

# D-4 ADMINISTRATION

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## Questions

Type	#	Topic/Detailed Question	How to verify compliance	Discrepancy Write up	How to Clear
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SUI	01	<p>Are publications managed IAW CAPR 1-2?</p> <p>a) When publishing supplements and OIs, does the unit ensure the content does not conflict with higher headquarters directives?</p> <p>b) In the anniversary month of each supplement or OI, has the OPR certified it is still current and essential and did administrative officers inform CAP/DA of the certifier's name and the date the certification was made?</p> <p>c) Have supplements, OIs and pamphlets been forwarded to the next higher headquarters IAW CAPR 1-2 paragraphs 8.3.3. and 9.</p> <p>d) Are unit supplements and OIs revised and re- approved or rescinded within 6 months of the parent regulation's revision?</p>	<p>a) Unit will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p> <p>b) Unit will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p> <p>c) Unit will provide email traffic or other documentation showing the publication was forwarded to the next higher headquarters.</p> <p>d) Unit will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p>	<p>a) (Discrepancy): [xx] (D4 Question 1) Unit failed to ensure supplement to CAPR XX-X or OI did not conflict with the parent directive IAW CAPR 1-2 para 8.3.</p> <p>b) (Discrepancy): [xx] (D4 Question 1) Unit failed to ensure supplements and OIs were certified by the OPR, in the anniversary month of the supplement and OI by informing CAP/DA of the certifier's name and the date the certification was made IAW CAPR 1- 2 para 8.3.4.</p> <p>c) (Discrepancy): [xx] (D4 Question 1) Unit failed to forward a copy of its supplement to CAPR XX- X [OI ####] or pamphlet to the next higher headquarters IAW CAPR 1-2 paragraphs 8.3.3. and 9.</p> <p>d) (Discrepancy): [xx] (D4 Question 1) Unit failed to ensure supplement to CAPR XX-X or OI was revised and re-approved or rescinded within 6 months of the parent regulation's revision IAW CAPR 1-2 para 8.3.2.2.</p> <p>NOTE: Use sub-bullets to identify the offending supplements and OIs.</p>	<p>a) Attach a copy of the revised supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).</p> <p>b) Attach a copy of the certified supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).</p> <p>c) Attach a commander approved plan of action to prevent recurrence to the discrepancy in the Discrepancy Tracking System (DTS).</p> <p>d) Attach a copy of the revised supplement or OI or documentation showing the publication's rescission to the discrepancy in the Discrepancy Tracking System (DTS).</p>
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CI	01	<p>a) When publishing supplements and OIs, does the wing ensure the content does not conflict with higher headquarters' directives?</p> <p>b) In the anniversary month of each supplement or OI, has the OPR certified it is still current and essential and did administrative officers inform CAP/DA of the certifier's name the date the certification was made?</p> <p>c) Have supplements, OIs and pamphlets been forwarded to the next higher headquarters IAW CAPR 1-2 paragraphs 8.3.3. and 9?</p> <p>d) Are wing supplements and OIs revised and re- approved or rescinded within 6 months of the parent regulation's revision?</p>	<p>a) Wing will provide access to online publications or copies of wing publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p> <p>b) Wing will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p> <p>c) Wing will provide email traffic or other documentation showing the publication was forwarded to the next higher headquarters.</p> <p>d) Wing will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p>	<p>a) (Discrepancy): [xx] (D4 Question 1) Wing failed to ensure supplement to CAPR XX-X or OI did not conflict with the parent directive IAW CAPR 1-2 para 8.3.</p> <p>b) (Discrepancy): [xx] (D4 Question 1) Wing failed to ensure supplements/OIs were certified by the OPR, in the anniversary month of the supplement or OI by informing CAP/DA of the certifier's name the date the certification was made IAW CAPR 1- 2 para 8.3.4.</p> <p>c)(Discrepancy): [xx] (D4 Question 1) Wing failed to forward a copy of its supplement to CAPR XX- X [OI ####] or pamphlet to the next higher headquarters IAW CAPR 1-2 paragraphs 8.3.3. and 9.</p> <p>d) (Discrepancy): [xx] (D4 Question 1) Wing failed to ensure supplement to CAPR XX- X or OI was revised and re-approved or rescinded within 6 months of the parent regulation's revision IAW CAPR 1-2 para 8.3.2.2.</p> <p>NOTE: Use sub-bullets to identify the offending supplements and OIs.</p>	<p>a) Attach a copy of the revised supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).</p> <p>b) Attach a copy of the certified supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).</p> <p>c) Attach a commander approved plan of action to prevent recurrence to the discrepancy in the Discrepancy Tracking System (DTS).</p> <p>d) Attach a copy of the revised supplement or OI or documentation showing the publication's rescission to the discrepancy in the Discrepancy Tracking System (DTS).</p>
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CI	02	<p>Are wing OIs published IAW CAPR 1-2?</p> <p>Do wing published OIs apply only to the wing headquarters (charter 001)?</p>	<p>Wing will provide access to on-line publications or copies of wing publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p>	<p>(Discrepancy): [xx] (D4 Question 2) Wing failed to ensure Operating Instructions (OI) applied only to their chartered unit IAW CAPR 1-2 para 8.3.2.3.</p> <p>NOTE: Use sub-bullets to identify the offending OIs.</p>	<p>Attach documentation showing referenced OI has been modified, rescinded or replaced to the discrepancy in the Discrepancy Tracking System (DTS).</p>
SUI	02	<p>Are unit OIs published IAW CAPR 1-2?</p> <p>Do unit published OIs apply only to their unit (charter xxx)?</p>	<p>Unit will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p>	<p>(Discrepancy): [xx] (D4 Question 2) Unit failed to ensure Operating Instructions (OI) applied only to their chartered unit IAW CAPR 1-2 para 8.3.2.3.</p> <p>NOTE: Use sub-bullets to identify the offending OIs.</p>	<p>Attach documentation showing referenced OI has been modified, rescinded or replaced to the discrepancy in the Discrepancy Tracking System (DTS).</p>

