e. Is the wash rack properly maintained?	___	___	___
f. Is DA Poster 5-27 "WATER WASTE MEANS WATER SHORTAGE", or a reasonable facsimile posted near all water outlets?	___	___	___

**Figure 8-1a (continued). Checklist for Energy Awareness Inspection.**

**JRTC & FP Reg 20-2**

**Section II. Environmental Compliance of Installation Facilities**

**8-5. Purpose.** This section contains the evaluation criteria and checklist for unit-level environmental assessments (self-inspections) for the Joint Readiness Training Center and all units and activities assigned or attached to Fort Polk, Louisiana.

a. The following is provided for information and used as a guide in preparing for the assessment of the organization’s individual proficiency and in preparation for the Environmental Compliance Inspections performed by the CMB.

b. Point of contact for this task is the Directorate of Public Works, Environmental and Natural Resource Management Division, Compliance Management Branch, (DPW/ENRMD/CMB) building 2502, telephone number 531-6029/6008.

**8-6. Responsibility.** Unit commanders and activity directors/custodians are required to use these standards as a management tool to help units comply with Federal, State, and U.S. Army environmental regulations, laws, and statutes at all times and enable them to conduct internal inspections as a part of the Command Inspection Program (JRTC & FP Reg 20-2, Chapter 7, Section II).

**8-7. Standards.** All items in the checklist are mandatory state, federal or Army requirements. Deficiencies on any item reflect noncompliance with the indicated law or regulations. Commanders should strive to achieve a 100% compliance for their facilities as follows:

a. Designated primary and alternate Environmental Compliance Officer (ECO) at each unit/ activity down to the company/shop level to ensure compliance with established regulations (AR 200-1, para 1-32f)..

b. Re-inspections will be conducted within 30-45 days of the initial quarterly inspection for all facilities with noted deficiencies.

c. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**8-8. References.**

- a. 40 CFR, Protection of the Environment.
- b. 29 CFR, Labor.
- c. LAC, Title 33.
- d. AR 200-1, Environmental Protection and Enhancement.
- e. AR700-68, Storage and Handling of Compressed Gases and Liquids in Cylinders, and of Cylinders
- f. US Army Environmental Compliance Assessment System (ECAS).
- g. Fort Polk Spill Prevention Control and Counter-measure Plan (SPCCP).
- h. Fort Polk Installation Spill Contingency Plan (ISCP).

**Checklist for Environmental Compliance for Installation Facilities**

**A. Brigade/ Regiment/Group/Directorate Level**

	YES	NO	NA
<b>1. General.</b>			
a. Has the unit/activity ECO and alternate been appointed on orders and have their current ECO Certificate of Training on hand?	___	___	___
b. Are the required publications on hand? AR 200-1, JRTC and FP Installation, Spill Prevention Control and Countermeasures Plan (SPCCP); Hazard Communication Program; Unit/Activity Spill Contingency Plan; FP Installation Spill Contingency Plan (ISCP)?	___	___	___
c. Are environmental compliance inspections being conducted annually (CI) and documented by the Unit ECO?	___	___	___

**Figure 8-2a. Checklist for Environmental Compliance of Installation Facilities Inspection**

	YES	NO	NA
d. Is a copy of the Hazardous Material Inventory on file, updated as needed, and been validated for the quarter by the CMB?	___	___	___
e. Are hard copies of MSDS easily accessible to all personnel working with hazardous materials and POL products?	___	___	___
f. Has activity training in HAZARDOUS MATERIAL/WASTE HANDLING been conducted and documented?	___	___	___
g. Are hazardous material/waste containers being managed properly within the boundaries of Unit/Activity?	___	___	___
<b>11. Fuel Pumping Stations</b>			
a. Does each pump stand dispensing MOGAS have a sign stating that only unleaded gas should be introduced into vehicles labeled “unleaded only.”	___	___	___
b. Is a valid copy of the underground storage tank registration on file at the site?	___	___	___
c. Is a current underground storage tank certification form posted for each tank at the site?	___	___	___
d. Are current annual line tightness testing records kept on file at the site?	___	___	___
e. Are automatic tank gauging system tank tightness test results printed out monthly and kept on file at the site?	___	___	___
f. (Airfield bulk storage site only) Is cathodic protection system operational and are annual cathodic protection system test results kept on site?	___	___	___
g. Is a site-specific spill plan and spill cleanup equipment located at the fuel pumping stations?	___	___	___
<b>12. Accumulation Point</b>			
Three facilities at Fort Polk have a <90 Day Hazardous Waste Accumulation Storage Area:			
* Defense Reutilization Marketing Office - DRMO			
* Baynes Jones Army Community Hospital – BJACH			
* HAZMART – DPW, ENRMD			
a. Is the hazardous waste storage area secured to prevent unauthorized entry?	___	___	___
b. Is an “Inventory List” and hard copies of MSDSs or Waste Profile documents readily accessible at the accumulation point for all hazardous wastes stored?	___	___	___
c. Are weekly inspections of the hazardous waste storage area being conducted and documented?	___	___	___
d. Is a site-specific spill plan located at the Accumulation Point?	___	___	___
e. Are hazardous waste containers properly labeled “Hazardous Waste,” and the name of the waste stored?	___	___	___
f. Is the date upon which each period of accumulation begins clearly marked and visible for inspection on each container?	___	___	___
g. Are containers used to store hazardous waste made of or lined with materials compatible with the wastes stored in them?	___	___	___
h. Are containers closed except when personnel are actually putting hazardous waste into container?	___	___	___
i. Are containers used to store hazardous waste in good condition (i.e., severe rusting, apparent structural defects)?	___	___	___
j. Does the hazardous waste storage area have an alarm mechanism to provide immediate emergency notice in case of a major spill or accident? (Voice is adequate)	___	___	___

Figure 8-2a(continued). Checklist for Environmental Compliance of Installation Facilities Inspection.

**JRTC & FP Reg 20-2**

	YES	NO	N/A
k. Does the hazardous waste storage area have a portable fire extinguisher on hand? (If flammables are to be stored in it)	___	___	___
l. Does the hazardous waste storage area have spill control equipment, such as absorbent material, on hand and readily accessible?	___	___	___
m. Is decontamination equipment available for cleaning items contaminated by a spill?	___	___	___
n. Is there enough space between aisles to allow free movement of emergency personnel, fire extinguishers and hoses, spill control equipment, and decontamination equipment? Minimum of three (3) feet.	___	___	___
o. Is the secondary containment system free of significant cracks, gaps, corrosion, or other deterioration, and adequate enough to contain the contents of the largest container of hazardous waste in storage?	___	___	___
p. Is the hazardous waste storage building completely self enclosed and designed and constructed as certified by a Professional Engineer (PE) to support the waste contents, and any personnel and heavy equipment that operate within the unit?	___	___	___

**Figure 8-2a(continued). Checklist for Environmental Compliance of Installation Facilities Inspection.**

**B. Battalion/Squadron Level**

	YES	NO	N/A
<b>1. General.</b>			
a. Has the battalion ECO and alternate been appointed on orders and have their current ECO Certificate of Training on hand?	___	___	___
b. Are the required publications on hand? AR 200-1, JRTC and FP Installation, Spill Prevention Control and Countermeasures Plan (SPCCP); Hazard Communication Program; Unit/Activity Spill Contingency Plan; FP Installation Spill Contingency Plan (ISCP)?	___	___	___
c. Are environmental compliance inspections being conducted monthly and documented by the Battalion ECO?	___	___	___
d. Is a copy of the Hazardous Material Inventory on file, updated as needed, and been validated for the quarter by the CMB?	___	___	___
e. Are hard copies of MSDS easily accessible to all personnel working with hazardous materials and POL products?	___	___	___
f. Does the battalion ECO track company ECO training in HAZARDOUS MATERIAL/WASTE HANDLING and is it documented?	___	___	___
g. Are hazardous material/waste containers being managed properly within the boundaries of the battalion area?	___	___	___
<b>2. Maintenance Bays.</b>			
a. Are the maintenance bay floors free of petroleum, oil, and lubricant (POL) products that are not contained in a manner as to prevent a potential hazard or a release into the environment?	___	___	___
b. Are containers for new and used dry sweep in place?	___	___	___
c. Are maintenance personnel aware of the proper procedure for disposing of contaminated dry sweep?	___	___	___
d. Are spills being cleaned so that no residual product remains?	___	___	___
e. Is dirt and other debris kept away from "Used Oil" drains?	___	___	___

**Figure 8-2b. Checklist for Environmental Compliance of Installation Facilities Inspection.**

	YES	NO	N/A
f. Are maintenance bay floors being wet mopped only and not being washed down by spraying water on them?	___	___	___
<b>3. Wash Racks.</b>			
a. Are only bio-degradable detergents being used?	___	___	___
b. Is the surface of the wash rack area free of spilled POL?	___	___	___
c. Is the trough free of sediment that could impede the operation of the wash rack?	___	___	___
d. Does the unit have POC listed for pumping of Waste-Water Collection?	___	___	___
e. Does the unit have scheduled Waste-Water Collection monthly?	___	___	___
<b>4. Vehicle Line.</b>			
a. Are drip pan/s properly placed under vehicle/s that leak POL products?	___	___	___
b. Are drip pans emptied into the proper used-oil containers as needed so as to prevent any possible contamination to the environment?	___	___	___
c. Are spills cleaned up to the extent that no residual product remains?	___	___	___
d. Are adequate absorbent materials available for the clean up of spills or leaks?	___	___	___
e. Are operators/line personnel aware of the proper procedures for disposal of contaminated dry sweep?	___	___	___
f. Is the line free of organizational maintenance in which any type of POL products could be released? (i.e. draining oil, pulling packs, changing final drives, etc.)	___	___	___
<b>5. Solvent Degreasers</b>			
a. Are solvent machine lids tightly fitting, and are closed except when parts are actually being cleaned?	___	___	___
b. Is the work tray clean and free of items such as rags, excessive dirt or grease build up inside work tray?	___	___	___
c. Are personnel allowing the excess solvent to drain off parts before removing parts from solvent machine?	___	___	___
d. Are the containers used to store the waste parts-washer filters, labeled "Hazardous Waste – Inland Filters", and stored adjacent to washer?	___	___	___
<b>6. New Hazardous Material Storage Areas</b>			
a. Is the storage area secured to protect against tampering or trespassers?	___	___	___
b. Is a copy of the Hazardous Material Inventory and hard copies of the MSDSs on site and updated as necessary?	___	___	___
c. Is a site-specific spill plan located at the storage area?	___	___	___
d. Does the Unit ECO develop, supervise, and evaluate the staging of an annual mock spill to test the Unit's understanding of the ISCP and the Units ability to appropriately respond to a spill?	___	___	___
e. Is personal protective equipment (PPE), readily available at the site (which meets the requirements of the MSDSs)?	___	___	___
f. Are drums/containers in good condition,(no dents, rust, or leaks), and labeled or marked with the name of the contents, and appropriate warning label?	___	___	___
g. Are lids or shipping seals in place on all drums/container's?	___	___	___
h. Are the drums/containers located away from basins, drains, or waterways?	___	___	___
i. Are flammable or combustible liquids stored in ways that do not limit the use of exits, stairways, or areas normally used for safe egress of people?	___	___	___

Figure 8-2b(continued. Checklist for Environmental Compliance of Installation Facilities Inspection

**JRTC & FP Reg 20-2**

	YES	NO	N/A
j. Are hazardous materials, which are stored outside, covered to prevent intrusion of rainwater?	___	___	___
k. Are incompatible materials properly segregated?	___	___	___
1. Is a spill kit or adequate absorbent material readily available where hazardous materials are stored?	___	___	___
m. Are containers inside the storage cabinet labeled, neatly stored, and all caps, lids, and bungs in place?	___	___	___
<b>7. In-Use Hazardous Material Storage Area</b>			
a. Is a site-specific spill plan located at the in-use area?	___	___	___
b. Is personal protective equipment (PPE) readily available for personnel as per requirements of the MSDS?	___	___	___
c. Are conditions of the containers inspected daily for dents, rust, leaks or spills to prevent a potential hazard or a release into the environment?	___	___	___
d. Do all In-Use POL containers have secondary containment and containers which are stored outside have a secondary cover to prevent the intrusion of rainwater?	___	___	___
e. Are spill kits or adequate absorbent materials readily available for in-use hazardous material areas?	___	___	___
f. Are the drums/container's lids in place to prevent leaks or spills?	___	___	___
g. Are drip pans placed under the spout of drums which are used for the dispensing of POL products?	___	___	___
<b>8. Compressed Gas Storage Area</b>			
a. Does storage area provide cylinder protection against physical and environmental damage to include tampering from unauthorized personnel?	___	___	___
b. Can the contents of the cylinder be identified using labels and markings?	___	___	___
c. Are caps, plugs, or valve outlet caps left in place at all times except when the cylinder is connected to the dispensing equipment?	___	___	___
d. Is appropriate personal protective equipment for the type of gas immediately available?	___	___	___
e. Are compressed gas cylinders segregated by transportation label into three primary groups: flammable, nonflammable, and poison?	___	___	___
f. Are compressed gases, which are stored in the same room or bay with other commodities, separated by a specified minimum distance of 20 feet from incompatible compressed gases, flammable liquids, or incompatible materials?	___	___	___
g. Are compressed gases, which are stored in separate buildings without other commodities, located at least 50 feet from adjacent buildings and equipment?	___	___	___
h. Are cylinders, which are stored outside, placed on a raised concrete slab or other dunnage and covered with a fixed non-combustible canopy to prevent cylinders from contact with the ground, inclement weather or direct sunlight?	___	___	___
i. Are full and empty cylinders stored separate and marked "FULL" or "EMPTY"?	___	___	___
j. Are all compress gas cylinders stored in a valve end upright position?	___	___	___
k. Are no smoking signs posted around storage areas and at the entrance to special storage areas?	___	___	___
<b>9. Used POL Storage Areas</b>			
a. Is the ECO conducting and documenting weekly inspections of the Used-POL			

**Figure 8-2b (continued). Checklist for Environmental Compliance of Installation Facilities Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
storage area for, leaking, dented, rusted containers, and general housekeeping?	___	___	___
b. Are drum or containers that are utilized to store used oil properly labeled as “Used Oil”?	___	___	___
c. Are drums/containers in good condition, no dents, rust, or leaking any fluids?	___	___	___
d. Are drum or containers that are utilized to store contaminated fuel properly labeled as “Contaminated (JP-8, Diesel, MOGAS) Fuel”?	___	___	___
e. Do all Used-POL containers have sufficient secondary containment and containers which are stored outside have a secondary cover to prevent the intrusion of rainwater?	___	___	___
f. Are all caps, lids, bungs, or funnels closed properly except when adding liquids from the containers?	___	___	___
g. Have personnel who handle POL products received adequate (or any) spill training? (i.e. who to notify in case of a spill, how to contain a spill, and safety procedures)	___	___	___
h. Is a site-specific spill plan located at the Used-POL area?	___	___	___
<b>10. Satellite Collection Point (SCP)</b>			
a. Are SCP areas inspected and documented at a minimum of once a week?	___	___	___
b. Does the SCPs meet the total accumulation requirements not to exceed 55-gallons of hazardous waste or 1 quart of acutely hazardous waste?	___	___	___
c. Are hazardous waste containers at or near any point of generation and under the control of the operator of the process who generates the waste?	___	___	___
d. Are the containers used to store the hazardous waste made of or lined with materials which are compatible with the hazardous waste?	___	___	___
e. Are hazardous waste containers free from leaks, rust, or dents?	___	___	___
f. Are the hazardous waste containers kept closed except when adding waste?	___	___	___
g. Are hazardous waste containers properly labeled “Hazardous Waste,” and the common name of the waste stored inside?	___	___	___
h. Are the hazardous waste containers legibly marked with the date the container was filled and/or sealed, and properly disposed of within three days of the time excess accumulation begins?	___	___	___
i. Is a site-specific spill plan located at the SCP?	___	___	___

**Figure 8-2b (continued). Checklist for Environmental Compliance of Installation Facilities Inspection.**

**C. Company/Troop/Battery/Shop Level**

**1. General.**

a. Has the company ECO and alternate been appointed on orders and have their current ECO Certificate of Training on hand?	___	___	___
b. Are the required publications on hand? AR 200-1, JRTC and FP Installation, Spill Prevention Control and Countermeasures Plan (SPCCP); Hazard Communication Program; Unit/Activity Spill Contingency Plan; FP Installation Spill Contingency Plan (ISCP)?	___	___	___
c. Are environmental compliance inspections being conducted monthly and documented by the Company ECO?	___	___	___
d. Is a copy of the Hazardous Material Inventory on file, updated as needed, and been validated for the quarter by the CMB?	___	___	___

**Figure 8-2c. Checklist for Environmental Compliance of Installation Facilities Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
e. Are hard copies of MSDS easily accessible to all personnel working with hazardous materials and POL products?	___	___	___
f. Has company training in HAZARDOUS MATERIAL/WASTE HANDLING been conducted and documented?	___	___	___
g. Are hazardous material/waste containers being managed properly within the company area?	___	___	___
<b>2. Maintenance Bays.</b>			
a. Are the maintenance bay floors free of petroleum, oil, and lubricant (POL) products that are not contained in a manner as to prevent a potential hazard or a release into the environment?	___	___	___
b. Are containers for new and used dry sweep in place?	___	___	___
c. Are maintenance personnel aware of the proper procedure for disposing of contaminated dry sweep?	___	___	___
d. Are spills being cleaned so that no residual product remains?	___	___	___
e. Is dirt and other debris kept away from "Used Oil" drains?	___	___	___
f. Are maintenance bay floors being wet mopped only and not being washed down by spraying water on them?	___	___	___
<b>3. Vehicle Line.</b>			
a. Are drip pan/s properly placed under vehicle/s that leak POL products?	___	___	___
b. Are drip pans emptied into the proper used-oil containers as needed so as to prevent any possible contamination to the environment?	___	___	___
c. Are spills cleaned up to the extent that no residual product remains?	___	___	___
d. Are adequate absorbent materials available for the clean up of spills or leaks?	___	___	___
e. Are operators/line personnel aware of the proper procedures for disposal of contaminated dry sweep?	___	___	___
f. Is the line free of organizational maintenance in which any type of POL products could be released? (i.e. draining oil, pulling packs, changing final drives, etc.)	___	___	___
<b>4. In-Use Hazardous Material Storage Area</b>			
a. Is a site-specific spill plan located at the in-use area?	___	___	___
b. Is personal protective equipment (PPE) readily available for personnel as per requirements of the MSDS?	___	___	___
c. Are conditions of the containers inspected daily for dents, rust, leaks or spills to prevent a potential hazard or a release into the environment?	___	___	___
d. Do all In-Use POL containers have secondary containment and containers which are stored outside have a secondary cover to prevent the intrusion of rainwater?	___	___	___
e. Are spill kits or adequate absorbent materials readily available for in-use hazardous material areas?	___	___	___
f. Are the drums/container's lids in place to prevent leaks or spills?	___	___	___
g. Are drip pans placed under the spout of drums which are used for the dispensing of POL products?	___	___	___
<b>5. New Hazardous Material Storage Areas</b>			
a. Is the storage area secured to protect against tampering or trespassers?	___	___	___

**Figure 8-2c (continued). Checklist for Environmental Compliance of Installation Facilities Inspection.**

	YES	NO	N/A
b. Is a copy of the Hazardous Material Inventory and hard copies of the MSDSs on site and updated as necessary?	___	___	___
c. Is a site-specific spill plan located at the storage area?	___	___	___
d. Does the Unit ECO develop, supervise, and evaluate the staging of an annual mock spill to test the Unit's understanding of the ISCP and the Units ability to appropriately respond to a spill?	___	___	___
e. Is personal protective equipment (PPE), readily available at the site (which meets the requirements of the MSDSs)?	___	___	___
f. Are drums/containers in good condition,(no dents, rust, or leaks), and labeled or marked with the name of the contents, and appropriate warning label?	___	___	___
g. Are lids or shipping seals in place on all drums/container's?	___	___	___
h. Are the drums/containers located away from basins, drains, or waterways?	___	___	___
i. Are flammable or combustible liquids stored in ways that do not limit the use of exits, stairways, or areas normally used for safe egress of people?	___	___	___
j. Are hazardous materials, which are stored outside, covered to prevent intrusion of rainwater?	___	___	___
k. Are incompatible materials properly segregated?	___	___	___
l. Is a spill kit or adequate absorbent material readily available where hazardous materials are stored?	___	___	___
m. Are containers inside the storage cabinet labeled, neatly stored, and all caps, lids, and bungs in place?	___	___	___

**Figure 8-2c (continued). Checklist for Environmental Compliance of Installation Facilities Inspection.**

**Section III. Fire Prevention**

**8-9. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's Fire Prevention Program.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the Fire Prevention Program.

b. Point of contact for this task is the Fire Inspector, Directorate of Public Works, Building 1736, telephone number 531-2026/531-2296.

**8-10. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain a comprehensive Fire Prevention Program, and enable them to conduct internal inspections as a part of the Organizational Inspection Program.

**8-11. Standards.** Satisfactory effective controls for a Fire Prevention Program will be based upon the following standards:

a. To achieve a satisfactory rating, the unit/activity must be in compliance with 100% of the items in the checklist.

b. Maintenance of the (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

c. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**8-12. References.**

a. AR 420-90, Fire Protection.

**JRTC & FP Reg 20-2**

- b. JRTC & FP Reg 420-5, Fire Prevention and Protection.
- c. Military Handbook (MIL HDBK) 1008C, Fire Protection for Facilities.
- d. National Fire Protection Association Fire Codes.

