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AIR FORCE RESEARCH LABORATORY  
(AFRL)**

**AIR FORCE RESEARCH LABORATORY  
INSTRUCTION 90-302**

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**Special Management**

**COMMANDER'S  
INSPECTION PROGRAM (CCIP)**



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This instruction implements Department of the Air Force Policy Directive (DAFPD) 90-3, *Inspector General*, and Department of the Air Force Instruction (DAFI) 90-302, *The Inspection System of the Department of the Air Force*, and DAFI 90-302 Air Force Materiel Command (AFMC) Supplement (SUP), *The Inspection System of the Department of the Air Force*. This instruction defines guidance and procedures for establishing, conducting, documenting, and reporting unit-level self-assessments and applies to all levels within the AFRL. This instruction applies to all AFRL personnel. All personnel are responsible for reporting non-compliance. Ensure all records created as a result of processes prescribed in this publication adhere to Air Force Instruction (AFI) 33-322, *Records Management and Information Governance Program*, and are disposed in accordance with the Air Force Records Disposition Schedule, which is located in the Air Force Records Information Management System. Refer recommended changes and questions about this publication to the office of primary responsibility (OPR), using Department of the Air Force (DAF) Form 847, *Recommendation for Change of Publication*; route DAF Form 847 through the appropriate functional chain of command. This publication may be supplemented at any level, but all direct supplements must be routed to the OPR of this publication for coordination prior to certification and approval. Request for waivers must be processed through command channels to the publication OPR for consideration see [paragraph 1.3](#).

**SUMMARY OF CHANGES**

The parent document was converted from AFI 90-201 to DAFI 90-302. This Air Force Research Lab Instruction (AFRLI) was significantly changed to align with the new instruction. As a result, review this AFRLI in its entirety.

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## Chapter 1

### MANAGEMENT POLICIES

**1.1. OVERVIEW.** The purpose of this instruction is to implement a standardized self-assessment and inspection process for the AFRL Enterprise. AFRL Inspector General's (IG) 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 Managers (USAPM), and the AFRL Enterprise comprehensive guidelines. The detailed procedures include observations, assessments, self-assessment checklists (SAC), inspection management, and deficiency management, which are outlined IAW DAFI 90-302, DAFI 90-302\_AFMCSUP. 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 all Functional Directorates (FD)/Mission Organizations (Msn Org), Detachments (DET), and Geographically Separated Units (GSU). For the purpose of this instruction, the term Mission Organization refers to all AFRL organizations not part of AFRL HQ (TD, Wing, Mission Org, etc.), and the term Division includes the Departments in the 711<sup>th</sup> HPW.

#### **1.2. Commander's Intent.**

1.2.1. AFRL must focus on effectively and efficiently executing a unique mission, ensuring smart compliance with policies and guidance, while eliminating fraud, waste, and abuse. The Commander's Inspection Program (CCIP) 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 mission, vision, and priorities. The CCIP objectives are to:

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

#### **1.3. The AFRL CCIP consists of three synergistic inspection tiers of activity.**

- 1.3.1. The AFRL IG will execute the Commander's Inspection Program.
- 1.3.2. Headquarters (HQ) POAs will conduct Continual Evaluations (CE) of AFRL FDs/Msn Orgs.

1.3.3. FD/Msn Orgs commander/director, Detachment (DET) commanders, and Geographically Separated Unit (GSU) division/branch chiefs will lead the unit self-assessment program (USAP).

1.3.4. These three tiers will use this AFRLI and the AFRL IG Business Rules to develop and execute an effective CCIP. The Business Rules are located on the AFRL CCIP SharePoint: <https://usaf.dps.mil/teams/20547/CCIP/USAP%20Resources/Forms/AllItems.aspx?id=%2Fteams%2F20547%2FCCIP%2FUSAP%20Resources%2FIG%20Policy&viewid=32d7a7f0%2Da840%2D4595%2D8adc%2D6d7567063b1a>. **Note:** AFRL/RX has integrated their USAP along with other centrally managed programs into a comprehensive program that incorporates division and branch level leadership participation. AFRL/RX would be unable to implement the division-level program outlined in this instruction without significantly changing all their internal processes. As a result, AFRL/RX is exempt from standing up a division-level USAP.

