FORWARD THIS NEWSLETTER TO <u>ALL</u> UNITS IN YOUR WING!

A note from Col Tom Kettell, CAP/IG: The IG Audience has evolved from a newsletter to being the Education Journal for the IG Program. Each quarterly issue has introduced a quality tool (or two) that will be implemented into program operations. The use of these tools by Wing IGs (first) and then Wing/Unit Commanders (with mentorship and assistance from IG) will be a contributing element towards moving CAP in the direction of continuous improvement and the establishment of a quality culture.
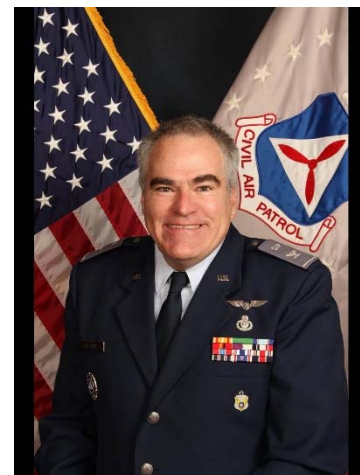
Q&A with the CAP/IGQ

by Col Tim Hahn, CAP/IGQ

There are lots of tools for you to use in ECIM; it's up to you to use them properly. Using them can make your job a lot easier. **"NOTES"** is probably the single most important one there is. I'd like to see far more than one or two as a case progresses from intake to closure.

One of the values of the survey that follows each journal edition is that we pick up new questions from the readers. I think this is GREAT! I have a request, though. The first question shown below is awesome! It's direct, it's easy to answer, and it gives us staff types a chance to help you out without a diatribe. The answer to that question will follow the question. However, I have a number of them that are a bit difficult to understand what you are looking for. One of those submitted is *"Investigations and ECIM"*. I'll be MORE than happy to help you in any way I can, but could you be a little more specific? I'd love every journal edition to get some of both – some on which I can do short Q&A on and some I can sink into an article. THANKS!

Q&A 1

When questioning cadets, as was brought up during the 2nd QTR IG Audience, it was not addressed on adult cadets. These are the cadets who are in the 18-21 years of age, legal adults, but still considered a cadet. Do they need the parental escort/attendance?

The answer is, a cadet is a cadet is a cadet. An excerpt of the article holds the answer:

The CAP Complaint Investigating Offices Guide states, "Interviewing cadets presents several unique challenges for the IO. The following guidelines should be followed when there is a need to interview cadets:

- Cadets should always be given the option to have a parent or guardian present for the interview. If the cadet requests a parent or guardian present for the interview, the interview may have to be rescheduled to accommodate their request.
  o If a parent or guardian is present at the cadet interview, the IO should:
    ▪ Brief the parent or guardian that they are to remain quiet during the interview.
    ▪ The parent or guardian should be seated in the interview room out of the line of vision of the cadet. Seating the parent or guardian behind the cadet is the optimal location.

When interviewing a cadet, it is advisable to have a third party (same sex as witness) in the interview. This may be another appointed IO who can take notes while the interview is conducted."

*Note that it does not *require* that a parent be in the room – it states you should give the cadet the option.

Q&A 2

I would like to see the Complaint process done in the same manner and simplicity as the SUI was done. I have always found understanding the complaint process the hardest part of being a Wing level IG.

I'm not sure what you mean by the same manner and simplicity as the SUI. During an inspection the proof of compliance is there, or it's not. So it's pretty cut and dried as to the answer to the question, YES or NO.

During the processing of a complaint, there are multiple steps required. This is laid out very well in the "Complaint Investigating Officer's Guide". While there are some changes coming to the system to make it a bit easier, you will still need to do some form of Complaint Analysis just to lay out the facts and determine if there was a violation of the regulations or not, or if additional investigation is required.

While a Complaint Analysis is always required, you *can* conduct a preliminary investigation to gather basic facts. Quite often this will allow you to make a clean decision based on facts at hand rather than go to a full-blown investigation.

Q&A 3

Wing staff officers and the IG program. A need to be familiar with the IG program for CIs, SAVs, and SUIs.

