

**BY ORDER OF THE COMMANDER
AIR FORCE RESEARCH LABORATORY
(AFRL)**

**AIR FORCE RESEARCH LABORATORY
INSTRUCTION 90-201**

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Special Management

**COMMANDER'S SELF-ASSESSMENT
INSPECTION PROGRAM (CSAP)**



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This instruction implements publication Air Force Policy Directive (AFPD) 90-2, *Inspector General--The Inspection System*, and Air Force Instruction (AFI) 90-201, *The Air Force Inspection System*, and AFI 90-201_AFMCSUP, *The Air Force Inspection System*. This instruction defines guidance and procedures for establishing, conducting, documenting, and reporting unit-level self-assessments and applies to all levels within the Air Force Research Laboratory (AFRL). This instruction applies to all AFRL personnel. All personnel are responsible for reporting non-compliance. This publication remains applicable to AFRL organizations aligned under USSF. This publication may not be supplemented at any level. Refer recommended changes and questions about this publication to the Office of Primary Responsibility (OPR) using the AF Form 847, Recommendation for Change of Publication; route AF Forms 847 through appropriate chain of command. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Instruction (AFI) 33-322, *Records Management and Information Governance Program*, and disposed of in accordance with Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS).

The purpose of this instruction is to implement a standardized self-assessment and inspection process for the AFRL Enterprise. AFRL/IG's guidance and processes are defined to implement a continual evaluation support and to maintain Pertinent Oversight Authority (POA) support. With the POAs assistance, AFRL can ensure units are accurately executing its mission effectively and efficiently. The AFRL Management Internal Control Toolset (MICT) and Inspector General Evaluation Management System (IGEMS) processes are updated and detailed to provide POAs,

Unit Self-Assessment Program (USAP) Managers, and the AFRL Enterprise comprehensive guidelines. The detailed procedures include observations, assessments, self-assessment checklists (SACs), inspection management, and deficiency management, which are outlined IAW AFI 90-201, AFI 90-201_AFMCSUP, and AFRLGM2021-90-01. For the purposes of this instruction, the compliance terminology applies for shall, must, and will indicate mandatory requirements. “Will” is also used to express a declaration of purpose for a future event. A “Should” indicates a preferred method of accomplishment. An acceptable or suggested means of accomplishment is indicated by “May.” This implementation shall be performed by each Functional Directorate (FD)/Technology Directorate (TD), 711 Human Performance Wing (HPW), Detachments (DETs), and all Geographically Separated Units (GSUs).

Chapter 1

MANAGEMENT POLICIES

1.1. Commander's Intent.

1.1.1. AFRL must focus on effectively and efficiently executing our unique mission, ensuring smart compliance with policies and guidance, while eliminating fraud, waste, and abuse. The Commander's Self-Assessment Inspection Program provides information to assess risk, identify areas for improvement, and focus limited resources precisely where they are required most to achieve a consistent and high level of effectiveness focused on our mission, vision, and priorities. The Commander's Self-Assessment Inspection Program objectives are to:

- 1.1.1.1. Provide AFRL leadership with timely, relevant information to empower prudent risk-informed decision-making.
- 1.1.1.2. Enable and strengthen mission effectiveness and efficiency.
- 1.1.1.3. Emphasize safety in all aspects of the mission.
- 1.1.1.4. Incentivize innovation while promoting smart compliance with guidance.
- 1.1.1.5. Detect negative trends early and respond quickly to eliminate them enterprise-wide.
- 1.1.1.6. Reduce the need and incentive to prepare for inspections.

1.2. The AFRL Commander's Self-Assessment Inspection Program consists of three synergistic inspection tiers.

- 1.2.1. The Commander's Self-Assessment Inspection Program will be conducted by the AFRL IG.
- 1.2.2. A Functional Directorate (FD), Technology Directorate (TD), and 711 Human Performance Wing (HPW) USAP is directed by the unit's Commander/Director, Detachment (DET) Commander, and Geographically Separated Unit (GSU) Division/Branch Chiefs.
- 1.2.3. Continual Evaluations (CEs) conducted by AFRL HQ Pertinent Oversight Authorities (POAs).