**1.4. Waivers.** A waiver is a method for the AFRL commanders/directors to communicate risk acceptance. See AFRL Memo titled *Delegation of Waiver Approval Authority for Tiered and Non-Tiered Compliance Items*. [https://usaf.dps.mil/teams/20547/IM/Lists/P\\_F/Attachments/189/SIGN%20AFRL%20Waiver%20Delegation%20Memo%20-%20October%202023.pdf](https://usaf.dps.mil/teams/20547/IM/Lists/P_F/Attachments/189/SIGN%20AFRL%20Waiver%20Delegation%20Memo%20-%20October%202023.pdf)

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

1.4.2. Waivers expire 90 days after change of the AFRL commander, and once the new commander is in-place, existing waivers can be renewed.

1.4.3. If a waiver is required for a known non-compliance, the unit must submit an DAF Form, 679, *Department of the Air Force Publication Compliance Item Waiver Request/Approval*, to AFRL/DSO Publication and Forms manager.

1.4.4. All AFRL approved waivers can be found at the AFRL Pubs and Forms site: <https://usaf.dps.mil/teams/20547/IM/pages/CODE/Pubs%20and%20Forms.aspx#InplviewHash0b343cdb-bda2-4e95-99c3-6f2011fdc247=>

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

## Chapter 2

### GENERAL RESPONSIBILITIES

#### 2.1. AFRL Commander (CC). The AFRL/CC will:

- 2.1.1. Delegate the approval and signature of the AFRL IGEMS, MICT, and POA business rules to the AFRL Inspector General.
- 2.1.2. Define the AFRL/IG inspection priorities each inspection year.

#### 2.2. AFRL Deputy Commander (CD). The AFRL/CD will:

- 2.2.1. Collaborate with AFRL/IG Office and HQ POAs to correct enterprise negative trends.
- 2.2.2. Chair the Commander's Inspection Management Board (CIMB) with the FD/Msn Org Deputy Directors/Deputy Commanders when the AFRL/CC does not.

#### 2.3. AFRL FD Directors. In addition to the requirements in section 2.6., each FD director will:

- 2.3.1. Appoint a primary POA in writing and submit the appointment letter(s) to the AFRL IG workflow [AFRL.DS.AFRLIGWORKFLOW@us.af.mil](mailto:AFRL.DS.AFRLIGWORKFLOW@us.af.mil).

#### 2.4. AFRL POA. POAs are the AFRL HQ functional subject matter experts (SME) who provide oversight and guidance to applicable functional area point of contacts (POCs) and personnel. The POA role is independent of day-to-day functional duties and the success of the IG inspection program is reliant on AFRL's POAs. Each POA will:

- 2.4.1. Report non-compliance detected during CEs to the AFRL/IG for possible inclusion into Inspector General Evaluation Management System (IGEMS).
  - 2.4.1.1. Some organizations, such as safety, have a non-retribution style of continuous evaluation, which may contain privileged/sensitive information and is meant to be provided only and directly to the pertinent commander/director. If a process is established in organizational specific guidance providing a means to inform the commander/director, such as the 91 Safety Series, those organizations will be reported through these alternate paths in lieu of using IGEMS. In addition, these briefings that inform the pertinent commander/director may be briefed, but not required, during the CIMB, as applicable.
- 2.4.2. Provide support to IG inspections.
- 2.4.3. Select and validate SMEs to serve as IG inspectors during IG inspections.
- 2.4.4. Manage Significant and Critical deficiencies in IGEMS.
- 2.4.5. Conduct quarterly CEs on AFRL Msn Orgs, DETs, and GSUs. The POA determines areas of emphasis, including mandatory items IAW DAFI 90-302, Attachment 3.
- 2.4.6. Create functional metrics to assess the functional performance of each Msn Orgs/GSU.
- 2.4.7. POAs will brief CE results during the quarterly CIMB.
- 2.4.8. Send notification about functional visits and inspections of AFRL units to the AFRL IG Workflow so that it can be added to the Gatekeeper Calendar. This includes any visit to assess, audit, certify, accredit, or evaluate a unit.

2.4.9. Provide recommendations/corrections to functional area SACs and monitors observations in Management Internal Control Toolset (MICT).

**2.5. AFRL Inspector General.** The AFRL/IG will:

2.5.1. Publish and maintain IGEMS, MICT, and POA Business Rules on the AFRL CCIP SharePoint: <https://usaf.dps.mil/teams/20547/CCIP/SitePages/CCIP%20Home.aspx>.

2.5.2. Inspect all items as required by DAFI 90-302, AFMC Supplement to DAFI 90-302, applicable AF Special Interest Items (SII), AFMC Command Interest Items (CII), and the AFRL commander's inspection priorities. 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.

