

Department of the Army  
Headquarters, U.S. Army  
Industrial Operations Command  
Rock Island, IL 61299-6000

\*IOC Regulation 20-1

07 NOV 1995

Inspector General

ASSISTANCE, INSPECTIONS, INVESTIGATIONS, AND INQUIRIES

Applicability. This regulation applies to Headquarters, U.S. Army Industrial Operations Command (HQ, IOC) elements and IOC subordinate installations.

Decentralized Printing. All IOC installations are authorized to locally reproduce this regulation.

Supplementation. Supplementation of this regulation is prohibited without prior approval from HQ, IOC, ATTN: AMSIO-IG, Rock Island, IL 61299-6000.

Suggested Improvements. The proponent of this regulation is the HQ, IOC Office of the Inspector General. Users are invited to send comments and suggested improvements to Commander, HQ, IOC, ATTN: AMSIO-IG, Rock Island, IL 61299-6000.

Distribution. Distribution of this regulation is made IAW requirements submitted by IOC organizations (stocked/issued by Rock Island Arsenal, ATTN: SAI-PSP).

FOR THE COMMANDER:

Official:



BRUCE J. BARRETT  
Major, IG  
Inspector General

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\* This regulation supersedes AMCCOM Regulation 20-1, 6 Nov 90.

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1. Purpose. To prescribe policies, procedures, and responsibilities concerning Inspector General (IG) operations within the U.S. Army Industrial Operations Command (IOC).

2. References.

- a. AR 20-1, Inspector General Activities and Procedures.
- b. AR 25-55, The Department of the Army Freedom of Information Act Program.
- c. AR 25-400-2, The Modern Army Recordkeeping System (MARKS).
- d. AR 380-5, Department of the Army Information Security Program.
- e. AR 614-100, Officer Assignment Policies, Details and Transfers.
- f. Related publication. AR 335-15, Management Information Control System.

3. Responsibilities.

- a. IOC IG Responsibilities.
  - (1) Special/Systemic Inspections:
    - (a) Schedule, plan, and conduct IG Special/Systemic inspections of IOC installations and prepare non-attribution reports documenting inspection results IAW AR 20-1.
    - (b) Compliance findings attributable to an individual inspected installation will be provided to the inspected activity by separate memorandum.
    - (c) Conduct follow-up inspections after a reasonable amount of time has been allowed to correct deficiencies to ensure corrective actions are effective and complete.
    - (d) Review Internal Control Program documentation during inspections to determine whether applicable policies, standards, and requirements have been effectively implemented.
    - (e) Prepare and obtain Commanding General, HQ, IOC, approval to publish a 12 month program of inspections during the fourth quarter of each fiscal year.

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(f) Coordinate external IG special inspections conducted by higher headquarters.

(2) Investigations/inquiries:

(a) Conduct investigations/inquiries as directed by the IOC CG, or higher headquarters IAW AR 20-1.

(b) Forward all allegations, including criminal allegations against general officers or Department of the Army (DA) civilian Senior Executive Service employees, directly to the DA Inspector General Agency Investigations Division (SAIG-IA) for determination of action to be taken.

(c) Allegations containing potential criminality will be coordinated with appropriate provost marshals and/or security offices.

(d) Prepare a Report of Investigation or a Report of Inquiry as soon as possible upon completion of the investigation/inquiry.

(3) IG Assistance Visits (IGAVs):

(a) Conduct IGAVs in conjunction with the IOC Command Inspection Program (CIP) IAW IOC Reg 1-9 . The IGAV will consist of the conduct of IG Sensing Seminars and Inspector General Action Request (IGAR) sessions.

(b) Generally, IGAVs will be conducted at IOC subordinate installations one week prior to a scheduled CIP inspection, per the CIP schedule prepared by the HQ, IOC Industrial Complex Division (AMSIO-IOP).

(4) Assistance:

(a) In addition to those IGARs received during the IGAV process, receive and process IGARs for complaints, allegations, or requests for assistance from any individual concerning matters of DA interest IAW AR 20-1.

(b) Analyze each IGAR to determine necessary action, conduct an IG inquiry, if necessary, and ensure requester receives a prompt and responsive reply.

(c) Process IGARs received from higher headquarters.

b. IOC Staff/Organization Responsibilities.

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(1) Establish internal management control procedures for maintaining, processing, and monitoring IG compliance findings and responses referred for appropriate action.

(2) Designate, in writing, an individual and alternate to serve as focal points of contact for IG matters.

(3) When findings/deficiencies are directed at a staff/organization for corrective action, the head of the inspected organization will:

(a) Personally review and consider an appropriate response to the IG findings/deficiencies.

(b) Prepare a response to each finding and retain the response with the finding/inspection file. A sample format for the response is at Appendix A. The response may be reviewed as an area of interest during a future IG inspection.

(c) Indicate concurrence or nonconcurrence with each finding. Nonconcurrence must be supported by valid/logical reasons contained in the response.

(d) Provide a clear and complete description of corrective actions when taken or planned.

(e) Provide a timetable for completion of corrective actions when conditions cannot be immediately remedied. This timetable will include a target completion date and a list of intermediate milestones.