Chapter 2

GENERAL RESPONSIBILITIES

2.1. AFRL Inspector General Requirements. The AFRL/IG will:

2.1.1. Inspect all items as required by AFI 90-201, AFMC Supplement to AFI 90-201, applicable AF Special Interest Items (SIIs), AFMC Command Interest Items (CIIs), and AFRL SIIs. The AFRL/IG will also inspect functions and processes identified by AFRL Commanders/Directors as presenting substantial risk to the AFRL mission. Risk levels are determined by inspections, observations, and data from the CIMB.

2.1.1.1. Inspections will be conducted for AFRL HQ FDs, Directorates, 711 HPW, DETs, and GSUs at least once every three years, while maximizing the use of remote IG inspections as necessary.

2.1.1.2. Onsite inspections will focus on medium and high-risk areas where the risk of not inspecting is unacceptable. The risk levels are determined by AFRL POAs and FD/TD Commanders/Directors.

2.1.2. Obtain the AFRL Commander's IG Inspection Priorities prior at the start of each calendar inspection year.

2.1.3. Utilize AFRL POAs, functional experts, and subject matter experts (SME) as advisors/inspectors to the inspection program, as applicable.

2.1.4. Maximize the use of TD SMEs as inspectors when required. Exposure to other unit's processes and methods reinforces "One AFRL" and the sharing of best practices across the Laboratory.

2.1.5. Develop a Risk-Based Sampling Strategy (RBSS) to focus inspections on identifying non-compliance, ineffective, and/or inefficient processes.

2.1.6. Manage the gatekeeper program to de-conflict external inspections and major AFRL activities.

2.1.7. Coordinate with AFMC, Center, and Wing IGs on inspections and exercises. Ensure to incorporate into the AFRL three-year inspection plan to prevent duplicative efforts.

2.1.8. Collaborate with AFRL/XPT in exercise planning, development, and execution in support of AFMC-level exercises. AFRL/XPT will provide Trusted Agent(s) and/or SMEs to support exercise planning.

2.1.9. Plan, develop, and execute spring and fall exercises for AFRL units not receiving exercise support from a Host-Tenant Agreement.

2.2. AFRL Commanders' and Directors' Self-Assessment Inspection Expectations.

2.2.1. The Air Force Inspection System (AFIS) places responsibility on Commanders and Directors to inspect our units and subordinates to maximize effectiveness, efficiency, economy, and discipline of our force. To accomplish the intent of the AFRL Commander's Self-Assessment Inspection Program. Each Commander and Director must:

2.2.1.1. Know and improve Key Work Processes (KWP) and identify those processes that are critical to your mission and the AFRL mission. Spend time and effort improving and streamlining those processes. Develop and monitor Key Performance Indicators (KPIs) that can foster data-driven decisions.

2.2.1.2. Utilize the USAP Manager (USAPM) appointment letter template to appoint a primary and alternate in writing. The template is located on the AFRL/IG SharePoint site (<https://usaf.dps.mil/teams/20547/CCIP/SitePages/CCIP%20Home.aspx>) at USAP Resources under "IG Processes and Information." Units may utilize a MICT and IGEMS Manager, in addition to a USAPM, as a focal point and administrator for MICT and IGEMS. An appointment memorandum is also required if MICT and IGEMS Managers are utilized.

2.2.1.2.1. Submit appointment letters any time a change in unit leadership and/or managers occur to AFRL/IG workflow (afrl.ds.afrligworkflow@us.af.mil).

2.2.1.3. Utilize Tiger Teams, Scientific Advisory Board (SAB), KPIs, etc. to identify potential areas of undetected non-compliance to improve mission readiness.

2.2.1.4. Review AFI 90-201 and AFI 1-2 to ensure assigned personnel, including DETs and GSUs, are receiving the necessary Continual Evaluations (CEs), By-Law program manager support/inspections, exercises, and actively participate in applicable events.

2.2.1.5. Ensure AFRL/IG receives a copy of all By-Law inspection reports for units with By-Law Host Tenant Support Agreements.

