



# CIVIL AIR PATROL INSPECTOR GENERAL IG AUDIENCE

Volume 8 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 their Wing IG) will be a contributing element towards moving CAP in the direction of continuous improvement and the establishment of a quality culture.

## ***“Total Force” Challenges***

*by Lt Col (Col select) Cheryl Fielitz-Scarborough*

*[Editor’s note: Col. Fielitz-Scarborough becomes the CAP Inspector General (CAP/IG) on 7 January 2017, replacing Col. Kettell, who becomes the Rocky Mountain Region Commander (RMR/CC).]*



The combining of the Civil Air Patrol as part of the “Total Force” will bring new challenges and opportunities, especially as it pertains to the IG Corps. It heightens our role in the compliance mentality.

When I joined the West Virginia Wing IG team, I knew I had found my niche. As MER/IG for the past two years, I was also involved with national-level IG activities and assignments that further prepared me to accept the duties and responsibilities as the next CAP/IG. Therefore, I am especially honored to be working with such an exceptional group of people who have also made the IG task their goal and purpose.

I believe we are on the right track to better train our Corps and the membership. With the rewrite of so many regulations, our training must prepare us for the many inquiries I am sure we will receive in the near future.

## ***The Necessity for the Execution of Non-sworn Statements by Subjects and Witnesses***

by Col Tim Hahn, CAP/IGQ



First:

By the time you read this, I will have taken a new position as the Vice Commander, Pacific Region. It has been a pleasure to serve in the IG staff and the people in it were outstanding to work with. I wish them the best possible future! Thank you for allowing me to serve as the CAP IGQ for the past 14 months.

I'm going to open by refining this a little bit. It's actually "Why do we take statements during an investigation?" At least I think that's what the question trends towards. Well, it is not really a complicated issue and deals with human nature. If you ask a direct question, you will probably get a direct answer. Here's an example:

- Q: Were you at the squadron meeting last Tuesday? A: Yes.
- Q: Was Lt Smythboroughhamski there? A: Yes. (And I checked - there is no member with that name so the article cannot possibly be construed as picking on someone!)

Now think about not asking that question and instead having the person you are speaking with write out a statement. In that statement, you will find reasons to ask follow-on questions, NOT just the ones you came up with. It can easily lead to things like:

Well yes, the Lt was there, but when the Cadet Programs Officer (CPO) slapped the cadet the Lt was in the bathroom in the stall next to your witness. But wasn't it the Lieutenant that slapped the cadet? Well, no, we were told to say that because the CPO is the Squadron Commander's third brother-in-law's cousin twice times removed and ...

Yes, that example is a bit outlandish; but the point is, if you let a witness or subject write things out in their own words, you get the story from their point of view. From there you can ask questions that flesh out the statement and give you the information you need.

You will get statements that rival War and Peace and you will get statements so short that you can't figure out how it took 20 minutes to write "I saw what happened." You will also get witnesses that can really articulate their statement and answer most of your questions for you. Fortunately, this is most of the time.

The witnesses who took 20 minutes have some reason not to be involved: friends, relations, FEAR ... You will have to work past those points to get what you need. They don't want to hurt a friend, or perhaps they fear retribution from the subject.

The novel writer will have expounded on everything that happened that night. That's okay; it may give you a witness that you didn't know about. "That is when Cadet Jones left crying and went home. He hadn't signed in yet because he was late for formation and didn't want to get into trouble for that. So when he left no one knew he was there but I saw him run out the door."

The concise writer is generally honest and wants to do what is right. They will do their best to tell you the facts and help the investigation. Just remember it's the facts as THEY see them. You are the one that has to determine the facts. That may mean their perception is different; it does not necessarily mean they lied!

If you consider the written statement to be part of the interview, it will not only get you the facts you need, it will help the investigation flow. One last important point: try to get the written statement before the person has been spoken with a dozen times. That can easily impair their memory and render the statement of far less value than it could have been.