We in the IG world salute you! We fully agree. The more people that learn about the IG program, the easier it will be for the people actually doing the job. The wings with the most highly educated staff, from the Commander on down, have the fewest IG complaints filed, and certainly the fewest waste of time complaints!

The ease with which a Senior Level IG Course can be scheduled makes attendance for many people much easier. Those who graduate from that class have a far better understanding that those that have not.

Really good Commanders have educated themselves by attending the Senior Level IG Course and, when possible, the IG College. They also train their subordinate commanders to be communicative and to solve problems at the lowest level. They are also not afraid to contact IG staff for advice on handling problems and the best way to deal with some situations. Units that work through problems and communicate with their members are highly successful and generally have few IG complaints filed.

Submitting an IG Complaint.

This process is covered in detail in CAPR 123-2. However, this is a good time to remind people what the regulation says. "Complaints must be accompanied by all available documentation in the possession or control of the complainant and must include a completed CAPF 30, *IG Personal and Fraud, Waste & Abuse Complaint Registration Form.* CAPF 30 is the summary page for the complaint and should indicate the CAP standard(s) (an identifiable directive, instruction, policy, regulation, rule, statute or other standard) alleged to have been violated."

If there is no violation of an identifiable directive, instruction, policy, regulation, rule, statute or other standard then there is no reason to send anything to the Inspector General! Please consider carefully that a commander has a right to move a vehicle or aircraft to another unit, has the right to determine which "legal" uniform is required for an activity, etc.

What Happens to Inspection Questions when CAP Regulations Change?

by Lt Col Craig Gallagher, *CAP/IGT*

History:

Before 2013, there was a 55-page Compliance Inspection (CI) Guide and a 42-page Subordinate Unit Inspection (SUI) Guide. The guides contained all the questions that were to be asked and answered in an inspection along with the CAP regulation references that supported the question. Regulations were changing but no one had the requirement, time or inclination to update the inspection guides. It didn't take very long before the guides for both CIs and SUIs were so far out of date that a major rewrite was required.

Currently:

In 2013, Lt Col Robert Griffith, CAP-USAF/IG, proposed a revised inspection methodology that would greatly simplify the integration of the inspections with regulation changes. Under the leadership of Col Paul Gloyd CAP-USAF/CC (Ret.), a Concept of Operations (CONOPS) was developed for a new methodology for changing regulations. One of the new requirements is that the Office of Primary Responsibility (OPR) is responsible for the CI and SUI questions that will be asked during inspections. The list of questions is attached to the regulation as an Appendix. The OPR will work with IG personnel to make sure the inspectors know how to verify compliance, what the exact wording of a discrepancy is and how the unit with a discrepancy can clear it.

The initial set of questions came from doing a word search in all regulations for every "will", "shall" or "must" to separate all the requirements from the "nice to haves" ("shoulds"). From that initial list of questions, the OPRs were contacted for their assessment of whether a requirement was "mission critical" – and if not – the question was dropped.

Once CAP/IG receives the compliance questions from the OPR, they are:

1. Converted first into Microsoft Access.
2. Then the IG Knowledgebase, CI Worksheets and SUI Worksheets are formatted.
3. The Tab Sections of the CI and SUI reports have their questions updated.

4. The IG Knowledgebase for each Tab section is printed to a PDF format for posting to the https://www.capmembers.com/cap_national_hq/inspector_general/inspection-knowledge-base/ website.

5. The CI and SUI Worksheets and report formats are printed to PDF format and then have their data fields inserted before posting to their respective websites.

Notice the first heading says "Checklist and Tab", which makes sure the questions get to the correct Worksheet and Tab Section.

If the Compliance Question or the Discrepancy Write-up changes significantly, the question will be given a new number and the old number will be retired (you've seen the "(DELETED)" questions on the reports, right?).

The first two regulation produced under the CONOPS are CAPR 100-1, Radio Communication Management and CAPR 1-2 Publication Management. Besides all the normal changes you get with a new release, there is the idea is that regulations will periodically change and we should be able to release updated inspection material in concert with the revised regulation being released in a timely manner.

