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ARMY REGULATION }  
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HEADQUARTERS  
DEPARTMENT OF THE ARMY  
WASHINGTON, DC, 18 October 1971

**PERSONNEL—GENERAL**  
**COMMAND PERSONNEL MANAGEMENT INSPECTIONS**

*Effective 1 January 1972*

*This regulation exempts or defers CPMI when other inspections accomplish the objectives of CPMI as outlined in this regulation; revokes authority to attach additional personnel to the permanent team(s) on a TDY basis for specific periods of time; adds PERMACAP as a major category of personnel operations to be inspected and rated; clarifies sample size and computation of deficiency points; requires the results of inspection of PERMACAP, if applicable, to be added to DA Form 3532-R (Worksheet) and DA Form 3533-R (Score Sheet); authorizes the CPMI team chief to recommend reinspection of any subcategories inspected, even though the overall rating is excellent or satisfactory; and changes requirement for reinspection within 60 days to 90 days. This regulation establishes the responsibilities, scope, and procedures for conducting personnel management inspections. Local supplementation of this regulation is permitted. If supplements are issued, Army Staff agencies and major Army commands will furnish one copy of each to the Chief of Personnel Operations.*

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\*This regulation supersedes AR 600-61, 15 August 1969, and DA message OPOPME 301832Z Jun 70 (U), subject: Interim Change to AR 600-61 (Change I).

## Section I. GENERAL

**1. Purpose.** This regulation establishes the responsibilities, scope, and procedures for conducting command personnel management inspections (CPMI) of Active Army units. It does not prohibit or replace the formal or informal inspections of personnel operations conducted at the discretion of commanders at any echelon.

**2. Scope.** *a.* This regulation applies to all Active Army units Army-wide which have responsibility for any of the following actions:

(1) Maintenance of Military Personnel Records Jacket (MPRJ) (DA Form 201).

(2) Submission or processing of morning reports (DA Form 1).

(3) Classification, assignment, and utilization of military personnel.

(4) Requisitioning or distribution of military personnel resources.

(5) Military personnel data reporting.

*b.* This regulation does not apply to ROTC or units of the Reserve components. This is not intended, however, to exclude those Active Army units/activities associated with either ROTC or Reserve units.

**3. Explanation of terms.** *a. Major deficiency.* An error, omission, or procedure which has a significant adverse impact on the identification, classification, management, or utilization of personnel resources; causes an improper award or withdrawal of an individual's benefits; denies equitable opportunity and treatment of the individual; involves noncompliance or inaccurate compliance with directives and regulations resulting in a serious adverse impact on personnel readiness.

*b. Moderate deficiency.* An error which does not have the impact of a major deficiency but which must be corrected to increase the accuracy of information or improve the personnel procedure/action in question.

*c. Minor deficiency.* An error in manner of recording or reporting correct information. An example of a minor deficiency would be recording as

a permanent entry something which is directed to be a temporary entry on the DA Form 20 (Enlisted Qualification Record).

*d. Acceptable standards.* Compliance with current Department of the Army directives. In cases in which general guidance only is provided, an operating procedure that produced the desired results will be considered acceptable.

*e. Deviations.* Noncompliance with directives resulting in a deficiency.

**4. Objective.** The objective of the CPMI is to obtain for the commander an evaluation of the effectiveness of military personnel management and the identification of problems within his command.

**5. Responsibilities.** *a.* Commanders of major Army field commands (defined in AR 10-5), CONUS armies, United States Army Military District of Washington, US Army Vietnam, Seventh US Army, and Eighth US Army are responsible for—

(1) Establishing permanent CPMI teams of adequate composition to assure accomplishment of required CPMI.

(2) Assuring that units of their command receive CPMI in accordance with this regulation.

(3) Assigning personnel to the CPMI team on a permanent, primary duty basis.

*b.* Chiefs of DA agencies are responsible for assuring that units under their command or operational control receive CPMI in accordance with this regulation.

*c.* Commanders specified above and heads of DA agencies may request assistance from each other in accomplishing CPMI based on geographical considerations and economy of operation.

*d.* Authority to delegate the accomplishment of CPMI below levels specified in *a* above rests with Department of the Army. Requests will be submitted to the Chief of Personnel Operations (HQDA (DAPO-PMT) Tempo ABC, Washington, DC 20315).