2.2.1.6. Obtain AFRL/IG concurrence for any support agreement involving By-Law program manager support, By-Law inspections, inspections and exercises.

2.2.1.7. Send AFRL/IG a copy of CE inspection reports which were conducted by another Center or Wing.

2.2.1.8. GSUs co-located with a DET, must follow its Directorate (parent) Commander's self-assessment guidance.

2.2.1.9. Accurately report and embrace the value of self-identified non-compliance. Pursue mitigating measures and waivers, as required.

2.2.1.10. Utilize MICT and other applicable self-assessment tools to facilitate the self-assessment program and to communicate non-compliance up the chain of command. The USAP Manager and unit's functional SME will determine which MICT Self-Assessment SAC should be assessed and at the appropriate level. Non-compliance will be tracked to closure by the unit that did not meet the prescribed governing directives.

2.2.1.11. Communicate to AFRL POAs and AFRL/IG any high-risk items, programs, and/or areas of concern identified by the USAP manager with developing a RBSS to narrow the focus of IG inspections. Identify any AFI or regulatory-driven inspection requirements and provide written information to AFRL POAs and AFRL/IG for inclusion into the Center's three-year inspection plan.

2.2.1.12. Provide input for scenario development on all applicable elements of AFI 90-201, Table A2.1, *Wing Commander's Inspection and Exercise Requirements*. For tenant units, provide this input to the host-installation IG for incorporation into your installation's exercise plans.

2.2.1.13. In coordination with the AFRL/IG, appoint a functional SME as a CIT member and provide time for them to assist with IG inspections. The appointment memo template can be found at the AFRL/IG SharePoint site (<https://usaf.dps.mil/teams/20547/CCIP/SitePages/CCIP%20Home.aspx>) at the POA Resources tab under "POA Resources."

2.2.1.14. Assist AFRL/IG with inspections aimed to validate and verify your USAP.

2.3. AFRL Pertinent Oversight Authority (POA).

2.3.1. POAs are the Functional SME at AFRL who provides guidance to applicable AFRL functional area POCs and personnel. The POA role is independent of day-to-day functional duties, the success of the AFRL Commander's Self-Assessment Inspection Program is reliant on AFRL's POAs.

2.3.1.1. POAs will follow the AFRL/IG's POA Business Rules to assist in continual evaluations, functional metric trends, and inspection management.

2.3.2. Each POA will oversee an AFRL functional area and ensure no excluded privileged information is reported outside of approved channels. Some organizations, such as safety, report non-compliance of a privileged/sensitive nature through different channels. In these instances, non-compliance will be reported up these alternate paths in lieu of using IGEMS.

2.3.3. After notification of an inspection a POA must ensure inspectors are identified and validate with the appropriate functional expertise to serve as IG inspectors are postured to provide inspection support to the AFRL/IG.

2.3.3.1. This support includes, but is not limited to, vetting IG inspectors, conducting data mining using pertinent IG and functional data sources, developing inspection plans, schedules and threads for IG inspectors.

2.3.3.2. Develop an inspection plan, schedule, and pull inspection threads to organize and prepare for a scheduled inspection. Ensure the AFRL/IG Team Chief and inspected unit's USAP manager receives the complete inspection schedule.

2.3.4. During a Virtual and/or On-sight Inspection, the following must occur:

2.3.4.1. Inspection schedules must be created then forwarded to the AFRL/IG office and the inspected unit's USAP manager no later than two weeks prior to the date of inspection to ensure the inspected unit can meet interview requests.

2.3.4.2. Manage all deficiencies in IGEMS as outlined in the AFRL Business Rules. Repeat deficiencies are outlined in the AFRL IG IGEMS and MICT Business Rules. The Business Rules are located at the AFRL/IG SharePoint site (<https://usaf.dps.mil/teams/20547/CCIP/SitePages/CCIP%20Home.aspx>) at the Inspection Management tab under "IG Guidance."

