



# CIVIL AIR PATROL INSPECTOR GENERAL IG AUDIENCE

Volume 7 Issue 1

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**FORWARD THIS NEWSLETTER TO ALL 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.



## ***Trouble Getting the SUI Scheduled?***

*by Lt Col Craig Gallagher, CAP/IGT*

There are very few people who enjoy being inspected and Squadron Commanders are no exception. I have even run into Squadron Commanders who feel an inspection is a waste of their valuable time! One thing we all know to be true is “what gets measured gets done” – and it is the exceptional commander who can keep everything high enough on the priority list to “Ace” an inspection.

Of course, there are a myriad of excuses why an inspection at this time is just not possible (SAR EVAL, Encampment, Ops Training, etc.) but the fact is the Inspection Team Chief is required to notify the Squadron Commander 60 days before the SUI Anniversary Date to request a time that is good for the squadron. At that point, you have a five month window (2 months prior plus 3 months after the SUI Anniversary Date) in which to complete the inspection. A commander who cannot schedule an inspection anytime during a 5-month period is probably in the wrong position.

Just a reminder – inspectors hold a staff position - not a command position. This means you cannot tell a Squadron Commander what to do – that is why we have Group and Wing Commanders. IGs are the eyes and ears of the commander, not the mouth! You do have an obligation to explain what is required concerning inspections and supply the necessary inspection worksheets.

You can tell if a Squadron Commander is resistant to getting inspected if s/he doesn't answer three of your emails in a row requesting an on-site date and time. After that, you should try a phone call in which you explain that this is an offer they cannot refuse. If they don't get inspected, squadron activities

will be suspended until the SUI Report is posted to eServices (CAPR 123-3 para 12). You should also explain that if their squadron doesn't properly prepare for the inspection and it results in an overall grade of Unsatisfactory, they will get another inspection in six months (probably under new leadership....).

If you aren't able to talk with the Squadron Commander, contact the Group Commander to carry the message. If you don't get results in a week with the Group Commander, go to the Wing Vice-Commander. If you are still not able to get a date set for the inspection, have a heart-to-heart talk with the Wing Commander and suggest ways that s/he could incentivize the reluctant Squadron Commander.

## ***Setting the Tone for an SUI***

*by Lt Col Don Barbalace, CAP/IGTA*

The entire inspection process is intended to HELP the unit being inspected. Sure, it is a military joke to say, "I'm the inspector and I'm here to help," but that in fact is a true statement in CAP. If you are not there to help, you are in the wrong line of work. So, I start an inspection by telling the staff and commander of the unit being inspected that we are there to help. If I get a laugh, it may mean they know the old joke or possibly my credibility is suffering. If I'm not credible, I need to work on building relationships to be trusted.



How do you build trust? Well, first of all, be *honest* with them in all your dealings. Never take or threaten a punitive or retaliatory action. Remember, you are the eyes and ears of the Wing Commander, not the mouth. You do NOT speak for the commander, and you cannot take any command action. What you do is gather factual information and pass it to the commander.

Second, during inspections be objective and honestly try to find the best aspects of the work being performed by the volunteer members of the unit – and never for an instant forget that they *are* volunteers doing their best, often with inadequate instruction. One positive, proactive thing that you can do as an inspector is to help a struggling staff member identify aspects of the job that are being neglected, often because the staff member has not been taught what is expected in the job. After all, you are "highly qualified" in the areas you inspect, aren't you? This alone will go a long way toward setting the tone for this and future inspections.

Some of the instructions from NHQ in the past recommended AF-style or aviator shirt combination uniforms for inspectors. I can't speak for large wings like California and Texas, but in small wings those uniforms tend to be intimidating for new members in small units still trying to figure out their various jobs. New members are easily intimidated when a bunch of majors and colonels descend on them. So, when I was Wing IG, I told my team members that the uniform of the day was golf shirts and gray slacks. The unit already knew who we were, and less brass was less intimidating for newer members. Taking an intentionally low-key approach helped to set a relaxed tone for the interviews.

Building trust is key to good relations in IG work, or anything else for that matter. Finally, remember that units talk to one another. Your honest and helpful conduct in one unit will follow you into the next one, helping to set the tone there, too.



## ***Steps to Complete an SUI***

*by Col Steve Miller, CAP/IGI*

The guiding regulation for Subordinate Unit Inspections (SUIs) is CAPR 123-3. It contains pretty much everything you need to know about SUIs. This article will focus on steps to completing an SUI.

There are several steps in the SUI process. The first is for the wing to have an inspection program plan of action for its subordinate units (all chartered units). Attachment 1 of CAPR 123-3 has a template for this.