2.5.3. Conduct inspections for AFRL Msn Orgs, DETs, and GSUs at least once every two years, while leveraging the use of remote IG inspections as necessary.

2.5.3.1. AFRL Safety will conduct their site safety assessments in conjunction with AFRL/IG inspections to reduce overall inspection touches on AFRL units but will not be part of the IG inspection team. Safety inspectors will conduct an independent assessment, Out-Brief leadership separately, create their own inspection report, and track findings to closure in the Air Force Safety Automated System (AFSAS).

2.5.4. Conduct onsite inspections which 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/Msn Org commanders/directors.

2.5.5. Obtain the AFRL Commander's IG inspection priorities prior to the start of each calendar year.

2.5.6. Utilize AFRL POAs, functional experts, and SMEs as advisors/inspectors to the inspection program as applicable.

2.5.7. Maximize the use of Msn Org SMEs as inspectors when possible. Exposure to other unit's processes and methods reinforces the sharing of best practices across AFRL.

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

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

2.5.10. Coordinate with AFMC, Center, and Wing IGs on inspections and exercises.

2.5.10.1. Incorporate schedules into the AFRL two-year inspection plan to prevent duplicative efforts.

2.5.11. Collaborate with AFRL/XP in exercise planning, development, and execution in support of AFMC-level exercises. AFRL/XP will assemble Trusted Agent(s) (TA) and/or SMEs to support exercise planning.

2.5.12. Plan, develop, and execute spring and fall exercises for AFRL/RI at Rome, NY.

**2.6. AFRL FD/Msn Org Commanders and Directors.** The Air Force Inspection System (AFIS) places responsibility on commanders and directors to inspect their units and subordinates to maximize effectiveness, efficiency, economy, and discipline of force. To accomplish the intent of the AFRL commander's Self-Assessment Inspection Program, each commander and director will:

2.6.1. Utilize the Unit Self-Assessment Program Manager (USAPM) appointment letter template to appoint a primary and alternate in writing. The template is located on the AFRL CCIP SharePoint:

<https://usaf.dps.mil/teams/20547/CCIP/SitePages/CCIP%20Home.aspx>.

2.6.2. Submit appointment letters any time a change in unit leadership and/or managers occur to AFRL/IG workflow [AFRL.DS.AFRLIGWORKFLOW@us.af.mil](mailto:AFRL.DS.AFRLIGWORKFLOW@us.af.mil)

2.6.3. Work with their POAs to identify and document functional key work processes critical to mission success and the AFRL Commander's priorities.

2.6.4. Create and execute an annual self-assessment schedule in each functional area applicable to your unit. Ensure that all unit personnel assess their functional programs and processes they manage or use. SACs should be aligned with the annual functional self-assessment schedule.

2.6.5. 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 USAPM and unit's functional SME will recommend to unit leadership which MICT SACs should be assessed and at the appropriate level. Non-compliance will be tracked to closure in MICT by the unit that did not meet the prescribed governing directives.

2.6.6. Communicate to AFRL POAs and AFRL/IG any high-risk items, programs, and/or areas of concern identified by unit personnel during self-assessments. Identify any DAFI or regulatory-driven inspection requirements and provide written information to AFRL POAs and AFRL/IG for inclusion into the Center's two-year inspection plan.

**2.7. FD/Msn Org USAPM.** FD/Msn Org USAPMs will serve as the MICT Manager and IGEMS Manager and will:

2.7.1. Collaborate with the Continuous Improvement and Innovation (CI2) Focal Point when assisting unit personnel in conducting Root Cause Analysis (RCA) and creating effective Corrective Action Plans (CAP). Recommend taking at least initial green belt training to familiarize yourself with the process and tools.

2.7.2. Assign the Deputy Director as the organization POC to all open IGEMS deficiencies and assign division chiefs & division USAPMs to open deficiencies in their areas.

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

2.7.4. Send a copy of the current division USAPM appointment letters to AFRL/IG workflow [AFRL.DS.AFRLIGWORKFLOW@us.af.mil](mailto:AFRL.DS.AFRLIGWORKFLOW@us.af.mil)

2.7.5. Maintain current appointment letters for the division USAPM.

2.7.6. Perform division USAPM duties when the division USAPM is unavailable.

2.7.7. Create annual self-assessment schedule for unit and send to AFRL/IG workflow [AFRL.DS.AFRLIGWORKFLOW@us.af.mil](mailto:AFRL.DS.AFRLIGWORKFLOW@us.af.mil)

2.7.8. Advise and assist commander/director on their USAPs: SACs, self-assessment execution, functional assessments, metrics, etc.