2.3.5. To prevent any inspection scheduling conflicts, a POA must inform the AFRL Gatekeeper POC for functional visits and inspections of AFRL's subordinate units.

2.3.6. Key work processes and activities must be identified from each POA prior to the start of an inspection year; it's vital to mission success and the AFRL/CC priorities.

2.3.7. POAs will report all FD and HHQ visits to AFRL units to the AFRL/IG workflow. This includes any visit to assess, audit, certify, accredit, or evaluate a unit.

2.3.8. In areas of responsibility, POAs are to conduct CEs to build awareness of a units' performance while utilizing the RBSS to validate/verify a CE by conducting data and trend analysis and to create functional metrics. The POA determines an area of emphasis, including mandatory items IAW AFI 90-201, Attachment 3. POAs will brief Continual Evaluation results during the quarterly Commander's Inspection Management Board (CIMB).

2.3.8.1. A CE is the routine monitoring of performance indicators within the inspected unit. An AFRL POA is responsible for the oversight of a CE and the metrics. CE assessments should be conducted once every six months and inputs include one entry per FD/TD/Wing/DET/GSU. During a CE identify the unit's efficiencies/strengths, validate deficiencies/weaknesses, conduct trend analysis, and document the results.

2.4. AFRL IG Inspectors.

2.4.1. IG Inspectors are subject matter experts (SMEs) from AFRL FDs and TDs, who serve as Center Inspection Team (CIT) members on an IG inspection.

2.4.1.1. New CIT members are required to receive inspection training prior to serving on the IG inspections team. CIT members who has not participated on an inspection within a year must receive refresher training.

2.4.2. During an IG inspection, IG inspectors are under the supervision of the IG team chief and will execute an IG inspection plan developed by the AFRL IG and inspectors based on inputs from applicable AFRL POAs and functional leadership.

2.4.3. Each inspector will conduct AFRL/IG onsite/remote inspections and follow the instructions of the onsite/remote Team Chief. Onsite inspectors will report to the IG work center when not conducting active inspections. The Team Chief will release the inspection team from the onsite IG work center when daily inspection requirements are met/completed.

2.4.4. All identified Best Practices, Strengths, Recommended Improvement Area (RIA), and Deficiencies must be validated by the applicable POA. Submit all validated Strengths, RIAs, Deficiencies and outstanding performers to your Team Chief.

2.5. AFRL USAP Managers.

2.5.1. AFRL HQ, TD, 711 HPW, DET, and GSU USAP Managers will:

2.5.1.1. Manage waivers.

2.5.1.2. Manage Gatekeeper program.

2.5.1.3. Manage Internal self-inspections.

2.5.1.4. Manage Internal and external Staff Assistance Visit (SAV) requests/findings.

2.5.1.5. Manage MICT self-assessments.

2.5.1.6. Manage IGEMS deficiencies.

2.5.1.6.1. Help unit Functional POCs to identify the root cause of non-compliance and implement effective Corrective Action Plans (CAP).

2.5.1.7. Work with AFRL's POAs on Significant and Critical deficiencies in IGEMS.

2.5.1.8. Collaborate with the Continuous Process Improvement (CPI) Focal Point IAW AFI 38-401 and AFI 1-2 on corrective action plans

2.5.1.9. Provide Critical and Significant deficiency Lessons Learned to AFRL/IG and all AFRL USAP managers.

2.5.1.9.1. Review FD/TD lessons learned for any pertinent information; then facilitate the transfer of information to the appropriate POC within the organization.

2.5.1.10. Follow the AFRL/IG's MICT and IGEMS Business Rules to assist in managing the unit's self-assessment program, observations, and deficiencies.

Chapter 3

AFRL INSPECTION PROGRAM

3.1. AFRL Commander's Self-Assessment Inspection Program.

3.1.1. The Office of Inspector General for AFRL validates and verifies a unit's efficiency, effectiveness, and readiness through continual evaluation.

3.1.2. The AFRL/IG will appoint the AFRL Self-Assessment Program (SAP) manager. The AFRL SAP manager is the Center's liaison with AFMC/IG, the FD/TD/Wing MICT Lead Managers. The FD/TD/Wing/DET Directors/Commanders executes the self-assessment program with the assistance and support of the FD/TD/Wing/DET USAP manager.