Next the wing will publish an up-to-date schedule of SUIs on the wing website. The Wing IG should also get his/her inspectors lined up and publish that information on the website. Prior to the inspection, the group/unit will be provided details pertinent to the inspection in a 60-day notification. No later than 10 days prior to the inspection, group/unit commanders will upload completed SUI worksheets and provide deliverables as listed in those worksheets.

Interviews for several of the worksheets may be completed via the telephone. If the inspector is satisfied with the information provided on a particular tab, that tab may not need to be covered when the inspection team gets to the group/unit for the eyes-on portion of the inspection.

Once the inspectors have completed the inspection they need to grade each tab using the Grade Resolution Calculator (GRC). The GRC is found on the SUI Information link of the Inspector General page in capmembers.com. The inspectors should run their respective SUI quality assurance checklist (also found on the SUI Information link of the IG page). A draft report is provided to the inspected unit commander.

The Wing IG/IGA approves the report, completes the quality assurance checklist, finalizes the report and uploads it to eServices. The Wing IG must also update the SUI Anniversary Date in eServices. The final step is for the discrepancies to be uploaded into the Discrepancy Tracking System (DTS).

The group/unit may begin working on their discrepancies when it gets the draft report. Once the discrepancies are loaded into the DTS the unit may respond to each discrepancy. If there is a question on what it takes to close a discrepancy, the Inspection Knowledge Base spells out specifically what is needed. When in the DTS, the Inspection Knowledge Base is found by clicking on the “Wing/Unit” link on the top right portion of the page.

Most discrepancies can easily be closed. Many only require a plan of action, approved by the CC, to ensure the discrepancy doesn’t occur again. (Templates for plans of action are found on the IG website.) Some discrepancies require proof that something was done. That proof is typically a copy of a report, an email or a screen print from WMIRS or ORMS.

Merely stating that the required changes have been made and updated in WMIRS or ORMS is not acceptable. Those databases are constantly modified. Placing a copy of a report or a screen print in the DTS validating the required work done creates a permanent record of that work. Two years after the inspection, should one look at that discrepancy, there is no question that the work was done.

Once all discrepancies are closed, the Wing IG closes the SUI.

## ***Records Accountability and Control for Proof of Compliance***

by Lt Col Les Manser, CAP/IGTA



Let's start off with the bottom line: "No records – no proof of compliance!" A verbal/written affirmation that compliance exists (like a "Yes" response to any CI/SAV/SUI Worksheet question) is only the prelude to determining compliance. Remember – it's always TRUST BUT VERIFY followed by (if necessary) SHOW ME for each and every applicable record.

Missing records – lost, unaccounted for, or never retained – has been identified in the Discrepancy Tracking System (DTS) as the leading direct cause of REPEAT Discrepancies in the past and continues to be the direct cause of far too many discrepancies generated during inspections in the present. And what is even worse – the one record that identifies all of the unit's records (File Plan) is frequently nowhere to be found. This indicates a major deficiency in records accountability and control.

WHO is primarily responsible for records accountability and control? Answer: The unit's DA - Director of Administration (at the region/wing level) or Administrative Officer (below wing level). Their responsibility is to implement, supervise and ensure compliance to CAPR 10-2, Files Maintenance and Records Disposition. This duty position - typically considered of minor consequence/importance - is in reality the most critical duty position when it comes to compliance!

CAPR 10-2 starts off by stating "The primary intention of this regulation is implementation of a simple method of making information available when and where needed." It is not the intention of the OPR (CAP NHQ/DA) to make this a difficult task for units at any level to accomplish. The regulation reflects a "keep-it-simple" approach by including the flexibility for units to arrange files and records in a manner that best suits their needs.

It is unfortunate that CAPR 10-2 Figure 1 (Example File Plan) and Figure 5 (Example Computer File Folders) only shows the Administrative section of the plan. The complete plan consists of the applicable files/records listing from all departments as detailed in Attachment 1 Tables 1-12. However, the completed File Plan for most units can be as simple as it is portrayed in the regulation, capturing all of the unit's records (by record name/title under folder name) from various departments in one document, typically 1-2 pages in length. The partial example File Plans shown were purposely made generic, as they attempt to accommodate all organizational levels in CAP. Each unit is required to develop a tailored File Plan specifically based on the actual records they are required (and additionally choose) to maintain.