## ***Outdated CI and SUI Questions***

*by Lt Col Craig Gallagher, CAP/IGI*

When is an inspection question outdated? That depends on two things:

- 1) When the inspection begins - and
- 2) What regulations are in effect at the time the inspection begins.

For CIs, the inspection begins about 90 days before the onsite visit. For SUIs, the inspection begins approximately 60 days before the onsite visit.

The set of regulations that are in effect at the time the inspection begins is what determines compliance or non-compliance. That is why we require the inspection Team Chief to download the Worksheets, Grade Resolution Calculator, Report Template, and Quality Assurance Checklist (SUIs) for the unit when they are contacted to set the inspection date. All of those inspection documents travel together as a set. The Team Chief should send the applicable worksheets to the unit with the initial contact. The worksheets will be the guide for the inspection even if the regulations have changed since the worksheets were downloaded.

Do **NOT** come back later to download a later version of the worksheets because there is a good chance it no longer matches up with the Grade Resolution Calculator or the Report Template. We do not and cannot expect the units we are inspecting to hit a moving target.

We have had occurrences where the worksheet updates have lagged behind the regulation changes and we are working in concert with Jeanne Stone, CAP NHQ Publications Manager, to coordinate the release of regulations with the release of updated inspection materials. According to the recent Concept of Operations (CONOPS), all regulations that have compliance elements must have an Attachment 1 that specifies all the mission-critical compliance elements contained in the regulation. The NHQ IG folks get an advanced look at a regulation before it is released so we can update the Inspection Knowledgebase, Report Template, Worksheets, and Grade Resolution Calculator and release them when the regulation is released. The goal we strive for is to install the updated inspection tools at the same time the new regulations are put into effect.

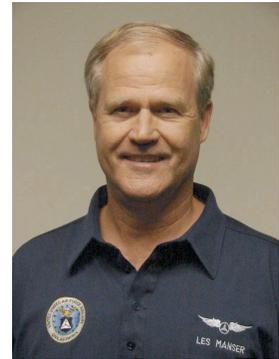
As always, we encourage each of you to point out errors we have made in putting the tools together so we can practice our “continuous improvement” by providing the most error-free documents possible.

## ***The Commendable Conundrum***

by Lt Col Les Manser, CAP/IGT

The CAP Inspection Program went through significant changes over two and a half years ago and the understanding of what determined compliance or non-compliance for mission critical items became clear. Providing this clarity required:

- Each CAP/OPR to define what compliance items were deemed critical for the effectiveness of their program;
- Creation of the Inspection Knowledgebase by CAP/IGI showing each compliance item with their corresponding compliance criteria and requirements for clearing non-compliances; and
- CAP/IGT providing inspection-related training for standardization.



Since that time, the inspection cycles and activities have settled down into a somewhat stable process with an acceptable range of deviation; however, within that process, the determination of what is “commendable” in a unit program has not settled down. This has become very apparent in the past year during Compliance Inspections (CI) when many Commendables submitted by wings were not found to be acceptable either during the inspection by CI Team members or during post-review and approval of the CI Report by CAP-USAF/IG and CAP/IG.

BACKGROUND: CAP/OPRs were tasked to formally define in their parent regulation what specifically constituted a practice/process that was highly effective and/or far exceeded the compliance level for their programs so that the mission grading for inspections could become objective vs. subjective. This was not accomplished; as a result, the IG function has to have the means to accomplish this inspection task as objectively as possible.

### **WHAT A COMMENDABLE IS:**

- For processes – not people
- Identification of Continuous Improvement initiatives implemented by a unit yielding measurable results over a period of time that exceed mission requirements
- For fully-implemented processes that result in:
  - Ensuring that the wing is at low risk of future non-compliance regarding mission-critical items
  - Significant money and/or manpower savings
  - Significant mission benefits to members or mission
- Identification of an improvement in a NHQ/OPR’s program in addition to what is already required

With the new CONOPS approach at the NHQ/OPR level, CAP parent regulations are required to document and define operational systems supported by a series of processes. CI/SUIs determine a unit’s process compliance as a minimum. The report may include validated process improvement initiatives – detailed in Commendables – that result in significant improvement to the system overall or specifically to a system’s process. It will also provide input/awareness to HHQ/OPRs on opportunities for improvement (OFI) for their system.