3.1.3. All available resources will be applied to facilitate the USAP to identify potential areas of undetected non-compliance and improve mission readiness. Available resources include but are not limited to the following: external audit/assessment/evaluation/ inspection results, CC evaluations, Airmen and leadership feedback, MICT, Quality Assurance (QA) programs, Tiger Teams, the Scientific Advisory Board (SAB), KPIs, etc.

3.1.4. Utilizing MICT can assist with facilitating a unit's self-assessment program and communicate non-compliance up the chain of command. Non-compliance will be tracked to closure by the unit that did not meet the prescribed governing directives.

3.1.5. The AFRL/IG will implement a risk-based sampling strategy to focus inspections on functional areas where mission-impacting risk exists.

3.1.6. All AFRL units will validate and verify the effectiveness, accuracy, and relevancy of its self-assessment program within subordinate organizations and functional areas.

3.2. Unit Self-Assessment Program.

3.2.1. An effective self-assessment program accurately reports the unit's compliance status, constraints, and the reason why the unit cannot comply. The self-assessment program is a powerful tool and is the corner stone of the AFRL Self-Assessment Program. This program depends on truthful, timely, and accurate inputs from everyone who uses it. AFRL FD/TD/Wing Commanders are responsible for creating and executing a comprehensive unit self-assessment. While assessing SACs in MICT are a good start, the AFRL FD/TD/Wing Commanders at every level should go beyond MICT to develop and implement a wide variety of internal assessments. This will allow AFRL Airmen to identify and correct problems at the lowest level possible.

3.2.2. Each FD/TD/711 HPW/GSU Commander/Director must determine compliance with applicable guidance or submit a waiver to prevent non-compliance. Non-compliance must be reported to the unit's Commander/Director by the USAP Manager. Self-assessments detecting non-compliance by creating MICT observations can provide near real-time accountability when accomplished effectively.

3.2.2.1. For detailed waiver information, see the MICT and IGEMS Business Rules.

3.3. Annual Inspections.

3.3.1. All inspections will synchronize with the three-year AFRL inspection schedule to maximize the effectiveness and efficiency of IG inspections, while optimizing the use of continual evaluations. AFRL IG inspections are on a three-year cycle. Each FD/TD/Wing/DET will be inspected once every three years. Functional inspections will synchronize to the annual IG inspection schedule to the maximum extent possible to maximize the effectiveness and efficiency of IG inspections, while optimizing the use of continual evaluations. The AFRL/IG will report on the compliance, effectiveness, and efficiency of each unit's self-assessment program.

3.3.2. AFRL/IG will update the AFRL Commander's IG Inspection Priorities annually. In addition, all areas of concern identified in the AFRL Commander's annual IG inspection priorities memo will receive increased attention.

3.3.2.1. The AFRL Commander's IG Inspection Priorities are located at the AFRL/IG SharePoint site (<https://usaf.dps.mil/teams/20547/CCIP/SitePages/CCIP%20Home.aspx>) at the Inspection Management tab under "IG Guidance."

3.4. AFRL Commander's Inspection Management Board (CIMB).

3.4.1. The intent of the CIMB is to: review aged IG findings; AFRL Commander's Self-Assessment Inspection Program data results; and Directorate/Wing level KWPs that require attention or resources. The CIMB forum is a two-way communication between the AFRL Commander or Vice Commander and the TD/Wing Commanders/Directors to discuss and brief the status of USAP, open deficiencies, open observations, corrective action plans (CAPs) and any unit-specific issues.

3.4.1.1. The AFRL Commander will chair the CIMB for one quarter of each year, with the FD/TD Directors/Wing Commander in attendance.

3.4.1.2. The CIMB may be delegated to the AFRL/CV for three quarters in the calendar year with the FD/TD/Wing's Deputies in attendance.

