



CIVIL AIR PATROL INSPECTOR GENERAL

IG AUDIENCE

Volume 7 Issue 3

July 2016

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.



ECIM Case Notes

by Col Tim Hahn, CAP/IGQ, thahn@cap.gov



In ECIM cases there is a section for case notes. It's located in the left-hand side bar in the box labeled SECTIONS and is third from the bottom. What I routinely see in there is one or two notes like "opened case" and "closed case". That really doesn't describe much! What *should* go in there is a note describing everything you have done in the case and it should happen every time you enter the case log to do something. The case notes should be a log of everything you have done.

The case notes should be chronological, so when you first receive the case, a note saying so should be entered. After that, everything you do should be documented. Anyone needing to see what's going on should be able to go to case notes and it should be the reader's digest version of activity in the case. Since it takes care of the date, time, and who is making the note, you need only worry about the note itself! From the example below you can see a case that came in, an acknowledgement letter was properly sent and that there is proof that it went to the complainant, that a phone call was made for basic information, that the Complaint Analysis was completed and approved, and a closure letter sent to the complainant.

Case opened regarding Wing Commander moved van from Sqdn 501 to Sqdn 286 allegedly due to his third cousin's fifth wife's daughter-in-law's ninth husband twice removed might join that unit.

Acknowledgement Letter sent to complainant. See Attachments for letter and email dated this date.

Contacted Wing CC about van transfer. He advised it was moved "because it hadn't moved in 6 months." See Memorandum of Record of phone conversation dated this date.

See completed Complaint Analysis in attachments dated this date.

See Case closure letter sent to complainant and email sending it dated this date.

While this was rather simplistic, it demonstrates the concept. Without this, in order to find out what happened, you would have to go in to all the attachments and read them. This tells you in short order what it was about and that it's over and done with. There is a second example below of a practical exercise being worked up that gives you a better idea of a more in depth case. The case notes should be read from the bottom up.

6/16/2016 8:12 AM - Timothy F Hahn

Contacted:
Maj Paul Mylegg, USAF
999th F65 Squadron Commander
Iwannaflyaplane AFB
Darling, TN

123-555-0001

He advised he would write up a witness statement and contact me to meet to go over. He has no problem with Q&A during the interview and stated he appreciates that fact that we are taking this seriously. He was a CAP cadet and knows how valuable an asset we are and will cooperate in any way he can.

6/16/2016 8:09 AM - Timothy F Hahn

Approval from CAP-USAF to obtain witness statement from USAF member received.

6/16/2016 5:54 AM - Timothy F Hahn

Email received from CAP USAF IG requesting permission from CAP USAF CV on 6-15-16. Awaiting final permission prior to set up interview and obtain witness statement from USAF member.

6/15/2016 8:26 AM - Timothy F Hahn

Letter of Appointment signed by Wing CC

6/15/2016 8:17 AM - Timothy F Hahn

CA completed and approved by Wing CC

6/15/2016 8:03 AM - Timothy F Hahn

Letter sent to CAP-USAF IG requesting permission to get witness statement.

6/15/2016 7:38 AM - Timothy F Hahn

Wing CC called to advise he received a call from Maj Paul Mylegg, USAF. He was having dinner with his wife at Armageddon, a Chile restaurant on March 33, 2016. His call was delayed while he researched how to contact us. He advised that he witnessed a male in a CAP uniform eating chili and drinking heavily. He knows it was beer but he was not sure what beer. He is certain he saw the subject drink at least 5 of the "Heavy Hammer" glass of beer which hold 26 ounces each.

He stated that the subject left about 1915 and got into a CAP marked van with vehicle ID 76103 and drove out of the parking lot.

His contact information is
Maj Paul Mylegg, USAF
999th F65 Squadron Commander
Iwannaflyaplane AFB
Darling, TN
123-555-0001

He advised the Wing CC I could contact him at any time.

6/15/2016 7:25 AM - Timothy F Hahn

Received Form 2 copies from Complainant on all three grade reductions. NOTE Cadet grade reduction is on a Form 2?

6/15/2016 6:38 AM - Timothy F Hahn

An earlier call to the complainant was returned. He will forward copies of the CAPF 2's with the reduction in grade for all three named members.

6/15/2016 6:37 AM - Timothy F Hahn

Form 30 received from complainant. Wing CC notified due to possible drunk driving issue and nature of complaint. Wing CC requested expedited Complaint Analysis.

As you can see, everything that happened is recorded in chronological order, and anyone can see the case status at a glance. It makes it very easy for YOU to tell where you are as well. IGs are volunteers with busy lives; it's easy to forget something. A glance at your own notes will remind you that there is something that needs to be done. Oh, by the way, today I got an email reminding me to call the USAF member about setting up the meeting to go over his statement. Under TOOLS there is a handy little device called REMINDERS. If you set that when something is due, like case updates or an interview or whatever you need to be reminded about, it will send you an automated email to remind you.