**Checklist for Fire Prevention**

	YES	NO	N/A
<b>A. Brigade/Regiment/Activity Level</b>			
<b>1. Program Manager.</b>			
a. Has Unit or Activity Fire Marshal been appointed on orders and a copy of the orders sent to the Fire Department?	___	___	___
b. Has Unit or Activity Fire Marshal designated subordinate personnel in each assigned building as Building Fire Warden?	___	___	___
c. Does Unit/Activity Fire Marshal have adequate fire plan as described in JRTC & FP Reg 420-5.	___	___	___
d. Does Building Fire Warden inspect fire extinguishers monthly, using FP Form 420 (Fire Extinguisher Inspection Record Tag)?	___	___	___
e. Are pre-closing inspections being conducted?	___	___	___
f. Are fire inspections conducted IAW AR 420-90 and JRTC & FP Reg 420-5?	___	___	___
g. Are records maintained IAW AR 420-90?	___	___	___
h. Are forms maintained IAW AR 420-90?	___	___	___
i. Are all personnel aware of fire evacuation and reporting procedures?	___	___	___
j. Are monthly self inspections conducted using FP Form 421 (Monthly Fire Prevention and Inspection Checklist and Report)?	___	___	___
<b>2. Life Safety.</b>			
a. Are all exits unobstructed and clearly marked?	___	___	___
b. Are fire drills conducted IAW JRTC & FP Reg 420-5?	___	___	___
c. Are exit doors unlocked at all times while the building is occupied?	___	___	___
d. Are smoke detectors operational in sleeping areas?	___	___	___
e. Does emergency lighting work properly	___	___	___
f. Are fire lanes and areas around fire hydrants kept clear IAW JRTC & FP Reg 420-5?	___	___	___
g. Are escape ladders in good condition?	___	___	___
h. Do windows open easily when used as an emergency exit?	___	___	___
i. Are all exit doors in proper operation, proper and approved locking devices? Note: No hasps or padlocks allowed on exit doors.	___	___	___
<b>3. Fire Prevention.</b>			
a. General.			
(1) Does all storage comply with JRTC & FP Reg 420-5?	___	___	___
(2) Are all areas free of excessive combustible materials?	___	___	___
(3) Is storage at least 18 inches below sprinkler heads?	___	___	___
(4) Are only noncombustible trash cans used?	___	___	___
(5) Are accumulated leaves/straw removed from near buildings?	___	___	___
(6) Are floors cleaned to prevent accumulation of oil, grease, etc.?	___	___	___
(7) Are only water-base type floor waxes used?	___	___	___
(8) Are trash cans emptied into dumpsters at close of business?	___	___	___

**Figure 8-3a. Checklist for Fire Prevention Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
(9) Are all fire extinguishers hung or supported at least 4 inches above the floor?	___	___	___
(10) Are separate cans provided for oily and clean rags?	___	___	___
(11) Are boiler/mechanical rooms secured to prevent unauthorized entry?	___	___	___
(12) Are all construction, remodeling, and other self-help projects coordinated and approved by DPW, Fire and Emergency Services? (MIL HDBK 1008C)	___	___	___
b. <i>Smoking.</i>			
(1) Are designated smoking areas posted?	___	___	___
(2) Are adequate ashtrays/butt cans provided in smoking areas?	___	___	___
(3) Is smoking not permitted in prohibited areas?	___	___	___
(4) Are separate cans provided for trash and cigarette butts?	___	___	___
c. <i>Flammable and Combustible Liquids.</i>			
(1) Are general safe practices used?	___	___	___
(2) Are refueling vehicles properly grounded and parked?	___	___	___
(JRTC & FP Reg 420-5)	___	___	___
(3) Are POL products stored and used properly?	___	___	___
(JRTC & FP Reg 420-5 and NFC 30)	___	___	___
(4) Are all flammables labeled properly?	___	___	___
(5) Are only approved flammable liquid storage cabinets used for storage inside buildings?	___	___	___
(6) Are paint lockers labeled "FLAMMABLE NO SMOKING WITHIN 50 FEET" and located 50 feet from combustible buildings and 25 feet from non-combustible buildings?	___	___	___
(7) Is gasoline stored only in approved safety cans and labeled "GASOLINE NOT TO BE TAKEN INTO BUILDING/NOT TO BE USED FOR CLEANING"?	___	___	___
(8) Are only nonflammable solvents used weapons/parts cleaning?	___	___	___
(9) Are only approved cleaning vats used?	___	___	___
(10) Are connections or hoses/pipes free of leaks?	___	___	___
(11) Are flammable liquids stored in barracks, Bachelor Officer Quarters (BOQ) or Bachelor Enlisted Quarters (BEQ)?	___	___	___
(12) Are operators of refueling equipment trained?	___	___	___
(13) Are all refueling trucks provided with grounding and bonding cables and fire extinguishers?	___	___	___
(14) Are refueling trucks parked in groups of three not less than 10 feet apart and 50 feet between groups?	___	___	___
(15) Are steering wheels unlocked or unchained? (JRTC & FP Reg 420-5) does not allow the securing of steering wheels of refueling vehicles)	___	___	___
d. <i>Painting.</i>			
(1) Are all painting operations conducted in approved spray paint booths? Only minor touch up painting can be done outside approved booths?	___	___	___
(2) Is spray paint prohibited in buildings not equipped with spray booths or areas provided for this purpose?	___	___	___
(3) Are all flammables, thinners, solvents, and cleaners stored properly?	___	___	___
(4) Is smoking prohibited in paint shops?	___	___	___
(5) Is the area remote from any possible source of ignition such as water heaters, electric motors, or any device that could produce sparks?	___	___	___
(6) Is adequate ventilation provided?	___	___	___
(7) Are drop cloths stored in a metal locker at least 15 feet from the building?	___	___	___
e. <i>Welding and Cutting.</i>			

**Figure 8-3a (continued). Checklist for Fire Prevention Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
(1) Are welding shops separated from maintenance and painting shops?	___	___	___
(2) Are welding shops approved in writing by the Post Fire Inspectors?	___	___	___
(3) Is the shop used for no other purpose, such as storage of combustibles or flammables?	___	___	___
(4) Are all personnel trained in the proper use of equipment?	___	___	___
(5) Are Hot Work Permits (DA Form 5383-R) obtained from the fire department for any hot work outside an approved shop?	___	___	___
(6) Are compressed gases stored IAW AR 700-68 (Storage and Handling of Compressed Gases and Gas Cylinders)?	___	___	___
(7) Are oxygen cylinders kept free of oil and grease at all times?	___	___	___
(8) Are operations stopped at least 30 minutes prior to close of business?	___	___	___
<b>f. Electrical/Heating.</b>			
(1) Does all wiring comply with JRTC & FP Reg 420-5, and National Fire Protection Association 70, "National Electric Code"?	___	___	___
(2) Are multiple plug extension cords or multiple outlets used?	___	___	___
(3) Do all cords have a grounding plug?	___	___	___
(4) Are cords free of deterioration or fraying?	___	___	___
(5) Are fuse or switch boxes closed or otherwise not used?	___	___	___
(6) Are electrical appliances listed?	___	___	___
(7) Are appliances/devices disconnected when not in use?	___	___	___
(8) Is FP Form 818 (Special Utilities Equipment Permit) posted or on file for each appliance?	___	___	___
(9) Are cooking devices used in barracks, BEQs, or BOQs not equipped with kitchens or kitchenettes? (Microwave ovens are permitted if the power circuit is checked by DPW and a FP Form 818 is in possession)	___	___	___
(10) Are only authorized heating appliances/equipment used?	___	___	___
(11) Are proper clearances (30 inches) maintained between heating devices and combustibles?	___	___	___

**Figure 8-3a(continued). Checklist for Fire Prevention Inspection.**

	YES	NO	N/A
<b>B. Battalion/Squadron level and Below</b>			
<b>1. Officer or NCO in Charge.</b>			
a. Has Unit or Fire Marshal been appointed on orders and a copy of the orders sent to the Brigade or Regiment?	___	___	___
b. Has Unit or Fire Marshal designated subordinate personnel in each assigned building as Building Fire Warden?	___	___	___
c. Does Unit Fire Marshal have adequate fire plan as described in JRTC & FP Reg 420-5.	___	___	___
d. Does Building Fire Warden inspect fire extinguishers monthly, using FP Form 420 (Fire Extinguisher Inspection Record Tag)?	___	___	___
e. Are pre-closing inspections being conducted?	___	___	___

**Figure 8-3b. Checklist for Fire Prevention Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
f. Are fire inspections conducted IAW AR 420-90 and JRTC & FP Reg 420-5? ____	___	___	___
g. Are records maintained IAW AR 420-90?	___	___	___
h. Are forms maintained IAW AR 420-90?	___	___	___
i. Are all personnel aware of fire evacuation and reporting procedures?	___	___	___
j. Are monthly self inspections conducted using FP Form 421 (Monthly Fire Prevention and Inspection Checklist and Report)?	___	___	___
<b>2. Life Safety.</b>			
a. Are all exits unobstructed and clearly marked?	___	___	___
b. Are fire drills conducted IAW JRTC & FP Reg 420-5?	___	___	___
c. Are exit doors unlocked at all times while the building is occupied?	___	___	___
d. Are smoke detectors operational in sleeping areas?	___	___	___
e. Does emergency lighting work properly?	___	___	___
f. Are fire lanes and areas around fire hydrants kept clear IAW JRTC & FP Reg 420-5?	___	___	___
g. Are escape ladders in good condition?	___	___	___
h. Do windows open easily when used as an emergency exit?	___	___	___
i. Are all exit doors in proper operation, proper and approved locking devices? Note: No hasps or padlocks allowed on exit doors.	___	___	___
<b>3. Fire Prevention.</b>			
a. General.			
(1) Does all storage comply with JRTC & FP Reg 420-5?	___	___	___
(2) Are all areas free of excessive combustible materials?	___	___	___
(3) Is storage at least 18 inches below sprinkler heads?	___	___	___
(4) Are only noncombustible trash cans used?	___	___	___
(5) Are accumulated leaves/straw removed from near buildings?	___	___	___
(6) Are floors cleaned to prevent accumulation of oil, grease, etc.?	___	___	___
(7) Are only water-base type floor waxes used?	___	___	___
(8) Are trash cans emptied into dumpsters at close of business?	___	___	___
(9) Are all fire extinguishers hung or supported at least 4 inches above the floor?	___	___	___
(10) Are separate cans provided for oily and clean rags?	___	___	___
(11) Are boiler/mechanical rooms secured to prevent unauthorized entry?	___	___	___
(12) Are all construction, remodeling, and other self-help projects coordinated and approved by DPW, Fire and Emergency Services? (MIL HDBK 1008C)	___	___	___
	YES	NO	N/A
b. <i>Smoking.</i>			
(1) Are designated smoking areas posted?	___	___	___
(2) Are adequate ashtrays/butt cans provided in smoking areas?	___	___	___
(3) Is smoking not permitted in prohibited areas?	___	___	___
(4) Are separate cans provided for trash and cigarette butts?	___	___	___
c. <i>Flammable and Combustible Liquids.</i>			
(1) Are general safe practices used?	___	___	___

**Figure 8-3b (continued). Checklist for Fire Prevention Inspection**

**JRTC & FP Reg 20-2**

(2) Are refueling vehicles properly grounded and parked? (JRTC & FP Reg 420-5)	___	___	___
(3) Are POL products stored and used properly? (JRTC & FP Reg 420-5 and NFC 30)	___	___	___
(4) Are all flammables labeled properly?	___	___	___
(5) Are only approved flammable liquid storage cabinets used for storage inside buildings?	___	___	___
(6) Are paint lockers labeled "FLAMMABLE NO SMOKING WITHIN 50 FEET" and located 50 feet from combustible buildings and 25 feet from non-combustible buildings?	___	___	___
(7) Is gasoline stored only in approved safety cans and labeled "GASOLINE NOT TO BE TAKEN INTO BUILDING/NOT TO BE USED FOR CLEANING"?	___	___	___
(8) Are only nonflammable solvents used weapons/parts cleaning?	___	___	___
(9) Are only approved cleaning vats used?	___	___	___
(10) Are connections or hoses/pipes free of leaks?	___	___	___
(11) Are flammable liquids stored in barracks?	___	___	___
(12) Are operators of refueling equipment trained?	___	___	___
(13) Are all refueling trucks provided with grounding and bonding cables and fire extinguishers?	___	___	___
(14) Are refueling trucks parked in groups of three not less than 10 feet apart and 50 feet between groups?	___	___	___
(15) Are steering wheels unlocked or unchained? (JRTC & FP Reg 420-5) does not allow the securing of steering wheels of refueling vehicles)	___	___	___
 d. <i>Painting.</i>			
(1) Are all painting operations conducted in approved spray paint booths? Only minor touch up painting can be done outside approved booths?	___	___	___
(2) Is spray paint prohibited in buildings not equipped with spray booths or areas provided for this purpose?	___	___	___
(3) Are all flammables, thinners, solvents, and cleaners stored properly?	___	___	___
(4) Is smoking prohibited in paint shops?	___	___	___
(5) Is the area remote from any possible source of ignition such as water heaters, electric motors, or any device that could produce sparks?	___	___	___
(6) Is adequate ventilation provided?	___	___	___
(7) Are drop cloths stored in a metal locker at least 15 feet from the building?	___	___	___
 e. <i>Welding and Cutting.</i>			
(1) Are welding shops separated from maintenance and painting shops?	___	___	___
(2) Are welding shops approved in writing by the Post Fire Inspectors?	___	___	___
(3) Is the shop used for no other purpose, such as storage of combustibles or flammables?	___	___	___
(4) Are all personnel trained in the proper use of equipment?	___	___	___
(5) Are Hot Work Permits (DA Form 5383-R) obtained from the fire department for any hot work outside an approved shop?	___	___	___
(6) Are compressed gases stored IAW AR 700-68 (Storage and Handling of Compressed Gases and Gas Cylinders)?	___	___	___
(7) Are oxygen cylinders kept free of oil and grease at all times?	___	___	___
(8) Are operations stopped at least 30 minutes prior to close of business?	___	___	___

**Figure 8-3b (continued). Checklist for Fire Prevention Inspection.**

	YES	NO	N/A
<b>f. <i>Electrical/Heating.</i></b>			
(1) Does all wiring comply with JRTC & FP Reg 420-5, and National Fire Protection Association 70, "National Electric Code"?	___	___	___
(2) Are multiple plug extension cords or multiple outlets used?	___	___	___
(3) Do all cords have a grounding plug?	___	___	___
(4) Are cords free of deterioration or fraying?	___	___	___
(5) Are fuse or switch boxes closed or otherwise not used?	___	___	___
(6) Are electrical appliances listed?	___	___	___
(7) Are appliances/devices disconnected when not in use?	___	___	___
(8) Is FP Form 818 (Special Utilities Equipment Permit) posted or on file for each appliance?	___	___	___
(9) Are cooking devices used in barracks, BEQs, or BOQs not equipped with kitchens or kitchenettes? (Microwave ovens are permitted if the power circuit is checked by DPW and a FP Form 818 is in possession)	___	___	___
(10) Are only authorized heating appliances/equipment used?	___	___	___
(11) Are proper clearances (30 inches) maintained between heating devices and combustibles?	___	___	___

**Figure 8-3b (Continued). Checklist for Fire Prevention Inspection.**

**Section IV. Unit Supply Management Program**

**8-13. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's unit-level supply Management.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's proficiency through the Supply Management Program.
- b. Point of contact for this task is the Director of Logistics/G4, telephone 1533/1520.

**8-14. Responsibility.** Unit commanders and activity directorate custodians are urged to use these standards as a management tool to help units maintain an adequate Supply Management Program, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**8-15. Standards.** Satisfactory effective controls for supply management will be based upon the standards as follows:

- a. Maintain 100% Accountability for government supplies and equipment used in daily support operations.
- b. Ensure proper purchasing procedures are followed in the use of the Government Commercial Credit Card.
- c. Establish audit trail, i.e., unbroken chain of accountability/responsibility, which is verifiable.
- d. Provide essential supply support services and instill supply discipline.
- e. Satisfactory achievement of the minimum standards (critical tasks) for supply management as outlined in the attached checklists.
- f. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMS, TBs, and applicable JRTC & FP Regulations or Supplements.

**8-16. References.**

- a. AR 5-9, Intraservice Supply and Installation Area Coordination.
- b. AR 38-1, Army Accounting and Fund Control
- c. AR 600-8-1, Disposition of Personal Effects of Deceased.
- d. AR 700-84, Issue and Sales of Personal Clothing.
- e. AR 710-2, Inventory Management Supply Policy Below the Wholesale Level.
- f. AR 725-50, Requisition and Issue of Supplies and Equipment; Requisition, Receipt, and Issue System.
- g. AR 735-5, Policies and Procedures for Property Accountability.
- h. CTA 8-100, Army Medical Department Expendable/Durable Items.

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- i. CTA 50-900, Clothing and Individual Equipment.
- j. CTA 50-970, Expendable/Durable Items (Except Medical, Class V, Repair Parts and Heraldic Items).
- k. DA Pam 385-1, Small Unit Safety Officer/NCO Guide.
- l. DA Pam 710-2-1, Using Unit Supply System (Manual Procedures).
- m. Defense Finance and Accounting Service (DFAS) Manual 37-1, Finance Accounting and Policy Implementation.
- n. Standing Operating Procedures for the Directorate of Contracting, Government Commercial Credit Card Program
- o. DOD 5500.7-R, Joint Ethics Regulation, Standards of Conduct.
- p. General Services Administration (GSA), Federal Supply Service, Government-Wide commercial Credit Card Service Contract guide GS-23F-94031
- q. JRTC & FP Reg 37-2, Resource Management.
- r. JRTC & FP Reg 755-1.
- s. JRTC & FP Supplement 1 to AR 420-22, Preventive Maintenance and Self-Help Programs.
- t. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

YES NO N/A

**Checklist for Unit Supply Management Program**  
**(Brigade, Battalion, Regiment, Company, Battery or Troop)**  
**Government Commercial Credit Card**

1. Has Local Purchase Authority been delegated to the cardholder?	___	___	___
2. Does the Approving Officer have an Approving/Certifying Officer appointment memorandum on file?	___	___	___
3. Has cardholder checked mandatory sources before making the purchase?	___	___	___
4. Is the ordered item non-expendable property?	___	___	___
5. Has the non-expendable property been documented on the applicable Property Book?	___	___	___
6. Has cardholder reconciled monthly statement of account, attached questioned item form (if applicable) and forwarded to the approving official timely?	___	___	___
7. Do documents attached to the statement of account provide an adequate audit trail for the purchase?	___	___	___
8. Has the Approving Official certified the cardholder statement of account by signing the back of the statement?	___	___	___
9. Has the Approving Official properly certified the Billing Statement and forwarded to the DFAS paying office within 15 calendar days of the receipt of the bill?	___	___	___
10. Has cardholder and approving officer complied with all procurement integrity filing requirements?	___	___	___

**Figure 8-4a. Checklist for Unit Supply Management Program Inspection.**

11. Does the invoice agree with the certified statements of account?	___	___	___
12. Is timely payment being made to the Credit Card Contractor?	___	___	___
13. Has any known requirement for the purchase of supplies/services been split in order to stay within the single purchase limit of the cardholder?	___	___	___
14. Does the purchase exceed \$2500? If so, does cardholder have authority to exceed \$2500 limit?	___	___	___
15. Are adequate funds committed up front for each credit cardholder?	___	___	___
6. Are all fire, safety, and physical security standards being met?	___	___	___

**Figure 8-4a(continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
<b>Storage/General Appearance Management (Company, Battery or Troop)</b>			
1. Does the supply room present a neat and professional atmosphere? FM 10-14 (7-4)	___	___	___
2. Is the supply room organized to allow for document control and logical flow of actions? FM 10-14 (7-4)	___	___	___
3. Is the supply storage organized so that space is fully utilized. FM 10-14 (7-4)	___	___	___
4. Are all items tagged to indicate disposition with vital information, i.e., NSN, LIN, item description, condition code and work order number. DA PAM 710-2-1 (3-1)	___	___	___
5. Is access to supply room limited to authorized personnel, with sign posted in front and rear of supply room? AR 190-51 (3-8,3-9)	___	___	___
*7. Does unit ensure that flammable items are not stored in the supply room? AR 710-2 (1-3ob,FM 10-14 (7-4)	___	___	___
8. Are lawn mowers, weed eaters, and Coleman lanterns free of fuel? AR 710-2 (1-30b)	___	___	___
9. Is storage are free of rodents and insects? FM 10-14 (7-5, 7-6)	___	___	___
10. Are stoves and heaters stored properly? AR 710-2 (1-31a)	___	___	___
11. Is the barber kit clean and free of hair?	___	___	___

**Figure 8-4b. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
<b>Management Of Loads (Company, Battery or Troop)</b>			
1. Does the unit maintain basic loads for Classes I, II, IV, and V? I, II, III, IV, and VIII? (AR 710-2, para 2-20).See CTA 50-970	___	___	___
2. Are basic loads safeguarded and managed? (AR 30-18 and AR 710-2)	___	___	___
3. Does the unit maintain up to a 15-day supply of Class II, and IV? (AR 710-2, para 2-20b(2))	___	___	___
4. Is bulk petroleum accounted for and inventoried IAW DA Pam 710-2-1?	___	___	___
5. Are Class III Package products used and replaced so that shelf life will not expire?	___	___	___
6. Does the Commander ensure that responsibility for basic and operational loads are assigned using hand receipts?	___	___	___
7. Does the unit maintain Prescribed Load List for Class II and IV operational loads?	___	___	___
9. Does the unit maintain demand data on basic loads of Class IV and V on operational loads of classes I, and IV?	___	___	___
*10. Does the unit maintain a copy of the DA 581 basic loads of class V sign by G3? AR 710-2 (2-55)	___	___	___
*11. Does the unit maintain a update DA 1687 of basic loads of class V? AR 710-2 (2-55)	___	___	___
12. Are Inventory of basic and operational loads of all Classes conducted semiannually? 13. AR 710-2 (table 2-1 para k)	___	___	___