48   CAPR 100-1 ATTACHMENT 1   6 APRIL 2016

Attachment 1
COMPLIANCE ELEMENTS

Checklist and Tab	#	Compliance Question	How to Verify Compliance	Discrepancy Write-up	How to Clear Discrepancy
CI C-2	01	a) Has the wing published any supplements, operating instructions (OI) or waivers IAW CAP regulations? If "no" then answer "N/A". If "yes" got to next question. b) Were the supplements, OIs or waivers approved IAW CAPR 100-1 prior to implementation?	Wing will submit a copy of approval documentation along with approved supplement, operating instructions and waivers. Compliance is determined by comparing the wing's published supplements, OIs and waivers with NHQ/DO records. NOTE: If supplement is not marked or posted correctly, it is a D-4 Question 1. All other discrepancies are documented under this question.	(A-Discrepancy): [xx] (Question 1) Wing supplement, OIs or waivers to CAPR 100-1 were not approved by CAP/DO prior to implementation IAW CAPR 100-1 para 1.8.	Attach a copy of the approved supplement, OI or waiver to the discrepancy in the Discrepancy Tracking System (DTS).
CI C-2	02	a) Has the wing	a) & b) Check with	a) (A-Discrepancy): [xx]	a) Attach a copy of

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Status of IG Module Report Capability & Implementation

by Lt Col Les Manser, CAP/IGTA

Now that there has been more than two years' worth of Discrepancy Tracking System (DTS) CI/SAV/SUI Discrepancies (inputs) generated, a logical question asked by many readers has been "where are the IG Module Reports (outputs) that IG/CC/OPRs can use for data analysis, data-driven management decision making and short/long-term problem solving?"

The IG Module was originally developed with a Reports section and it currently contains two items:

- Inspection Reports for any unit (applicable to your level of access) from any applicable inspection – options:
    - Inspection Report - a listing of all issued discrepancies, responses and their status
    - Open Findings Report – a listing of only open discrepancies with their next Due Date for a response
    - IG Data Dump – not yet developed
- Trend Analysis – search function for identifying all discrepancies issued to all units (applicable to your access) containing a key word or phrase i.e. search parameter(s):
    - Listing – shows all applicable discrepancies (shown under the "Remarks" column)
    - Create Report – not yet developed

As you can see, these items were started but never completely developed. This was due to WMIRS 2.0 priorities and the needed IT resources.

Earlier this year, the new head of CAP/IT (Kathy Conyers) implemented a systematic and business-proven process for receiving, processing, evaluating, prioritizing and implementing eServices system/module changes. Without going into all the process details:

- A change is submitted by a NHQ/OPR to CAP/IT to include a "User Story" – The Problem, The Goal, and Discussion. This results in a Software Change Request (SCR).
- The SCR will be added to an SCR Repository Priority List. This list is reviewed by the IT Committee weekly and will be made available to Commanders the first week of each month.
- The SCR Repository contains a comprehensive list of all IT projects that have been evaluated by the IT Steering Committee and assigned an enterprise ranking.

Currently, CAP/IGI has submitted one item addressing both data dump and trend report functionality (shown as "not yet developed", above). When implemented, it will enable units to see where they are having the most difficulty in being compliant with CAP regulations via a Microsoft Excel spreadsheet (as a minimum).

Naturally, it would be nice if the user could click on the Data Trends application and be asked for beginning and ending dates, region and/or wing limitations of what the user can access normally, then have an option to show a bar chart (example shown below – Top Ten Discrepancies) with the actual count as well, showing the most common discrepancies first or just drop the data into an Excel spreadsheet.