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.

**REMEMBER – If it's
not documented, it
doesn't exist!!**

Most Common SUI Discrepancies and the Fix

by Lt Col Craig Gallagher, CAP/IGT



How difficult is compliance? In most cases, not very! The secret is to know ahead of time what your duty position requires. Sure, the details are in the CAP regulations and we should all be familiar with what they say, but the volume is daunting (anyone else remember the 4-inch binder for CAP regulations printed on 8.5 X 11 sheets of paper?) – it's just too much to read! Fortunately, we have a shortcut to get you past the initial hurdles! The Inspector General Knowledgebase provide a condensed guide of what critical compliance items will be inspected and it makes an excellent primer for anyone starting a new duty position.

Example 1: Command Tab E-1, Question 10

Detailed Question:

Are all members assigned to an authorized duty position enrolled in the appropriate specialty track? (164 Discrepancies)

How to verify compliance:

Run the eServices Member Reports for Duty Assignment and Professional Development Report (where you will find the Member Specialty Tracks) for the unit and verify that each staff member assigned to a duty position is enrolled in the appropriate specialty track.

Discrepancy Write Up:

(A-Discrepancy): [xx] (Question 10) Member holding authorized duty position of XXXXXXXXXXXXXXXXXXXX is not enrolled in the appropriate specialty track IAW CAPR 35-1 para 1-2b.

How to Clear:

Enroll staff in the appropriate specialty tracks. Upload copies of the Duty Assignment and Member Specialty Track reports with highlighted specialty tracks for the staff in the DTS.

This discrepancy is the most common problem in SUIs and it is easily avoided. CAPR 35-1 para 1-2b specifies: *“When assigned to an authorized duty position, the member will also be enrolled in the appropriate specialty track of the CAP Professional Development Program unless he/she has already earned the master's rating in that specialty. When a member is assigned to more than one duty position, he/she will enroll in the specialty track for the **primary** duty. Training in remaining specialties is encouraged.”*

I highlighted “*primary*” because there is an ongoing discussion about what primary means.

Option 1: The most significant duty assignment to the member

Option 2: The most significant duty assignment of the member for the unit

Option 3: Every duty assignment in eServices in which the member is listed as “Primary”

Option 4: Every duty assignment in eServices in which the member is listed as “Primary” or “Assistant”

Option 4 will never have you out of compliance and being enrolled in a specialty track is pretty painless for the member. Option 3 seems to be the absolute minimum to remain compliant. Options 1 and 2 are too subjective to assure compliance.

From a practical standpoint, reading and understanding E-1 Question 10 is much simpler and more straightforward than delving into the regulation. The IG Knowledgebase tells you how the inspector will verify compliance, the CAP regulation, and how to fix non-compliance.

Anyone new to a duty position should be given the IG Knowledgebase tab for their position by their assigned mentor at the very beginning and every person should review their tab on an annual basis, ideally a year after your most recent inspection.

CI/SAV/SUI Worksheet Completion

by Lt Col Les Manser, CAP/IGTA

A reader was curious regarding which CI/SUI worksheet(s) gave units the most trouble to complete. The answer is – due to standardized design – there is no one particular worksheet that is easier or harder for any unit staff officer to complete. The main issue/trend that exists across most worksheets is their lack of “completeness”.



A simple definition of completeness is “having all the necessary parts, components or steps; to have nothing missing”. What defines “completeness” for worksheets? Is that something that is just left up to any staff officer to interpret differently and create wide variation in the results? The answer is NO. To start, there are two NHQ/IG pages – CI & SAV Information and SUI Information – that contain videos and/or presentations for completing the worksheets – so there is help available in the form of “checklist instructions”. Additionally, the 3rd column in every checklist – “How to verify compliance” – clearly specifies for each question what required documents by name/title to provide (report, plan, etc. – aka “records” – the proof of compliance) and then referenced in the Notes column. Finally, every staff officer attempting to fill out a worksheet for the first time deserves to have direction/guidance provided to them from a Mentor/Subject Matter Expert (SME) – preferably through wing-wide IG-related education and training.