## **WHAT A COMMENDABLE IS NOT:**

- A supporting element for a “Wing Commander’s Report Card”
- Award mechanism for CAP Members’ “good work” via accomplishments and/or invested time (That’s the Wing Commander’s job!)
- Based on processes created that burden the members and were only developed to create a process (ex: spreadsheets vs. eServices Reports that capture the same data = unnecessary additional work)
- Processes with no unit-provided supporting documentation (objective evidence – records/data) for independent verification

In the past, Commendables were subjective and on occasion reports were susceptible to providing praise for the wing. This is not the purpose of a Compliance Inspection – and it certainly is not a “Commander’s Report Card.” Awards, praise and morale levels are the responsibility of the Wing Commander, not the inspection team. With the implementation of the Grade Resolution Calculator, some wings have discovered that the only way to receive a grade above Satisfactory is to have Commendables – so they create and submit as many Commendables as possible in an effort to increase their chances of receiving a higher grade. However, a solid process improvement will always be planned and executed to add value and/or streamline a process, and certainly not make it more burdensome for members. Finally, a process created just to have a process for the CI/SUI clearly indicates “**game the grading**” thinking.

So let’s do some **Cause Analysis** on the Commendable Conundrum using **The 5 WHYS**:

PROBLEM: Submitted Commendables have a high rejection/disapproval rate.

EVENT Q: WHY is there a high rejection/disapproval rate for submitted Commendables?

A: Wide variation in the content of a Commendable.

Q: WHY?

A: Wide interpretation of what constitutes a Commendable (definition) by wings and even some inspection team members.

Q: WHY?

A: The definition of Commendable documented in the current CAP 123-series regulations is not clear.

Q: WHY?

A: The definition uses vague phrases which are subjective vs. objective. (What it means to “far exceed” or be “highly effective” has been left up to the inspection team ... and that can be a good thing and a not so good thing.)

Q: WHY?

A: Lack of specifics from OPRs (functional Subject Matter Experts).

Q: WHY?

A: The Commendable was not previously viewed as an element of the inspection that needed to be objectively determined/derived.

Q: WHY?

A: End of the Cause Chain for this problem; no added value in exploring the previous inspection structure/approach/philosophy.

It has been determined that some wings have instituted process improvements that enhance their ability to comply to “mission critical compliance” items. Knowing that a wing has increased their chances of future compliance makes the wing less of a “risk to non-compliance” and inherently enhances their effectiveness and efficiency; this can positively affect their readiness as well.

When there was a focus on streamlining the inspection process back in 2014, the inspection footprint was reduced and it also shortened both the remote and on-site inspection times. As a result, there is a need for the inspection team to be hyper-focused on mission critical compliance questions. That means that all content in the report, to include Commendables, must pertain to “mission critical compliance” items.

CAPR 20-3 *Inspections*, is the replacement to CAPR 123-3 and is to be released in January 2017. It now includes a definition of Commendable that is specific at the operational level and is a considerable improvement over previous definitions. The new definition states:

**“Special Report Mission Rating Entry – Commendable.** A Commendable indicates a highly effective process implemented over a sufficient period of time that results in exceeding mission requirements. Commendables must apply directly to a mission critical compliance question. Commendables must be process oriented; it should save money, manpower and have a benefit for the members and/or mission. The unit must provide supporting documentation to verify that their process does in fact save money, man-hours and present benefits to members and/or mission.”

The new definition yields **four requirements** for a Commendable:

#### **A COMMENDABLE MUST:**

1. Apply directly to one or more of the already vetted mission-critical worksheet questions
2. Be process oriented i.e. based on a fully-implemented continuous improvement-type cycle (ex: PDCA)
3. Include results over time from designated process points (ex: input-output; before-after) that are measurable and quantifiable (i.e. performance metrics)
4. Clearly substantiate the improvements made by instituting the process in terms of money, manpower/man-hours saved and present benefits to members and/or mission

Having Commendables directly related to the worksheet questions keeps the scope clear and provides standardization. After all, the focus for the units should start with the existing mission-critical compliance items.