**Figure 8-4c (continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
<b>Work Order Management (Battalion, Regiment, Company, Battery or Troop)</b>			
1. Does the unit know the procedures for submitting a Work Order Request DA Form 4283 (Facilities Engineering Work Request)?	___	___	___
2. Does the unit know the procedures for requesting emergency service from the Directorate of Engineering and Housing and are procedures in the Charge of Quarters instructions?	___	___	___
3. Does the unit follow up on maintenance requests that have not been completed on a monthly basis?	___	___	___

**Figure 8-4d. Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
4. Is a unit work order log maintained for request submitted with the following information?			
a. Date submitted.	___	___	___
b. Work order number.	___	___	___
c. Who submitted request.	___	___	___
d. Date completed.	___	___	___
5. Is there an active self-help program for building maintenance in the unit?	___	___	___
6. Are the buildings/facilities signed for within the unit?	___	___	___
7. Do all buildings have responsibility assignment cards on display?	___	___	___
8. Does the unit carpenter have tools and components hand receipted and are shortages on order?	___	___	___

**Figure 8-4d (continued). Checklist for Unit Supply Management Program Inspection.**

**(Company, Battery or Troops)**

1. Is authorized MTOE equipment on hand.?	___	___	___
2. Does the unit appoint new HRH; when the HRH will be absent for an extended period?	___	___	___
3. Are automated hand receipts and sensitive item listing reconciled with the Property Book IAW AR 710-2?	___	___	___
4. Are all required serial numbers on the property book printout?	___	___	___
5. Is unit submitting Administrative Adjustment Reports as required?	___	___	___
6. Is unit maintaining a good verifiable audit trail of property on the organizational hand receipt work copy?	___	___	___
7. Does the unit have an updated copy of the non-expendable due-in listing?	___	___	___
8. Did the commander accept direct responsibility for property by signing a hand receipt from each property book from which property was issued?	___	___	___

**Figure 8-4e. Checklist for Unit Supply Management Program Inspection.**

**Hand Receipts**

1. Are hand receipts/sub-hand receipts prepared properly?	___	___	___
---	-----	-----	-----

**Figure 8-4f. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
2. Are hand receipt files established for each unit, section or person to whom property has been issued?	___	___	___
3. Are hand receipts established for all property book items, to include FMB and CIPB property?	___	___	___
4. Are hand/sub-hand receipts updated?	___	___	___
5. Are the following items recorded in the property book by serial number:			
a. Items with US Army registration numbers will be recorded in the serial number block.	___	___	___
b. Items listed in the Army Master Data File (AMDF) on the FED LOG with the following designation:			
(1) A security code other than "U" or blank and has a serial number.	___	___	___
(2) Information management processing equipment and external peripheral by the PBO.	___	___	___
c. Items determined pilferable by the PBO.	___	___	___
6. Are change documents, DA Form 3161 or posted to the hand receipts at least 6 months from date of oldest change document?	___	___	___
7. Is the barracks furniture issued to the user on hand receipt?	___	___	___
8. Is property meant for general use (i.e. shift operations, multi-use rooms, etc.) listed on a hand receipt filled out as an inventory list, with a copy kept in area where property is located?	___	___	___
9. Are temporary hand receipts, DA Form 3161 or less than 30 calendar days old?	___	___	___
10. Are both sets of temporary hand receipts destroyed upon return of property?	___	___	___
11. Are original copies of temporary hand receipts filed in a file folder in date sequence?	___	___	___
<b>Software:</b>			
1. Are the unit's using locally produced log?	___	___	___
2. Is single or site stand alone PC license located in the work place? (AR 710-2 (2-3i))	___	___	___
3. Are software place on the component hand receipt? (AR 710-2 (2-3I))	___	___	___

**Figure 8-4f(continued). Checklist for Unit Supply Management Program Inspection.**

**Adjustments For Lost, Damaged Or Destroyed Property  
(Brigade, Battalion, Regiment, Company, Battery or Troops)**

**Unit::**

- |   |     |     |     |
|---|-----|-----|-----|
| 1. Are Reports of Survey for lost, damaged or destroyed items initiated within 5 days (Fort Polk goal) and processed within 45 days (Fort Polk goal) at the approving authority level?                | ___ | ___ | ___ |
| 2. Are lost items dropped from property accountability at the time a Report of Survey is prepared and given a document number and a copy of the survey filed in the document file?                    | ___ | ___ | ___ |
| 3. Were incidents requiring mandatory Reports of Surveys initiation followed?   | ___ | ___ | ___ |
| 4. Did the commander evaluate information provided to determine if negligence was suspected?  | ___ | ___ | ___ |
| 5. Did the commander conduct a good preliminary investigation of the facts surrounding the lost or damaged property?  | ___ | ___ | ___ |
| 6. Are adjustments for losses of durable hand tools up to \$100.00 per incident. (isn't for negligence or misconduct) prepare by memorandum for record, signed by unit commander? (AR 735-5, (14-25a) | ___ | ___ | ___ |
| 7. Are Reports of Survey processed for all lost or destroyed sensitive items?   | ___ | ___ | ___ |
| 8. Are survey files maintained for 3 years if liability was not assessed?   | ___ | ___ | ___ |
| 9. Are survey files maintained for 5 years if liability was assessed?   | ___ | ___ | ___ |
| 10. Are personnel briefed on their options for accounting for lost, damaged, or destroyed property?   | ___ | ___ | ___ |
| 11. Does the commander initiate adjustment actions for items rendered unserviceable due to other than fair wear and tear?   | ___ | ___ | ___ |
| 12. Does the commander initiate Statement of Charges or Cash Collection Voucher to account for lost, damaged or destroyed property when liability is admitted?  | ___ | ___ | ___ |
| 13. Does the commander prorate Statement of Charges liability if charges exceed two-thirds of person's basic pay?   | ___ | ___ | ___ |
| 14. Does the commander initiate a DD Form 1131 (Cash Collection Voucher) when Cash Sale of Hand tools or OCIE cannot be accomplished due to CIF being at zero balance for needed items?               | ___ | ___ | ___ |

**Figure 8-4g. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
15. Does the commander contact law enforcement authorities to report the appearance of unlawful conduct in association with the loss of personal arms and equipment?	___	___	___
16. Are completed copies of the statement of charges filed in the document supporting file?	___	___	___
17. If a depreciation allowance is not used for lost, damaged or destroyed items, is a statement explaining the reason(s) prepared?	___	___	___
18. If an individual lost keys through negligence or willful misconduct, was the individual held liable for all associated costs?	___	___	___
19. Is a copy of each adjustment document on file when document numbers are assigned by the unit?	___	___	___

**Figure 8-4g (continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
<b><i>Bn:</i></b>			
1. Are DA Forms 4697, Reports of Survey, completed IAW AR 735-5?	___	___	___
2. Are survey files maintained for 3 years if liability was not assessed?	___	___	___
3. Are survey files maintained for 5 years if liability was assessed?	___	___	___
4. Is there an audit trail for adjustment documents between the time the document is initiated until completion?	___	___	___
5. Did the parent unit commander ensure subordinate units did not abuse the non-liability adjustment method for durable hand tools?	___	___	___
6. Were Memorandums for Record/Lost Durable Hand tools summarized and reviewed quarterly by the parent unit commander?	___	___	___
7. Did the parent unit commander evaluate subordinate commander's statements releasing property for repair when damage was not through negligence?	___	___	___
8. If parent unit commander non-concurred, did he/she direct the initiation of a Report of Survey?	___	___	___
9. If the Report of Survey has not met the established time frame, has a Letter of Delay been prepared by the responsible person explaining the reason for the Lateness and has the letter been included in the survey IAW AR 735-5, (13-5,13-13a)?	___	___	___

**Figure 8-4h. Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
<b>BDE:</b>			
1. Is a DA Form 1659 (Report of Survey Register), maintained?	___	___	___
2. Are survey files maintained for 3 years if liability was not assessed?	___	___	___
3. Are survey files maintained for 5 years if liability was assessed?	___	___	___
4. Is there an audit trail for adjustment documents between the time the document is initiated until completion?	___	___	___
5. Is the report of survey registers and files being maintained IAW AR 735-5, (13-9d and figure 13-9)?	___	___	___
6. Are reports of survey being forwarded to the Staff Judge Advocate for legal review when financial liability is recommended IAW AR 735-5, (13-34)?	___	___	___
7. Are report of survey being forwarded to FAO for collection under cover of transmittal document requesting acknowledgment of receipt IAW AR 735-5, (13-38d)?	___	___	___

**Figure 8-4i. Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
<b>Document Register (Battalion, Regiment, Company, Battery or Troops)</b>			
1. Is an informal memorandum on file with the document register designating the DOD activity address code (DODAAC) and assigned block of document serial numbers? DA Pam 710-2-1 (2-19b)	___	___	___
2. Is a DA Form 2064 (Document Register), established and maintained to record supply transactions? AR 710-2 (2-19e,f)	___	___	___
*3. Are only expendable and durable items recorded on the unit document register? DA Pam 710-2-1 (2-19g)	___	___	___
4. Are open document numbers carried forward to a new document register at the beginning of a new calendar year?	___	___	___
5. Are document registers closed out properly IAW DA Pam 710-1 (2-19d), AR 25-400-2 (710-2b)?	___	___	___

**Figure 8-4j. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
6. Are high priority requisitions (UND A and B) initiated in Column H of the document register by the person authorized to authenticate the request?	___	___	___
7. Is the most current status posted to the document register IAW DA Pam 710-2-1 (2-6)?	___	___	___
8. Is reconciliation conducted as scheduled with the SSA on all outstanding requests? AR 710-2 (2-7d)	___	___	___
9. Are document modifiers prepared and sent to the SSA for open requests due to change of FAD or UND? AR 710-2 (2-7a)	___	___	___
11. Are cancellations submitted to the SSA when requested items are no longer needed? AR 710-2 (2-7c)	___	___	___
12. Has action been taken to determine and correct the causes if a high cancellation rate exists?	___	___	___
13. Are correct postings made to the document register when an item is received?	___	___	___
14. When the total requisition quantity is received, are all status cards destroyed and the document register entry closed?	___	___	___
15. Is non-expendable property received from DRMO maintained on property books?	___	___	___
16. Are cancellation requests submitted when items are no longer needed?	___	___	___
17. Are unserviceable "repairables" turned-in on DA Form 2765-1?	___	___	___
18. Were requests for DRMO property to be used for other than its intended purpose processed through the DOL?	___	___	___
19. Are expendable supplies signed for on a control log or DA Form 3161 for accountability purposes?	___	___	___

**Figure 8-4j(continued). Checklist for Unit Supply Management Program Inspection.**

**Property Book  
(Brigade, Battalion, & Regiment)**

<i>1. Storage Area (s):</i>			
a. Does the PBO room present a neat and professional atmosphere?	___	___	___
b. Is the PBO organized to allow for document control and logical flow Of actions?	___	___	___

**Figure 8-4k. Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
2. Publications:			
a. Are the following required publications current and on hand?			
(1) Physical Security Update	___	___	___
(2) AR 25-400-2	___	___	___
(3) DA Pam 25-30	___	___	___
(4) PBO SOP	___	___	___
(5) Bn SOP	___	___	___
(6) BDE SOP	___	___	___
(7) FED LOG, Federal Logistics	___	___	___
(8) TM 38-L18-14 (SPBS-R)	___	___	___
(9) AR 15-6, Procedures for Investing Officers and Boards Of Officers	___	___	___
(10) AR 700-84, Issue and Sale of Personal Clothing	___	___	___
(11) AR 710-2, Inventory Management Supply Policy Below the Wholesale Level	___	___	___
(12) AR 735-5, Policies and Procedures for Property Accounting	___	___	___
(13) DA Pam 710-2-1, Using Unit Supply System, Manual System	___	___	___
(14) DA Pam 735-5, Survey Officer's Guide	___	___	___
(15) All Common Tables of Allowances (CTA) publications	___	___	___
b. Are files established and maintained IAW AR 25-400-2?	___	___	___
c. Is an approved FORSCOM Form 350-5, List of File Numbers on hand?	___	___	___
d. Are the files screened annually so old files are destroy or sent to Records Holding Areas as prescribed?	___	___	___
3. SPBS-R:			
a. Has the commander appointed a PBO and is a copy of the memorandum appointing the PBO on file IAW DA Pam 710-2-1, (4-4); AR 710-2, (2-5g1); AR 25-400-2, file # 710-2-e?	___	___	___
*b. Has the PBO / responsible officer prepared the statement of accountability and is it in the front of the property book IAW DA Pam 710-2-1, (4-5), (5-2a(1) (2)?	___	___	___
c. Are all property book items on hand or on request recorded in the property book IAW DA Pam 710-2-1 (4-1a,b)?	___	___	___
d. Has turn in action started for excess property book items within ten calendar days IAW DA Pam 710-2-1 (3-5)?	___	___	___
e. If substitutes are on hand, has the preferred item been requested IAW DA Pam 710-2-1 (3-16a,b,c)?	___	___	___
*f. Are hand receipts (ALH 151) being generated, signed by the hand receipt holders, and the original copies returned to the PBO IAW TM 38-L18-14, App F.?	___	___	___
*g. Are 10%, 25%, or 50% cyclic inventory listings (ALH 885) being generated sent to hand receipt holders for conduct of inventories, and a signed copy returned to the PBO for filing IAW TM 38-L18-14,(4.3.8.9)?	___	___	___
*h. Are sensitive item inventory listings (ALH 885) being generated on a monthly basis, sent to hand receipt holders for conduct of inventories, and a signed copy returned to the PBO for filing IAW TM 38-L18-14 and DA Pam 710-2-1, (9-10b,D)?	___	___	___
i. Are copies of daily transactions (transactions not affecting PB balance - ALH 143 and transactions affecting PB balance – ALH 142) being furnished to hand receipt holders after they are run IAW TM 38L18-14, App F?	___	___	___
j. Are copies of due-in listings (ALH 880) being furnished to hand receipt holders after they are run IAW TM 38-L18-14, (4.3.8.8)?	___	___	___

Figure 8-4k(continued). Checklist for Unit Supply Management Program Inspection.

**JRTC & FP Reg 20-2**

	YES	NO	N/A
k. Are copies of parent-level property listings (ALH 152) being furnished to the parent-level UIC after they are run IAW TM 38-L18-14, App F?	___	___	___
l. Are bottoms-up reconciliation listings being run to meet the Supply Support Activity (SSA) reconciliation schedule and are the PBO or team chief comparing the listings to the Input Transactions/Error Listing (ALH 141) to resolve all errors IAW TM 38-L18-14, App F?	___	___	___
m. Are the CBS-X transaction records (ALH 460 AND ALH 480) being generated and submitted to Systems Integration and Management Activity (SIMA) on a monthly basis IAW TM 38-L18-14, (4.3.8.3.a {1})?	___	___	___
n. Are excess/shortage listings (ALH 840) being produced at least monthly and are they being used by the property book teams to cross-level, turn-in, cancel, or request equipment IAW 38-L18-14, App F, (4.3.8.1)?	___	___	___
o. Are unit equipment readiness listings (ALH 830) being produced and provided to parent-level UICs for equipment readiness information as required by AR 220-1 IAW TM 38-L18-14, App F?	___	___	___
<b>4. Document Files:</b>			
*a. Does the document file contain a document supporting each entry on the Nonexpendable document register IAW DA Pam 710-2-1, (4-14a)?	___	___	___
b. Does the document file contain a statement about each missing document IAW DA Pam 710-2-1, (4-14b)?	___	___	___
c. Have receipt documents been posted to the property book within three working days of the receipt date IAW DA Pam 710-2-1, (2-30b)?	___	___	___
d. Have documents posted to the property book been posted, dated, and initialed by the posting individual IAW DA Pam 710-2-1, (4-14a)?	___	___	___
*e. Has the PBO made the posting (s) to those documents or delegated, in writing, this responsibility to a representative IAW DA Pam 710-2-1, (4-14a1)?	___	___	___
f. If a document does not support a property book entry, is it marked IAW DA Pam 710-2-1, (4-14a2):			
(1) Not Posted?	___	___	___
(2) Date?	___	___	___
(3) Initialed by the person making the entry?	___	___	___
g. Are document files in document number sequence IAW DA Pam 710-2-1, (4-14b)?	___	___	___
h. Are Statements of Charges, Cash Collection Vouchers, and Reports of Survey for nonexpendable supplies filed in document number sequence IAW DA Pam 710-2-1, (4-14c) and AR 25-400-2?	___	___	___
i. Are cancellation or rejection status cards marked IAW DA Pam 710-2-1, (4-14a3):			
(1) Canceled?	___	___	___
(2) Julian Date?	___	___	___
(3) Initialed by the person making the entry?	___	___	___
<b>5. Lateral Transfers:</b>			
a. Does the losing unit complete lateral transfers within prescribed time stated? (DA Pam 710-2-1, para 3-15b)	___	___	___
b. Does the losing unit prepare DA Form 3161 (Request for Issue and Turn-in)? (DA Pam 710-2-1, para 3-19b and Fig 3-4)	___	___	___

**Figure 8-4k(continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
c. Does the losing unit document component shortages using hand receipt annex procedures? (DA Pam 710-2-1, para 3-19c)	___	___	___
d. Does the losing unit send DA Form 3161 and hand receipt annexes to the Property Book Team Chief? (DA Pam 710-2-1, para 3-19d)	___	___	___
e. Does the losing unit submit request for cancellation for all open requests for components pertaining to transferred equipment? (DA Pam 710-2-1, para 3-19e(2))	___	___	___
f. Does the gaining unit conduct a property inventory? (DA Pam 710-2-1, para 9-3g(1))	___	___	___
g. Does the gaining unit submit a request for component shortages? (DA Pam 710-2-1, para 3-19g(7))	___	___	___
h. Does the unit reconcile the Monthly Lateral Transfer Register with the appropriate property book team?	___	___	___
i. Are the following documents processed to retain mission essential equipment programmed for lateral transfer:			
(1) DA Form 2028 (Request for Change to Publication).	___	___	___
(2) DA Form 4610-R (Equipment Changes in MTOE/TDA) when equipment is listed on unit's latest TOE.	___	___	___
j. Does the unit ensure that hand receipts and property books are adjusted accordingly and the below listed documents are completed for turn-in of major element? (DA Pam 710-2-1, para 3-5)			
(1) Completed technical inspection (DA Forms 2402 (Exchange Tag), 2407 (Maintenance Request), and 461-5 (Vehicle Classification Inspection).	___	___	___
(2) Current maintenance records DA Forms 2408-9 (Equipment Control Record) and 2408-20 (Oil Analysis Log (EGA).	___	___	___
(3) DA Form 2765-1, Request for Issue or Turn-in.	___	___	___
(4) DA Form 2062 (Shortage List).	___	___	___
k. Are transfers of classified COMSEC prepared and processed by the COMSEC custodian? (AR 710-2, para 2-13a(7))	___	___	___
l. Has the Installation Security Serialization Officer (ISSO) at DOL been notified of the transfer of serial number tracked items?	___	___	___

**Figure 8-4k(continued). Checklist for Unit Supply Management Program Inspection.**

**Budget Checklist  
(Battalion, Regiment)**

	YES	NO	N/A
1. Are automated procedures used for budget tracking where possible?	___	___	___
2. Is unit actual spending within five percent of budget cost?	___	___	___
3. Are individual (battery/ company / troops) units reporting spending to Bn S4?	___	___	___
4. Are actual costs reported by Finance and Accounting (databased Commitment Accounting System) being compared against reported spending to check for problems?	___	___	___

**Figure 8-4l. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
5. Are APC code being used properly (to cost expenses against specific events etc.?)	___	___	___
6. Is budget officer checking prior year cancellations to ensure subordinate units are reordering items?	___	___	___
7. Is unit maintaining a TDY control log?	___	___	___
8. Is unit maintaining a copy of TDY orders for Battalion personnel?	___	___	___

**Figure 8-4l(continued). Checklist for Unit Supply Management Program Inspection.**

**Clothing Records, Absentee Baggage, Organizational Clothing & Individual Equipment (OCIE)  
(Company, Battery or Troops)**

	YES	NO	N/A
<i>Organizational Clothing and Individual Equipment</i>			
1. Is a Clothing Record (OCIE Record (DA Form 3645) or additional OCIE Record (DA Form 3645-1) prepared for each individual assigned to the unit?	___	___	___
2. Did the unit request a copy of clothing records from previous commander when new soldiers in-process into a unit without OCIE records? (DA Pam 710-2-1, 10-8a(2) (a))	___	___	___
3. Are inventories of OCIE conducted within 5 working days upon arrival or before departure unit? AR 710-2, ( table 2-1m)	___	___	___
4. Are inventories conducted with shortages and "unserviceable" replaced IAW AR 700-84, para 6-7 and JRTC & FP Reg 735-1, App C, para 8?	___	___	___
a. Permanent marking of OCIE equipment is not authorized. If identification is needed, use of sew on name tags and authorized insignia are permissible. (AR 710-2, para 2-14j (2))	___	___	___
b. Prior to departure on field training exercises and within 15 calendar days upon return from training exercises lasting five or ASAP? (AR 700-84 and JRTC & FP Reg 735-1 App C, para 8,)	___	___	___
c. When soldiers are processing into or leaving the unit? (JRTC & FP Reg 735-1, App C, para 8)	___	___	___
d. When AWOL, hospitalized, on leave, pass, TDY, or confined to the military or civilian correctional facility? (AR 700-84, paras 12-13, 12-14, and 1215 and JRTC & FP Reg 735-1, App C, para 6)	___	___	___

**Figure 8-4m. Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
*e. Does the Supply Room maintain a roster indicating assigned soldiers' clothing record:			
(1) Hats?	___	___	___
(2) Boots?	___	___	___
(3) Gloves?	___	___	___
(4) Shirt?	___	___	___
(5) Trousers?	___	___	___

**\*NOTE:** This data can be collected upon soldier's unit in-processing. Generally the requirement for this is upon unit notification of deployment, in which bulk requests are provided for chemical suites and ECW clothing. It would be a timesaver.

