

D-9 INFORMATION TECHNOLOGY

Questions

Type	#	Topic/Detailed Question	How to verify compliance	Discrepancy Write up	How to Clear
CI	01	<p>Has the wing published any supplements or operating instructions, or requested and been granted any waivers to CAPR 120-1?</p> <p>a). Is the wing operating under any supplements or operating instructions to CAPR 120-1, and, if so, were they approved IAW this regulation prior to implementation?</p> <p>b). Is the wing operating under any waiver to CAPR 120-1 and, if so, were they approved IAW this regulation prior to implementation?</p>	Compare wing's published supplements/OIs or waivers with those documents posted on the CAP publication website.	<p>a). (Discrepancy): [xx] (D9 Question 1) Wing failed to obtain approval IAW CAPR 120-1 para 3 for supplement or operating instruction prior to implementation IAW CAPR 120-1 para 3.</p> <p>b). (Discrepancy): [xx] (D9 Question 1) Wing failed to obtain approval IAW CAPR 120-1 para 3 for requested waiver prior to implementation IAW CAPR 120-1 para 3.</p>	<p>a). Attach a copy of the approved supplement/OI or documentation confirming rescission to the Discrepancy Tracking System (DTS).</p> <p>b). Attach a copy of the approved waiver or documentation confirming rescission to the discrepancy in the Discrepancy Tracking System (DTS).</p>
CI	02	Does the Wing have an assigned Director of IT or IT Officer responsible for maintenance, upkeep and compliance with regard to use of all CAP IT assets within their respective units IAW CAPR 120-1 para 2.2.5?	Review duty assignments for the wing within eServices to identify whether the Wing has an assigned Director of IT or IT Officer.	(Discrepancy):[xx] (D9 Question 2) Wing does not have an assigned Director of IT/IT Officer IAW CAPR 120-1 para 2.2.5.	Provide screen shot of updated duty assignments showing assignment of Director of IT or IT Officer to the DiscrepancyTracking System (DTS).
CI	03	Are all wing CAP Internet Operations records current IAW CAPR 120-1 para 5.2.2?	Review the Internet Operations Report and the Organizational Report from Members Reports to determine if all websites are approved and approval dates for	(Discrepancy): [xx] (D9 Question 3) Wing failed to comply with annual Internet Operations review requirements IAW CAPR 120-1 para 5.2.2.	Attach a print screen of updated record showing current review/in compliance approval date(s) to the Discrepancy Tracking System

			Wing websites are within the current fiscal year.		(DTS).
CI	04	Are locally developed web pages dealing with confidential information clearly marked with the warning required by CAPR 120-1 para 9.2.4?	Review representational sample of unit web pages noting whether warning is present when the page is displaying confidential information.	(Discrepancy):[xx] (D9 Question 4) Wing has not properly provided warning requirement on web pages that present confidential information IAW CAPR 120-1 para 9.2.4.	Attach a print screen of the web site containing the required warning, being sure to obscure the confidential information, to the Discrepancy Tracking System (DTS).
CI	05	Are backups of electronic files made IAW CAPR 120-1 para 11.6?	Review unit's backup schedule documentation to ensure backups are being completed IAW CAPR 120-1 para 11.6	a). (Discrepancy):[xx] (D9 Question 5) Wing does not perform full backups at least monthly and incremental backups weekly IAW CAPR 120-1 para 11.6. b). (Discrepancy):[xx] (D9 Question 5) Wing does not store back-up files in another physical location IAW CAPR 120-1 para 11.6.	a). Attach a current backup schedule document that shows compliance to the Discrepancy Tracking System (DTS). b). Attach a current backup schedule/location document to show compliance to the Discrepancy Tracking System (DTS).
CI	06	Are the default anti-virus protections enabled on all CAP issued computers IAW CAPR 120-1 para 11.7?	Review a representative sample of locally available CAP issued laptops for current anti-virus software. This can found by navigating to the right hand corner of the task bar, locating the anti-virus software icon and opening application to identify if services are current and active.	(Discrepancy):[xx] (D9 Question 6) Wing failed to ensure current anti-virus is enabled on CAP-issued laptops IAW CAPR 120-1 para 11.7.	Attach a print screen of updated record showing the computer is protected to the Discrepancy Tracking System (DTS).