The expected user would be any IG, Wing/Region/National Commander or any Wing/Region/National staff person.
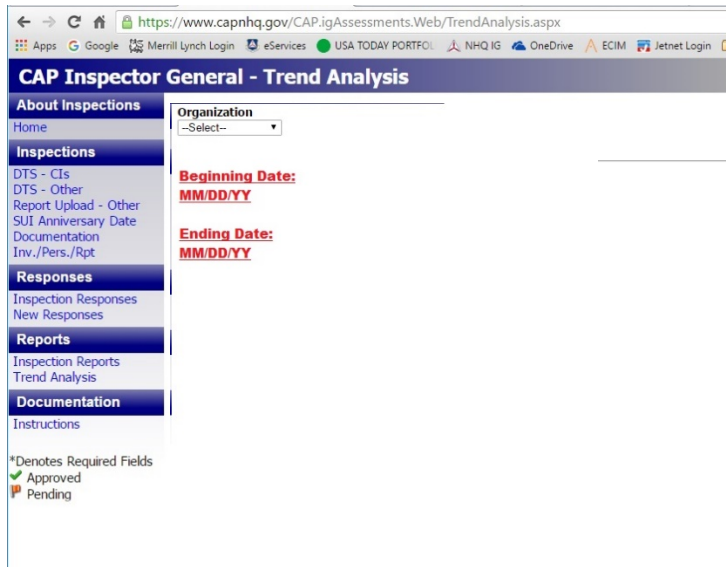
TOP TEN CI/SUI DISCREPANCIES BY TAB/QUESTION 2014-2016
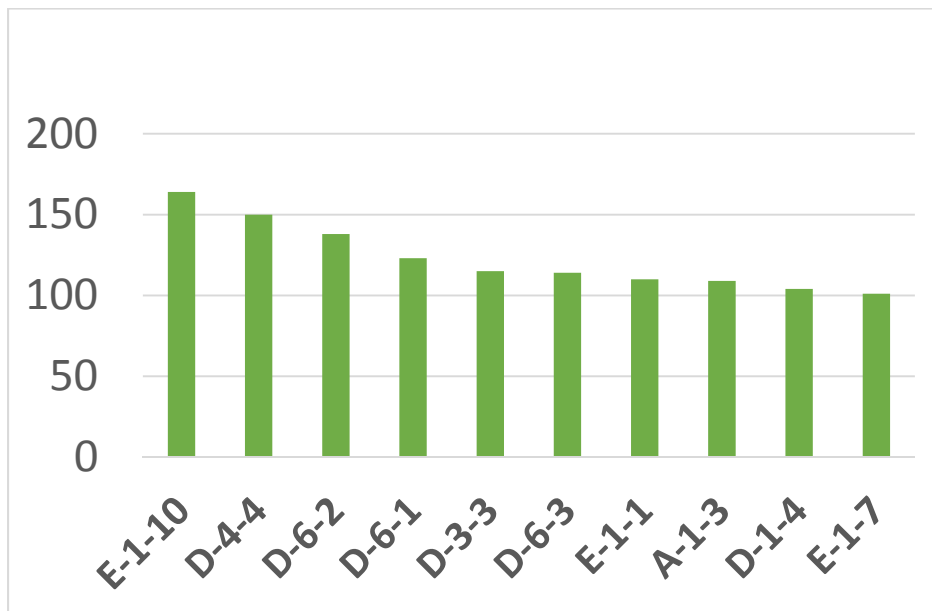
This graph was created from a manual extraction of all discrepancy data from DTS, then eliminating redundant/irrelevant data, then completely re-formatting/re-aligning the remaining data, adding column/cell calculations and finally using the summary data/counts from all CI/SUI Tabs.

This effort took a competent Microsoft Excel user over a month to accomplish!!

We certainly don't want 52 Wing IGs and 8 Region IGs (plus anyone else, for that matter) expending this amount time/energy – so it is hoped that the CAP/IGI request explained above is processed and implemented in a timely manner.

Electronic Form 45

by Lt Col Don Barbalace, CAP/IGTA

A member has asked if it is permissible to maintain the CAPF 45 in electronic form. The short answer is YES. National has provided fillable versions of the Form 45 in both Word and PDF. You may use these forms, or you may create your own using a database of some sort like Excel or Access. The regulatory concern is that you keep the records, not *how* you keep them. As long as you have the information recorded and available upon inspection, you will be in compliance with this requirement in both SUI and CI.

A complication in this matter is that the D-5 tab cites CAPR 50-17 para 2-4a and b, which does not contain the "will" directive. R50-17 only says the "Form 45 is generally used" and that "the PDO will normally use the online Specialty Track…" Neither term, *generally* or *normally*, is directive.