*Clothing Records.*

1. Is a DA Form 3078 (Personal Clothing Request) for specialists and below and/or a written statement for sergeants and above on hand? (AR 700-84, para 11-la)	___	___	___
2. Are showdown inventories conducted on specialists and below by the losing command? (AR 700-84, para 11-la)	___	___	___
3. Are showdown inventories conducted on specialists and below by the gaining command? JRTC & FP Reg 735-1, (App C, para 8)	___	___	___
4. Is the initial DA Form 3078 or equivalent printout for soldier with less than six months active duty on hand, and destroyed once all authorized items are procured? (AR 700-84, para 11-id)	___	___	___
5. Are inventory conduct annually? AR 700-84, (1-4,14-5, 15-4)	___	___	___

*Absentee Baggage.*

1. Does the commander assign a sergeant or above to conduct the inventory of absentee baggage? (AR 700-84, para 12-12a(1))	___	___	___
2. Does the unit commander or designated representative and a witness initial the inventory? (AR 700-84, para 12-12a(2) (c))	___	___	___
3. Does absentee baggage on hand have the original copy of the inventory inside the container? (AR 700-84, para 12-12a(2) (d))	___	___	___
4. Is property of absent personnel (hospitalized, AWOL, etc.) inventoried and safe-guarded? (AR 700-84, para 12-12b)	___	___	___
5. Does the unit maintain a DA Form 3078 DA Form 3645-1, and personal items listed on bond paper for the absentee? (JRTC & FP Reg 735-1 App C, para 10, Fig C5-C7)	___	___	___

**Figure 8-4m (continued). Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
6. Are the words "Inventoried By" entered in the Remarks Block of DA Form 3078, and is it signed by the person who inventoried the clothing? (AR 700-84, para 12-12a(2) (b))	___	___	___
7. When the absent member returns to the unit before being dropped from the rolls (DFR), is the property inventoried and returned to the individual DA Form 3078 signed, and the member given copy 3? (AR 700-84, para 12-12c)	___	___	___
8. Are items that may cause embarrassment or added sorrow withdrawn and destroyed? (AR 600-8-1)	___	___	___
9. Are destroyed items listed on a separate list? (AR 600-8-1)	___	___	___
10. Are high dollar items recorded on DA Form 54 by make, model, size, serial number, color etc. ? (AR 600-8-1)	___	___	___
*11. Has a secured storage area been provided by the unit Commander? AR 700-84 (12-12b)	___	___	___

**Figure 8-4m (continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
<b>Cyclic Inventories</b> (Company, Battery or Troop)			
1. Are monthly 10% inventory results recorded on an informal memorandum that designates items to be inventoried? (DA Pam 710-2-1, para 9-6b(3))	___	___	___
2. Did the unit commander sign the 10% monthly inventory and return a copy to the next higher level on the last workday of the month? (DA Pam 710-2-1, para 9-6b(11))	___	___	___
3. Is a copy of the required 12-month cyclic inventory which designates items to be inventoried, on file in the unit supply room? (DA Pam 710-2-1, para 9-6b(11))	___	___	___
4. Are the results of the cyclic inventory (10%) on file and maintained until change of primary hand receipt holder (PHRH)? (DA Pam 710-2-1, para 9-6)	___	___	___
5. Upon completion of inventories with known losses, have adjustment actions been taken within prescribed time frames? (AR 735-5)	___	___	___

**Figure 8-4n (continued). Checklist for Unit Supply Management Program Inspection.**

**Arms Room & Sensitive Items Inventory**

1. Change of Custody of Arms Storage Facility. Is a physical count conducted on weapons and ammunition? Are the results of the inventory recorded on a hand receipt, DA Form 2062? (AR 710-2, Table 2-1, para g)	___	___	___
2. Are the results of the sensitive items inventory recorded on a memorandum signed by the responsible officer? (DA Pam 710-2-1, para 9-9d(9))	___	___	___
3. Are copies of monthly sensitive items inventories on file? (DA Pam 710-2-1, para 9-10)	___	___	___
4. Are command-directed inventories being conducted following evidence of insecurity, or alleged misappropriation of Government property? (AR 710-2, Table 2-1, para h)	___	___	___
5. Are post-field exercise inventories being conducted within 15-calendar days after the exercise? (AR 710-2, Table 2-1, para h)	___	___	___
*6. Are monthly sensitive item inventories being conducted? AR 710-2 (2-12,2-41c)	___	___	___
*7. Are change of custody inventories being conducted? AR 710-2, (table 2-1 para g)	___	___	___
8. Has the unit armorer receipted (signed) for all items stored in the arms room? DA Pam 710-2-1, (5-3)	___	___	___
9. Is equipment that is issued being controlled? DA Pam 710-2-1, (5-5)	___	___	___
*10. Is a master Authorization List (MAL) available showing the unit and name of individuals authorized to receive issues and the number of the equipment receipts utilized? DA Pam 710-2-1, (5-5d)	___	___	___
*11. Are weapons turned in for maintenance and annotated on the monthly serial number inventories? DA Pam 710-2-1, (9-11b2)	___	___	___
*12. Are monthly serial number inventories of night vision goggles being conducted and kept on active file for one year? DA Pam 710-2-1, (9-10a)	___	___	___

**Figure 8-4o. Checklist for Unit Supply Management Program Inspection.**

**Disposition Of Property  
(Company, Battery or Troop)**

	YES	NO	N/A
1. Turn-in of Unserviceable Property. Are turn in actions initiated with 10 days after property has been determined unserviceable? (AR 710-2, para 2-13b(2) (a))	___	___	___

**Figure 8-4p. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
2. Is equipment transferred in 10/20 standards unless otherwise directed?	___	___	___
3. Is residue and unexpended ammunition turned-in after completion of training within 5 working days after training? (DA Pam 701-2-1, 11-13b(3))	___	___	___
4. Is training ammunition hand receipted using DA Form 5515 (Training Aid Control Document)? (DA Pam 710-2-1, para 11-13b)	___	___	___
5. Did the first LTC in the chain of command sign a DA Form 5811-R (Certificate, Cost Damage Class V Item) indicating action taken to account for shortages of ammunition and residue shortage? (DA Pam 710-2-1, para 11-16b)	___	___	___
6. Are procedures established for recovering unexpended ammunition/explosives and accountable residue? Is certification made on DA Form 581 what actions were taken to account for ammunition shortages and missing residue?	___	___	___
7. Validate Component Shortage. Prior to turn in, did the unit determine and validate component shortages on a hand receipt annex? (AR 710-2, para 2-13b(2)(d))	___	___	___
8. Turn-in of Government Property. Are items discovered in a unit, but not on an accountable record, turned-in through the PBO and SSA as "Found on Installation" property? (AR 710-2, para 2-13d(l))	___	___	___
9. Within 10 days after an MTOE change, does the unit provide the PBO copies of technical inspections and requests for disposition instruction for all equipment excess to authorizations? (AR 710-2, para 2-13b(3) (c))	___	___	___
10. Does retained excess equipment meet the following criteria?			
a. Authorized substitution as listed by line number (LIN) and national stock number (NSN) in SB 700-20?	___	___	___
b. Does in lieu of (ILO) items meet requirements of AR 220-1, para G-4, App G?	___	___	___
11. Is unserviceable classified COMSEC equipment and components turned-in to the COMSEC custodian? (AR 710-2, para 2-13h)	___	___	___

**Figure 8-4p (continued). Checklist for Unit Supply Management Program Inspection.**

**Signature Cards  
(Company, Battery or Troop)**

	YES	NO	N/A
1. Does the unit have a valid DA Form 1687 (Signature Card), for each activity where they request/receipt for items? (DA Pam 710-2-1)			
a. Central Issue Facility (CIF).	___	___	___
b. Quartermaster Laundry.	___	___	___
c. Class III Bulk Account.	___	___	___
d. Clothing Sales Store. (DA 7000)	___	___	___

**Figure 8-4q. Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
e. TASO/TASC.	___	___	___
f. Directorate of Logistics (DOL), Maintenance Division.	___	___	___
g. Consolidated Installation Property Book Office, (CIPBO)	___	___	___
h. Supporting Maintenance Unit.	___	___	___
i. Installation Supply Division, II, IV, and VII. (DOL)	___	___	___
j. Installation Supply Division (CCI, Sensitive Items and Weapons).	___	___	___
k. Ammunition Supply Point (ASP). (Training & Basic Loads)	___	___	___
*l. Troop Issue Subsistence (TISA) (Class I).	___	___	___
<b>*NOTE:</b> TISA requires DD Form 577 be in possession of individual when receiving rations. No requirement for DA Form 1687.			
2. Is the DA Form 1687 prepared IAW DA Pam 710-2-1, Figure 2-15?	___	___	___
3. Have personnel no longer authorized to request or receipt for supplies been deleted from the DA Form 1687? (DA Pam 710-2-1, para 2-28f)	___	___	___
4. Are assumption of command orders or a memorandum that designates a person as the responsible officer been prepared? (DA Pam,710-2-1, para 2-28a)	___	___	___

**Figure 8-4q(continued). Checklist for Unit Supply Management Program Inspection.**

**Publications/Files**

*(Are the required listed publications on hand or on order?)*

(Brigade, Battalion, Regiment, Company, Battery or Troop)

1. Army Regulations (AR):			
a. AR 15-6, Procedures for Investigating Officers and Boards of Officers.	___	___	___
b. AR 190-11, Physical Security of Arms, Ammunitions, and Explosives.	___	___	___
c. AR 190-51, Security of Unclassified army Property.	___	___	___
d. AR 210-130, Laundry/Dry Cleaning Operations.	___	___	___
e. AR 210-50, Housing Management	___	___	___
f. AR 600-8-1, Army Casualty Operations/Assistance/Insurance.	___	___	___
g. AR 700-84, Issue and Sales of Personal Clothing.	___	___	___
h. AR 710-2, Inventory Management Supply Policy Below the Wholesale Level.	___	___	___
i. AR 725-50, Requisitioning, Receipt and Issue System.	___	___	___
j. AR 735-5, Policies and Procedures for Property Accounting.	___	___	___
k. JRTC & FP Reg 75-1, Ammunition Control Procedures.	___	___	___
l. TM 38-L32-11, D54 Unit Procedures.	___	___	___
m. AISM-25-L3S-AWE-ZZZ-CG, ULLS-S4 Commander's Guide	___	___	___
n. Federal Logistics (FED LOG)	___	___	___
2. Department of the Army Pamphlets:			
a. DA Pam 25-30, Consolidated Index of Army Publications and Blank Forms. (CD-ROM)	___	___	___

**Figure 8-4r. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
b. DA Pam 710-2-1, Using Unit Supply System, Manual Procedures.	___	___	___
c. DA Pam 738-750, The Army Maintenance Management System (TAMMS).	___	___	___
d. DA Pam 735-5, Survey Officer's Guide	___	___	___
e. TB 710-5, Unit Commander's Supply Handbook	___	___	___
3. Common Tables of Allowances (CTA):			
a. CTA 8-100, Army Medical Department Expendable/Durable Items.	___	___	___
b. CTA 50-900, Clothing and Individual Equipment.	___	___	___
c. CTA 50-909, Field and Garrison Furnishings and Equipment.	___	___	___
d. CTA 50-970, Expendable/Durable Items (Except Medical, Class V, Repair Parts and Heraldic Items)	___	___	___
4. Are all Equipment Authorization Documents (TOE/TDA) on hand and current?	___	___	___
5. Is the DA Form 12 Series kept current?	___	___	___
6. Soldier Training Publication:			
a. STP 10-96Y1-SM-TG Unit Supply Specialist	___	___	___
b. STP 10-96Y24-SM-TG Unit Supply Specialist, Soldiers Manual and Trainers Guide.	___	___	___
7. Does the unit have on hand or on requisition current supply catalogs and technical manuals for the equipment authorized?	___	___	___
8. SOPS.			
a. Bn Supply SOP.	___	___	___
b. Unit Supply SOP.	___	___	___
(1) Is the Unit Supply SOP organized to include every	___	___	___
(2) Is the SOP updated periodically to reflect regulatory and operational changes?	___	___	___
(3) Are all personnel familiar with the contents of the SOP?	___	___	___
(4) Does the SOP contain any deviation from the regulations?	___	___	___
(5) If so, are letters of approval on file?	___	___	___
9. Files:			
a. Are files established and maintained IAW AR 25-400-2	___	___	___
b. Is an approved FORSCOM Form 350-5, List of File Numbers on hand? (FORSCOM Suppl 1 to AR 25-400-2)	___	___	___
c. Are the files screened annually so old files are destroyed or sent to Records Holding Areas as prescribed?	___	___	___

**Figure 8-4r(continued). Checklist for Unit Supply Management Program Inspection.**

YES NO N/A

**Change Of Responsible Officer Inventory**  
**(Company, Battery or Troop)**  
*Doing and after Change of Command (ONLY)*

1. Is the outgoing commander given reasonable time to conduct a 100 percent joint inventory of property with his/her successor? (AR 710-2, para 2-12)	___	___	___
2. Is this inventory conducted when the officer responsible for property issued to a unit is replaced? (DA Pam 710-2-1, para 9-7)	___	___	___
3. Is the inventory jointly conducted by incoming and outgoing officers? (DA Pam 710-2-1, para 9-7)	___	___	___
4. Is all unit property inventoried within the prescribed time frame or 30 days? (DA Pam 710-2-1, para 9-7c)	___	___	___
5. Are the following requirements performed prior to the inventory? (DA Pam 710-2-1, para 9-7a(1))	___	___	___
a. A check made with the next higher command for any instructions? (DA Pam 710-2-1, para 9-7a(1))	___	___	___
b. All hand or sub-hand receipts and annexes with change documents updated? (DA Pam 710-2-1, para 9-3a(1)(b))	___	___	___
c. Unit property records are reviewed to determine the type of items to be inventoried. (DA Pam 710-2-1, para 9-3a(1)(c))	___	___	___
d. Hand or sub-hand receipt holders are notified when and how the inventory is going to be conducted. (DA Pam 710-2-1, para 3a(1)(d))	___	___	___
e. DA Pam 25-30 is reviewed to ensure that the most current Supply Catalogs, components lists and Technical Manuals are being used during the inventory. (DA Pam 710-2-1, para 9-3a(1)(e))	___	___	___
6. Is the inventory conducted as follows:			
a. Are all items checked to ensure that they match their descriptions and quantities as listed on the unit's hand receipt and differences noted? (DA Pam 710-2-1, para 9-5b(1))	___	___	___
b. Are visual property condition checks made with discrepancies noted? (DA Pam 710-2-1, para 9-3a(1))	___	___	___
c. Are all items listed on unit hand receipts inventoried and overages and shortages noted? (DA Pam 710-2-1, para 9-5b(3))	___	___	___
d. Are end items checked for completeness? For example: Is the proper TM or SC to identify components used? Is the unit document register checked to ensure component shortages are on request? Are component overages listed and turned-in? (DA Pam 710-2-1, para 9-3b(4))	___	___	___
e. Are item serial numbers reconciled when what is recorded on unit hand receipt and serial number differences corrected? (DA Pam 710-2-1, para 9-3b(5))	___	___	___
f. Are items in maintenance validated against all maintenance requests? (DA Pam 710-2-1, para 9-3b(6))	___	___	___

**Figure 8-4s. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
g. Is damaged equipment reported to the unit maintenance personnel for repair? (DA Pam 710-2-1, para 9-3b(7))	___	___	___
h. Are unit basic and operational loads checked and differences noted? (DA Pam 710-2-1, para 9-3b(8))	___	___	___
i. Are all differences regarding Property Book items reconciled with the accountable PBO? (DA Pam 710-2-1, para 9-3b(8))	___	___	___
7. Does the accountable PBO conduct causative research of the differences? When no conclusive findings are made, does the unit take the following actions? (DA 710-2-1, para 9-6b(10))	___	___	___
a. Turn in overages as found on installation property. (DA Pam 710-2-1, para 9-6b(10)(a))	___	___	___
b. Account for shortages IAW AR 735-5 and DA Pam 710-2-1, para 9-6b(10)(b)	___	___	___
c. Prepare and process After Action Report to correct difference within sizes, makes, or models. (DA Pam 710-2-1, para 9-6b(10)(c))	___	___	___
d. Adjusts hand receipt or sub-hand receipts and hand receipt shortage annexes. (DA Pam 710-2-1, para 9-6b(10)(d))	___	___	___
8. Does the commander appoint a person to act for the departed responsible officer if the responsible officer dies or departs the unit without transferring responsibility? (DA Pam 710-2-1, para 9-3c)	___	___	___
9. Does the appointed person conduct an inventory jointly with a new responsible officer? (DA Pam 710-2-1, para 9-3c)	___	___	___
10. Is a Memorandum of Instruction (MOI) for Unit Change of Responsible Officer on file? (JRTC & FP Reg 735-1, Fig D-1)	___	___	___

**Figure 8-4s(continued). Checklist for Unit Supply Management Program Inspection.**

**Bulk Petroleum Accountability  
(Company, Battery or Troop)**

1. Is an individual appointed in writing as the responsible officer to maintain? Control of all fuels and to provide an audit trail for POL? (AR 710-2, para 2-34b(1))	___	___	___
2. Does the unit have a good comprehensive Bulk and Package Fuels SOP? (AR 710-2, para 2-34b(3))	___	___	___
3. Does SOP outline the procedures for handling and accounting for bulk fuels? (AR 710-2, para 2-34b)	___	___	___
4. Is DA Form 3643 (Daily Issue of Petroleum Products) filled out properly? (DA Pam 710-2-1, Fig 12-2)	___	___	___

**Figure 8-4t(continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
5. Are the quantities from DA Form 3643 posted to DA Form 3644 (Monthly Abstract of Issues of Petroleum Products and Operating Supplies) on a daily basis? (AR 710-2, para 2-34d)	___	___	___
6. Is fuel received from Refueling operations posted as a receipt on DA Form 3643, and identified by the vehicle USA number? (AR 710-2, para 2-34c)	___	___	___
7. In a field environment, are inventories taken and documented on a daily basis to determine the amount of fuel issued? (AR 710-2, para 2-34e)	___	___	___
8. When maintaining records is not feasible while in a field environment, is the unit preparing a statement summarizing daily issues? (AR 710-2, para 2-34e)	___	___	___
9. Is the statement prepared within 3 working days after completion of the exercise? (AR 710-2, para 2-34e)	___	___	___
10. Does the statement include verification that fuel was used in authorized Army vehicles? (AR 710-2, para 2-34e)	___	___	___
11. Is the statement attached to DA Form 3644 as a supporting document? (AR 710-2, para 2-34e)	___	___	___
12. Are the quantities posted to the DA Form 3644 as of the last day of the exercise? (AR 710-2, para 2-34e)	___	___	___
13. Is DA Form 4702 (Monthly Bulk Petroleum Accounting Summary) (MBPAS) filled out properly?	___	___	___
14. Is DA Form 3644 and the document register (DA Form 2064) reconciled properly against the MBPAS?	___	___	___
15. Is DA Form 4702, MBPAS, submitted to the next higher commander within 3 working days of the end of month?	___	___	___
16. Are rigid-wall tanks physically gauged and reconciled IAW procedures in FM 10-18 and 10-69 on a daily basis?	___	___	___
17. Are rigid-wall tanks that do not have any issues or receipts gauged reconciled on a weekly basis?	___	___	___
18. Is gauging data recorded on DA Form 3853-1 (Innage Gague Sheet)?	___	___	___
19. Is the 3853-1 attached to the MBPAS as a supporting document?	___	___	___

**Figure 8-4t (continued). Checklist for Unit Supply Management Program Inspection.**

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	YES	NO	N/A
20. Is a monthly physical inventory performed for each type of fuel and reflected on the MBPAS?	___	___	___
21. Does the above inventory reflect quantity on hand as of 0800 on last day of the month or last working day if the last day is a non-duty day and no issues or receipts will be made? (AR 710-2, para 2-34e)	___	___	___
22. Are inventory results compared to receipts and issues to determined if pilferage or leakage has occurred?	___	___	___
23. Are inventory results maintained in unit files for one year?	___	___	___
24. Is a DA Form 4697 (Report of Survey) initiated when loss is equal to or greater than \$500.00 or when loss is more than allowable loss (.05% for gasoline and 1% for diesel fuels)?	___	___	___
25. Is an AR 15-6 investigation initiated when Bn Cdr or equivalent disapproves of any gain or the MBPAS?	___	___	___
26. Is a copy of Report of Survey, AR 15-6, or causative research attached to the MBPAS as a supporting document when required?	___	___	___
27. Are losses of more than 25 gallons of fuel due to spillage documented by the responsible officer and attached to the MBPAS? (AR 710-2 para 2-35f)	___	___	___
28. Does unit recover, recycle, and dispose of contaminated fuels? (AR 710-2)	___	___	___
<b>Convoy Operations</b>			
29. Does unit plan to refuel convoys at military installations while enroute if possible?	___	___	___
30. Do convoys carry estimated resupply requirements for packaged POL in order to avoid local purchase requirements? (AR 710-2, para 2-33)	___	___	___
31. Are U.S. Government national credit cards used only when motor pools, DOD facilities, or into plane contracts are not available? (AR 710-2, para 2-34e)	___	___	___
32. Are off-post purchases for convoy operations limited to \$10,000 dollars per purchase? (AR 710-2, para 2-33e)	___	___	___
33. Are AVFUEL identaplates authorized on for purchasing products dispensed directly into using aircraft(s)? (AR 710-2, para 2-32f(2))	___	___	___