## Section II. INSPECTION POLICIES

**6. Scheduling.** *a.* Major emphasis will be directed toward the lowest level of command maintaining Military Personnel Records Jacket, US Army (MPRJ) (DA Form 201).

*b.* Units maintaining personnel files will receive a CPMI at least annually. Commanders having responsibility for conducting CPMI are authorized to make the following exceptions:

(1) Exempt or defer CPMI when other inspections accomplish the objectives of CPMI as outlined in this regulation. This authority will be exercised when clearly warranted by results of the other inspections.

(2) Waive all or any part of the CPMI whenever the inspection would curtail the fulfillment of a unit's combat or combat support role under emergency or hostile conditions.

**7. Announcement of inspections.** The purpose of the CPMI is to provide a realistic evaluation of personnel management under normal operating conditions. Advance notification of inspection date will be held to the minimum practicable. Twenty-four hours is considered sufficient for most units. Additional time may be required to assure presence of appropriate personnel, to minimize disruption of operations, and, when applicable, to verify security clearance of inspectors. Reasonable care should be exercised to avoid interference with important operational and training requirements. Unannounced inspections are at the discretion of commanders.

**8. Composition of inspection teams.** *a.* The composition of the teams will be determined by the geographical area to be covered and number and

size of units to be inspected. The team should consist of a team chief of field grade rank and sufficient team members (officer, enlisted, or civilian personnel) qualified in personnel procedures through either formal schooling or field experience of at least 2 years.

*b.* Inspection teams will be established as permanent teams, staffed by personnel whose primary duty is the accomplishment of CPMI team activities. The CPMI program must be carried out within existing manpower and fund resources. These functions will not be accomplished by personnel detailed to the teams as an additional duty. As an exception, when inspecting units supported by AMB/AMD, an additional member will be detailed from the Army servicing/or nearest DPA.

*c.* Team members will, as a minimum, be cleared in accordance with AR 604-5 for access to information classified SECRET. The team chief will be cleared for access to information classified TOP SECRET.

**9. Instructions.** Commanders conducting CPMI will publish directives establishing actions to be taken by units in preparing for an inspection once notification has been received.

### Section III. UNIT PREPARATION FOR INSPECTION

**10. Preparation actions.** *a.* Upon notification of a forthcoming CPMI, all personnel records will be returned to the custodian and remain in place until the inspection has been terminated.

*b.* The following exceptions to *a* above apply:

(1) Personnel records of personnel undergoing outprocessing for any reason.

(2) Records being held by medical facilities.

(3) Records which accompanied personnel on TDY.

*c.* Personnel involved in the administration of personnel functions will be made available to the CPMI team during the inspection to the maximum extent possible.

*d.* Personnel in sufficient numbers to meet the sample size required in paragraph 14 for personal interviews will be made available. Substitution by name of selected interviewees will be at the discretion of the CPMI team. Personnel in a trainee, patient, or student status will be excluded from personal interviews. When sufficient personnel cannot be made available for personal interview based on operational requirements or geographical location, the CPMI Team Chief may direct a desk audit of the sampled records in lieu thereof.

### Section IV. CONDUCT OF INSPECTIONS

**11. General.** CPMI will be accomplished by reviewing the operating procedures and files of military personnel offices, staff sections having personnel management responsibilities, and TOE/TD units and interviewing randomly selected offi-

cer and enlisted personnel of the inspected organization.

**12. Scope of inspections.** *a.* The following major categories of personnel operations will be inspected and rated:

(1) Classification, utilization, and assignment of personnel.

(2) Records maintenance and accuracy.

(3) Personnel accounting and data reporting.

(4) Enlisted evaluation, proficiency pay, and officer efficiency reports.

(5) Promotion system.

(6) Personnel actions.

(7) Personnel readiness files.

(8) Personnel Management and Accounting Card Processor (PERMACAP).

*b.* At the discretion of the chief of the CPMI team, visits to TOE/TD unit orderly rooms may be canceled if sufficient information is available at the personnel office to adequately rate all categories of personnel operations listed above.

**13. Records and personnel selection.** *a.* The selection of personnel to be surveyed, along with their records, will be made by the senior member of the CPMI team present, without influence from the inspected unit.