Words like *should*, *generally*, *could*, and *may* are **permissive**, not regulatory. That is, they give permission for an action or practice, but do <u>not</u> require it. On the other hand, *will*, *shall*, and *must* regulate; they require an action. As inspectors, we are in the "will, shall, and must business," not the "could, should, and may" business. Inspectors and their worksheets cannot require something that is not required by the regulation.

We checked with the NHQ staff concerning the precise requirements of the Personnel and Professional Development departments and got a clear reply from Susan Parker, CAP's Chief of Personnel and Member Actions. She replied in part,

> Units don't have to use the Form 45 at all as long as they have some means of maintaining information. They can use some other type of personnel file or an electronic file, as long as they have something. CAPR 39-2, para 1-7 states: *"Many achievements/training are recorded in the member's online membership record available for review through the eServices section of the CAP website. Units may use this information to supplement the information maintained in the physical file at the unit level. The online record cannot be used as the only personnel file since all information concerning the member is not currently tracked online."* The intent of this was to give the units flexibility in what they had to maintain. If the information is listed in eServices, as far as Personnel is concerned, it does not need to be entered on the actual Form 45 or maintained separately. Our goal is to have all the information eventually recorded in eServices …

> CAPR 39-2, paragraph 1-7 also says: "Regardless of who maintains the personnel file, the professional development officer remains responsible for recording professional development training as prescribed in CAPR 50-17." CAPR 50-17, para 2-4a states: "The PDO will normally use the online Specialty Track Administration program and Professional Development Awards program to record each member's progress in the Professional Development Program. The Form 45 is generally used to record information not contained in eServices." The word "generally" in this case means it is a common way to record what isn't tracked online but it does not require the use of the Form 45. The units have to have some way to track requirements for PD awards like presentations to outside organizations, conference attendance or service as staff member at a CAP course but they are not required to use the Form 45 for that any more.

If a worksheet is in conflict with the regulation, as in requiring something <u>not</u> required by the regulation, inspectors can mark the question N/A. It is the regulation that governs, not the worksheet.

![Inspector General Civil Air Patrol logo] *Upcoming Inspector General Training*

October 2016

GLR IG Senior Course – Dayton, OH 22-23 October 2016 - contact Col Jay Burrell at jayburrell@comcast.net

November 2016

PCR IG Senior Course – Bakersfield, CA 3-4 November 2016 - contact Lt Col Craig Gallagher at igt@cap.gov

MER IG Senior Course – Ellicott City, MD 10-11 November 2016 - contact Lt Col Cheryl Fielitz-Scarbrough at cfielitzscarbrough@cap.gov

December 2016

NER IG Senior Course – Fort Indiantown Gap, PA 3-4 December 2016 - contact Lt Col Wayne Toughill at wayne@toughhill.com

What to do if you want to host an IGSC:

1. **Measure Interest:** 12-20 students
2. **Plan When:** Adjacent to, but not during Wing/Region Conference
3. **Plan Where:** Wi-Fi, Power for Computers, Projector, Desks or Tables
4. **Contact** the CAP/IGT (igt@cap.gov) to get an instructor and schedule the class
5. **Write** a "Promotion Piece" for the class
6. **Recruit** students (20 max)

Upcoming Compliance Inspections

WING	CI DATES	CYCLE/INSP#
CT	15-16 Oct 16	4-49
NJ	12-13 Nov 16	4-50
NE	10-11 Dec 16	4-51
NC	28-29 Jan 17	4-52

IG Audience/LMS-IG Points of Contact

SEND ARTICLE SUBMISSIONS FOR THE IG AUDIENCE DIRECTLY TO LT COL LES MANSER at lesmanser@gmail.com.

With your article, please submit 3-5 good, multiple-choice questions and a wrong-answer feedback explanation for each question.

FINAL EDITOR FOR THE IG AUDIENCE IS LT COL DON BARBALACE at sdig.cap@gmail.com (do not send articles to him)

LEARNING MANAGEMENT SYSTEMS DIRECTOR FOR IG COURSES IS LT COL DON BARBALACE at sdig.cap@gmail.com