**Figure 8-4t (continued). Checklist for Unit Supply Management Program Inspection.**

**ULLS-S4 Checklist  
(Company, Battery or Troop)**

<i><b>General:</b></i>	YES	NO	N/A
1. Authorization Documents.			
a. Does the unit have all pertinent property authorization documents? (MTOE, TDA, CTA, CTAs, etc)	_____	_____	_____
b. Are property files reconciled annually against the authorization documents with the property book officer?	_____	_____	_____
c. Is the proper item authorization document posted to the Property Master File? (H14)	_____	_____	_____
d. Are the required publications up to date?	_____	_____	_____
e. If required authorization documents are not on hand, are they on order?	_____	_____	_____
2. Publications.			
a. Is a copy of the Army Master Data File (AMDF), the Supply Bulletin 700-20, and the Master Cross Reference List (MCRL) on hand (FEDLOG on CD-ROM)? Note: The FEDLOG contains the AMDF, SB 700-20 and the MCRL.	_____	_____	_____
b. Are all technical manuals and supply catalogs for authorized equipment And sets, kits and outfits (SKOs) on hand?	_____	_____	_____
c. Are SKOs added to the Master Component File/ (C20)	_____	_____	_____
d. Are the technical manuals, supply catalogs, and field manuals complete and up to date?	_____	_____	_____
e. Is the equipment publication data posted to the Asset Master Record for the equip-ment or tool set? (H14)	_____	_____	_____
f. Are AR 710-2, DA Pam 710-2-1, and other required regulations on hand?	_____	_____	_____
g. Are MACOM supplements to regulations on hand?	_____	_____	_____
h. Are these publications being used?	_____	_____	_____
i. Do unit personnel know the purpose of all publications and how to use them?	_____	_____	_____
j. If required publications are not on hand, are they on order?	_____	_____	_____
k. Is there a copy of the unit ARTEP on hand?	_____	_____	_____
3. Standing Operating Procedures (SOP).			
a. Have the unit commander and unit supply personnel been briefed by the battalion staff on the policies and procedures to be followed for the operation of the ULLS-S4 system?	_____	_____	_____
b. Are the battalion and its subordinate units in compliance with the CMD policies and standing procedures?	_____	_____	_____
c. Does the unit have an SOP governing operational use of the ULLS-S4 system?	_____	_____	_____
d. Does the unit have an SOP governing the operation of the unit supply or S-4 staff section?	_____	_____	_____
e. Are the SOP's realistic and functional?	_____	_____	_____

***ULLS-S4 Work Area:***

**Figure 8-4u. Checklist for Unit Supply Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
1. Work Area.			
a. Is the ULLS-S4 equipment located within the unit supply administrative work area?	_____	_____	_____
b. Is the ULLS-S4 equipment located within the Staff administrative work area?	_____	_____	_____
c. Does the electrical circuit provide at least 10 amps for each computer system to continue operating?	_____	_____	_____
d. Are power line filters used and operational?	_____	_____	_____
e. Has a battery unlimited power supply been acquired and/or in use?	_____	_____	_____
2. Work Area Appearance.			
a. Is the supply room or staff section neat and orderly?	_____	_____	_____
b. Are sufficient storage bins or cabinets available for supplies, equipment and publications?	_____	_____	_____
c. Is there a secure storage area for supplies and equipment?	_____	_____	_____
d. Is the access to the supply room or staff section controlled?	_____	_____	_____
e. Can the supply room or staff section be adequately secured?	_____	_____	_____
f. Is there a key control system for the supply room or staff section keys?	_____	_____	_____
g. Is the computer clean of dust, dirt, and grease?	_____	_____	_____
h. Are vents on the computer equipment free of blockage from books, paper or other material?	_____	_____	_____
3. System Operations.			
a. Are diskettes properly stored in protective jackets and diskette storage boxes?	_____	_____	_____
b. Are magnetic tapes stored in their protective covers?	_____	_____	_____
c. Are only approved programs loaded on the computer?	_____	_____	_____
d. Does the work site provide protection for the computer equipment from rain, dust diet, etc.?	_____	_____	_____
e. Have rugged carrying cases been locally procured or fabricated to transport and protect computer equipment?	_____	_____	_____
<b><u>If not take action to do so.</u></b>			
f. Has adequate work station equipment (tables, etc.) been set up for the computer equipment?	_____	_____	_____
g. Have special protective covers been employed to keep the computer equipment free of dust & dirt?	_____	_____	_____
4. Operating Supplies.			
a. Are there sufficient quantities of paper and printer ribbons available?	_____	_____	_____
b. Are there blank diskettes available? (minimum – diskettes.)	_____	_____	_____
c. Are sufficient magnetic tapes available for daily database backups? (Minimum of 5 tapes )	_____	_____	_____
d. Are sufficient cleaning supplies available for the tape drive, diskette drives and system exterior?	_____	_____	_____
<b><i>System Security:</i></b>			
1. System Security.			
a. Is the Unit DODAAC File current?	_____	_____	_____
b. Have the user groups been designated with associated access rights?	_____	_____	_____

**Figure 8-4u (continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
c. Are the DODAAC and Security Accesses data file reviewed by the outgoing and incoming commanders in conjunction with the change of command?	_____	_____	_____
d. Is access to the system adequately secured to prevent unauthorized use?	_____	_____	_____
e. Does the unit have the ULLS-S4 Security Features User's Guide (SFUG) and the Trusted Facility Manual?	_____	_____	_____
f. Are the operators familiar with the ULLS-S4 SFUG?	_____	_____	_____
g. Are the Commanders and Designated Representative familiar with the ULLS-S4 TFM?	_____	_____	_____
g. Is access to the DOS prompt limited to the Commander or the Commander's Designated Representative?	_____	_____	_____
h. Is the Commander's Designated Representative using the Security Tracking Audit Register to monitor system and process access?	_____	_____	_____
i. Has the Universal Password (all As) been changed?	_____	_____	_____
<b>2. Password Management.</b>			
a. Have passwords been changed every six months?	_____	_____	_____
b. Are the passwords and system access rights assigned and controlled by the Commander or the Commander's Designated representative?	_____	_____	_____
c. Are passwords six digits I length and do they appear to be randomly selected?	_____	_____	_____
d. Are copies of the user Ids and passwords maintained in a secure location for authorized use in emergencies?	_____	_____	_____
<b>Property Accountability:</b>			
<b>1. Property/Sub-Hand Receipts.</b>			
a. Has each supporting Property Book Office been assigned a unique Support Indicator Code (SIC) in the Property Origin File? (H19)	_____	_____	_____
b. Does each unit have a current SPBS-R and/or SPBS-R-I/TDA diskette for its UIC?	_____	_____	_____
c. Are at least 3 previous SPBS-R data diskettes being maintained as a property account backup by each UIC?	_____	_____	_____
d. Does the unit perform periodic property updates with the Property Book Officer? (AR 710-2)	_____	_____	_____
e. Is the property listed in the Download Errors Listing (AWE-170) researched and appropriate action reported to the PBO for correction? (H12)	_____	_____	_____
f. Have Sub-Hand Receipt Holders (SHRH) been established and are the sub-hand receipts current? (H17)	_____	_____	_____
g. Is all on-hand property assigned to a SHRH?(H16)	_____	_____	_____
h. Is all authorized property on-hand or on-order?(H18)	_____	_____	_____
i. Has all excess property been reported to the property book officer for disposition instructions within ten workdays? (S48, OPTION 3)	_____	_____	_____
j. Do all property items that require components hand receipts have a component hand receipt number assigned?(H14)	_____	_____	_____
k. Has supervisor information been posted to the SHRH files? (H17)	_____	_____	_____
l. Do property items requiring serial, registration, or lot numbers accounting have the proper SRRC?	_____	_____	_____
m. Is the serial, registration, or lot number correctly entered for each property item requiring this information?	_____	_____	_____

Figure 8-4u (continued). Checklist for Unit Supply Management Program Inspection.

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	YES	NO	N/A
<b>2. Property Security.</b>			
a. Have security accesses to the property processes been limited to required users only?	_____	_____	_____
b. Does the commander periodically review unit property records to ensure compliance with Army regulations and policies?	_____	_____	_____
c. Does the S-4 staff periodically inspect unit property records to ensure compliance with Army regulations and policies?	_____	_____	_____
<b>3. Component Hand Receipt</b>			
a. Has a Master Component List (MCL) been created for all property items needing component hand receipts? (C20)	_____	_____	_____
b. Are Master Component Lists current?(C20)	_____	_____	_____
c. Have all component items that require component hand receipts had a component hand receipt number assigned? (H14, OPTION 4)	_____	_____	_____
d. Are all component shortages flagged for replenishment? (C22)	_____	_____	_____
e. Are all component excesses flagged for turn-in? (C22)	_____	_____	_____
f. Have cross-leveling actions been taken on component excesses? (C22 Option 475)	_____	_____	_____
g. Have all excess component items been processed for turn-in within ten workdays?	_____	_____	_____
h. Are current component hand receipts printed and signed by the responsible sub-hand receipt holder?(C26)	_____	_____	_____
i. Are component serial numbers added/maintained correctly for each component hand receipt as required?(C24)	_____	_____	_____
j. Has the Commander or the Commander's Designated Representative restricted access to the Master Component List (C20 process) to the responsible staff?(U44)	_____	_____	_____
<b>4. Component Security</b>			
a. Have security accesses to the component processes been limited to required users only?	_____	_____	_____
b. Does the commander periodically review unit component records to ensure compliance with Army regulations and policies?	_____	_____	_____
c. Does the S-4 staff periodically inspect unit component records to ensure compliance with Army regulations and policies?	_____	_____	_____
<b><i>Supply Management:</i></b>			
<b>1. Supply</b>			
a. Has the SARSS Indicator been set in the Interface parameter for the appropriate SARRS system?(UA1)	_____	_____	_____
b. Has the Replenishment Authorized Flag been set to "Y" for units performing supply actions in the Budget/Property Parameters?(UA1)	_____	_____	_____
c. If the unit is supported by OSC, have the OSC Indicator and DDN been set in the OSC Parameters?(UA1)	_____	_____	_____
d. Are the UIC and FAD properly set in the Unit Parameters?(UA1)	_____	_____	_____
e. Has a document number series been assigned for expendable and durable supply actions in the Unit Parameters?(UA1)	_____	_____	_____

**Figure 8-4u (continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
f. Is there a letter from the unit commander establishing the document number series to be used by his/her unit?	_____	_____	_____
g. Does this letter establish a document number series for off-line manual posting to the ULLS-S4 document register ( post/post actions)?	_____	_____	_____
h. Have the number of days for automatic follow-up and frequency of document register purge been set in the Unit Parameters?(UA1) (Minimum 9 days pri 1-8 and 30 days pri 9-15.)	_____	_____	_____
i. Has the Reportable Dollar Value been set by the commander for expenditures of command interest in the Unit Parameters?(UA1)	_____	_____	_____
j. Have the Class of Supply and Subclass of Supply been set for items normally used by the unit in the Class/Subclass Parameters?(UA1)	_____	_____	_____
k. Are requests for issue processed in a timely manner to correct supply shortages? (S40.S41)	_____	_____	_____
l. Are shortages requested within budget limits? See Budget Expenditure Report.)	_____	_____	_____
m. Are turn-ins and cancellations processed to correct supply excesses? (S48)	_____	_____	_____
n. Does the unit have the most recent issue of FEDLOG and does the unit run the catalog load/update by CD-ROM Process monthly?(S6A)	_____	_____	_____
<b>2. Unit Loads.</b>			
a. Have Unit Load parameters been established for units desiring to maintain unit load data in the Unit Load Parameters?(UA1)	_____	_____	_____
b. Has the unit commander approved all unit load additions and deletions (other than operational load prior to actions being taken to add or delete unit load records? (DA Pam 710-2-1)	_____	_____	_____
c. Is the unit load reviewed periodically by the commander to validate the accuracy of the levels?	_____	_____	_____
d. Is the unit load periodically inspected for serviceability and shelf life?	_____	_____	_____
<b>3. Document Control Register.</b>			
a. Are off-line manual supply actions posted to the system document register?	_____	_____	_____
b. Does the supply clerk process supply transactions to the source of supply (SOS) daily or as required?	_____	_____	_____
c. Does the supply clerk obtain the unit status from the SOS (each DSU) and process it daily?	_____	_____	_____
d. Is each document listed on the Supply Status Process Report researched and appropriate action taken?	_____	_____	_____
<b>4. Supply Support.</b>			
a. Has the DSU Code in the Supply Support Parameters been set for each Class of Supply the unit is authorized to request? (UA1)	_____	_____	_____
b. Has the DSU unit data in the Support Activity Site Parameters been set for each of the DSUs providing supply support to the unit?(UA1)	_____	_____	_____
<b>5. Supply Security.</b>			
a. Have security accesses to the Parameters processes been limited to the Commander or the Commander's Designated Representative?	_____	_____	_____

Figure 8-4u (continued). Checklist for Unit Supply Management Program Inspection.

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	YES	NO	N/A
b. Does the commander periodically review unit supply actions to ensure compliance with Army regulations and policies?	_____	_____	_____
c. Does the S-4 staff periodically inspect unit supply actions to ensure compliance with army regulations and policies?	_____	_____	_____
<b><i>Budget Management:</i></b>			
<b>1. Brigade/Battalion Budget Staff Officer</b>			
a. Have prescribed budget polices and an ULLS-S4 budget structure been established?	_____	_____	_____
b. Have standing operating procedures for the budget processes been established?	_____	_____	_____
c. Have subordinate unit records for data transfer been established? (B37)	_____	_____	_____
d. Have identity records been established for ULLS-S4, ULLS-G, or ULLS-A units for receiving supply data for posting to the budget?(B3B)	_____	_____	_____
e. Have Budget Account Codes (BAC) and budget ledgers been established for tracking all elements of unit’s operating budget?(B34;B36)	_____	_____	_____
f. Have funds been posted to the ledgers comprising the unit’s operating budget and have the funds been allocated to subordinate units? (B30)	_____	_____	_____
g. Have funds been allocated to each budget quarter for all quarterly ledgers/ subledgers?	_____	_____	_____
h. Is the total allocated amount for each ledger/subledger less than equal to the total funds received?	_____	_____	_____
i. Have subordinate units been briefed on budget policies, budget structure, and standard operating procedures for the budget processes?	_____	_____	_____
j. Have the BACs, budget ledgers/subledgers, and fund ceiling been transferred to subordinate units? (B30)	_____	_____	_____
k. Has the automated and manual supply data been posted daily to the ledgers and subledgers? (ULLS-S-4 Supply processes and ULLS-G/A Class IX repair part request.)	_____	_____	_____
l. Is the fund status of each ledger or subledger checked on a regular basis? (B30)	_____	_____	_____
(1) Has appropriate action been taken when the allocated or committed Amount exceeds the received amount?	_____	_____	_____
(2) Has appropriate action been taken when the committed amount exceeds the allocated amount and the obligated amount exceeds the committed amount?	_____	_____	_____
(3) Are subordinate units in compliance with brigade budget policy?	_____	_____	_____
m. Do subordinate units provide budget status data to Bde/Budget Staff Officer? (B33)	_____	_____	_____
n. Are Budget reports being produced and used by Bde/Budget Staff Officers to manage the budget?	_____	_____	_____
o. Are budgets ledgers that are no longer needed being purged from the budget files?	_____	_____	_____
<b>2. Unit Commander and Unit Manager.</b>			
a. Has the unit commander and unit budget manager been briefed by the battalion budget staff officer on the budget policies, ULLS-S4 budget structure and ULLS-S4 standard operating procedures for the budget processes?	_____	_____	_____
b. Is the unit in compliance with the BDE/BN budget policies and standards?	_____	_____	_____
c. Has the unit received the Budget Account Codes (BAC), budget ledgers or subledgers and fund ceilings for tracking all elements of their unit’s operating budget from its battalion or brigade staff officer?(B35)	_____	_____	_____

**Figure 8-4u (continued). Checklist for Unit Supply Management Program Inspection.**

	YES	NO	N/A
d. Does the unit maintain the last budget data diskette received from the battalion or brigade ULLS-S4 system?	___	___	___
e. Has the unit commander allocated funds to each budget quarter for all quarterly Ledgers or subledgers? (If Applicable)	___	___	___
f. Is the total allocated amount for each ledger or subledger less than equal to the Received amount?(B30, Options 4,5)	___	___	___
g. Has the unit established an identity record for itself?	___	___	___
h. Has it established identity records for ULLS-G or ULLS-A units for received their Class IX Supply request data for posting to the budget?(If Applicable)(B3B)	___	___	___
i. Is the unit commander posting automated supply data and manual data to the ledgers or subledgers daily? This includes supply request data from the ULLS-S4 Supply process and supply data received from ULLS-G/A users. (B30, Options 1-7)	___	___	___
j. Does the unit check the fund status of each ledger or subledger on a weekly basis?	___	___	___
(1) Does the unit inform the battalion or brigade budget officer when allocated amount exceeds the received amount?	___	___	___
(2) Does the unit inform the battalion or brigade budget officer when the committed Amount exceeds the allocated amount and the obligated amount exceeds the committed Amount?	___	___	___
k. Is the unit producing and using the Budget Reports to manage budget status?	___	___	___
l. Does the unit report the status of ledgers or subledgers on a regular basis to the battalion or brigade budget officer?	___	___	___
m. Has the unit purged closed budget ledgers/files no longer needed on the Budget Files to a printout report? (B38)	___	___	___
<b>3. Army Material Status System (AMSS):</b>			
a. Has the Battalion/Brigade S-4 identified and added the AMSS UIC records for all Subordinate units? (A84)	___	___	___
b. Has the AMSS Reporting UIC entry in the Unit Supply parameters screen been completed to ensure reports can be sent to a higher headquarters?	___	___	___
c. Has an AMSS Catalog been built after initially receiving the Asset Control and Report Files from subordinate units?(A83)	___	___	___
d. Are the AMSS End of Report Period diskettes labeled and secured in accordance with local policy?	___	___	___
<b>4. Logistics Support Planning:</b>			
a. Has the unit provided Bn/Bde S4 Staff section with an initial/update equipment Build data file? (L72)	___	___	___
b. Has the unit built a UIC matrix record for all required units? (L72)	___	___	___
<b>Utilities:</b>			
<b>1. System/Database Backups.</b>			
a. has the Commander's Designated Representative backed up the ULLS-S4 Program executables and stored the backup in a secure container?	___	___	___
b. Are backup copies controlled to prevent loss or theft?	___	___	___

Figure 8-4u (continued). Checklist for Unit Supply Management Program Inspection.

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	YES	NO	N/A
c. Is the Commander's Designated Representative backing up the ULLS-S4 database daily and keeping a minimum of five consecutive backups on file?(UB1 or UB2)	___	___	___
d. Are the backup system data files labeled correctly with content and data of backup?	___	___	___
<b>2. Scan for Viruses</b>			
Is media scanned for computer viruses prior to use and/or prior to performing backups by diskette?	___	___	___
<b><i>Sage Database inquiry (SDI):</i></b>			
Is access to the Sage Database Inquiry (SDI) limited to managers?	___	___	___
<b><i>Training/Tutorial:</i></b>			
<b>1. Training</b>			
a. Are the unit commander and the S-4 staff officer familiar with the ULLS-S4 system?	___	___	___
b. Are all S-4 staff personnel ULLS-S4 trained?	___	___	___
c. Are all unit supply personnel ULLS-S4 trained?	___	___	___
d. Do unit leaders use ULLS-S4 products to manage property? (Hrs, Component Listings, and Asset Visibility Report)	___	___	___
e. Is the use of the ULLS-S4 system integrated into field training exercise, FTX and CPX?	___	___	___
f. Is operator/leader training being conducted for newly assigned unit/staff personnel?	___	___	___
<b>2. Tutorial</b>			
Is the ULLS-S4 tutorial installed and used for a sustainment training program?	___	___	___

**Figure 8-4u (continued). Checklist for Unit Supply Management Program Inspection**

**Ammunition Amnesty Program  
(Company, Battery or Troop)**

	YES	NO	N/A
*1. Has the unit established an amnesty program IAW DA 710-2-1 (11-19b,a)?	___	___	___
2. Has the unit posted the location and telephone number of the nearest amnesty turn in point? DA Pam 710-2-1(11-19b,e)	___	___	___
3. Are commanders ensuring that established amnesty procedures and controls do not prevent individuals from freely turning in ammunition? DA Pam 710-2-1 (11-19b,a)	___	___	___

**Figure 8-4v Checklist for Unit Supply Management Program Inspection**

- 4. Are commanders monitoring the amnesty program to ensure that the program is not used to circumvent accountability? DA Pam 710-2-1 (11-19b,b) \_\_\_\_\_
- 5. Are unit commanders conducting amnesty program briefings semi-annually and before each exercise or training event that requires the use of A&E? DA 710-2-1 (11-19b,c) \_\_\_\_\_
- 6. Are unit supply personnel aware of the policy and procedures of the Ammunition Amnesty Program? (DA Pam 710-2-1, para 11-19) \_\_\_\_\_
- 7. Is ammunition found on the installation turned-in to the Ammunition Supply Point (ASP) during duty hours; to the PMO after duty hours; or if over .50 caliber, left alone and reported by location to the MPs or EOD. DA 710-2-1 (19-a) \_\_\_\_\_

**Figure 8-4v (continued). Checklist for Unit Supply Management Program Inspection**

**Section V. Field Kitchen Equipment**

**8-17. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's Field Kitchen Equipment.

- a. The following is provided for information and used as a guide for preparing the installation's assessment of the organization's individual proficiency for Field Kitchen Equipment.
- b. Point of contact for this task is the DOL/G4, Building 4370, 531-1533/1520.

**8-18. Responsibility.** Unit commanders and activity directors/ custodians are urged to use these standards as a management tool to help units maintain an adequate level of field kitchen equipment serviceability to enable them to conduct internal inspections as a part of the Command Inspection Program.