Defined processes start with an Input, a series of Actions and then an Output. Process Improvement only occurs through implementing never-ending cycles like Plan-Do-Check-Act (PDCA).

Part of the process development/planning is to identify the data collection points. Another quality principle: is “To Measure is to Know.” The points could be as simple as using the Input & Output of the process or those that define the “Before” and “After” state.

The data from #3 – being objective evidence – will clearly indicate how much improvement occurred in the process over time.

Here is an example of an AE program Commendable that enhanced "mission critical" processes for AE events and participation:

(Commendable): The use of web and social media-based educational materials, combined with the continued utilization of an innovative four area AE staff across the wing, and a proven highly effective management practice that has resulted in measurable increases in the number of AE events and engagement with external partners.

- 25% increase in the number of AEMs (from 95 to 118).
- 20% increase in the number of units enrolled in rocketry program (from 35 to 42).
- 36% increase in the number of AE outreach activities (from 55 to 75).
- 146% increase in the number of visits to units for AE Support (from 15 to 37).

If the wing uploads Commendables in the Document section in eServices/IG Module, then they are also required to provide sufficient supporting documentation so that the Inspectors can verify the implemented process and results ahead of the on-site visit.

**Definition: Objective Evidence** – Information based on facts that can be proved through analysis, measurement, observation, and other such means of research.

- Objective evidence is verifiable by a third party like the Inspection Team. Subjective evidence is not verifiable (gunnadoos, just started, not yet implemented, etc.)
- Objective evidence is fact; subjective evidence is opinion.
- Objective evidence is typically quantifiable and therefore is supported by data that shows or proves that something exists or is true.

The performance data found on the Commanders Dashboard and/or eServices Reports is the easiest objective evidence to use; however, the unit may have been independently collecting data throughout the process improvement cycle as well.

Inspectors evaluate and verify unit-provided Commendables; they do not write them. Inspection team members can provide guidance but cannot be involved in the development of Commendables due to the requirement for them to remain an independent entity during the inspection process.

Inspection Team Chiefs are the final decision-makers/approvers for acceptability (or non-acceptability) of a Commendable in CI/SUI Reports. It is not the job of the HHQ-level review personnel to make this determination or “tweak” the reported Commendables.

Just as it took units about a year to completely understand the new inspection system, it may take that long to understand these required elements for a Commendable.

One of the actions identified from the Commendable Conundrum Cause Analysis was for CAP/IGT to create a training presentation on Commendables using the content of this article. It was presented as a webinar to CI Team members on 31 December 2016. The webinar will be uploaded in the Learning Management System (LMS) under the IG section in late January 2017 so that it will be accessible to Commanders, IGs and Inspection Team members.

## ***Low Rated Public Affairs (PA) Tab on SUIs***

*by Lt Col Don Barbalace, CAP/IGTA*



Someone has asked why the PA tab always seems to be rated low on SUIs, often marginally successful or unsatisfactory. As a master-rated former wing PAO, I have observed this myself in the four wings in which I served. In all cases that I saw, the number one problem was not the PAO, but the commander, with one exception. That exception was a successful commander whose philosophy was that the PAO is the most important member of the squadron after the commander.

So, the real question here is why do commanders always pick the newest, least experienced, member as the unit PAO and then let the person flounder with no help, guidance or training? That might not be a very tactful question, but that is where the problem lies.

I think the explanation is one of expedience; the unit needs a PAO, and that position is perceived as one that does not require any technical or mission-related skills, so the newbie can do it. Actually, much skill and imagination is required - but it is people skills rather than SAR skills - and the people skills get overlooked or underrated. Also required is extensive knowledge of CAP. One never knows what background questions a reporter will ask, and inexperienced PAOs cannot anticipate how their answers may be misunderstood.

