



## DCMA Instruction 933

# Inspector General: Inspections, Assessments, and Evaluations

---

<b>Office of Primary Responsibility</b>	<b>Office of Internal Audit and Inspector General</b>
<b>Effective:</b>	October 23, 2017
<b>Releasability:</b>	Cleared for public release
<b>Reissues and Cancels:</b>	DCMA-INST 933, "Mission Reviews," November 18, 2013
<b>Internal Control:</b>	Process flow and key controls are located on the Resource Page
<b>Labor Codes:</b>	Located on the Resource Page
<b>Resource Page Link:</b>	<a href="https://360.dcma.mil/sites/policy/DM/SitePages/933r.aspx">https://360.dcma.mil/sites/policy/DM/SitePages/933r.aspx</a>
<b>Approved by:</b>	David H. Lewis, VADM, USN, Director

---

**Purpose:** This issuance, in accordance with the authority in DoD Directive (DoDD) 5105.64, establishes policy, assigns responsibilities, and provides instructions for Inspector General inspections, assessments, and evaluations, which provides a focused, operational assessment of areas critical to DCMA mission and vision.

## **SUMMARY OF CHANGES**

This Instruction is rewritten. Agency users and stakeholders should read this Instruction in its entirety. The following identifies the most notable changes:

- Incorporate new OPR name change from the Office of Independent Assessment to the Office of Internal Audit and Inspector General (OIA-IG)
- Include transition to the IG standards for inspections, assessments, and evaluations
- Renames DCMA-INST 933 "Mission Reviews" to "Inspector General: Inspections, Assessments, and Evaluations"

## TABLE OF CONTENTS

<b>SUMMARY OF CHANGES</b> .....	2
<b>SECTION 1: GENERAL ISSUANCE INFORMATION</b> .....	4
1.1. Applicability .....	4
1.2. Policy .....	4
1.3. Scope .....	4
1.4. Strategy .....	4
1.5. Resources .....	5
<b>SECTION 2: RESPONSIBILITIES</b> .....	6
2.1. Director, DCMA .....	6
2.2. Executive Director/Inspector General, Office of Internal Audit and Inspector General .....	6
2.3. Officers, Office of Internal Audit and Inspector General .....	7
2.4. Component Heads and Capability Board Chairs .....	7
2.5. Commanders/Directors, International and Special Programs Directorates; Eastern, Central, and Western Regional Commands .....	7
2.6. Commanders/Directors, Assessed Activity .....	8
<b>SECTION 3: GENERAL PROVISIONS</b> .....	9
3.1. Description .....	9
3.2. Activities .....	9
3.3. Products .....	10
<b>GLOSSARY</b>	
G.1. Definitions .....	11
G.2. Acronyms .....	12
<b>REFERENCES</b> .....	13

## SECTION 1: GENERAL ISSUANCE INFORMATION

**1.1. APPLICABILITY.** This issuance applies to all DCMA activities unless higher-level regulations, policy, guidance, or agreements take precedence.

**1.2. POLICY.** It is DCMA policy that the Inspector General (IG) perform inspection, assistance, teaching, and training functions to support the Agency's ability to enhance Warfighter Readiness and Mission Capability. The Council of the Inspector General on Integrity and Efficiency (CIGIE) and the Quality Standards for Inspection and Evaluation (Blue Book), provide the framework for the professional standards of inspections and evaluations that the DCMA Inspector General will adhere to.

**1.3. SCOPE.** The Agency Director's goals, expectations, standards, vision and operating methods are incorporated into independent inspections, assessments and evaluations that are risk based and systematic across the DCMA capabilities management framework. Assessment requirements may change over time and each one may not be assessed at every DCMA activity. They provide information that is timely, credible, and useful for agency managers, policymakers, and others. Assessments incorporate the detection to prevention philosophy by using data to identify areas that have a higher risk for non-compliance, systematic and functional degradation over time and are directly related to Agency mission accomplishment.