CI	03	a) Are wing forms published IAW CAPR 1-2?	Wing will provide access to online forms or copies of wing forms for review. All forms, regardless of the issuing headquarters, must be prescribed in a directive publication.	a) (Discrepancy): [xx] (D4 Question 3) Wing failed to properly publish forms IAW CAPR 1-2 para 8.4.	a) Attach a copy of the revised prescribing directive publication or documentation that the form has been rescinded to the discrepancy in the Discrepancy Tracking System (DTS).
			(1)A new form and the prescribing publication must be published and distributed simultaneously. Revised forms may be published and distributed independently.	NOTE: Use sub-bullets to specify the forms in question.	
			(2)The prescribing publication directs organizations and individuals to use the form, how and when to complete it, and how to submit it.		
		b) If the wing publishes wing forms, is the use of each form specified in a wing directive publication?		b) (Discrepancy): [xx] (D4 Question 3) Wing failed to issue a prescribing publication for the following wing forms IAW CAPR 1-2 para 8.4.	b) Attach a copy of the prescribing directive publication or documentation that the form has been rescinded to the discrepancy in the Discrepancy Tracking System (DTS).
				NOTE: Use sub-bullets to specify the forms in question.	

SUI	03	<p>a) Are unit forms published IAW CAPR 1-2?</p> <p>b) If the unit publishes unit forms, is the use of each form specified in a unit directive publication?</p>	<p>Unit will provide access to online forms or copies of unit forms for review. All forms, regardless of the issuing headquarters, must be prescribed in a directive publication.</p> <p>(1)A new form and the prescribing publication must be published and distributed simultaneously. Revised forms may be published and distributed independently.</p> <p>(2)The prescribing publication states the purpose of the form and directs when to use the form, when to complete it, and how to submit it.</p>	<p>(Discrepancy): [xx] (D4 Question 3) Unit failed to properly publish forms IAW CAPR 1-2 para 8.4.</p> <p>NOTE: Use sub-bullets to specify the forms in question.</p> <p>b) (Discrepancy): [xx] (D4 Question 3) Unit forms are not prescribed in a directive publication IAW CAPR 1-2 para 8.4.</p> <p>NOTE: Use sub-bullets to specify the forms in question.</p>	<p>a) Attach a copy of the revised prescribing directive publication or documentation that the form has been rescinded to the discrepancy in the Discrepancy Tracking System (DTS).</p> <p>b) Attach a copy of the prescribing directive publication or documentation that the form has been rescinded to the discrepancy in the Discrepancy Tracking System (DTS).</p>
SUI	04	Is there a formal file plan established IAW CAP regulations?	Unit will provide a copy of formal file plan documentation that includes where records are located (e.g., File drawer C-H, vehicle glove box, computer file My Documents\CAP\Squadron 5\Supplements, etc.).	(Discrepancy): [xx] (D4 Question 4) Unit does not have a formal file plan IAW CAPR 10-2 para 2.	Attach a copy of the unit file plan to the discrepancy in the DTS.
CI	04	Are records filed properly IAW CAP regulations?	Compliance is determined through electronic file plan/records review and on-site inspection of file cabinet.	(Discrepancy): [xx] (D4 Question 4) The Wing DA does not manage wing files and record maintenance IAW CAPR 10-2 para 1.	Attach a plan of action, approved by Wing/CC, to prevent reoccurrence to the discrepancy in the Discrepancy Tracking System (DTS).