3.4.2. The AFRL/IG will brief inspection results, trend data, ways to reduce risk of undetected non-compliance, manage risks from known areas of non-compliance, and the Commander's Self-Assessment Program metrics. The CIMB will ensure all players in the Commander's Self-Assessment Program are working well together for the benefit of AFRL and its mission. Continual Evaluation results will be included in the CIMB based on a schedule by the POA's functional area. During this time, POAs will also identify positive/negative trends. The CIMB will work with the AFRL IG and USAP Managers to enhance AFRL compliance, effectiveness and efficiency.

3.5. Waivers. A waiver is a method for the AFRL Commander and FD/TD/711 HPW/DET/GSU Commander/Directors to communicate risk due to lack of resources.

3.5.1. Waivers should not expend the resources required to become compliant.

3.5.2. Waivers expire 30 days after change of the AFRL Commander and once the new Commander is in-place, existing waivers can be renewed. The AFRL Commander is the only waiver authority in AFRL. FD/TD/Wing/DET/GSU Commanders and Directors cannot approve unit waivers.

3.5.3. If a waiver is required for a known non-compliance, a waiver must submit an AF Form 679 to AFRL/DSO Publication and Forms manager.

3.5.4. All AFRL approved waivers can be found at the AFRL Information Management SharePoint site.

3.5.4.1. Within 30 days of the waiver approval, the requested office must send it to the OPR of the guidance being waived.

Chapter 4

SITE EXERCISES

4.1. Exercises.

4.1.1. AFRL will actively participate in exercises to ensure that we can maintain smooth operations during real-world events. AFRL will participate as directed in AFMC-directed exercises. AFRL units will actively participate with their host installations in quarterly exercises. For AFRL units not located on a host installation, the AFRL Inspector General will plan and execute exercises of appropriate scope, scale, timing, and methodology.

4.1.2. Exercise goals are to ensure AFRL personnel are prepared to effectively execute the mission during real-world contingencies as well as provide leadership with relevant information about shortfalls in processes, resources, or training.

4.1.3. AFRL/IG will collaborate with AFRL/XPT in exercise development and planning to produce center mission-stressing injects for AFMC level exercises. These injects are to meet exercise training objectives and support AFRL's responsibilities of the AFMC Exercise Assessment Plan.

4.1.3.1. Trusted Agents are provided comprehensive exercise details to assist in the development and execution of the exercise at all phases. SMEs can serve as the same capacity as a TA, but only provide inputs as a functional to develop the exercise.

4.1.3.2. AFRL/IG will maintain a current list of exercise CIT members and utilize them as observers, as required. All exercise CIT must be fully trained.

HEATHER L. PRINGLE
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Attachment 1**GLOSSARY OF REFERENCES, FORMS, AND SUPPORTING INFORMATION*****References***

AFPD 90-2, *Inspector General-The Inspection System*, 13 July 2018

AFI 1-2, *Commander's Responsibilities*, 08 May 2014

AFI 90-201, *The Air Force Inspection System*, 20 November 2018

AFI 90-201_AFMC Supplement, *The Air Force Inspection System*. 10 January 2020

Adopted Form

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

AFMC—Air Force Materiel Command

AFRL—Air Force Research Laboratory

AFIS—Air Force Inspection System

CAP—Corrective Action Plan

CE—Continual Evaluation

CIMB—Commander's Inspection Management Board

CSAP—Commander's Self-Assessment Inspection Program

CV—Vice Commander

DET—Detachment

FA—Functional Area

FD—Functional Directorate

GSU—Geographically Separated Unit

HPW—Human Performance Wing

HHQ—Higher Headquarters

HQ—Headquarters

IG—Inspector General

IGEMS—Inspector General Evaluation Management System

MICT—Management Internal Control Toolset

OPR—Office of Primary Responsibility

POA—Pertinent Oversight Authority

POC—Point of Contact

QA—Quality Assurance

RBSS—Risk Based Sampling Strategy

RIA—Recommended Improvement Area

SAC—Self-Assessment Checklist

SAP—Self-Assessment Program

SME—Subject Matter Expert

TD—Technology Directorate

USAP—Unit Self-Assessment Program