2.7.9. Assign/remove MICT permissions and roles for unit personnel as required.

2.7.10. Track SACs and assign Assessors and Validators in MICT as needed per leadership direction for personnel not supported by a division USAPM.

2.7.11. Track open findings from internal and external assessments/inspections. Do not duplicate non-USAP findings as observations in MICT. Track them in the system they are normally recorded/tracked in.

2.7.12. Forward external inspection notifications and results to the AFRL IG Workflow for addition to the AFMC Gatekeeper calendar. This includes any visit to assess, audit, certify, accredit, or evaluate a unit.

2.7.13. Report status of open observations/deficiencies to commander/director.

2.7.14. Train division USAPMs.

**2.8. Msn Org Division Chief.** Division chiefs will receive Manager permissions in MICT and will:

2.8.1. Appoint a division USAPM in writing and submit to the Msn Org USAPM.

2.8.2. Create and manage a division USAP which covers the division, branch, section, and workcenter levels.

**2.9. Msg Org Division USAPMs.** Division USAPMs will serve as the MICT Manager and IGEMS Manager and will:

2.9.1. Work with Msg Org USAPM to assign/remove MICT permissions and roles per division, branch, and section chief direction.

2.9.2. Track SACs and assign Assessors and Validators per division, branch, and section chief direction.

2.9.3. Advise and assist division, branch, and section chiefs on their USAP to include: SACs, self-assessment execution, functional assessments, metrics, etc.

2.9.4. Forward external inspection notifications and results to Msg Org USAPM. This includes any visit to assess, audit, certify, accredit, or evaluate a unit.

2.9.5. Collaborate with the CI2 Focal Point when assisting unit personnel in conducting RCA and creating effective CAPs. Recommend taking at least initial green belt training to familiarize yourself with the process and tools.

2.9.6. Report status of open observations/deficiencies to division leadership.

**2.10. Msg Org Division, Branch, and Section Chief.** Division, branch, and section chiefs will receive Manager permissions in MICT and will:

2.10.1. Ensure unit personnel conduct their self-assessments IAW the Msg Org annual self-assessment schedule.

2.10.2. Determine which SACs will be run in their organization for the USAP in conjunction with the division USAPM and functional SMEs.

2.10.3. Direct the division USAPM to take the following actions in MICT:

2.10.3.1. Determine which personnel will receive MICT permissions and what role(s) they require: Assessor or Validator (the assessor and validator will not be the same person).

2.10.3.2. Determine which SACs to track and who to assign as the Assessor and Validator for each.

2.10.3.3. Manage tracked SACs and ensure they are run at least annually or as required by the SAC.

2.10.3.4. Ensure unit personnel complete all assigned SAC processes and responsibilities (e.g., assess, lock for validation, validate, create new assessments, and assign/edit suspense).

2.10.3.5. Review assigned SACs with the division USAPM and SMEs at least annually to ensure the appropriate SACs are being run.

2.10.3.6. Manage deficiencies in IGEMS and observations in MICT. Ensure personnel conduct RCA and develop CAPs for identified non-compliance. Approve closure of observation/ deficiency when corrected.

**2.11. FD/Msg Org MICT SAC Assessor.** MICT SAC Assessors will receive Assessor permissions in MICT and will:

2.11.1. Access, view, and process assigned SACs. Provide an informative answer for each SAC question – more than just “yes.” Complete “N/A” reasons and document/correct observations.

**2.12. FD/Msn Org MICT SAC Validator.** MICT SAC Validators will receive Assessor permissions in MICT and will:

2.12.1. Validate SAC Assessor answers are correct and informative – more than just “yes.” Note: due to a feature in MICT, if the Validator adds/edits comments, you will not be able to validate the SAC.

2.12.2. Review SAC observations for accuracy, severity and supporting documentation.

2.12.3. Validate CAP is complete and non-compliance has been corrected, then close the observation.

## Chapter 3

### UNIT SELF-ASSESSMENT PROGRAM

#### 3.1. USAP Expectations.

3.1.1. An effective self-assessment program accurately reports to leadership the unit's compliance status, constraints, and the reason the unit cannot comply. The self-assessment program is a powerful tool and is the cornerstone of the AFRL Commander's Inspection Program. This program depends on truthful, timely, and accurate inputs from everyone. AFRL commanders/ directors are responsible for creating and executing a comprehensive unit self-assessment. While assessing SACs in MICT is a good start, leadership at every level should go beyond MICT utilizing tools like DAFI 90-302 Attachment 14 to develop a more robust USAP. This will allow AFRL personnel to identify and correct problems at the lowest level possible.