SUI	05	Are cut-off instructions followed IAW CAP regulations?	Compliance is determined through on-site inspection.	(Discrepancy): [xx] (D4 Question 5) There was no evidence the unit follows cut-off instructions IAW CAPR 10-2 para 6 and Attachment 1.	Attach a plan of action, approved by Unit/CC, to prevent reoccurrence to the discrepancy in the DTS.
CI	05	Is there a formal file plan established IAW CAP regulations?	Wing will provide a copy of formal file plan documentation that includes where records are located (e.g., File drawer C-H, vehicle glove box, computer file: My Documents\CAP\Squadron 5\Supplements, etc.).	(Discrepancy): [xx] (D4 Question 5) Wing does not have a formal file plan IAW CAPR 10-2 para 2.	Wing will provide a copy of the formal file plan. Wing file plan should mirror CAPR 10-2 Figure 1. Example File Plan. If the wing is doing Electronic Records they should mirror CAPR 10-2 Figure 5. Attach a copy of the wing file plan to the discrepancy in the Discrepancy Tracking System (DTS).
SUI	06	Are records destroyed properly IAW CAP regulations?	Compliance is determined through on-site inspection.	(Discrepancy): [xx] (D4 Question 6) There was no evidence the unit follows destruction instructions IAW CAPR 10-2 Attachment 1.	Destroy records IAW with CAPR 10-2 attachment 1. Attach a copy of the plan of action approved by the Unit/CC to prevent reoccurrence to the discrepancy in the DTS.
CI	06	Are cut-off instructions followed IAW CAP regulations?	Compliance is determined through on-site inspection.	(Discrepancy): [xx] (D4 Question 6) There was no evidence that Wing follows cut-off instructions IAW CAPR 10-2 para 6 and Attachment 1.	Attach a plan of action, approved by Wing/CC, to prevent reoccurrence to the discrepancy in the Discrepancy Tracking System (DTS).
SUI	07	Are frequent back-ups of electronic files made IAW CAP regulations?	Compliance is determined through on-site inspection or provide screen shots of on-line back up system if applicable.	(Discrepancy): [xx] (D4 Question 7) Unit does not ensure frequent and thorough backups of electronic records to protect against possible loss of information due to fire, disaster, or storage device failure IAW CAPR 10-2 para 7b.	Attach a plan of action, approved by Unit/CC, to prevent reoccurrence to the discrepancy in the DTS.

CI	07	Are records destroyed properly IAW CAP regulations?	Compliance is determined through on-site inspection.	(Discrepancy): [xx] (D4 Question 7) There was no evidence that Wing follows destruction instructions IAW CAPR 10-2 Attachment 1.	Destroy records IAW with CAPR 10-2 attachment 1. Attach a copy of the plan of action, approved by the Wing/CC, to prevent reoccurrence to the discrepancy in the Discrepancy Tracking System (DTS).
CI	08	Are frequent back-ups of electronic files made IAW CAP regulations?	Compliance is determined through on-site inspection or provide screen shots of on-line back up system if applicable.	(Discrepancy): [xx] (D4 Question 8) Wing does not ensure frequent and thorough backups of electronic records to protect against possible loss of information due to fire, disaster, or storage device failure IAW CAPR 10-2 para 7b.	Attach a plan of action, approved by Wing/CC, to prevent reoccurrence to the discrepancy in the Discrepancy Tracking System (DTS).