It is important that Region/Wing IGs stress to wing/unit staffs regarding the criticality of records accountability, control and management – accomplished in the easiest manner possible – so that it results in the timely retrieval of records for review and inspection. Having stated that, the following 10-step process can help wing and subordinate unit DAs accomplish this with a "keep-it-simple" approach to developing a File Plan leading to the control and accountability of all records supporting compliance:

1. Understand the difference between records and supplemental materials/reports. At a minimum, records supporting compliance are required to be documented in the File Plan.
2. Identify all of the records that currently exist, WHO has them, WHERE they are located and WHAT type of record it is (paper, electronic). This will most likely involve having the DA get with each current Staff Officer (and possibly previous Staff Officers if recent or high turnover has occurred) and accomplish a "hands-on/eyes-on" accountability exercise.

3. Identify all of the applicable unit records whose retention is required. This is best accomplished by each current Staff Officer (using the divide and conquer approach) reviewing their applicable CAP Regulation(s) and noting the documented record requirement(s). The CI/SAV/SUI Worksheets can also be reviewed for records call-out of mission-critical compliance items.
4. Accomplish a "gap analysis," i.e., compare the required records list against the actual records list. Take action to find missing records or start maintaining the record(s) determined to be missing/lost. NOTE: If records are missing, that is an issue (albeit after-the-fact/reactive) for the Unit Commander to address with his/her staff.
5. Arrange the records that the squadron chooses to maintain (required records as a minimum) in the manner that best suits the squadron. There is no right or wrong arrangement, but it should be a simple setup. CI/SAV/SUI observations CAP-wide found that the typical arrangement was by office/department/functional area.
6. Take the required records listing (reflecting the chosen arrangement), identify the record OPR and record location(s) and put it in the File Plan. NOTE: The File Plan "template" shown in CAPR 10-2 Figures 1 and 5 are just examples. It does not necessarily have to be done that way, but it does provide the simplest approach for addressing format.
7. NOW look at CAPR 10-2 Attachment 1, Tables 1 through 8, and find the record retention and cut-off requirements. Add these to the File Plan for each record.
8. For electronic records controlled/maintained via computer storage, identify the back-up process: WHO accomplishes it, WHEN it is accomplished (frequency), WHAT back-up storage device is used and WHERE it is located/kept. Add this to the File Plan.
9. Provide a copy of the completed File Plan (or a link to its location) to each Staff Officer. This also aids Staff Officers who hold multiple duty positions other than their Primary Duty Position.
10. Review the File Plan for currency/accuracy at least annually or more frequently based on regulation change(s) and/or Duty Position assignment turnover rate. Update as necessary.

The accomplishment of the last step is SUPER CRITICAL for DAs to ensure that records continue to be controlled and accounted for on an ongoing basis. This step becomes even more critical to accomplish when Offices/OPRs are allowed to maintain their own File Plan per CAPR 10-2 para 2b. DAs must address/manage this known risk and also ensure that:

- The Office/OPR forwards a copy of their File Plan (and any subsequent updates) to the DA (also required by CAPR 10-2 para 2b),
- The Office/OPR File Plan be reviewed and verified by the DA as meeting the requirements of CAPR 10-2 and
- Add/append these copies to the main Unit File Plan.

Records accountability and control is at the heart of a CAP unit seeking to prove compliance. The demonstration of compliance indicates an assurance that the unit is capable of accomplishing CAP's missions – and that is the bottom line for the organization!



## ***Mentoring SUI Team Member Candidates***

*by Col Ed Burns, NER/CV*

Merriam-Webster defines **mentor** as “someone who teaches or gives help and advice to a less experienced and often younger person”. Teaching and giving help and advice all fit into one of an IG’s responsibilities as outlined in CAPR 123-1para 3c(4).

This is a prime opportunity to provide needed training to potential members of your SUI Teams. However, your approach to this task will result in the team members’ performance standard going forward. You want to make sure that their standard mirrors your standard of excellence. It will take time and nurturing to assure that you will have a cohesive SUI Team. The important part in mentoring is setting that standard. The only way you will be able to make this work is to have each member of each team all following the same criteria. That’s the *easy* part!

The more difficult part is the continued monitoring of the team members’ performance over time. You can’t allow slippage. Remember, to the membership, you are all being held to a higher standard as IG/IGA/IAs. Those being inspected will only support you if they see this as the norm. You should look at an SUI interview as an ‘educational exchange’ between the inspector and interviewee. The inspector should be listening as to the nature of the program, how it is being administered and the way it enhances the mission. The interviewee should be learning from the subject matter expert conducting the interview and learning of ways to better the program and remain compliant. This is mentoring at a different level.