The following sections/columns should be completed, as a minimum:

- Staffing – enter (accurate) numbers; select an entry from a dropdown list.
- Mission and Staffing Notes – enter additional/background information or other assigned personnel as necessary to give the Inspector a “big picture” of this function. This is the place to start showcasing your program!
- Y/N/NA for each Topic/Question – select one.
- Notes for each Topic/Question – information that supports a Y (Yes), N (N) or NA (Not Applicable).
 - If Yes, provide information on the process(es) used to meet or exceed the requirement and then reference the record(s) uploaded that support proof of compliance.
 - If No, provide information on WHY non-compliance exists and (preferably) WHAT has already been done/implemented to bring this item into compliance. Reference any documentation uploaded that support efforts to clear up the non-compliance. NOTE: No “gunnadoos”!!
 - If NA, provide the reason(s) WHY this item is not applicable. Example: “XXWG does not have a need to supplement CAPR 60-3.” The Inspector cannot rely on an assumption when there is no entry – so save some follow-up time by making it clear with a positive statement.

A principle to apply for worksheet completeness is “document to the detail necessary to ensure quality”. The more information entered in the worksheet along with supporting documentation/records referenced, the better understanding the Inspector will have on program performance and mission-critical compliance. Ideally, the unit’s worksheet for that function (“tab”) can then be downloaded and saved by the Inspector as a starting point for his/her inspection. If the worksheet information is non-

existent or sparse, then the Inspector is forced to take additional time to search/find the objective evidence/records that should have been provided by the unit in the first place.

So – let’s exercise PLAN-DO-CHECK-ACT for worksheets, shall we?

- **PLAN:** Unit management will provide all applicable “deliverables” - which includes worksheets (referenced as a “checklist” in the current CAPR 123-3) – using eServices/IG/Documentation (read “upload to the referenced storage location”) NLT 45 days prior to a CI or NLT 10 days prior to a SUI.
- **DO:** This action is the responsibility of unit management; either all of the applicable worksheets (and all other deliverables) have been uploaded to eServices/IG/Documentation NLT the “Delivery Due Date” or they haven’t. If they have – good start; if they haven’t, the unit just received a discrepancy under Tab E-1 (CI - Question 12b, SUI Question 7). Remember that the CI/SUI begins NLT the Delivery Due Date.
- **CHECK:** The IG, IGA or Team Chief (as applicable/designated) reviews and verifies uploaded documentation by the unit regarding content and quality. Regarding worksheets, they might discover these “Top Three” issues:
 - No worksheets uploaded, blank worksheets uploaded and/or only some applicable worksheets uploaded. This condition was almost exclusively observed for SUIs.
 - The only worksheet entries were in the 1st Column – Y, N or NA. This entry by itself is not sufficient. Most of the time, “Y” is entered for all questions without reference to any supporting documentation/records to support the response. This is a typical indication of the “fill the square” mentality.
 - No information in the Notes column. Many times, separate word/text files were created and uploaded for each response vs. putting the text in the Notes field. This resulted in more work and time expended by both the unit and Inspectors. The worksheet is the key document used before, during and after the inspection. There is practically no limit to the text content that can be put in this field or the Mission and Staffing Notes field. This entire article was placed in various worksheet fields – no problem! The field will keep expanding and a Scroll Bar will be created on the right side of the field to read all of the content.
- **ACT:** Analyze worksheet issues and:
 - Ensure that IG-related education and training is provided wing-wide – Commanders as a minimum – that includes/addresses worksheet completion and document uploading.
 - Hold all units accountable for uploading their own documents by the Delivery Due Date as required by CAPR 123-3; provide the training and/or coordinate IG Module access if necessary.
 - Address the “fill the square mentality” in units that exhibit this condition/culture.

Completing the worksheet for a unit function prior to a CI/SAV/SUI should not be a “last-minute” action. The worksheet and its corresponding Inspection Knowledge Base information is one (but not the only) tool that can be used by a staff officer to understand/maintain mission-critical requirements whether newly-assigned or in the position for years. If accomplished periodically by all of the staff (preferably annually as a minimum or any time there is a staff officer change), it will help the unit move towards continuous compliance.

SUI Anniversary Dates

by Lt Col Vincent Murray, CAP SER/IGA

Ahhhh...the SUI Anniversary Date! A barely mentioned item in CAPR 123-3, yet it demands so much attention and discussion. In fact, “anniversary date” is only mentioned once in this regulation. Paragraph 12b states:

“The 24 month interval is based on the SUI anniversary date listed in eServices. Once established, changes to this date require CAP/IG and CAP-USAF IG approval.”

You see, the SUI Anniversary Date in eServices was created simply to provide a visual crosscheck of a pending or overdue inspection. Its only function is to start the clock for the next inspection, then change the color on the Commanders Dashboard as the 24-month requirement approaches (from green to yellow to orange). If you pass the end of the 27th month, it then changes to red signifying to the world that the unit should be suspended pending completion of an SUI. In order for the dashboard warnings to function correctly, the anniversary date must be set correctly.