**8-19. Standards.** Satisfactory effective controls for field kitchen equipment will be based upon the following standards:

- a. Equipment serviceability, user service programs, proper records administration and operational procedures IAW regulatory guidance.
- b. Satisfactory achievement of the minimum standards (critical tasks) for field kitchen equipment as outlined in the attached checklist.
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**8-20. References.**

- a. CTA 50-909, Field and Garrison Furnishing and Equipment, Oct 86.
- b. FM 10-23, Basic Doctrine for Army Field Feeding, 11 Sep 89.
- c. Maintenance Management Update, 31 Oct 89.
- d. TM 5-4540-202-12 & P, Heater, Immersion, Liquid Fuel Fired, 19 Sep 86.
- e. TM 10-7360-204-13 & P, Range Outfit, Field, Gasoline, Model M59, 8 Jul 83.
- f. TM 10-7360-206-13, Kitchen, Field Trailer Mounted, 1 Jun 84.
- g. TM 10-3760-209-13 & P, Kitchen, Company Level Field Feeding, 10 Apr 87.
- h. TM 10-8340-205-13, Tent, Kitchen, Fly-Proof, 2 Aug 72.
- i. TM 10-8340-205-23P, Tent Kitchen, Fly-Proof, w/o Floor, 27 Aug 70.
- j. TM 10-8340-211-13, Tent, General Purpose,

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**Checklist for Field Kitchen Equipment**  
(Company, Battery or Troop)

		YES	NO	N/A
<b>1. Mobile Kitchen Trailer.</b> (TM 10-7360-206-13, Table 2-1)				
a. Are all major component parts for the Mobile Kitchen Trailer on hand?		___	___	___
b. Are all major components of the Mobile Kitchen Trailer operational?		___	___	___
c. Is the roof jack available and in operational condition?		___	___	___
d. Are all the leveling jack stands intact and operational?		___	___	___
e. Can this Mobile Kitchen Trailer be operated safely in its present condition?		___	___	___
<b>2. Range Outfit, Field, Gasoline M59.</b> (TM 10-7360204-13& P)				
a. <i>Cabinet:</i> (Chapter 4)				
(1) Free of holes, dents, rust?		___	___	___
(2) Does the lid assembly close properly?		___	___	___
(3) Are hinges serviceable?		___	___	___
(4) Are all rivets secure?		___	___	___
(5) Are handles serviceable?		___	___	___
(6) Are burner retaining bars serviceable?		___	___	___
(7) Are welds intact?		___	___	___
(8) Are slide rails free of damaged?		___	___	___
b. <i>Door:</i> (Chapter 2, Table 2-1)				
(1) Is the retaining bar functional?		___	___	___
(2) Is the latch handle serviceable?		___	___	___
(3) Are cradle slides free of damaged?		___	___	___
c. <i>Cooking Utensils:</i> (Appendix C)				
(1) Are authorized quantity on hand?		___	___	___
	<b>QTY</b>			
Pot, cooking 10 gal.	1	___	___	___
Pot, cooking 15 gal	1	___	___	___
Pan, baking and roasting	1	___	___	___
Lid, baking and roasting pan	1	___	___	___
Cradle, cook pot	1	___	___	___
Dipper, one quart	1	___	___	___
Ladle, 8 ounce	1	___	___	___
Skimmer	1	___	___	___
Turner	1	___	___	___
Peeler, potato, hand	3	___	___	___
Measuring set	1	___	___	___
Knife, Paring	2	___	___	___
Knife, Boning	1	___	___	___
Knife, steak	1	___	___	___
Spoon, basting	2	___	___	___
Fork, Food	2	___	___	___
Protector arm gasoline short (M1959 Field Range)	1	___	___	___

**Figure 8-5a. Checklist for Field Kitchen Equipment Inspection.**

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		YES	NO	N/A
Protector arm gasoline long (M1959 Field Range)	1	___	___	___
Pan rectangular	2	___	___	___
Cover cook pot	2	___	___	___
Warmer adapter	1	___	___	___
Plate, splash	1	___	___	___
Tray pack lifter	1	___	___	___
(2) Are components clean?		___	___	___
(3) Are components serviceable?		___	___	___
<b>3. Accessory Kit. (TM 10-7360-204-13 &amp; P)</b>				
a. Complete. Are the following available?				
	<b>QTY</b>			
Roll, cutlery	1	___	___	___
Stone, sharpening	1	___	___	___
Screwdriver, 7 inch	1	___	___	___
Chest, tool	1	___	___	___
Pump, inflating	1	___	___	___
Wrench adjusting, 8 inch	1	___	___	___
Brush, wire	1	___	___	___
Cleaner, burner slot	1	___	___	___
Butcher steel	1	___	___	___
Left and right chain	1	___	___	___
Egg whip	1	___	___	___
Wrench, combination	1	___	___	___
Can, friction top	1	___	___	___
Anti-sieze compound	1	___	___	___
Lubricating oil	1	___	___	___
Fire extinguisher	1	___	___	___
Saw, butcher	1	___	___	___
Blade, butcher	1	___	___	___
Opener, can, bench type	1	___	___	___
Scraper, bakers	1	___	___	___
Rack, baking	3	___	___	___
Generator, pre-heater	4	___	___	___
b. Are components serviceable?				
		___	___	___
<b>4. MBU Burner Unit. (TM 10-7310-281-13P, Chapter 4).</b>				
a. Are shields and generators free from damage?				
		___	___	___
b. Are filler caps and gaskets serviceable?				
		___	___	___
c. Are the fuel tanks free from damage?				
		___	___	___
d. Are spacers installed between fuel tanks and frame?				
		___	___	___
e. Are safety valve devices installed?				
		___	___	___
f. If fuel drained from tank when not in use?				
		___	___	___
g. Is the pre-heater serviceable?				
		___	___	___
h. Does each burner unit have two generators attached?				
		___	___	___
i. Is pressure gauge serviceable?				
		___	___	___

**Figure 8-5a (continued). Checklist for Field Kitchen Equipment Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
j. Does the air shutter operate properly?	___	___	___
k. Is the star burner free from damage?	___	___	___
<b>5. Heater Immersion.</b> (TM 10-4540-202-12P, Chapter 4)			
Heater body:			
(1) Clean and free from rust?	___	___	___
(2) Light coat of corrosion preventative compound?	___	___	___
(3) Is lighter cup assembly serviceable?	___	___	___
(4) Are components accounted for, complete?	___	___	___
(5) Is the authorized quantity on hand?	___	___	___
(6) Are fuel tanks serviceable?	___	___	___
(7) Are fuel tanks free of fuel?	___	___	___
(8) Is there sufficient air conditioning pipe on hand to accommodate immersion heaters?	___	___	___
(9) Are they clean and lubricated?	___	___	___
<b>6. Gasoline Lantern.</b> (FM 10-23, Chapter 14)			
a. Is the authorized quantity on hand?	___	___	___
b. Are they serviceable?	___	___	___
c. Are accessory items complete?	___	___	___
<b>7. Thirty-Two Gallon Cans.</b>			
a. Is there sufficient quantity on hand?	___	___	___
b. Are they serviceable?	___	___	___
c. Are they clean?	___	___	___
<b>8. Water Purification Bag.</b> (FM 10-23, Chapter 13)			
a. Is the authorized quantity on hand?	___	___	___
b. Are they serviceable?	___	___	___
c. Are they clean?	___	___	___
d. Are they stored properly?	___	___	___
<b>9. Insulated Food Containers.</b> (FM 10-23, Chapter 13)			
a. Are they clean?	___	___	___
b. Are they serviceable?	___	___	___
c. Are all gaskets, inserts and lids on hand?	___	___	___
<b>10. Maintenance Forms.</b> (Maintenance Management Update, 31 Oct 89) (DA Form 2404)			
a. Are forms completed for each set of equipment?	___	___	___
b. Are deficiencies and shortcomings noted?	___	___	___
c. Are forms maintained with equipment?	___	___	___
<b>11. Supply.</b>			
a. Is excess equipment turned in?	___	___	___
b. Are shortage repair parts on order?	___	___	___
c. Is the unit food service sergeant knowledgeable of PLL procedures?	___	___	___

**Figure 8-5a (continued). Checklist for Field Kitchen Equipment Inspection.**

	YES	NO	N/A
12. Are all references listed in this checklist on hand or on valid requisition?	___	___	___

**Figure 8-5a (Continued). Checklist for Field Kitchen Equipment Inspection.**

**Section VI. Field Kitchen Operations**

**8-21. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's Field Kitchen Operations.

- a. The following is provided for information and used as a guide for preparing the installation's assessment of the organization's individual proficiency through the Field Kitchen Operations
- b. Point of contact for this task is the DOL/G4, Building 4370.

**8-22. Responsibility.** Unit commanders and activity directors/ custodians are urged to use these standards as a management tool to help units maintain adequate Field Kitchen Operations at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**8-23. Standards.** Satisfactory effective controls for field kitchen operations procedures will be based upon the standards as follows:

- a. Unit must be able to accomplish responsible food service field kitchen management procedures in the areas of records management, food preparation, food service operations, equipment maintenance and sanitation.
- b. Satisfactory achievement of the minimum standards (critical tasks) for field kitchen operations as outlined in the checklist.
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**8-24. References.**

- a. AR 30-21, The Army Field Feeding System.
- b. FM 10-23, Basic Doctrine for Army Field Feeding.
- c. FM 21-10, Field Hygiene and Sanitation.

**Checklist for Field Kitchen Operations**  
(Company, Battery or Troop)

NOTE: Items identified by an \* apply only when A or B Rations are utilized.

	YES	NO	N/A
<b>1. Administration.</b> AR 30-21, (Chapter 2)			
a. Are the required blank forms on hand?	___	___	___
b. Are daily DA Forms 5913-R (Strength and Feeder Report) submitted by supported units on hand?	___	___	___
c. Are issue documents (DA Forms 3244-R) maintained on hand?	___	___	___
d. Is DA Form 5914-R (Ration Control Sheet) maintained for each type of ration (A, B, T, and MRE)?	___	___	___
e. Are DD Forms 1544 available and being used?	___	___	___
*f. Are DA Forms 3034 (Production Schedule) available and being used?	___	___	___
<b>2. Subsistence.</b> FM 10-23, (Chapter 9)			
a. Are quantities of subsistence verified as annotated on DA Form 3294-R (Ration Request/Issue/Turn-in Slip) and signed for in the "Received By" block?	___	___	___

**Figure 8-6a. Checklist for Field Kitchen Equipment Inspection.**

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	YES	NO	N/A
b. Are all rations issued inspected for condition before issue documents are signed?	___	___	___
c. Are all rations transported and stored properly?	___	___	___
<b>3. Field Kitchen Site.</b> FM 10-23 (Chapter 6)			
a. Were characteristics of a good field site, as listed in Table 6-1 considered in selecting the Kitchen site?	___	___	___
b. Is the kitchen site layout in accordance with Figure 6-3?	___	___	___
c. Are service lines set up in accordance with Figure 6-2 or 6-3?	___	___	___
d. Is trash being removed from kitchen site?	___	___	___
<b>4. Safety.</b> Are safety standards maintained in and around kitchen site in accordance with FM 10-23, Chapter 9?	___	___	___
<b>5. Field Sanitation.</b> (FM 10-23, Chapter 20)			
a. Are personal hygiene standards maintained?	___	___	___
b. Is the pot and pat wash line set up and maintained in accordance with Figure 20-11?	___	___	___
<b>6. NBC Operations.</b> (FM 10-23, Chapters 21, 22, and 23)			
a. Are food service personnel knowledgeable on the methods of protective, inspecting, decontaminating and disposing of food and water in an NBC environment?	___	___	___
b. Are food service personnel trained in the use of the AN/PDR-27J (Radiac Meter)?	___	___	___
c. Are food service personnel trained in the use of the M156 chemical agent detector kit?	___	___	___

**Figure 8-6a (continued). Checklist for Field Kitchen Operations Inspection.**

**Section VII. Unit Level Maintenance Management Program**

**8-25. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation's Unit Level Maintenance Management Program.

- a. The following is provided for information and used as a guide in preparing for the installation's assessment of the organization's individual proficiency through the Unit Level Maintenance Management Program.
- b. Point of contact for this task is the DOL/G4, Building 4370, telephone 531-1533/1520.

**8-26. Responsibility.** Unit commanders and activity directors/ custodians are urged to use these standards as a management tool to help units provide essential unit level maintenance at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program. New battalion/squadron commanders must perform a maintenance terrain walk within the first 90 days of their command and review commanders at all levels the responsibilities of AR 750-1.

**8-27. Standards.** Satisfactory effective controls for Unit Level Maintenance Management will be based upon the standards as follows:

- a. Provide essential unit level maintenance through daily proactive management. Ensure that maintenance management and administrative actions comply with regulations, guidelines, and policies.
- b. Satisfactory achievement of the minimum standards (critical tasks) for Unit Level Maintenance Management as outlined in the checklist(s).
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**8-28. References.**

- a. AR 385-55, Prevention of Motor Vehicle Accidents.
- b. AR 600-55, Motor Vehicle Driver and Equipment Operator Selection.
- c. AR 750-22, Army Oil Analysis Program.
- d. AR 750-1, Army Materiel Maintenance Policy and Retail Maintenance Operations
- e. AR 750-25, Army Test, Measurement and Diagnostic Equipment (TMDE) Calibration and Repair Support Program.
- f. Equipment Technical Manuals (TM).
- g. FM 55-30, Army Motor Transport Units and Operations.
- h. FORSCOM Reg 385-1, Safety Program.
- i. FORSCOM Reg 750-2, Army Oil Analysis Program (AOAP).
- j. Maintenance Management Update.
- k. TB 43-180, Calibration Requirements and Intervals.
- l. TB 43-0211, AOAP Army Oil Analysis Program Guide for Leaders and Users.
- m. TB 600-1, Procedures for Selection, Training, Testing, and Qualifying Operators of Equipment/Systems.
- n. TB 600-2. Procedures for Selection, Training, Testing, Qualifying and Licensing Operators of Construction Equipment and Materials Handling Equipment.
- o. TB 750-55, Maintenance of Supplies and Equipment TMDE.
- p. ULLS - II/Z-248, Unit Level Procedures - End User Manual.
- q. Weapons System TM 10-20.

**Checklist for Unit Level Maintenance Management Program**

<b>Driver/Operator Records</b>	YES	NO	N/A
1. Does the operator's equipment qualification as listed on US Government Motor Vehicle Operator's Identification Card (OF 346) match Operator Qualification Record (DA Form 348)? (AR 600-55, para 5-2e)	___	___	___
2. Is formal operator training annotated in Section III, DA Form 348 on the vehicle(s) or equipment he is authorized to operate? (AR 600-55 and FM 55-30, Chapter 9)	___	___	___
3. Is prescribed critical task testing given yearly for all equipment listed on OF 346 and recorded on DA Form 348? (AR 600-55, para 1-5g(2))	___	___	___
4. Is the DA Form 348 reviewed and updated annually to determine a driver's/operator's eligibility for awards, expiration of permits, and training requirements? (AR 600-55, para 1-5i(1))	___	___	___
5. Has the commander established a system among the driver's first-line leader, Safety Officer, Provost Marshal Office, Transportation Motor Pool (TMP), and the unit motor pool to ensure that accidents and moving traffic violations are recorded accurately and timely to the DA Form 348?	___	___	___
6. Are licensing requirements implemented IAW AR 600-55, Table 2-1 and para 2-1a?	___	___	___

**Figure 8-7a. Checklist for Unit Level Maintenance Management Program Inspection.**

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	YES	NO	N/A
7. Are mechanical/ground support equipment (generators, material handling equipment, etc.) operators selected, trained, tested and licensed? (AR 600-55; TB 600-1; TB 600-2)	___	___	___
8. Are operators of emergency vehicles (i.e., military police, ambulance, fire-fighting equipment, hazardous cargo, etc.) trained? (AR 600-55, para 6-2 and Appendix C)	___	___	___
9. Is the Road Test Examiner qualified and licensed to operate each type of equipment? (AR 600-55, para 4-4d)	___	___	___
10. Is a system established by unit to ensure that driver interviews are conducted by the commander or supervisor of the potential operator prior to issuing a permit? (AR 600-55, Chapter 1)	___	___	___

**Test, Measurement, And Diagnostic Equipment (TMDE) & Calibration**

1. Has the unit submitted changes to current authorization document(s) for equipment no longer adequate to perform unit's mission?	___	___	___
2. Are there instruments on hand which are in excess of current or known requirements?	___	___	___
3. Has all TMDE on hand, including that TMDE which is part of sets, kits, etc., been reviewed to determine calibration requirements? (TB 43-180)	___	___	___
4. Has the DA Form 1687 (Notice of Delegation of Authority - Receipt For Supplies); Assumption of Command orders or Property Book Officer Appointment orders, and the TMDE Support Coordinator Appointment orders been submitted to the TMDE Support team?	___	___	___
5. Is a DA Form 3758 (Calibration and Repair Requirements Worksheet) completed and submitted for each item of TMDE requiring calibration that is not listed in TB 43-180? (TB 750-25)	___	___	___
6. Are "Calibrate Before Use" (CBU) overprinted on DA Label 80 (US Army Calibrated Instrument)? (TB 750-25)	___	___	___
7. Is critical TMDE identified as such, to supporting unit?	___	___	___
<b>NOTE:</b> Critical TMDE is the only general or special purpose TMDE on-hand that is capable of determining the operational status of the major item or system it supports. The TMDE is identified as critical when it becomes unserviceable or of doubtful reliability and no other TMDE is on-hand that can perform the required testing or measuring function.			
8. Is the supporting unit responsive to requirements identified as critical?	___	___	___
9. Has the calibration coordinator been to the briefing given monthly by the support team?	___	___	___

**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
10. Is the Monthly Master Listing picked up, reviewed for accuracy, and corrections made and returned to the TMDE Support Team for update?	___	___	___
11. Is TMDE turned in for calibration during time scheduled by support team?	___	___	___
12. Does all TMDE have a DA Label 80 properly identifying the instrument, the date of calibration, the due date of next calibration (Block 3), the supporting calibration facility, and the calibration technician performing the calibration?	___	___	___
a. For instruments identified as having limited use, is DA Label 163 (US Army Limited or Special Calibration) properly annotated to identify the limited ranges of accuracy?	___	___	___
b. Is DA Label 163 signed by the approving supervisor for limited use applications?	___	___	___
13. Does all TMDE designated in TB 43-180 as "Calibration Not Required" (CNR) have a DA Label 80 affixed, overprinted CNR, dtd and signed by the TMDE coordinator, and are all items listed on units CALMIS?	___	___	___
14. Are TMDE support problems elevated to the supporting activity, respectively to the command TMDE coordinator, and is follow-up action initiated, if required?	___	___	___
15. Is there any TMDE that has been dead-lined in excess of 30 days?	___	___	___
a. If yes, what is the work order priority?	___	___	___
b. If yes, what is the section using as a replacement pending repair?	___	___	___
16. Are radar items (1M93, M43A1, 1M174) and small arms gages listed on the unit's CALMIS?	___	___	___
17. Is TMDE submitted for calibration IAW TB 43-180? (INSPECTOR ONLY - Verify DA Label 80 on at least 5 TMDE)	___	___	___
18. Are items of TMDE causing problems in utilization, repair, and calibration reporting?	___	___	___
19. Are DA Forms 2404/BII Statement filled out and signed by the Commander/Property Book Officer (PBO)?	___	___	___
20. Is TMDE checked for damages before turning in for repair/coding action?	___	___	___
21. Is damage statement available with TMDE upon turn-in of TMDE for TI Excess/Coding?	___	___	___
22. Are calibration coordinators attending briefings given by the Area TMDE Support Team?	___	___	___
23. Are the following publications on hand?	___	___	___
a. AR 750-43, Army Test, Measurement, and Diagnostic Equipment Program.	___	___	___

**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

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	YES	NO	N/A
b. TB 43-180, Calibration and Repair Requirements For the Maintenance of Army Materiel.	___	___	___
c. TB 750-25, Maintenance of Supplies & Equipment (TMDE) Calibration and Repair Support System.	___	___	___

**PLL/Class IX Procedures**

1. (Run Process C-55 excess management). Has the unit established (SOP) guidelines for the turn-in of excess parts IAW AR 710-2-1 and AR 710-2-2?	___	___	___
2. Requisition Process. (Less than 500 lines, print DCR Process C-22, Option F; for 500 lines or more print Option F plus C). (ULLS II Users Manual, DA Pam 710-2-1)	___	___	___
a. Are fault records checked against the document register to ensure parts required are on order?	___	___	___
(1) Are fault records printed for 5-8 vehicles? (Use Process M-10)	___	___	___
(2) Is document register printed by administrative number for vehicles selected? (Use Process C-22, Option E)	___	___	___
b. Does unit have current AMDF on hand?	___	___	___
c. Does unit verify/research NIIN not on ULLS-II catalog?	___	___	___
d. Is the current unit transaction for listing properly initialed by the DSU and filed by the unit for 30 days? (Run "Send unit transactions to DSU" (U-31))	___	___	___
e. Does unit post status to ULLS systems using C-42 (from DSU) and/or C-40 to verify exception status?	___	___	___
f. Does unit run Document Control Register (DCR) purge process once a month to remove completed documents from the DCR?	___	___	___
g. Is the DCR purge diskette properly labeled with disposition instructions and then filed for two years?	___	___	___
3. Are unserviceable RX items turned in expeditiously? Does unit use the recoverable item control list (unmatched list) to reconcile transactions with DSU?	___	___	___
4. Does the unit receive and work the bimonthly reconciliation and are the last two reconciliation lists on hand? (received from and returned to Class IX, DOL) (Destroy after 45 days)	___	___	___

**Power Generation Equipment**

1. Is the operator properly licensed to operate the Power Generation Equipment? (AR 600-55)	___	___	___
2. Is proper safety equipment on hand prior to operating equipment? (fire extinguisher, ax, shovel and mattox) (TM-10 Series)	___	___	___
3. Are basic issue items (BII) on hand and serviceable? (fuel can adapter, canvas cover, fire extinguisher, grounding rods) (TM-10 Series)	___	___	___

**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

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	YES	NO	N/A
4. Are appropriate technical manuals (TM) with changes on hand and complete? (DA-12 Series and DA Pam 25-30)	___	___	___
5. Are terminals complete with binding post clamps?	___	___	___
6. Is the equipment on a proper dispatch? (Trailer mounted equipment dispatched with prime mover)	___	___	___
7. Are required services performed IAW the appropriate lube order/TM -20? (Run Process M-60 and review the scheduled maintenance records)	___	___	___
8. Are selected power generators started to ensure engine operability?	___	___	___
9. Are all power generator TM-10 faults identified, corrected, or recorded using ULLS Process M-15?	___	___	___