When I began as a PAO, I noticed that the Level II Study Guide and the Professional Development code for PAO were the lowest numbered items in that publication series. I mistakenly took that to mean that the PAO was the lowest rated, least valued position. Clearly, it was the least glamorous. Now I see it differently; I see the numbering as indicating that the PAO is number one – the *most important*. Your unit is dead in the water if you don't get the word out about who you are and what you do.

So, this is my advice to commanders at all levels:

- Celebrate and emphasize the valuable contribution of the PAO.
- Make it a prestigious position, one highly favored and encouraged by the commander, and it will be sought after by ambitious members.
- Pick an experienced member for the position – Captain or above, someone who has been on many missions and understands CAP.
- Be sure the PAO has the tools needed, including a media list (names and contact numbers for newspapers and radio/TV stations).
- Mentor the person.
- Make sure the PAO progresses quickly in the PAO specialty track and Professional Development program.
- Brag about every published news release.
- Nominate the PAO for decorations and awards.
- Make sure the PAO position is one that is appreciated and honored.

- Promote the PAO as quickly as possible. Remember, that the public equates rank with standing and credibility in the organization. *The Newbie doesn't have any.*

Do these things and be amazed at the favorable attention your unit receives!

**From Jeanne Stone, CAP/DA:** The Frequently Asked Questions (FAQ) for CAPR 1-2, Publications Management (which replaced CAPR 5-4), are now located online at the CAP NHQ page for Indexes, Regulations and Manuals. CAPR 1-2 became effective on 7 November 2016 and contains significant changes for publications management at CAP NHQ and its impact on units at all levels of the organization.

There was no CAP-wide announcement associated with the posting of these FAQs, so they are re-printed here for your awareness.

### **1. Do all current publications issued by regions and their subordinate units become invalid on November 7, 2016?**

It depends on the document:

- Policy letters and similar documents that direct requirements or establish procedures are prohibited.
- Supplements and OIs to current regulations will not need to be rewritten until the parent regulation is revised.
- Financial Management Procedures (FMPs) are the exception as the current CAPR 173-1 *Financial Management* prohibits the use of supplements and OIs and CAPR 1-2 prohibits the use of FMPs (a type of policy letter). Until R173-1 is revised, you'll need to put your FMP into supplement form and submit it to CAP/FM with a waiver request seeking permission to use the supplement.

### **2. What is the procedure for existing OIs and supplements?**

All currently **approved** OIs and supplements must be sent to the CAP/DA, Jeanne Stone ([jstone@capnhq.gov](mailto:jstone@capnhq.gov)) for posting on the CAPMembers.com publications website. CAP/DA should receive these publications by 7 Nov 16 to satisfy the requirement of paragraph 8.3.3.4.

If the existing OI or supplement was previously approved by NHQ, it will remain current until the parent regulation (for supplements) is revised. For these publications, recertification will occur on the anniversary of its original implementation date (paragraph 8.3.4.).

If the existing OI or supplement was *not* approved by NHQ, it needs to be submitted to the applicable OPR immediately for approval and posting on the publications website.

### **3. Do supplements and OIs require “compliance elements” as Attachment 1?**

Yes, they do (Paragraph 7). As a general rule, the existence of supplements and OIs are reviewed during compliance inspections only if the parent regulation requires their issuance. However, in contrast, the contents (i.e. requirements) of the supplement/OI are usually only assessed for compliance during subordinate unit inspections. Supplement and OI OPRs are responsible for monitoring and tracking subordinate unit compliance.

#### **4. Do operating instructions written by the wing apply only to Wing HQ?**

Yes, OIs are applicable only to the chartered unit issuing them, unlike supplements that are applicable to the issuing unit and all subordinate units. (Paragraph 8.3.2.3. and Attachment 4)

#### **5. Our unit has OIs that do not correspond with a specific regulation. What happens to them?**

The subject matter will still align with a functional department within NHQ and should be sent to that OPR for approval. Keep in mind that supplements and OIs should be used sparingly. Unless the parent regulation requires a supplement or OI, they should be the exception and not the norm. (Paragraph 8.3.2.1.)