*b.* The random selection technique used must give every record an equal opportunity for selection in order to insure a reliable sampling.

*c.* In order to appraise adequately a given phase of the operation, it may become necessary to select specific records apart from, and in addition to, the sample size set forth in paragraph 14. The necessity to select additional records will be at the discretion of the senior member of the CPMI team present.

**14. Sample size.** *a.* The number of personnel with their records to be surveyed will be determined separately for officers (including warrant officers) and enlisted personnel. The two separate samples will be based on the combined present operating strength (column 13f of the latest morning report(s)) for all units serviced by the inspected personnel office.

*b.* The following sample size will be used:

Number of personnel (Column 13f, DA Form 1)	Base sample
150 or less	20 percent of total personnel.
151-300	45 individuals.
301-500	60 individuals.
501-2,000	75 individuals.
2,001-5,000	90 individuals.
5,001 and over	100 individuals.

*c.* The sample sizes listed in *b* above will give a statistically acceptable indication of the status of reviewed operations.

*d.* The following samples will be used when reviewing the inspected areas listed below. Included are the factors to be used when computing the deficiency points. In these cases, the total number of deficiency points in subcategory will be divided by the number of records, forms, reports, or actions checked to determine rating for subcategory. Where not specifically mentioned, the sample from *b* above will be used for computation of deficiency points.

(1) *Requisitions.* Review all requisitions submitted during the previous 4 months. Use total requisitions to compute deficiency points.

(2) *Surplus reporting.* Review the current surplus reports. Use total surplus reports and cancellations reviewed to compute deficiency points.

(3) *Levy actions.* Review the most current levy for actions taken. Select one or more previous levies containing 10 or more names (if available) on which completed action should have occurred (availability month same as or immediately preceding inspection month). Review later levies for all actions taken. Use total number of levies reviewed to compute deficiency points.

(4) *Advance List of Oversea-Returnees for Reassignment (AOR).* In oversea commands review all AOR reports submitted during the previous 4 months. Use total AOR reports reviewed to compute deficiency points.

(5) *Variable Reenlistment Bonus (VRB).* Use the total number of cases from the sample of individuals who have reenlisted for a VRB at the current duty station for computation of deficiency points for units with strength of 151 or more. For units with strength of 150 or less, review all records and use the total number of individuals reenlisted for VRB at the current duty station for computation of deficiency points.

(6) *DA Form 1.* Review 20 percent of all morning reports submitted for the previous 60 days for each category of personnel (PP, TR, SRCP, etc.). A minimum of five morning reports should be inspected. Use the number of morning reports reviewed to compute deficiency points.

(7) *DA Form 1-1.* Review the number of DA Forms 1-1 in accordance with the formula contained in *b* above. Use the number of DA Forms 1-1 reviewed to compute deficiency points.

(8) *CSGPA 1114 Military Personnel Rosters.* Review all the most recent monthly CSGPA 1114

Military Personnel rosters which have been verified and returned by the unit personnel office. The number of individuals checked per roster will be in accordance with sample size stated in *b* above. Use the number of rosters reviewed to compute deficiency points.

(9) *Casualty reporting.* The number of reports reviewed will be at the discretion of the team chief. This area may be exempted if the volume or frequency of reports submitted would not be conducive to an adequate review of procedures involved. If rating is accomplished, the number of reports reviewed will be used to compute deficiency points.

(10) *Enlisted evaluation.* Review Enlisted Evaluation Transmittal Rosters (DA Form 2165-3) submitted for the previous test month (as scheduled in quarterly Department of the Army MOS evaluation test announcements). Use number of cases followed-up plus number of enlisted personnel eligible for testing from sample to compute deficiency points for units with strength of 151 or more. For units with strength of 150 or less, screen all DA Forms 20 and use all eligible personnel to compute deficiency points.

(11) *Proficiency pay.* Use the total number of cases from the sample of individuals who have had or should have had a proficiency pay action at the current duty station for computation of deficiency points for units with strength of 151 or more. For units with strength of 150 or less, review all records and use the total number of cases of individuals who have had, or should have had a proficiency pay action at the current duty station for computation of deficiency points.

(12) *Officer Efficiency Reports (OER).* Review actions on OER completed within the last 90 days as indicated on DA Forms 2876. Use base sample of 20 percent. Use number of OER submitted within the last 90 days to compute deficiency points.