**1.4. STRATEGY.** The overall strategy for conducting inspections and evaluations is encompassed in the following points:

a. Collaborate with DCMA Headquarters Component Heads and Capability Managers to develop and refine assessment requirements, high risk processes, procedures, and key controls.

b. Maintain active engagement with Agency Component Heads throughout the assessment process.

c. Prepare, execute and complete assessments and evaluations enterprise wide.

d. Maintain oversight of Corrective Action Plan (CAP) implementation status.

e. Conduct follow-up reviews to verify effectiveness of corrective actions.

f. Maintain open communication across the Agency through the Agency CAP Tracking Website, published results and analytics.

g. Supplement assessments by Subject Matter Experts (SME) throughout the Agency as needed.

h. Provide recommendations, initial root causes and solutions to DCMA Leadership and the Governance Capability Boards as required.

**1.5. RESOURCES.** The Instruction resource page and Agency CAP Tracking Site contain useful information and documents including the OIA-IG website link, team roster, inspection guides, related tools and templates, and assessment results.

## SECTION 2: RESPONSIBILITIES

### 2.1. DIRECTOR, DCMA. The DCMA Director will:

- a. Ensure the Agency is in compliance with DoDD 5106.04, Defense Inspectors General, May 22, 2014.
- b. Assess Agency-wide operations, performance, administrative processes, and internal controls.
- c. Personally appoint in writing the Executive Director/Inspector General, Office of Internal Audit and Inspector General (OIA-IG).
- d. Approve the Agency Inspector General's inspection, assessment, and evaluation plans.

### 2.2. EXECUTIVE DIRECTOR/INSPECTOR GENERAL, OFFICE OF INTERNAL AUDIT AND INSPECTOR GENERAL (OIA-IG). The Executive Director, OIA-IG will:

- a. Adhere to IG quality standards of integrity, objectivity, independence, professional judgement and confidentiality.
- b. Select, appoint, and employ such officers as necessary for carrying out the functions, powers, and duties of the OIA-IG.
- c. Provide notification letters to the selected candidates for assessment.
- d. Validate and approve all reports and distribute to the DCMA Leadership Council.
- e. Serve as a member of the Director's personal staff and provide advice and counsel on all IG matters pertaining to the Agency.
- f. Maintain DCMA IG records and release them only as authorized by the Agency Director.
- g. Coordinate with the DoD IG to address issues of mutual concern that involve their organization and other commands.

### 2.3. OFFICERS, OIA-IG. The Officers, OIA-IG will:

- a. Conduct and support audits and investigations relating to the programs and operations of the agency.
- b. Adhere to the Inspector General quality standards of integrity, objectivity, independence, professional judgement and confidentiality.
- c. Understand the Director's goals, expectations, standards, vision, and operating methods.

d. Perform inspections, assistance, teach and train functions as directed by the Agency Director and make inquiries into any matter within the scope of the Director's authority per DoDD 5106.04 and the "Inspector General Act of 1978," as amended.

e. Manage the corrective action process for assessed DCMA organizations.

f. Validate/verify the completion of corrective actions in accordance with the OIA-IG taskings and the DCMA Governance process.

g. Identify criterion and training requirements for SMEs to perform inspections and evaluations.

**2.4. COMPONENT HEADS AND CAPABILITY BOARD CHAIRS.** The component heads of each HQ component must:

a. Manage the corrective action process, validate/verify the completion of corrective actions, and closure of all corrective actions for level III findings in accordance with OIA-IG taskings and the DCMA Governance process.

b. Address policy gaps and barriers identified in OIA-IG summary reports.

c. Determine if there is wider applicability of identified observations, recommendations and bright spots throughout the Agency.

**2.5. COMMANDERS/DIRECTORS, INTERNATIONAL AND SPECIAL PROGRAMS DIRECTORATES; EASTERN, CENTRAL, AND WESTERN REGIONAL COMMANDS.** The Commanders/Directors will:

a. Serve as the primary focal point and coordinator for all subordinate organization's corrective action activities.

b. Validate subordinate organization's corrective actions, determine whether they are to remain open or closed, and provide letter of assurance (LOA) to the OIA-IG to obtain final closure for all corrective actions.

c. Participate in scheduled Agency Corrective Action Plan meetings to provide detail on corrective action status.

d. Perform corrective action activities in accordance with DCMA-MAN 933-01.

**2.6. COMMANDERS/DIRECTORS, ASSESSED ACTIVITY.** The Commanders/Directors of assessed activities will:

a. Ensure the availability of personnel during the assessment.

- b. Ensure that requests for data, entrance clearance, and other administrative matters are processed prior to assessment initiation.
- c. Perform corrective action activities in accordance with DCMA-MAN 933-01.