3.1.2. Each commander/director must ensure compliance with applicable guidance or submit a waiver to exempt the unit from the requirement. Non-compliance must be reported to the unit's commander/director by the USAPM. Self-assessments detecting non-compliance by creating MICT observations can provide near real-time accountability when accomplished effectively.

3.1.3. The AFRL USAP will be implemented as outlined in [Attachment 2](#).

#### 3.2. Program Implementation (Division).

3.2.1. Personnel in leadership positions are responsible for ensuring their subordinates are using and managing compliant, effective, and efficient programs and processes. If one of these three key components is missing, the situation needs to be corrected:

3.2.1.1. A process can be compliant and efficient, but not effective (e.g., submitting incomplete slides)

3.2.1.2. A process can be effective and compliant, but not efficient (e.g., needing twice the people and time to produce slides)

3.2.1.3. A process can be effective and efficient, but not compliant (e.g., submitting slides without required review)

**3.3. Annual Self-Assessment Schedule.** The AFRL USAP uses a structured, systematic approach to implement internal self-assessments in its subordinate units. The FD/Msg Org USAPM will create an annual schedule of monthly self-assessments, so all applicable functional areas are assessed during the year. Each month unit personnel review the annual schedule and conduct the following three self-assessments (individual self-assessments, vertical self-assessments, horizontal self-assessments) in the applicable functional areas for that month:

3.3.1. Individual Self-Assessments. Individual assessments are compliance-oriented and used to determine if an individual is managing a program/process per policy requirements. The focus should be on reviewing policy requirements and then comparing them to your duty performance.

3.3.1.1. All division personnel should be continually evaluating the programs and processes they use or manage.

3.3.1.2. At least annually, they will review the requirements governing their program and processes.

3.3.1.3. Personnel in key positions will also be assigned to SACs for additional programmatic reviews.

3.3.1.4. Personnel will assess efficiency, effectiveness, and compliance of their programs and processes.

3.3.1.5. Report any issues/concerns to your division USAPM or answer “No” if running a SAC.

**3.3.2. Vertical Self-Assessments.** Vertical assessments are process-oriented and used to determine if an organization’s processes are effective and efficient. When following the steps of a process, look for unnecessary steps, delays, and constraints.

3.3.2.1. This annual self-assessment consists of looking at a program/process from the top down.

3.3.2.2. For example: Msg Org to divisions; division to branches, sections, work centers, and personnel.

3.3.2.3. These are not virtual assessments – follow the process as it flows down through the unit (“be the box” – physically follow the process step by step from beginning to end).

3.3.2.4. Apply Lean principles and look for waste: process inefficiencies, constraints, wasted time/steps, etc.

3.3.2.5. Report any issues/concerns to your division USAPM.

**3.3.3. Horizontal Self-Assessments.** Horizontal assessments focus on determining if standardized processes are used across the organization. The sub-organizations should all be executing the same fundamental processes in the same way.

3.3.3.1. This annual self-assessment looks at standardization: programs/processes being done the same way.

3.3.3.2. Divisions assess other division programs/processes, same at the branch, section, and work center levels.

3.3.3.3. Ideally, you should see little to no variation in programs/processes as you move from peer to peer.

3.3.3.4. When you find variations, determine why it diverged and which process is more effective/efficient.

3.3.3.5. Report any issues/concerns to your division USAPM.

**3.4. USAP Umbrella.** IGEMS and MICT are not the only tools USAPMs used to promote compliance in their organization (see [Figure 3.1](#)). There are many other internal and external inspections conducted on the unit throughout the year. The FD/Msn Org USAPM will track open non-compliance across the organization to provide leadership visibility of all unit non-compliance.

Figure 3.1. USAP Umbrella.



3.4.1. Functional Self-Assessments. Self-Assessments also include any evaluations conducted by FD/Msn Org members on FD/Msn Org agencies, regardless of the title in the originating guidance, e.g., “internal Staff Assistance Visit” or “exercise.”

3.4.2. Internal Functional Self-Assessments: each individual assessing their functional area and the key work processes they use for compliance.

3.4.2.1. Many functional inspections are performed on a weekly, monthly, or quarterly basis (quality assurance [QA] inspections, safety inspections, Assistant Records Manager [ARM] inspections, etc.).