#### **6. Where do I find templates for OIs, supplements and waivers?**

[https://www.capmembers.com/forms\\_publications\\_regulations/publications-management/](https://www.capmembers.com/forms_publications_regulations/publications-management/)

#### **7. I have a policy letter that is critical. What should I do?**

Carefully review the policy and determine if it is necessary. If not, rescind the letter. If you believe it critical, rewrite it as a supplement or operating instruction and submit it through your chain of command to the appropriate NHQ office of primary responsibility (OPR).

#### **8. How does the regulation effect wing and region communication plans, mission exercise plans, improvement plans in AARS, etc.?**

CAPR 1-2 will not affect the development of plans. As a general rule, plans are tools to help guide a unit to a desired end state and may provide “how to” information for attaining the desired end state. For example, a disaster response plan guides a unit on how to recover from a disaster; the desired end state being to return to normal operations. Although a regulation may require development of a plan and direct its minimum contents, the plan itself serves more to promote a readiness posture than a list of “go do” requirements. As such, plans are more closely related to nondirective pamphlets.

#### **9. Does my chain of command have to approve every publication?**

Each parent regulation will eventually define their respective supplement and OI approval process. (Paragraph 8.3.3.) If the supplement or OI is associated with Air Force Assigned Missions or federally provided resources, it must be coordinated with intermediate levels of command and the CAP region and CAP-USAF liaison region prior to being sent to NHQ for approval. (Paragraph 8.3.3.2.)

#### **10. Can any unit really issue a pamphlet?**

Yes, pamphlets are nondirective publications and may be issued at any level unless limited or prohibited by the regulation pertaining to the subject matter. (Paragraph 9)

#### **11. Is NHQ approval required to supplement Index 0-2?**

No, indexes are not directive in nature and may be developed locally without higher approval. No supplement is needed. (Paragraphs 14.1, 14.2 and 14.3)

## 12. Is there concern NHQ OPRs will be inundated with publications to approve?

Although some increase is anticipated, most NHQ OPRs currently review and/or approve supplements and OIs to their respective regulations.

Contact CAP/DA, Jeanne Stone at [jstone@capnhq.gov](mailto:jstone@capnhq.gov) with any additional questions.



### *Upcoming Inspector General Training*

#### **March 2017**

NER IG Senior Course – Atlantic City, NJ 9-10 March 2017 - contact Lt Col Don Blumenfeld at [donblume@optonline.net](mailto:donblume@optonline.net)

#### **April 2017**

PCR IG Senior Course – Reno, NV 27-28 2017 - contact Lt Col Preston Perrenot at [pperrenot@cap.gov](mailto:pperrenot@cap.gov)

#### **June 2017**

SER IG Senior Course – Peachtree City, GA 1-2 June 2017 - contact Lt Col Larry Julian at [larry.julian@gawg.cap.gov](mailto:larry.julian@gawg.cap.gov)

#### **What to do if you want to host an IGSC:**

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





## ***Upcoming Compliance Inspections***

| <b>WING</b> | <b>CI DATES</b> | <b>CYCLE/INSP#</b> |
|-------------|-----------------|--------------------|
| AZ          | 14-15 Jan 17    | 5-1                |
| NC          | 28-29 Jan 17    | 4-52               |
| MS          | 11-12 Feb 17    | 4-53               |
| SC          | 11-12 Mar 17    | 5-2                |
| IN          | 8-9 Apr 17      | 5-3                |
| SD          | 29-30 Apr 17    | 5-4                |

### ***IG Audience/LMS-IG Points of Contact***

SEND **ARTICLE SUBMISSIONS** FOR THE IG AUDIENCE DIRECTLY TO LT COL LES MANSER at [igt@cap.gov](mailto:igt@cap.gov)

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](mailto:sdig.cap@gmail.com) (do not send articles to him)

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