## SECTION 3: GENERAL PROVISIONS

**3.1. DESCRIPTION.** The DCMA Inspector General is focused on independent inspections and evaluations of DCMA's implementation of statutory/regulatory policies and processes across all capabilities, along with providing functional expertise through teaching and training. The purpose of assessments is to assess, assist, and enhance the ability of DCMA to prepare for and perform its assigned mission. These inspections and evaluations ensure organizational alignment with the DCMA strategic plan, vision, and mission. Assessments encompass inspections, evaluations, assistance, teach and train.

**3.2. ACTIVITIES.** The following is a list of activities performed to support inspections and evaluations. Specific responsibilities and processes for activities are outlined in the corresponding manual(s).

- (a) Establish assessment requirements
- (b) Develop assessment criteria
- (c) Identify assessment candidates
- (d) Develop assessment schedule
- (e) Identify team members
- (f) Notify candidates of assessment
- (g) Receive data
- (h) Review and analyze data
- (i) Conduct/support assessments
- (j) Document results
- (k) Publish results
- (l) Implement and track corrective actions
- (m) Follow-up
- (n) Close assessment

**3.3. PRODUCTS.** Products to support inspections and evaluations are prepared as appropriate.

- (a) Strategic Inspection Plan
- (b) Inspection Guides
- (c) Schedule of Assessments
- (d) Assessment Notification Letter
- (e) Data Call List
- (f) Briefings (In-Brief, CAP, etc.)
- (g) Agency CAP Tracking Tool Results (Findings, Observations, Bright Spots, etc.)
- (h) Reports (Summary, Executive Summary, etc.)
- (i) Post Assessment Tasking Memos
- (j) Intake Package to the DROC

## GLOSSARY

### G.1. DEFINITIONS.

**Assessments.** Encompasses inspections, evaluations, assistance, and teach and train functions of the identified entity.

**Bright Spot.** A bright spot is a successful effort worth emulating. The term is used to highlight organization practices that the OIA-IG believes are among the most effective and/or efficient methods of accomplishing a given task and are worthy of recommendation for sharing with other organizations.

**Candidates.** Entities identified for inspection and evaluation by the Office of Internal Audit and Inspector General.

**Finding.** Those areas non-compliant with a regulation or policy/instruction requirement or failure to adequately answer a Management Framework question. Any finding will have a recommendation associated with it. Each finding will also quantify whether it's systemic in nature or a one-time occurrence.

**Inspection Guides.** Document or workbook that is used to support the Inspector General inspections and evaluations.

**Observation.** Informal comments that the OIA-IG shares with the CMO, based on interviews and analysis of data. These comments do not rise to the level of an OFI or Finding. Observations are normally not included in a Summary Report. An exception would include the identification of a bright spot.

**Policy.** Rules and requirements approved by the Director used throughout the Agency to efficiently and effectively comply with higher authority policy and mission objectives. Policy provides clear and concise direction to policy users.

**Policy Gap.** Identified when a finding results from unclear or non-existent Agency policy or inadequate Agency processes/tools.

**Procedures.** Standard, detailed steps prescribing how to perform specific tasks in support of one or more policy statements and are written in an approved issuance.

**Strategic Inspection Plan.** A plan developed as a result of the goals, expectations, standards, vision and operating methods identified by the Director.

**Subject Matter Expert (SME).** A person with expert knowledge and deep understanding of a particular process and function and who is an authority in a particular area or topic. SMEs are responsible for defining the business processes, policies, and the application requirements within a function.

## GLOSSARY

### G.2. ACRONYMS.

CAP	corrective action plan
CIGIE	Council of the Inspector General on Integrity and Efficiency
CMO	Contract Management Office
DCMA-INST	DCMA Instruction
DCMA-MAN	DCMA Manual
DoDD	DOD Directive
DROC	DCMA Requirements Oversight Council
HQ	headquarters
IG	Inspector General
LOA	letter of assurance
OIA-IG	Office of Internal Audit and Inspector General
POC	point of contact
SME	subject matter experts

## **REFERENCES**

DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)," January 10, 2013  
DCMA-INST 501, "Policy Issuances Program," April 13, 2017  
DCMA-MAN 933-01, "Corrective Action Plan Process for External and Internal Assessments,"  
May 11, 2017