3.4.2.2. Conduct and document these inspection results normally, track non-compliance in your functional database.

3.4.2.3. Do not create duplicate MICT entries for non-compliance found during internal functional inspections.

3.4.2.4. Functional SMEs will send a list of open functional inspection findings not tracked in MICT or IGEMS to the division and FD/Msn Org USAPMs monthly.

### 3.4.3. External Inspections.

3.4.3.1. The USAP is the “one stop shop” for tracking all non-compliance in the unit. As such, USAPMs also track non-compliance identified in external inspections/assessments/audits.

3.4.4. Common Inspections include Air Force Audit Agency (AFAA) Audits, Higher Headquarters (HHQ) Functional Inspections, Host Air Base Wing (ABW) Inspections, etc.

3.4.4.1. These inspections are conducted by personnel outside your FD/Msn Org and augment your self-assessments. For example, when the AFAA conducts an audit, they only select a small sample size. If they find discrepancies in one mission division, all of the mission divisions should, as part of their USAP, conduct a self-assessment to determine if they have the same non-compliance.

3.4.4.2. Each external inspection has its own tools and methods for tracking identified non-compliance.

3.4.4.3. Do not create duplicate MICT entries for non-compliance found during external inspections.

3.4.4.4. Send a list of open external inspection findings to the division and FD/Msn Org USAPMs monthly.

## Chapter 4

### IG INSPECTION PROGRAM

#### 4.1. AFRL CCIP Overview.

4.1.1. The AFRL CCIP has two major components: the AFRL USAP and the IG inspection program. IG inspections validate the efficiency and effectiveness of the unit's self-assessment program and unit readiness and perform an independent assessment of unit compliance.

4.1.2. Inspection priorities are determined by AFMC/AFRL IG inspection results, AFMC/AFRL POA trends, the AFRL IG RBSS and the AFRL Commander's annual AFRL/IG inspection priorities letter.

4.1.3. All available resources will be applied to facilitate the USAP in identifying 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, QA programs, Tiger Teams, the Scientific Advisory Board (SAB), and Key Performance Indicators (KPI).

4.1.4. 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.

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

#### 4.2. Gatekeeper Program.

4.2.1. The AFRL/IG, FD/Msn Org USAPMs, AFRL HQ POAs serves as AFRL gatekeepers. The gatekeeper process is used to validate external inspections and to deconflict internal and external inspections.

4.2.2. When a unit receives notification of an inspection, send the notification to the FD/Msn Org USAPM.

4.2.3. HQ POAs and FD/Msn Org USAPMs will forward external inspection notifications and results to the AFRL IG Workflow for addition to the AFMC Gatekeeper calendar. This includes any visit to assess, audit, certify, accredit, or evaluate a unit.

#### 4.3. Annual Inspection Schedule.

4.3.1. The AFRL IG will conduct subordinate unit inspections on a two-year cycle. All HQ functional inspections will align to the IG two-year inspection schedule to the maximum extent possible to increase inspection effectiveness and reducing inspection interruptions. To view the current IG inspection schedule, view the calendar on the AFRL CCIP SharePoint: <https://usaf.dps.mil/teams/20547/CCIP/SitePages/CCIP%20Home.aspx>.

#### 4.4. POA Inspection Support.

4.4.1. The AFRL IG inspection program would not be effective without the help and support of the AFRL HQ POAs. For more information, see the POA Business Rules located on the AFRL CCIP SharePoint:  
<https://usaf.dps.mil/teams/20547/CCIP/USAP%20Resources/Forms/AllItems.aspx?id=%2Fteams%2F20547%2FCCIP%2FUSAP%20Resources%2FIG%20Policy&viewid=32d7a7f0%2Da840%2D4595%2D8adc%2D6d7567063b1a>.

#### 4.5. IG Inspectors.

4.5.1. Although HQ POAs conduct the data mining and build the inspection schedules, it's a cadre of IG inspectors that execute those plans on behalf of the AFRL Commander. IG inspectors are functional SMEs who volunteer to serve as IG inspectors and who pass the vetting process of their HQ POA.

4.5.2. IG inspectors normally serve for a year and are assigned to an inspection sub-team. Their Team Lead helps them execute their inspection schedule and write their findings, while their HQ POA helps by validating their findings.

4.5.3. Serving as an IG inspector can be a challenging experience but seeing how other AFRL organizations perform their mission can be rewarding for inspectors and inspected alike.