#### 4. Policy.

a. The IOC IG is a confidential representative of the Commanding General's personal staff. The mission of the IG is to inquire into and report upon the discipline, efficiency, state of economy, morale, and readiness of the IOC. The statutory authority for the IG mission is found in section 3020, title 10, United States Code.

b. All reports referred to in this regulation are exempt from Requirements Control Symbol control IAW AR 335-15, paragraph 5-2.e(3).

#### 5. Procedures.

a. Acting Igs.

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(1) Commanders of IOC subordinate installations may nominate a qualified staff officer or civilian for appointment as an Acting IG as an additional duty assignment. An Acting IG's only IG duty is to receive and process requests for assistance of a personal or administrative nature. Nominees must meet the criteria of AR 614-100, paragraph 3-3d(4), and AR 20-1, chapter 2.

(2) Nominations will be forwarded by memorandum to Commander, HQ, IOC, ATTN: AMSIO-IG, Rock Island, IL 61299-6000. The memorandum will contain the following information concerning the nominated officer and will be signed by the subordinate installation Commander or designated representative:

- (a) Name.
- (b) Grade and date of rank.
- (c) Social security number.
- (d) Branch and functional area.
- (e) Primary duty position, phone extension, and statement citing the nominee is not in the direct chain-of-command.
- (f) Proposed period of service as an Acting IG.

(3) Upon U.S. Army Materiel Command (AMC)/DA Inspector General approval, appointment will be effected by the HQ, IOC memorandum of appointment and instructions to the newly assigned Acting IG on specific duties and limitations.

(4) The Commander, or designated representative, of the newly appointed Acting IG will administer the IG Oath IAW AR 20-1, paragraph 2-6. Acting IGs will be trained and supervised in their IG duties by the AMC/IOC Inspector General.

b. Submitting an IGAR.

(1) All IOC civilian and military personnel, including personnel at tenant activities/agencies located at Rock Island Arsenal, are provided the services of the HQ, IOC IG to present complaints, allegations, or requests for help. Personnel at other locations may submit IGARs to the local Acting IG or directly to the HQ, IOC IG.

(2) The HQ, IOC IG and Acting IGs will issue a permanent notice for posting on bulletin boards addressing the right of

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personnel to present IGARs. The notice will outline the procedures for submission of IGARs by assigned civilian employees and military personnel.

c. Confidentiality. Individuals who ask the IG for help, make a complaint, give evidence, or contact/assist an IG during an investigation or inspection, often have an expectation of absolute confidentiality. The IG has a duty to protect confidentiality to the maximum extent possible, particularly when it is specifically requested. The intent behind this emphasis on confidentiality is to protect individual privacy, maintain confidence in the IG system, and minimize the risk of reprisal. However, confidentiality cannot be absolutely guaranteed. It may be breached if required by law or regulation, or by direction of The Inspector General (TIG) of the Army.

d. Protection and Release of IG Reports and Information.

(1) Protection:

(a) IG reports contain privileged information. A high degree of care will be exercised in the protection and processing of IG reports and/or dissemination of the information contained within (see AR 20-1, chapter 3).

(b) Dissemination and retention of IG reports will be restricted to the absolute minimum consistent with effective management. In processing reports at installation level, all copies or extracts will be returned to the office responsible for coordinating the command reply when staffing actions have been completed. Extra copies will be destroyed when the command reply has been forwarded. One copy of the inspection report and all relevant endorsements will be kept on file until related actions have been reviewed by an IG during the next appropriate inspection. Afterwards, reports will be maintained and disposed of IAW AR 25-400-2 and AR 25-55.

(c) IG records will be marked "For Official Use Only (FOUO)," and "Dissemination is prohibited except as authorized by AR 20-1," as prescribed in AR 20-1 and AR 25-55. The abbreviation FOUO will not be used. Classified IG records will be marked IAW AR 380-5.

(2) Release:

(a) AR 20-1, chapter 3, provides specific policies and procedures which governs release of information from IG reports.

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These policies and procedures apply not only to the reports themselves, but include extracts, exhibits, or summaries from the reports. Provisions relating to release of reports or copies apply equally to visual access to such reports and to extracts or summaries. Queries regarding these policies or the release of IG reports should be directed to the HQ, IOC IG.

(b) Inspected organizations may authorize use of an IG report in their possession for an official purpose if a bonafide requirement exists, and subject to approval of the headquarters which prepared the IG report. In such instances, the inspected organization to which the report is furnished will be cautioned to protect the privileged nature of the report.

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Appendix A

SAMPLE FORMAT FOR  
DOCUMENTING INSTALLATION RESPONSE TO FINDINGS

FINDING NO.

ACTIVITY:

INSPECTION DATE:

SUBJECT: (As stated in finding)

DOCUMENTED RESPONSE:

1. (Concur), (Concur in part)\*, (Nonconcur).
2. Discussion of deficiency and corrective action.
  - a. Address each substantive part of the finding and corrective action.
  - b. If deficiency has already been corrected, provide date of correction and description of corrective action.
3. If corrective action has not been completed, so specify, and provide anticipated date of completion (month and year). If action is to be completed in phases or cannot be completed within 120 days, provide dates for intermediate objectives at 120-day intervals.

\*A "Concur in part" response must specifically address the part of finding in which the inspected activity does not concur.