**Communication Equipment**

1. Is all vehicular mounted radio equipment installed in operational configuration? (TM -10 Series)	___	___	___
2. Are all vehicular mounted intercom systems, including CVC helmets, operational and have a current PMCS? (TM-10 Series)	___	___	___
3. Are all vehicular mounted Frequency Modulation (FM radios, Single Channel and Airborne Radios (SINCGARS), and Mobile Subscriber Radio Telephones (MSRT) equipment grounded, operational, and have a current PMCS? (TM-10 Series)	___	___	___
4. Are all vehicular mounted antennas properly installed, have antenna top caps, and serviced? (TM-10 Series)	___	___	___
5. Are vehicular mounted signal assemblages blocked, braced, tie-down cables secured, placed on dunnage, and grounding material present and used when in operation?	___	___	___
6. Are all signal assemblages operational and have a current PMCS? (TM-10 series)	___	___	___
7. Is RATT/Communication Center equipment operational in the secure mode using the KW-7 secure device? (TM-10 series)	___	___	___
8. Is multi-channel equipment operational in the secure mode using the KW-7 secure device? (TM-10 series)	___	___	___
9. Is switchboard equipment operational with 90% of line capability available? (TM-10.series)	___	___	___
10. Are telephone/remotes operational and properly serviced, i.e. batteries removed when not in use and a current PMCS performed? (TM-10 series)	___	___	___

**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

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	YES	NO	N/A
11. Are all antenna systems complete and properly maintained? (TM-10 series)	___	___	___
12. Has all cable/wire and associated reel units been serviced and tested? (TM-10 series and FM 24-20)	___	___	___
13. In accordance with ULLS-II user manual, does running processes M-60 and M-15 reflect the true status of equipment and parts on order?	___	___	___

**Small Arms**

1. Is PMCS being performed IAW TM-10 series, and is DA Form 2404 on hand for each weapon?	___	___	___
2. Are 90% of weapons inspected fully mission capable? Number of weapons inspected.	___	___	___
3. Is a cleaning kit on hand for each weapon to include rags, cleaner, lubricant and preservative (CLP), swabs, and pipe cleaners?	___	___	___
4. Are all inspected weapons properly assembled? (Appropriate TM)	___	___	___
5. Are the required BII on hand or on valid requisition for all weapons? (Appropriate TM)	___	___	___
6. Are all TMs and changes on hand? (DA Pam 25-30)	___	___	___
7. Are M60 machine gun barrels matched with receivers and each barrel tagged with its receiver serial number? (TM 9-1005-224)	___	___	___
8. Are scheduled services which include functions, tests performed, and proper annotations ecorded quarterly (all weapons), and annually (M16A1, M203, M60, M2, M1911A1)? (DA Pam 738-750)	___	___	___
9. Are weapons with Not Mission Capable faults (beyond the -20 level of maintenance) annotated on DA Form 2404 and evacuated to the DSU within 24 hours of being identified? (JRTC & FP MSOP)	___	___	___
10. Is the armorer's tool box complete and hand receipted on DA Form 2062 (Hand Receipt/Annex Number)?	___	___	___

**Weapons Systems**

1. Are the following services performed and recorded on the appropriate DA Form 2408-4 (Weapon Record Data)? (DA Pam 738-750)	___	___	___
a. Recoil exercise for non-firing systems (M1, M60, and M109)	___	___	___
b. Bore-scope (M1, M60, M109, and M30)	___	___	___
c. Pullover gauge (M1, M60, and M30).	___	___	___

**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

	YES	NO	N/A
2. Are missile guidance verification entries recorded on DA Form 2409 (Equipment Maintenance Log (Consolidated)) and the system tagged? (DA Pam 738-750, para 5-8) (Tow & Dragon – every 180 days)	___	___	___
3. Are entries on DA Form 2408-4, Blocks 10a thru 10j, completed only by the commander, section/crew chief, IDS/IGS personnel, or commander's representative (designated in writing)? (DA Pam 738-750)	___	___	___
<b>Vehicle Preventive Maintenance Checks And Services</b>			
1. Is operator trained and licensed for equipment on dispatch?	___	___	___
2. Has operator correctly identified, corrected, or recorded faults on DA Form 2404? (TM-10 Series and DA Pam 738-750)	___	___	___
3. Are Not Mission Capable (NMC) faults noted by the operator corrected prior to dispatch? (DA Pam 738-750)	___	___	___
4. Are 90% of inspected vehicles fully mission capable? Number of vehicles inspected	___	___	___
5. Are uncorrected faults recorded on DA Form 2404? (Print a DA Form 2404 for vehicles using Process M-10). (ULLS II User Manual)	___	___	___
6. Is vehicle canvas complete and installed properly following the operator TM and unit SOP? Is dismantled canvas accounted for by recording place of storage.	___	___	___
7. Are vehicle markings, to include safety illuminating tape, visible prior to dispatch? (Division MSOP and AR 55-29)	___	___	___
8. Are required BII maintained in a clean and serviceable condition?	___	___	___
9. Is required BII on hand or on valid requisition?	___	___	___
10. Is BII hand receipted to the user level?	___	___	___
11. Is BII secured when not in use?	___	___	___
12. Is PMCS for communications and electronics equipment mounted on vehicles concurrently accomplished with vehicle PMCS? (TM-10 Series)	___	___	___
13. Are all current and updated equipment manuals on hand or on order? (DA-12 Series and DA Pam 25-30)	___	___	___
14. Are first-line supervisor and maintenance NCO aware of uncorrected faults recorded on DA Form 2404? (DA Pam 738-750)	___	___	___
15. Are first-line supervisor and maintenance NCO present during PMCS? (DA Pam 738-750)	___	___	___

**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

90% DEGREE OF CONFIDENCE	
LOT SIZE	SAMPLE SIZE
2-8	2
9-15	3
16-25	5
26-50	8
51-90	13
91-150	20
151-280	32
281-500	50
501-1200	80
1201-3200	125

**Table 8-1a. Table of Degree of Confidence at 90%**

**Dispatch Procedures**

	YES	NO	N/A
1. Does the commander appoint the dispatcher? (DA Pam, 738-750, Chapter 2)	___	___	___
2. Does the unit have an equipment folder for each specific item of equipment? (DA Pam 738-750, Chapter 2)	___	___	___
3. Does the dispatcher ensure the Equipment Dispatch (DD Form 1970) have complete information in all required blocks and columns prior to, and upon returning from dispatch? (Process M-20)	___	___	___
4. Does the unit maintain the Equipment Control Record? (Print a DA Form 2401 using Process M-20)	___	___	___
5. Is equipment sent to support maintenance and logged out on DA Form 2401 (Organization Control Record for Equipment)? (Verify with Process M-20)	___	___	___
6. Is the unit complying with the disposition instructions of the Equipment Control Record, DA Form 2401? (ULLS II Manual) (Keep one month)	___	___	___
7. Is the dispatcher following ULLS II dispatch procedures?	___	___	___
8. Is the equipment maintenance worksheet and fault record printed and placed in equipment folder as part of dispatch process?	___	___	___
9. Does the dispatcher sign automated Equipment Dispatch, DD Form 1970?	___	___	___

**Army Oil Analysis Program (AOAP)**

1. Are samples taken on all equipment in the program as scheduled? (DA Pam 735-750, Appendix 0)	___	___	___
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**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
2. Are required sampling supplies on hand? (FORSCOM Reg 750-1 and DA Pam 735-750, Appendix 0)	___	___	___
3. Using Process M-55, is the oil analysis request data inputted (posted) and are oil analysis requests on file?	___	___	___
4. Is there an AOAP monitor appointed by the commander and is the Certificate of Qualification (DD Form 1902) on hand?	___	___	___
5. Are sampling valves installed on all vehicles that have installation instructions published? (FORSCOM Reg 750-1 and AR 750-1, para 3-36d(8))	___	___	___
6. Are lab recommendations being accomplished correctly and within the prescribed time frame of 2 working days? (AR 750-1)	___	___	___
7. Are operators and supervisors trained on AOAP and is the training authenticated? (FORSCOM Reg 750-1) (See SF-46 or OF-346 and process M-40, Operator Qualification Record or recent printout of M-40)	___	___	___
8. Is the most recent monthly printouts (Oil Analysis Requests) on file, to include the three previous printouts and authentication? (Process M-55)	___	___	___
9. Is corrective action taken when notified of resample and/or other action via DA Form 3254-R (Oil Analysis Recommendation and Feedback (LRA) and Oil Analysis Request?	___	___	___
10. Is safety equipment available and used when oil samples are taken? (FORSCOM Reg 750-1)	___	___	___
11. Are samples taken on combat vehicle final drives every 6 months? (DA Pam 735-750)	___	___	___

**ULLS II Reports And Disposition**

1. Monthly Reports.			
a. Is a prescribed load list (PLL) Change List, Option C-60, printed monthly, held until next report (30 days)?	___	___	___
b. Is a PLL List, Option C-50, printed monthly, held until next report?	___	___	___
c. Is a PLL Inventory Report, Option C-65, printed monthly, held until next report?	___	___	___
d. Is the Document Control Register purged monthly, Option C-85, and the hard copy or tape filed for 2 years?	___	___	___
2. Daily Reports.			
a. Is the Commanders Exception Report, Option C-12 printed daily and filed for 2 years?	___	___	___
b. Is the Document Control Register, printed daily, and held until next days print?	___	___	___

**Figure 8-7a (continued). Checklist for Unit Level Maintenance Management Program Inspection.**

**JRTC & FP Reg 20-2**

	YES	NO	N/A
c. Is the Equipment Deadline Report, printed daily, and held until the next report?	—	—	—
d. Is the Equipment Dispatch Control Log printed daily, and held for 30 days; except for vehicles involved in accidents, kept until released by the investigating officer?	—	—	—

**Figure 8-7a (Continued). Checklist for Unit Level Maintenance Management Program Inspection.**

**Section VIII. Command Supply Discipline Program (CSDP)**

**8-29. Purpose.** This section contains the evaluation criteria and checklist(s) for assessment of the installation’s Command Supply Discipline Program (CSDP).

- a. The following is provided for information and used as a guide for preparing the installation’s assessment of the organization’s individual proficiency through the Command Supply Discipline Program (CSDP).
- b. Point of contact for this task is DOL/G4, telephone 531-1533/1520.

**8-30. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain command supply discipline at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**8-31. Standards.** Satisfactory effective controls for the CSDP will be based upon the following standards:

- a. Appoint, in writing, individuals responsible with the additional duty of assisting the commander with establishing and monitoring the CSDP.
- b. Implement an aggressive CSDP and provide the necessary continuous emphasis to ensure success, eliminate fraud, waste, and abuse.
- c. Integrate CSDP inspections into existing inspections. Reward superior performance, and discipline non-achievers.
- d. Use the results of CSDP evaluations in selecting candidates for the Army Supply Excellence Program.
- e. Satisfactory achievement of the minimum standards (critical tasks) of Command Supply Discipline Program as outlined in the checklist.
- f. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.
- g. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**8-32. References.**

- a. AR 710-2, Supply Policy Below the Wholesale Level.
- b. AR 735-5, Policies and Procedures for Property Accountability.
- c. AR 725-50, Requisition and Issue of Supplies and Equipment: Requisitioning, Receipt, and Issue System.

**Checklist for Command Supply Discipline Program  
(Brigade, Battalion, Regiment)**

	YES	NO	N/A
<b>1. General:</b>			
a. Did Bn or Bde S4 request deviation authority from regulatory guidance? (AR 710-2 and AR 735-5).	—	—	—

**Figure 8-8a. Checklist for Command Supply Discipline Program Inspection.**

	YES	NO	N/A
b. Was request for deviation authority sent through command channels? (AR 710-2 and AR 735-5).	___	___	___
c. Was Bn or Bde S4 constrained from submitting requests for Class 2, 3 (PKG), 4, 7, 8, & 9? (AR 710-2, para 1-12)	___	___	___
d. Were supply constraints prepared and forwarded through command channels? (AR 725-50)	___	___	___
e. Has Bn or BDE S4 requested clarification of regulatory guidance? (AR 710-2)	___	___	___
f. If yes, did unit send request through command channels? (AR 710-2, para 1-10)	___	___	___
*g. Has a Command Supply Discipline Program been established and implemented? (AR 710-2, Appendix B)	___	___	___
h. Has the commander appointed a CSDP monitor on orders to Oversee the use of the units CSDP?	___	___	___
*i. Have the major problems been immediately brought up the chain of command for resolution?	___	___	___
j. Has a Command Inspection or CSDP inspection of subordinate units been completed within the last 6 months? (Table B-4, AR 710-2)	___	___	___
k. Is a copy of the inspection on file?	___	___	___
l. Were repeated findings of noncompliance with policy discovered during CIP/CSDP inspections? (AR 710-2, para B-8)	___	___	___
m. In the event of repeated findings, was the chain of command notified to establish compliance/assistance? (AR 710-2, para B-8)	___	___	___
n. Was the subordinate unit allowed to make on-the-spot corrections? (AR 710-2, para B-8).	___	___	___
o. Were school trained supply personnel assigned and working in supply positions? (AR 710-2, App B)	___	___	___
p. Was a suspense date for correction of discrepancies established during the out-briefing? (AR 710-2)	___	___	___
q. Did the CSDP monitor/evaluator follow-up on corrective actions during the next evaluation?	___	___	___
r. Did unit commander or supervisor conduct supply discipline training for all subordinates on a regular basis to ensure compliance with regulations? (AR 710-2, App B)	___	___	___
<b>2. Central Issue Facility (CIF) And Organizational Clothing And Individual Equipment (OCIE):</b>			
a. Did Bn provide the CIF with OCIE requirements of its units supported by CIF? (AR 710-2, para 2-14d)	___	___	___
b. Did Bn CIF with authorized personnel strengths of supported units? (AR 710-2, para 2-14d)	___	___	___
<b>3. Lost, Damaged, Or Destroyed Property</b>			
a. Did parent unit commander ensure subordinate units did not abuse the non-liability adjustment method for durable hand tools? (AR 735-5, para 14-25c)	___	___	___
b. Were Memorandums for Record summarized and reviewed by parent unit commander quarterly? (AR 735-5, para 14-25c)	___	___	___

**Figure 8-8a (Continued). Checklist for Command Supply Discipline Program Inspection.**

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	YES	NO	N/A
c. Did parent unit commander evaluate subordinate commander's statements releasing property for repair when damage was not through negligence? (AR 735-5, para 14-26a)	___	___	___
d. If parent unit commander non-concurred, did he/she direct the initiation of DA Form 4697 (Report of Survey)? (AR 735-5, para 14-26a)	___	___	___
e. Were personnel briefed on their option for accounting for lost, damaged, or destroyed property? (AR 735-5, Chapter 13)	___	___	___
f. Did commander determine the necessity to appoint a survey officer or to conduct an AR 15-6 investigation of lost, damaged, or destroyed property? (AR 735-5, para 13-22)	___	___	___
g. Did commander evaluate information provided to determine if negligence was suspected? (AR 735-5, para 13-21)	___	___	___
h. Were incidences requiring mandatory report of survey initiation followed? (AR 735-5, para 13-2)	___	___	___
i. Was a Report of Survey Register (DA Form 1659) established at the approving authority level? (AR 735-5, para 13-19)	___	___	___
j. Was a report of survey filing system established? (AR 735-5, para 13-19a)	___	___	___
k. Were procedures established in writing for using the Report of Survey Register to document processing times and pecuniary charges? (AR 735-5, para 13-19)	___	___	___
l. If liability was not assessed, were survey files maintained for 3 years? (AR 735-5, para 13-19)	___	___	___
m. If liability was assessed, were survey files maintained for 5 years? (AR 735-5, para 13-19)	___	___	___
n. Did commander ensure each survey received for action was accurate and complete? (AR 735-5, para 13-34)	___	___	___
o. Did commander review each survey to ensure individual rights were protected, recommendations by survey officer were supported, and if applicable, liability charges properly computed? (AR 735-5, para 13-34)	___	___	___
p. Did commander ensure all losses covered by report of survey were investigated promptly and adequately, and met the suspense for each specific phase (i.e., initiation, survey investigation, in accordance with Fort Polk goals? (AR 735-5)	___	___	___
q. Were lost items dropped from property accountability at the time report of survey was prepared and given a document number? (AR 735-5)	___	___	___
r. Did commander decide whether the evidence submitted was sufficient to reject or approve the report of survey? (AR 735-5)	___	___	___
s. If liability was assessed, was a copy of the legal review attached? (AR 735-5, para 13-36)	___	___	___
t. If a depreciation allowance was not used for lost, damaged, or destroyed items, was a statement explaining the reason prepared? (AR 735-5)	___	___	___
u. Was person held liable notified by memorandum through subordinate commander of decision to assess pecuniary liability by the survey officer?	___	___	___
v. Was individual given a reasonable suspense to seek legal advice and provide a response in writing to the decision?	___	___	___
w. If liability was assessed, was the person's name, rank/grade, SSN, and monthly basic pay at the time of loss entered in block 37?	___	___	___

**Figure 8-8a (Continued). Checklist for Command Supply Discipline Program Inspection.**

	YES	NO	N/A
x. Did the next higher commander of a unit accounting for bulk fuel approve adjustment made on the Monthly Bulk Petroleum Accounting Summary (MBPAS)? (AR 710-2)	___	___	___
y. If commander disapproved of any loss on the MBPAS, was a report of survey initiated? (AR 710-2)	___	___	___
z. If commander disapproved of any gain on the MBPAS, was an AR 15-6 investigation initiated? (AR 710-2)	___	___	___
aa. If an individual lost keys through negligence of willful misconduct, was individual held liable for all associated costs, i.e., keys, locks, etc.? (AR 735-5, para 4-27)	___	___	___
ab. Did the MSC submit its Monthly Property Accountability Adjustment Report to the DOL prior to the 10 <sup>th</sup> working day of the month?	___	___	___
ac. Did the number of Cash Sales, Commander's Memorandum, Statement of Charges, Cash Collection Voucher, and Report of survey print-out correspond with the information on the Monthly Property Adjustment Report (FP Form 619)?	___	___	___
ad. Was a copy of the Monthly Property Adjustment Report on hand?	___	___	___
<b>4. International Merchant Purchase Authorization Card (IMPAC):</b>			
a. Has Local Purchase Authority been delegated to the cardholder?	___	___	___
b. Has cardholder checked mandatory sources before making the purchase?	___	___	___
c. Has cardholder verified that adequate funds are available prior to making the purchase?	___	___	___
d. If the ordered item non-expendable property?	___	___	___
e. If non-expendable property, has the item been documented on the applicable Property Book?	___	___	___
f. Has cardholder reconciled monthly statement of account, attached questioned item form (if applicable) and forwarded to approving official?	___	___	___
g. Has non-expendable property been documented on the applicable Property Book?	___	___	___
h. Has the Approving Official certified statement of account by signing on the back?	___	___	___
i. Has cardholder complied with all procurement integrity filing requirements?	___	___	___
j. Does the purchase exceed \$2,500? If so, does cardholder have authority to exceed \$2,500 limit?	___	___	___
k. Are adequate funds committed up front for each credit cardholder?	___	___	___
l. Does the invoice agree with the certified statements of account?	___	___	___
m. If timely payment being made to Credit Card Contractor?	___	___	___

**Figure 8-8a (Continued). Checklist for Command Supply Discipline Program Inspection.**

## Chapter 9 Resource Management

### Section I. Management Control Process

**9-1. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation's Management Control Process.

a. The following is provided for information and used as a guide in preparing for the installation's assessment of the Management Control Process.

b. Point of contact for this task is the Director of Resource Management, Management Analysis Division, Building 2538, telephone number 7334/4537.

**9-2. Responsibility.** Unit commanders and activity directors/managers are urged to use these standards and the checklist as management tools to assist in the maintenance of an effective Management Control Process and enable them to conduct internal inspections as a part of the Command Inspection Program.

**9-3. Standards.** Satisfactory effective controls for internal management control will be based upon the standards as follows.

a. Apply the Government Accounting Office (GAO) standards (AR 11-2, appendix B-2 through B-13) in all day-to-day operations.

b. Enforce accountability for compliance with the GAO standards, daily and/or periodic formal use of checklists, inclusion of responsibilities in performance agreements, and other requirements of AR 11-2.

c. Satisfactory achievement of the minimum standards (critical tasks) for internal management controls as outlined in this checklist.

d. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.

e. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

#### **9-4. References.**

a. Federal Manager's Financial Integrity Act (Public Law 97-255 PL 97-255).

b. OBM Circular A-123, DOD Directive (DOD) 5010.38.

c. AR 11-2, Management Control.

#### **9-5. Definitions.**

a. Management Controls: The rules, procedures, techniques, and devices employed by commanders and managers to ensure that what should occur in their daily operations does occur on a continuing basis.

b. Key Management Controls: Those absolutely essential management controls which must be implemented and sustained in daily operations to ensure organizational effectiveness and compliance with legal requirements (that is, a key management control is one whose failure would "break" or seriously impair a system or process). Key management controls are identified by HQDA functional proponents in their governing ARs and establish the baseline requirement for management control evaluations.

c. Management Control Administrator (MCA): The individual designated by the Commanding General to administer the management control process for JRTC and Fort Polk.

d. Assessable Unit: The JRTC and Fort Polk is segmented into assessable units (i.e. Directorates and Major Commands), identified annually by the MCA, which in turn are responsible for conducting management control evaluations in accordance with the Management Control Plan.

e. Assessable Unit Manager: The military or civilian head of an assessable unit, identified annually by the MCA. Assessable unit managers must be at least a Colonel or GS-15, with the exception of Army garrisons, where an assessable unit may be headed by the senior functional manager (e.g., the DOL, DRM or DPCA). The Assessable Unit Manager certifies the results of required management control evaluations.