Although CAPR 123-3, para 12b says “...changes to this date require CAP/IG and CAP-USAF IG approval”, that’s not entirely correct. You see, every time you complete an SUI you change the date. This is necessary to make the Dashboard show green again until the next SUI. So how do you do this? You click the Reset Anniversary Date button in eServices, which will advance the anniversary date 24 months forward. That’s exactly what you want to do if you completed the SUI in months 24 through 27 and ensures the dashboard will work correctly the next time the SUI comes due.

Here’s the gotcha...a second click of the button will push the anniversary date into the future. You NEVER want the anniversary date to be in the future. If it is, you’re likely to be overdue on an inspection and never know it just by looking at the dashboard colors!!! You run into a similar gotcha if you do your SUI early (even by a month or two) because now the dashboard will begin showing warnings a month or two late...also creating an “accident waiting to happen”.

So here’s what you need to do:

1. For every unit, ensure the current SUI Anniversary Date is the same month/year as the last SUI completion date.
2. If the SUI Anniversary Date does not match the last SUI completion date, immediately put in a request through your Region/IGs to CAP/IGI and/or CAP/IGT to have them corrected.
3. Always **plan** on completing the next SUI in the same month (exactly 24 months later) as the previous SUI. If you complete the SUI in months 25-27, a single click of the Reset Anniversary Date button will ensure the anniversary date is set to 24 months after it **should’ve** been completed and ensure the regulatory requirement is met that states:

“Any excess interval between SUIs beyond 24 months will be subtracted in computing the next SUI due date.”

4. If you complete an SUI early, you must coordinate with CAP/IGI or CAP/IGT to reset the SUI Anniversary Date in eServices. This should be the **exception** and not the rule.

NOTE: There is a request into the IT department to modify the SUI Anniversary Date processing to something along the lines of a “Next Inspection Date”. The IG uploading the SUI Report will be given a suggested Next Inspection Date that can be changed by the IG as long as it is not more than 24 months after the most recent inspection. At this writing, the request is number 17 in the list of things for IT to do. You’ll hear more from CAP/IG if and when this is acted upon

2016 Inspector General College



General Larry Myrick-Presenter and Student



Col Kettell presents the Commander and the IG



Kettell and Gallagher review SUI Process



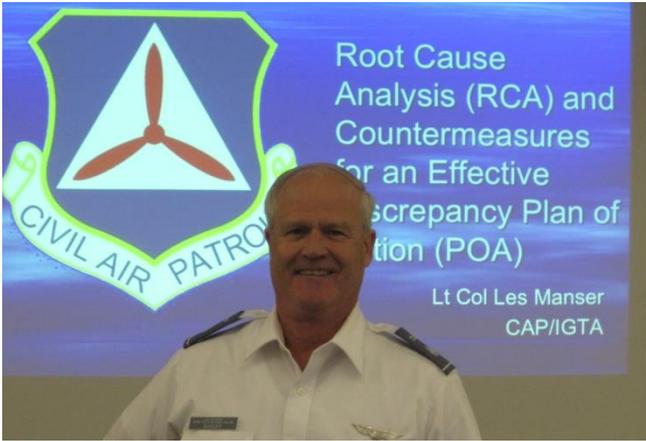
CAP-USAF/IG presents DTS Data Analysis



Lt Col Barbalace teaches Writing Skills for the SUI Report



CAP/IGI, Col Steve Miller explains the CI-Process



The Plan of Action has 3 W's:
WHAT is the corrective action
WHO is responsible to accomplish the action
WHEN is the action to be completed

Lt Col Les Manser teaches about Root Cause Analysis and a good Plan of Action



**2016 Graduating Class
Inspector General College**

Start making plans to attend the 2018 NIGC:

1. Required for Wing and Region IGs
2. Very illuminating for Wing/Region Commanders and Vice Commanders
3. Excellent training for all IG Assistants
4. Basic and Senior IG course completion required to attend

Upcoming Training

August 2016

NHQ IG Senior Course at the CAP National Conference, Nashville, TN 11-12 August 2016 - contact Larry Julian at larry.julian@gawg.cap.gov

September 2016

NCR IG Senior Course at Landmark Aviation, Sioux Falls Airport, Sioux Falls, SD 17-18 September 2016 - contact Lt Col Shelly Metzger at smetzger@hotmail.com

PRC IG Senior Course at Best Western – Boulder Falls Inn, Lebanon, OR 9-10 September 2016 - contact Lt Col John Barringer at j.barringer@orwg.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 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#
MI	16-17 Jul 16	4-45
NY	6-7 Aug 16	4-46
PA	27-28 Aug 16	4-47
ID	17-18 Sep 16	4-48

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