#### 4.6. Deficiency Validation.

4.6.1. The deficiency validation process helps ensure the accuracy of IG inspection reports. Through research and review, the inspected organization validates the information captured for each Critical and Significant deficiency. Comments on Minor deficiencies, Recommended Improvement Areas (RIA), and Strengths would be by exception (not necessary for every item).

4.6.2. Validation Inputs: When validating deficiencies, focus is placed on the following information:

4.6.2.1. Major Graded Area (MGA): Does this appear to be the correct MGA for the non-compliance?

4.6.2.2. Problem: Does the description accurately detail the identified non-compliance?

4.6.2.3. Severity: Is there more information available that could affect the severity level?

4.6.2.4. References: Do the listed references apply to the identified non-compliance?

4.6.2.5. Impact: If provided, does the impact accurately describe the potential impact to the unit?

4.6.2.6. Office of Primary Responsibility (OPR): (who will address the non-compliance)  
Is this office symbol accurate?

4.6.2.7. Office of Coordinating Responsibility (OCR; the office one level above the OPR)  
Is this office symbol accurate?

4.6.2.8. Functional Area (FA): Is the listed functional area correct?

4.6.2.9. Additional Information: Does the unit have additional evidence/information relevant to the deficiency?

4.6.3. Validation Suspense: Validation is typically due to AFRL/IG Workflow not later than four duty days after the Out-Brief.

4.6.3.1. Add comments/additional information in red directly under the specific write up and submit validation to AFRL/IG Team Chief and cc the AFRL/IG Workflow: [AFRL.DS.AFRLIGWORKFLOW@us.af.mil](mailto:AFRL.DS.AFRLIGWORKFLOW@us.af.mil)

4.6.4. Validation Results: Each validated deficiency will receive one of three outcomes:

4.6.4.1. Deficiency Stands: Deficiency remains as written.

4.6.4.2. Change in Deficiency: Changes were made to the deficiency based on the information provided by the inspected unit.

4.6.4.3. No Deficiency: Deficiency is removed from the report.

#### **4.7. AFRL Commander's Inspection Management Board (CIMB).**

4.7.1. The intent of the CIMB is to review aged IG deficiencies, IG inspection results, and USAP metrics. The CIMB forum is a two-way communication between the AFRL Commander or Deputy Commander and the FD/Msn Org Commanders/Directors or Deputies to discuss and brief, at a minimum, the items identified in DAFI 90-302 para 2.5.3.3.

4.7.1.1. AFRL CD will normally chair the CIMB with the FD/Msn Org Deputy Directors/Deputy Commanders.

4.7.1.2. When the AFRL CC chairs the CIMB, the FD/Msn Org Directors/Commanders will also attend.

## Chapter 5

### SITE EXERCISES

#### 5.1. Exercises.

5.1.1. Quarterly Exercises. AFRL FDs/Msn Orgs will actively participate in quarterly installation exercises to ensure that AFRL can maintain smooth operations during real-world events. AFRL units will actively participate with their host installations in quarterly readiness exercises. For AFRL units not located on a host installation (i.e., Rome), the AFRL Inspector General will plan and execute exercises of appropriate scope, scale, timing, and methodology.

5.1.1.1. Host ABW IG will establish the AFRL Wing Inspection Team (WIT) member requirements, train AFRL WIT members, and track appointment letters. AFRL/IG will ensure local Msn Orgs provide adequate WIT members. For AFRL units not located on a host installation (i.e., Rome), AFRL/IG will establish WIT member requirements, train AFRL WIT members, and track appointment letters.

5.1.2. AF/MAJCOM Exercises. AFRL will participate in applicable AFMC-directed exercises. 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.

5.1.2.1. AFRL/XP will collaborate with HQ AFMC and AFRL/IG to produce center mission-stressing injects and scenarios for MAJCOM level exercises (i.e., Blue Flag). TAs are provided comprehensive exercise details to assist in the development and execution of the exercise at all phases. SMEs can serve in a similar capacity as a TA, but only provide functional input to help develop the exercise. The SME does not have all the exercise details.

5.1.2.2. AFRL/IG will ensure trained WIT members are positioned to observe and document scenario and injects execution within the Msn Orgs and AFRL/HQ.

5.1.2.3. Since AFRL/RI does not have an ABW IG, the AFRL/IG Exercise Manager will work with AFRL/RI to develop an exercise schedule and process that meets the installation's requirements. Exercises will be conducted twice/year with Spring and Fall exercises.