**Brigade Commander/Assessable Unit Manager Checklist for Management Control Process**

UNIT _____	DATE _____			
RECOMMENDED RATING GO/NO GO _____		YES	NO	N/A
1. Does the unit have on file a copy of the document designating the Brigade Commander as an Assessable Unit Manager by the CG?		___	___	___
2. Are explicit statements of responsibility for management control responsibilities included in Part IV, b. of the Brigade Commander's OER Support Form (DA Form 67-9-1)?		___	___	___
3. Does the unit maintain a copy of the current post Management Control Plan (MCP) and is it supplemented by a unit plan which delegates responsibility for each area of the MCP which is applicable to the unit?		___	___	___
4. Has the Brigade Commander and other brigade personnel (POC's, managers, subordinate commanders, etc.) with delegated management control process responsibilities received initial and annual management control process training?		___	___	___
5. Have management control evaluations been conducted in accordance with the MCP and the requirements of AR 11-2?		___	___	___
6. Are the Brigade Commander's certification of required management control evaluations and retained and available for audit/inspection?		___	___	___
7. Has the required documentation on each completed management control evaluation been retained, subject to audit/inspection?		___	___	___
8. Has the Brigade Commander reported through the chain of command any material weaknesses in management controls? Has he/she established and implemented plans to correct those material weaknesses and track progress in executing those plans until the material weakness is corrected?		___	___	___

**Figure 9-1. Checklist for Management Control Process Inspection**

**Section II. Unit Financial Administration Program**

**9-6. Purpose.** This section contains the evaluation criteria and checklist for assessment of the installation’s unit level Financial Administration Program Procedures.

a. The following is provided for information and used as a guide in preparing for the installation’s assessment of the organization’s individual proficiency through financial administration..

b. Point of contact for this task is the Defense Military Pay Officer, Building 2524, telephone numbers 7201/4526.

**9-7. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool to help units maintain an adequate level of financial administration and enable them to conduct internal inspections as a part of the Command Inspection Program.

**9-8. Standards.** satisfactory effective controls for Financial Administration Program will be based upon the standards as follows.

a. Prescribe financial administration standards required to ensure prompt, accurate, and timely pay administration supporting units and soldiers assigned or attached to JRTC and Fort Polk.

b. Satisfactory achievement of the minimum standards (critical tasks) for financial administration as outlined in the checklist.

c. Maintenance of (current) guidelines, i.e. , DOD regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or supplements.

d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**9-9. References.**

a. AR 11-37, Army Finance and Accounting Quality Assurance Program.

b. AR 37-101-2, Field Organization Operating Instructor using the JUMPS-Army Automation coding Systems (JUMPS-ARMY).

c. AR 37-104-3, Military Pay and Allowances Procedures, Joint Uniform Military Pay System-Army (JUMPS-ARMY).

d. AR 735-5, Policies and Procedures for Property Accountability.

e. DA Pam 600-8, Management and Administrative Procedures.

**Checklist for Finance Assistance Team/Preview**

	YES	NO	N/A
1. Does the unit meet or exceed the DA goal for Sure-Pay participation?	___	___	___
2. Does the unit have a program to encourage Sure-Pay participation?	___	___	___
3. Is the Unit Commander’s Finance Report used to assist in Sure-Pay participation?	___	___	___
4. Are transmittal letters processed/sent daily to the Defense Accounting Office (DMPO) ?	___	___	___
5. Does the first transmittal letters of each month contain the last transmittal letter number for the previous month?	___	___	___
6. Are documents screened for completeness and accuracy, i.e., SSN, start/stop effective date, signature?	___	___	___
7. Are pay inquiries screened prior to submission to Finance, i.e., name, SSN, unit, to include proper justification and signature of approval authority? (AR 37-101-2, Sec II, para 9-3)	___	___	___

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**Checklist for Finance Assistance Team/Preview**

	YES	NO	N/A
8. Are PAC NCOs answering inquiries which can be solved at unit level, i.e., how many allotments does one have, what rank is one being paid, how much is one's EOM pay?	___	___	___
9. Can PAC NCOs adequately explain Leave and Earnings Statements?	___	___	___
10. Does the unit comply with advance pay requests on the DD Form 2560 (Advance Pay Certification/Authorization), (Chap 9, Sec I, AR 37-104-4) for E4 and below? In these pay grades, all requests must be approved by the unit commander. All requests, regardless of rank, must have a copy of PCS orders attached.	___	___	___
11. Does unit forward DA Form 4697 (Department of The Army Report of Survey), and DD Form 362 (Statement of Charges for Government Property Lost, Damaged or Destroyed), for processing?	___	___	___
12. Does unit supply section take follow-up action, i.e., ensuring stamped and signed copies of all DD Forms 362 are returned from DMPO?	___	___	___
13. Are DD Forms 362 submitted early enough to allow proper collection?	___	___	___
<b>Personnel Administrative Center (PAC)</b>			
14. Are DA Forms 31 (Request and Authority for Leave) forwarded to the Finance Office within 3 days of the soldier's return date?	___	___	___
15. Are Article 15s forwarded to the DMPO immediately upon initiation of punishment?	___	___	___
16. Are all guidelines being followed when authorizing Basic Allowance for Subsistence (BAS) (Separate Rations) ?	___	___	___
17. Are commanders initiating written action to affect BAS recoupment, BAS suspension, and BAS reinstatement and payroll deductions?	___	___	___
18. For enlisted soldiers with field duty of 14 days or less:			
a. Is the unit preparing and submitting DA Form 4187 (Personnel Action) to effect the BAS recoupment within 3 working days of completion of field duty?	___	___	___
b. Does the DA Form 4187 indicate time and date of departure to, and return from field duty?	___	___	___
19. For enlisted soldiers with field duty in excess of 14 days:			
a. Is the unit preparing and submitting DA Form 4187 to suspend BAS within 3 working days prior to effective date of suspension?	___	___	___
b. Is a copy of DA Form 4187 placed in suspense file to ensure BAS is reinstated when soldier returns from field duty?	___	___	___
c. Is a DA Form 4187 prepared and submitted to reinstate BAS within 33 working days of completion of field duty?	___	___	___

**Figure 9-2. Checklist for Financial Administration Inspection.**

	YES	NO	N/A
20. Is the unit preparing and submitting DA Form 4187 for officers to effect payroll deduction within 3 working days of completion of field duty, regardless of duration of field duty? NOTE: DA Form 4187 must indicate the time and date of breakfast, lunch and dinner meals available during field duty.	___	___	___
21. Is the officer payroll deduction for all meals available during field duty period whether consumed or not?	___	___	___
22. Is the officer payroll deduction for field rations being screened for the current food cost rates as prescribed by HQDA?	___	___	___
23. Is the unit using a DD Form 1475 (Basic Allowance for Subsistence-Certification), for missed officer meals?	___	___	___
24. Is the Unit Commanders Finance Report (UCFR) being computed against the units current C27 roster for accountability?	___	___	___
25. Is the UCFR being used to ensure that the soldiers assigned are:			
a. Receiving all authorized entitlements?	___	___	___
b. Not receiving unauthorized entitlements?	___	___	___
c. On Sure-Pay?	___	___	___
d. In the correct status, i.e., AWOL, Confinement, etc. ?	___	___	___
26. Are LESs for soldiers not in the unit being annotated and returned to Finance with the correct unit, if known?	___	___	___
27. Is a list compiled for those soldiers assigned to the unit but did not receive an LES and do not appear on the UCFR?	___	___	___
28. Is the JSS Transmittal Listing (JTL) or the Daily Report of Transactions (DROT) being compared with the UTL submitted to ensure that all documents submitted are processed?	___	___	___

**Figure 9-2 (Continued). Checklist for Financial Administration Inspection**

**Chapter 10  
Communications and Automation**

**Section I. Communications and Automation Systems Management**

**10-1. Purpose.** This section contains the evaluation criteria and checklists for assessment of the installation's unit level Communications and Automation Systems Management Programs.

- a. The following information is provided for used as a guide in preparing units for the installation's assessment of the organization's individual proficiency in the area of information systems management.
- b. Point of contact for this task is the Director of Information Management, Telephone/Contract Support, 531-1608.

**10-2. Responsibility.** Unit commanders and activity directors/custodians are urged to use these standards as a management tool, to ensure that units/activities comply with information systems management procedures at all times, and enable them to conduct internal inspections as a part of the Command Inspection Program.

**10-3. Standards.** Satisfactory effective controls for Communications and Automation Systems Management will be based upon the standards as follows.

- a. Establishment of written procedures defining Communications and Automation Systems Management.
- b. Satisfactory achievement of the minimum standards (critical tasks) for Communications and Automation Systems Management as outlined in the appropriate checklists.
- c. Maintenance of (current) guidelines, i.e., DOD Regs, ARs, FMs, TBs, and applicable JRTC & FP Regulations or Supplements.
- d. Major Deficiencies are identified by an asterisk (\*). Areas identified with a double asterisk (\*\*) that are judged as not meeting the standards will result in an automatic DOES NOT MEET STANDARDS for that checklist.

**10-4. References.**

- a. AR 25-1, The Army Information Resources Management Program.
- b. AR 380-19, Information Systems Security.
- c. AR 380-40, Policy for Safeguarding and Controlling COMSEC Material.
- d. FORSCOM Supplement 1 to AR 380-19, Information System Security.
- e. JRTC & FP SOP for Safeguarding COMSEC Material and Equipment.
- f. TB 380-41, Procedures for Safeguarding, Accounting, and Supply Control of COMSEC Material.
- g. TB 380-44-22, Security Standards for Controlled Cryptographic Items.

**Checklist for Communications and Automation Systems Management**

**Signal Management**

	YES	NO	N/A
1. Is a principal and alternate Telephone Control Officer (TCO) appointed, in writing, or special orders, and a copy of the appointment is forwarded to Directorate of Information Management (DOIM)? (JRTC & FP Reg 25-1, Para 3-7b(2)(b)) (Applicable to all)	___	___	___
2. Does the FOD maintain control numbers for the after duty hours OCONUS commercial/DSN official telephone calls? (JRTC & FP Reg 25-1, Para 3-7a(7)) (Applicable to all)	___	___	___
3. Are proper procedures in place for control/security of Personal Identification Numbers (PINs)? (AR 25-1, Para 6-2a and 6-3d(1)) (Applicable to all)	___	___	___

**Figure 10-1. Checklist for Communications and Automation Systems Management Inspection.**

	YES	NO	N/A
4. Is the TCO aware of the consequences of placing unofficial telephone calls charged to the government? (Article 134, UCMJ) (AR 25-1, Para 6-2f and g) (Applicable to all)	___	___	___
5. Does the unit/activity control and discourage moving telephones, adding extensions or tampering with telephones installed by DOIM? (JRTC & FP Reg 25-1, Para 3-7a(2)) (Applicable to all)	___	___	___

**Telephone Control Officers**

*(FTS & Cellular Telephones - YES answer indicates possible telephone abuse)*

1. Are users repeatedly calling the same area codes? (DA Pam 25-1-1, Para 3-7j(2)(d)) (Applicable to all)	___	___	___
2. Are users calling home, private residences, or to downtown businesses? (JRTC & FP Reg 25-1, Para 3-8b(4)) (Applicable to all)	___	___	___
3. Are health, welfare and morale calls being made from cellular telephones? (JRTC & FP Reg 25-1, Para 3-8b(4)) (Applicable to all)	___	___	___
4. Are the telephones being used excessively after duty hours? (JRTC & FP Reg 25-1, Para 3-8b(2)) (Applicable to Stf Ofc/Dir, Bde, Bn and Sep Co)	___	___	___

**Cellular Telephones**

5. Are users using cellular telephone to make unofficial calls with the intent of reimbursing the government? (AR 25-1, Para 6-2g) (Applicable to all)	___	___	___
6. Are 1-800 or 1-900 numbers being called from cellular telephones? (JRTC & FP Reg 25-1, Para 3-8b(2)) (Applicable to all)	___	___	___
7. Are calls being made from a cellular telephone that could be delayed until a conventional telephone is accessible? (JRTC & FP Reg 25-1, Para 3-8b(2)) (Applicable to all)	___	___	___
8. Are cellular telephones being used by TDY personnel when motel or government telephones are available? (Fort Polk may be called using 1-800-227-1071 or 1-800-227-3324.) (JRTC & FP Reg 25-1, Para 3-8b(6)) (Applicable to all)	___	___	___

**DMS Certificate Management**

9. Has the unit or activity appointed (in writing) a No-Pin Organizational Registration Authority, (NORA) to perform Defense Message System (DMS) Registration and Certificate Management. Para 4-18, DMS Certification Hierarchy and Certification Authorities, DRAFT 25-XX. (Applicable to all)	___	___	___
10. Are measures in place to prevent individuals from departing the unit without turning in their FORTEZZA Card? (Applicable to all)	___	___	___

**Figure 10-1. Checklist for Communications and Automation Systems Management Inspection.**

	YES	NO	N/A
<b>Automation/Networking</b>			
11. Are hard copy non-e-mail messages (TCC : DMS) being picked up on a regular basis? (JRTC & FP Reg 25-1, Para 4-5) (Applicable to all)	___	___	___
12. Are memorandums being supplied to DOIM showing the unit's designated courier by name, social security number, rank, and clearance? (DA Pam 25-TCC, Para 3.3.2.3.2) (Applicable to all)	___	___	___
13. Are all windows NT Servers configured under the "Polk-DOIM" domain? Exceptions will be considered on a case-by-case basis. (ITA, Para 3.2.1.1) (Applicable to all)	___	___	___
14. Is the unit/activity preparing a DA Form 2407 and forwarding it through DOIM Information Center prior to turn-in of automation equipment? (JRTC & FP Reg 25-1, Para 4-1c) (Applicable to all)	___	___	___
15. Is the unit/activity ensuring that personally owned computers used to perform government work have the proper documentation? (JRTC & FP Reg 25-1, Para 4-2) (Applicable to all)	___	___	___

**Figure 10-1 (Continued). Checklist for Communications and Automation Systems Management Inspection.**



**Appendix A  
Recommended Inspection Areas**

**NOTE:** Recommended areas for inclusion in inspections have an (X) in the appropriate column.

	<b>BDE</b>	<b>BN</b>	<b>CO/DET</b>	<b>ACTIVITY</b>
<b>Command Information</b>	X			
<b>General Bn S1 Management Program</b>				
Operations	X	X		
TACCS/SIDPERS	X	X		
Army Sponsorship Programs		X		
<b>Command Publications Inspection</b>				
<b>Safety</b>				
<b>Records Management Program</b>				
<b>Equal Opportunity Program</b>	X	X	X	X
<b>Equal Employment Opportunity Pgm</b>	X	X	X	X
<b>Family Support Plan</b>				
<b>Alcohol &amp; Drug Abuse Prevention &amp; Control</b>				
<b>Unit Fund</b>				
<b>Hearing Conservation</b>				
<b>Industrial Hygiene</b>				
<b>Weight Control Program</b>		X	X	
<b>Field Sanitation Teams</b>				
<b>Unit Mailroom</b>	X	X		
<b>Intelligence Oversight</b>	X	X	X	
<b>Operations Security</b>	X	X	X	
<b>SAEDA</b>	X	X	X	
<b>Information Systems Security Program</b>	X	X	X	X

**Table A-1. Recommended Inspection Areas**

	BDE	BN	CO/DET	ACTIVITY
<b>Personnel Security</b>	X	X	X	
<b>Security of Controlled Cryptographic Items</b>	X	X		
<b>COMSEC Security</b>	X	X		
<b>Information Security</b>	X	X		X
<b>Crime Prevention</b>	X	X	X	
Supply Room	X	X	X	
<b>Physical Security</b>	X	X	X	X
Arms Room			X	
<b>NBC Defense Team Evaluation Criteria</b>	X	X	X	
<b>Ammunition Management</b>	X	X	X	
<b>NCO Education System</b>		X	X	X
<b>Physical Fitness Training</b>	X	X	X	
<b>Training Management</b>	X	X	X	
<b>Weapons Training</b>			X	
<b>Force Protection</b>	X	X		
<b>Consideration of Others</b>	X	X	X	X
<b>Energy Awareness</b>				
<b>Environmental Compliance</b>				
Environmental Compliance of Installation Maintenance Facilities	X	X	X	X
<b>Fire Prevention</b>				
<b>Unit Supply Management Program</b>				
<b>Field Kitchen Equipment</b>				
<b>Field Kitchen Operations</b>				

Table A-1 (Continued) Recommended Inspection Areas

	BDE	BN	CO/DET	ACTIVITY
<b>Unit-level Maintenance Management</b>				
Driver/Operator Records	X	X	X	
Vehicle PMCS	X	X	X	X
<b>Command Supply Discipline Program</b>			X	
<b>Management Control Process</b>	X			
<b>Unit Financial Administration Program</b>				
<b>Communications &amp; Automation Systems Management</b>				

**Table A-1 (Continued) Recommended Inspection Areas**



**Appendix B**  
**Sample Memorandum of an Inspection Executive Summary**

Office Symbol

Date

MEMORANDUM FOR Commander, ATTN: AFZX-IG, HQs, JRTC and Fort Polk, Fort Polk,  
LA 71459

SUBJECT: Executive Summary of Inspections 1st Qtr, FY 03

1. Reference. JRTC and Fort Polk Regulation 20-2, Organizational Inspection Program, 1 October 2002.

2. Purpose. Provide the Commander, JRTC & Fort Polk, a summary of inspections conducted in Warrior Brigade during 1st Qtr, FY 03.

3. Inspection Results. Warrior Brigade conducted one command inspection during first quarter. The unit received (adjectival rating) overall. Synopsis of functional areas:

- a. Personnel and Administration. (Comments).
- b. Security and Intelligence. (Comments).
- c. Operations and Training. (Comments).
- d. Supply and Logistics. (Comments).
- e. Maintenance. (Comments).
- f. Communications and Electronics. (Comments).

4. Staff Inspections. Commander, Warrior Brigade directed five staff inspections during first quarter. Synopsis of functional areas:

- a. Unit Supply Discipline. (Comments).
- b. Arms Room Security and Accountability Procedures. (Comments).
- c. Battalion Training Management. (Comments).

5. The undersigned is the point of contact for this action, 531-5555.

FOR THE COMMANDER:

JOSEPH E. MANASSAS  
LTC, IN  
Executive Officer, Warrior Brigade

**NOTE:** *This summary is not a detailed listing of each inspection conducted over the past quarter, nor should it identify subordinate units. It is a summary, in conjunction with input from all other units and activities, to be used to identify systems as candidates for the installation annual special inspection plan. Checklists or copies do not accompany this report.*

**Figure B-1. Sample Memorandum of an Inspection Executive Summary**



## **Appendix C**

### **An Approach to Planning and Executing an Inspection**

**C-1. Purpose.** To assist units in planning and executing command and staff inspections.

**C-2. General.** One of the principles of conducting an inspection is to measure an organization or unit against a recognized standard to identify compliance. To achieve a critical evaluation requires detailed planning and successful inspector training. The three phases of an inspection are preparation, execution, and completion.

#### **C-3. Phase I - Preparation.**

##### **a. Inspection Concept.**

- (1) Purpose - determine what you want the inspection to measure.
- (2) Objectives - target specific areas of interest.
- (3) Establish time lines.
- (4) Determine when the inspection will start and end.
- (5) Determine when notification will occur.
- (6) Notification - during QTB, short notice, unannounced, etc.
- (7) Obtain commander approval.
- (8) Prepare the in-brief for the inspected unit.
- (9) Decide which inspectors have which duties (who will check files, oil levels, cross-check requisitions, etc.).
- (10) Determine which external assets (personnel, reports, and/or equipment) you will need for the inspection.

##### **b. Inspector Training.**

- (1) Determine which standards and references (ARs, Pams, policy letters, etc.) you need.
- (2) Determine the essential elements for information (drop-from-roll procedures, promotion procedures, unit movement program, supply hand-receipts, etc.).
- (3) Make it clear inspectors are to prepare their own plan of action (what actions should I observe? Who can give me information I need? Which questions should I ask? Which follow-on questions should I ask? Which documents are relevant?).
- (4) Coordinate individual inspector actions. Avoid repeat visits to the same key people by different inspectors. Ensure all inspectors focus on high payoff areas. Consider your inspectors "subject matter experts." They are to teach and train the force during the inspection process. The ultimate objective is to leave the unit in a better state of readiness than when you arrived.

#### **C-4. Phase II - Execution.**

**a. In-Brief.** Give the unit commander your refined inspection concept/information briefing. The commander should, in return, brief his mission and his unit's strengths and weaknesses.

**b. Meet Guides and POCs.** After the in-brief, link-up with primary guides and POCs.

**c. Gather Information.** There are three primary methods of gathering information. Cross-check all observations and findings to ascertain the truth. The three methods of gathering information are:

- (1) Observation - includes everything from monitoring ongoing activities (e.g., airfield operations) to physically putting hands on equipment (e.g., pulling vehicles over the grease pit).
- (2) Interview - gives the inspector insight into the "why" or the "root cause." Inspectors should follow-up on what they observe and/or hear.

(3) Document Review - provides insight into what the unit has done. Review SOPs, policy letters, training notes, and unit schedules to determine the commander's standards.

d. Conduct In-Process Reviews. At various times during the inspection, get the inspectors together and review their findings. Have inspectors share information with each other. Sort, analyze, and evaluate emerging findings. Refocus, redirect, and reorganize the team, as appropriate.

**C-5. Phase III - Completion.**

a. Out-Brief. Prepare and present the final out-brief to the commander. Be honest. Tell the commander both the good and the bad news. Let him know the standard.

b. Write the Report. Either before or shortly after the final out-brief to the commander, prepare your written report. The length, formality, and format of the report depends on the directing authority's guidance. Put the results down in a clear, concise, and coherent manner, so others may refer to them and use them accordingly.

c. Schedule Follow-up Inspection. Schedule follow-up inspections, as required.