(13) *Officer promotions.* Review all promotion actions to major, MC, captain, first lieutenant, and warrant officer CW2—

(a) Made during the 30-day period preceding the inspection.

(b) Whose promotion eligibility date to a grade shown above is during the 30-day period subsequent to the start of the inspection.

(c) Whose promotion eligibility date to a grade shown above is subsequent to an established PCS departure date and should be effected prior to the officer joining the new unit of assignment. Use total number of promotion actions reviewed to compute deficiency points.

(14) *Promotion boards.* Review actions of the four most recently conducted promotion board proceedings. Use number of promotion board proceedings which were reviewed to compute deficiency points.

(15) *Enlisted promotions and reductions.* Review all promotion and reduction actions accomplished during the previous 30-day period. Use total number of promotion and reduction actions to compute deficiency points.

(16) *Flagging actions.*

(a) *Military personnel offices.* Review 50 percent of total currently flagged records. Use number of cases reviewed to compute deficiency points.

(b) *Personnel control facilities.* Review 10 percent of the total currently flagged records. Use number of cases reviewed to compute deficiency points.

(17) *Suspense actions.* As a minimum, review the Personnel Suspense Card (DA Form 2431) or the Personnel Suspense Roster (DA Form 2474) listing for all individuals contained in the sample. Use total number of individuals checked for suspense actions to compute deficiency points.

(18) *Readiness files.* Review the number of files in accordance with the formula contained in *b* above. Use number of files checked to compute deficiency points.

(19) *Documentation.* Review all documents required to be maintained by the appropriate governing directives. Use the number of documents actually checked to compute deficiency points.

(20) *Equipment availability.* Review the three most recent Equipment Availability Reports to determine the actual utilization of each piece of assigned equipment. Use the number of items of equipment actually checked to compute deficiency points.

(21) *Data capture.* Select at random, 25 paragraphs of Special Orders incorporating a change of essential data, and published at least 7 and not more than 14 days prior to the date of inspection. Use number of data changes actually followed-up

plus the number of 201 files checked for the presence of Pre-Punched Change Cards to compute deficiency points.

(22) *Error resolution.* Select at random 100 items from the most recent Roster of Exceptions and 100 items from Transaction Registers printed at least 7 and not more than 14 days prior to the date of inspection. Use total number of items checked to compute deficiency points.

(23) *Files maintenance.* Review each file that is required to be maintained by AR 680-4. Use the

number of files required to compute deficiency points.

(24) *Edit and update programs.* Review all programs required by AR 680-4, as changed. Use the number of programs required to compute deficiency points.

(25) *Reports.* Review the most recent issue of each report required by AR 680-4. Use the number of reports required to compute deficiency points.

## Section V. RECORDING, SCORING, AND REPORTING

**15. Recording inspection results.** *a.* Deficiencies found during the inspection will be recorded in accordance with DA Pamphlet 600-7.

*b.* All deficiencies noted during the inspection will be recorded on DA Form 3532-R (Command Personnel Management Inspection Worksheet) to include PERMACAP, if applicable, regardless of responsibility for correction. Deficiencies beyond the capability of the unit to correct will not be scored against the unit if the unit has initiated appropriate action to bring the problem to the attention of the next higher echelon of command.

**16. Scoring.** *a.* Major deficiencies will be scored as 10 points.

*b.* Moderate deficiencies will be scored as 6 points.

*c.* Minor deficiencies will be scored as 1 point.

*d.* Deficiencies beyond the capability of the unit to detect or correct as outlined in paragraph 15 will be scored as zero.

*e.* All deficiencies will be scored on DA Form 3533-R (Command Personnel Management Inspection Score Sheet), to include totals for Category 8 from CPMI Score Sheet—PERMACAP Units, DA Form 3775-R, if applicable, regardless of on-the-spot corrections made. These forms are illustrated in DA Pam 600-7 and will be reproduced locally.

*f.* Deficiencies detected during the inspection will be eliminated when the unit can show that corrective action was initiated prior to the date of the inspection.

*g.* Deficiencies given a point value of zero under *d* above will be scored separately using point values assigned in *a*, *b*, and *c* above, and a single total will be shown in the narrative portion of the report. These points will not be recorded against the unit.