SUI	09	Are unit supplements and OIs properly coordinated and approved?	a) Unit will provide access to online publications or copies of unit publications for review and will show record that the coordination was completed.	a) (Discrepancy): [xx] (D4 Question 9) Unit failed to ensure supplements and Operating Instructions (OI) pertaining to Air Force Assigned Missions or federally provided resources were coordinated IAW CAPR 1-2 para 8.3.3.2.	a) Attach a copy of the email traffic illustrating coordination efforts to the discrepancy in the Discrepancy Tracking System (DTS).
		b) Have all supplements and OIs been approved by the NHQ OPR as verified by their posting on the CAP publications website?	b) Unit will provide access to online publications or copies of unit publications for review.  Note: All approved directive publications will eventually be posted on the CAP publications website.	NOTE: Use sub-bullets to identify the offending supplements and OIs.  b) (Discrepancy): [xx] (D4 Question 9) Unit failed to ensure supplements and Operating Instructions (OI) were approved IAW CAPR 1-2 para 8.3.3.  NOTE: Use sub-bullets to identify the offending supplements and OIs.	b) Attach a copy of the properly approved supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).
		c) Has the unit issued any supplements or OIs to CAPR 1-2?	c) Unit will provide access to online publications or copies of unit publications for review.	c) (Discrepancy): [xx] (D4 Question 9) Unit (below wing level) issued a supplement or OI to CAPR 1-2 in violation of para 4.	c) Attach a copy of official correspondence rescinding the supplement or OI in the Discrepancy Tracking System (DTS).
		d) Did unit OPRs provide compliance elements, as defined in CAPR 1-2, para 7, as Attachment 1 to each supplement and OI issued by their headquarters?	d) Unit will provide access to online publications or copies of unit publications for review.  Note: All approved directive publications will eventually be posted on the CAP publications website.	d) (Discrepancy): [xx] (D4 Question 9) Unit failed to include compliance elements as Attachment 1 to a supplement or OI IAW CAPR 1-2 paragraphs 7 and 8.3.2.1.  NOTE: Use sub-bullets to identify the offending supplements and OIs.	d) Attach a copy of the revised supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).

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SUI	10	Are all documents that direct requirements or procedures either a supplement or OI?	Unit will provide access to online publications or copies of unit publications or other directive documents for review.  Note: All approved directive publications will eventually be posted on the CAP publications website.	(Discrepancy): [xx] (D4 Question 10) Unit directed requirements or procedures from a document other than an Operating Instruction (OI) or supplement as prohibited by CAPR 1-2 para 8.3.1.	Attach a copy of the directive publication or documentation that the prohibited document has been rescinded to the discrepancy in the Discrepancy Tracking System (DTS).
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CI	10	Are wing supplements and OIs properly coordinated and approved?	<p>a) Wing will provide access to online publications or copies of unit publications for review and will show record that the coordination was completed.</p>	<p>a) (Discrepancy): [xx] (D4 Question 10) Wing failed to ensure supplements and Operating Instructions (OI) pertaining to Air Force Assigned Missions or federally provided resources were coordinated IAW CAPR 1-2 para 8.3.3.2.</p> <p>NOTE: Use sub-bullets to identify the offending supplements and OIs.</p>	<p>a) Attach a copy of the email traffic illustrating coordination efforts to the discrepancy in the Discrepancy Tracking System (DTS).</p>
		<p>b) Have all supplements and OIs been approved by the NHQ OPR as verified by their posting on the CAP publications website?</p>	<p>b) Wing will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p>	<p>b) (Discrepancy): [xx] (D4 Question 10) Wing failed to ensure supplements and Operating Instructions (OI) were approved IAW CAPR 1-2 para 9.</p> <p>NOTE: Use sub-bullets to identify the offending supplements and OIs.</p>	<p>b) Attach a copy of the properly approved supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).</p>
		<p>c) Did wing OPRs provide compliance elements, as defined in CAPR 1-2, para 7, as Attachment 1 to each supplement and OI issued by their headquarters?</p>	<p>c) Wing will provide access to online publications or copies of unit publications for review.</p> <p>Note: All approved directive publications will eventually be posted on the CAP publications website.</p>	<p>c) (Discrepancy): [xx] (D4 Question 10) Wing failed to include compliance elements as Attachment 1 to a supplement or OI IAW CAPR 1-2 paragraphs 7 and 8.3.2.1.</p> <p>NOTE: Use sub-bullets to identify the offending supplements and Ois</p>	<p>c) Attach a copy of the revised supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).</p>

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CI	11	Are all documents that direct requirements or procedures either a supplement or OI?	Wing will provide access to online publications or copies of unit publications or other directive documents for review.  Note: All approved directive publications will eventually be posted on the CAP publications website.	(Discrepancy): [xx] (D4 Question 11) Wing directed requirements or procedures from a document other than an Operating Instruction (OI) or supplement as prohibited by CAPR 1-2 para 8.3.1.	Attach a copy of the revised directive publication or documentation that the prohibited document has been rescinded to the discrepancy in the Discrepancy Tracking System (DTS).
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