JASON E. BARTOLOMEI  
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Commander

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

DAFPD 90-3, *Inspector General*, 3 February 2021

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

AFI 33-322, *Records Management and Information Governance Program*, 23 March 2020

DAFI 90-302, *The Inspection System of the Department of the Air Force*, 15 March 2023

DAFI 90-302\_AFMC Supplement, *The Inspection System of the Department of the Air Force*, 28 March 2024

***Adopted Form***

DAF Form 847, *Recommendation for Change of Publication*

DAF Form 679, *Department of the Air Force Publication Compliance Item Waiver Request/Approval*,

***Abbreviations and Acronyms***

**ABW**—Air Base Wing

**AFAA**—Air Force Audit Agency

**AFI**—Air Force Instruction

**AFIS**—Air Force Inspection System

**AFMC**—Air Force Materiel Command

**AFRL**—Air Force Research Laboratory

**AFRLI**—Air Force Research Laboratory Instruction

**AFSAS**—Air Force Safety Automated System

**ARM**—Assistant Records Manager

**CAP**—Corrective Action Plan

**CC**—Commander

**CCIP**—Commander's Inspection Program

**CD**—Deputy Commander

**CE**—Continual Evaluation

**CI2**—Continuous Improvement and Innovation

**CII**—Command Interest Items

**CIMB**—Commander's Inspection Management Board

**DAF**—Department of the Air Force

**DAFI**—Department of the Air Force Instruction  
**DAFPD**—Department of the Air Force Policy Directive  
**DET**—Detachment  
**FA**—Functional Area  
**FD**—Functional Directorate  
**GSU**—Geographically Separated Unit  
**HHQ**—Higher Headquarters  
**HQ**—Headquarters  
**IAW**—In Accordance With  
**IG**—Inspector General  
**IGEMS**—Inspector General Evaluation Management System  
**KPI**—Key Performance Indicator  
**MAJCOM**—Major Command  
**MGA**—Major Graded Area  
**MICT**—Management Internal Control Toolset  
**MSN ORG**—Mission Organization  
**OCR**—Office of Coordinating Responsibility  
**OPR**—Office of Primary Responsibility  
**POA**—Pertinent Oversight Authority  
**POC**—Point of Contact  
**QA**—Quality Assurance  
**RBSS**—Risk Based Sampling Strategy  
**RCA**—Root Cause Analysis  
**RIA**—Recommended Improvement Area  
**SAB**—Scientific Advisory Board  
**SAC**—Self-Assessment Checklist  
**SII**—Special Interest Item  
**SME**—Subject Matter Expert  
**SUP**—Supplement  
**TA**—Trusted Agent  
**URM**—Unit Records Manager  
**USAP**—Unit Self-Assessment Program

**USAPM**—Unit Self-Assessment Program Manager

**WIT**—Wing Inspection Team

## Attachment 2

## AFRL USAP WILL BE IMPLEMENTED AS OUTLINED BELOW

Table A2.1. The AFRL USAP will be implemented as outlined below.

| HQ FDs   | Unit USAPM    | Division USAPM | Reason                             |
|--|---------------|----------------|------------------------------------|
| - HQ PZ  | HQ PK         | Yes            | Each MSN ORG “PK” division         |
| - HQ FZ  | HQ FM         | Yes            | Each MSN ORG “FM” division         |
| - HQ EZ, QZ, etc.  | Parent FD     | No             | Managed by FD USAPM                |
| - Remaining FDs  | Yes           | No             | Managed by FD USAPM                |
| MSN ORG*   | Unit USAPM    | Division USAPM | Reason                             |
| - RX   | Yes           | No             | USAP integrated into TD-level mgmt |
| - AFOSR  | AFOSR         | No             | Managed by AFOSR USAPM             |
| - Remaining MSN ORGs   | Yes           | Yes            | Increased leadership involvement   |
| MSN ORG GSU  | Unit USAPM    | Division USAPM | Reason                             |
| - EOARD  | AFOSR         | EOARD          | EOARD USAPM manages all GSUs       |
| - RQ West  | RQ USAPM      | RQ West        | Manage by one “site” Div USAPM     |
| - 711 Ft Sam Houston   | 711 RH        | 711 FSH        | Manage by one “site” Div USAPM     |
| - RDSM   | RDS USAPM     | Maui           | Manage by one “site” Div USAPM     |
| - Remaining GSUs   | Parent FD/Div | No             | Managed by parent TD/Div           |
| *Mission Org: All AFRL organizations not part of AFRL HQ (TD, Wing, Mission Org, etc.) |               |                |                                    |