The IG in charge of the SUI program needs to also monitor the performance of the team members over time. Find out if there are additional items that need to be included in the education of the team members. Consider the mix of the teams to ensure everyone is doing what is required. If that is not happening, then it’s time to change the composition the teams. In these areas the IG once again becomes a mentor and provides the necessary support. You just can’t sit back and expect this program to continue on autopilot; it will need some adjustments along the way.



The strength of your SUI program sits squarely on your shoulders and you need to maintain an active and guiding role. The more you and your team members put into the program the more benefits will result.

## ***Upcoming IG Training***

**2016**



MER IG Senior Course at Eglin AFB, FL 30-31 January 2016 – contact Larry Julian at [larry.julian@gawg.cap.gov](mailto:larry.julian@gawg.cap.gov)

MER IG Senior Course at Dobbins ARB, GA 23-24 April 2016 – contact Larry Julian at [larry.julian@gawg.cap.gov](mailto:larry.julian@gawg.cap.gov)

Contact Missie Derocher-Harris, IG Support Coordinator at NHQ, [mderocher-harris@capnhq.gov](mailto:mderocher-harris@capnhq.gov) to enroll.

### **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 and Region Conferences
3. **Plan Where:** Wi-Fi, Power for Computers, Projector, Desks or Tables
4. **Contact** the IGT ([eaacraig@gmail.com](mailto:eaacraig@gmail.com)) 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#
TX	20-21 Feb 16	4-39
Nat Cap	12-13 Mar 16	4-40
KS	9-10 Apr 16	4-41

2016 Inspector General College, Peachtree City, Georgia



## What is the Inspector General College?

The Civil Air Patrol Inspector General College (IGC) is a Senior Member Professional Development Level IV training program equivalent to a Region Staff College. It is an intensive week-long course offering formal classroom instruction including practicum and seminar opportunities grounded in scenario-based training methods. It is the required training course for those who wish to serve as a wing IG or higher.

## What will I learn from IGC?

The Inspector General College curriculum includes study in a wide array of subjects, including:

- Executive leadership
- Complaint resolution
- Problem solving
- Group dynamics
- Interpersonal communications
- Process improvement method
- Management of the CI and SUI programs
- CAP mission accomplishment



The IGC is taught by highly-qualified instructors from the US Air Force and Civil Air Patrol. These instructors are selected based on their proven leadership skills and expertise in their chosen field.

## How will attending IGC help me?

The Inspector General College will provide you with leadership and management tools to help you better execute your executive-level responsibilities – in CAP and in your own career.

Leading volunteers is an especially unique challenge, requiring CAP leaders to balance their careers and family needs with the needs of their units and CAP's missions. The IGC can help **you** enhance your leadership abilities.

In addition, the IGC fulfills the requirement for the Region Staff College, Level IV, IAW CAPR 50-17, para 6-6. It is the final academic requirement for the IG specialty track Master rating.

13 June – 17 June 2016 (travel days 11-12 June and 18 June)

## Is IGC affordable?

With tuition of only \$75 for 5 days, the Inspector General College is an incredible investment in your career development. Commercial programs equivalent to IGC can cost thousands of dollars! All course materials, social activities, and some meals are included in the tuition. Corporate funding has been secured to pay on-site housing for five nights at the Dolce Atlanta – Peachtree (now the Crowne Plaza PTC) resort. You are also responsible for your own transportation costs and meal costs.

## What should I wear and bring?

Wear the Air Force style uniform OR the CAP Corporate uniform (white epaulet shirt/gray slacks or skirt) in accordance with CAPM 39-1 with applicable weight standards. Bring a laptop (mandatory!)

## Am I eligible to attend?

Attendance Priority:

- New Wing or Region Inspectors General
- Wing and Region Commanders
- Assistant Wing or Region IGs
- Other interested members

## How do I apply?

Applying for IGC is simple. Submit a CAPF 17 along with your check for \$75 to:

CAP IG College  
105 South Hansell Street  
Maxwell AFB, AL 36112  
ATTN: Ms. Missie Derocher-Harris, IGC

For transportation, logistic and billeting questions, contact Ms. Missie Derocher-Harris, NHQ/IGC: at [mderocher-harris@capnhq.gov](mailto:mderocher-harris@capnhq.gov) or 1-877-227-9142, ext. 223

For course content questions, contact Lt. Col Craig Gallagher, CAP/IGT at [eaacraig@gmail.com](mailto:eaacraig@gmail.com) or 1-949-285-7858

## IG Audience/LMS-IG Points of Contact

SEND **ARTICLE SUBMISSIONS** FOR THE IG AUDIENCE DIRECTLY TO LT COL LES MANSER at [lesmanser@gmail.com](mailto:lesmanser@gmail.com).

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



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