They are intended only to provide a qualitative basis for analyzing the degree of support required from outside agencies to achieve desired standards of personnel management.

**17. Reports.** The CPMI team will prepare a narrative report which summarizes the results of the inspection and which cites all areas requiring improvement. In all cases where the ability to resolve a problem is beyond the capability of the organization being inspected, the headquarters required to initiate corrective action will be identified. Narrative reports will contain a numerical rating of the overall effectiveness of personnel management of the inspected organization which will be translated into an adjectival rating of excellent, satisfactory, or unsatisfactory. DA Pamphlet 600-7 provides guidance for numerical and adjectival ratings.

**18. Critique.** The CPMI team will conduct a critique of the inspection prior to departure from the inspected unit. Personnel present for the critique should include the commander of the inspected unit with his key personnel. In addition, the commander, or his representative, from the next higher headquarters should be present when practicable. During the critique, the team chief and designated team members will explain the results of the areas inspected, the weaknesses noted, and suggested corrective action. Indicated weaknesses will be factually supported. Vagueness and generalities will be avoided. The overall unit rating will be announced by the team chief at the conclusion of the briefing. Personnel of the inspected unit should be encouraged to ask questions during the critique to clarify any points not understood.



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## Section VI. CORRECTIVE ACTION

**19. Immediate action.** Upon completion of the inspection, the commander of the inspected unit will take immediate action to correct all deficiencies discovered during the inspection which are within his capability to correct.

**20. Excellent and satisfactory ratings.** Nothing contained in this regulation shall preclude the CPMI team chief from recommending to the major commander that a unit be reinspected in any of the subcategories that do not meet acceptable standards even though a specific numbered category or overall rating is excellent or satisfactory.

**21. Unsatisfactory rating.** Units receiving an unsatisfactory rating will receive special consideration and attention by the headquarters directing the CPMI and all intervening subordinate headquarters with respect to immediate correction of the unsatisfactory conditions. This consideration will include an appraisal of the unit to determine if lack of command interest or negligence were factors contributing to the unsatisfactory condition. Units rated as unsatisfactory will receive a reinspection with 90 days by the CPMI team conducting the initial inspection and will continue to be reinspected until the unsatisfactory conditions which are within the capability of the unit to correct have been resolved. Necessary action to resolve unsatisfactory conditions beyond the capability of the unit concerned will be a matter of review every 60 days by each succeeding level of command until corrective action has been completed.

**22. Distribution of reports.** The report of the inspection, with copies of associated inspection sheets, will be distributed as follows:

*a.* A draft copy of the inspection results and worksheets will be given to the commander of the inspected unit prior to departure of the team. This information will be used by the commander to take immediate corrective action.

*b.* After command and staff evaluation, the headquarters responsible for the CPMI will forward the final report, with appropriate comments and instructions, through command channels to the unit inspected. The reports for unsatisfactory units will not be handled as a routine matter, but will indicate command interest and emphasis. The letter forwarding a CPMI report to the inspected unit should be signed by the Chief of Staff of the command responsible for conducting the CPMI. All reports indicating an unsatisfactory rating will be signed by the Chief of Staff or higher authority.

*c.* The headquarters responsible for performing the CPMI will process the inspection reports as appropriate to assure that deficient areas beyond the control of the inspected units are corrected.

*d.* Where a CPMI is being performed by a major command for the chief of a headquarters, Department of the Army agency, the report will be forwarded to the head of the Department of the Army agency concerned for compliance with *b* and *c* above.

*e.* Where a CPMI is being performed by a major command for another command as permitted under paragraph 5*c*, the report will be forwarded to the major command having operational control over the inspected unit for compliance with *b*, *c*, and *d* above.

*f.* Copies of subsequent reinspections will be distributed in accordance with *a* through *e* above.

*g.* CPMI reports will be furnished the DA Military Personnel Management Teams during visits to activities to facilitate the identification of problem areas and allow for the concentration of efforts of the DA Military Personnel Management Teams to help resolve these problems.

The proponent agency of this regulation is the Office of Personnel Operations. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications) direct to HQDA (DAPO-PMT), Tempo ABC, Washington, DC 20315.

By Order of the Secretary of the Army :

Official :

VERNE L. BOWERS,  
Major General, United States Army,  
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