

COMPLIANCE INSPECTION SUB-UNIT INSPECTION REPORT



Attachment:
Compliance Report



CIVIL AIR PATROL
UNITED STATES AIR FORCE AUXILIARY



MEMORANDUM FOR COMMANDER,

FROM: WG/IG SUBJECT: Report of Sub-Unit Compliance Inspection,

1. The Sub-Unit Compliance Inspection is a value-added process intended to evaluate and help improve mission accomplishment. This report focused on the following elements:

- a. How effectively, efficiently and safely the unit accomplishes its assigned missions and responsibilities.
- b. The unit's compliance with laws, instructions, regulations and technical orders.
- c. The degree to which unit leadership has enhanced its mission and made improvements.
- d. The emphasis unit leadership has placed on the detection and prevention of fraud, waste and abuse.

2. The Unit Commander will review the attached report and submit the corrective actions for all discrepancies in the eServices Inspector General module no later than 30 days after the onsite visit. Progress reports will be entered into the system as specified in CAPR 20-3 Table 9.1 until all discrepancies are closed.

3. Any correspondence that indicates direct quotes, identifiable paraphrasing or observations extracted from this report must be marked with the following statement: "This is a PRIVILEGED DOCUMENT that cannot be released in whole or part to any persons or agencies outside of the Civil Air Patrol or USAF, nor can it be republished in whole or part in any publication not containing this statement, including Civil Air Patrol magazines and general use pamphlets, without the express approval of the National Commander of Civil Air Patrol and the Commander of CAP-USAF."

4. It was a pleasure to work with your professional team of volunteers. If you have any comments or concerns, feel free to contact the WG/IG at () .

For the Commander,

Inspector General, WG

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SECTION 1 – INSPECTION SUMMARY

Purpose and Scope

The purpose of this inspection was to (1) determine how effectively, efficiently, and safely the unit accomplished its mission(s) and responsibilities; (2) identify obstacles which impacted mission accomplishments; (3) eliminate waste, improve morale, and increase readiness; (4) assess the degree to which your leadership has enhanced the wing; and (5) provide information to other units for use in improving their operations. The inspection included an examination of leadership and management procedures at all levels and in all functions to determine the unit's ability to (1) accomplish its assigned missions and responsibilities efficiently, effectively and safely; (2) comply with laws, instructions, regulations, etc.; (3) determine the degree to which your leadership has enhanced the Wing and made improvements; and (4) place emphasis on the detection and prevention of fraud, waste and abuse.

There are five major areas rated by the Inspection Team. They are the three missions of CAP (Aerospace Education, Emergency Services and Cadet Programs), Mission Support and Command.

Overall Assessment

Executive Summary

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The following table also summarizes the number of Commendables and Discrepancies.

	Mission Grade	Commendables	Discrepancies	Repeats
A-1 Aerospace Education				
B-1 Cadet Programs				
D-1 Professional Development				
D-3 Finance				
D-4 Administration				
D-5 Personnel				
D-6 Public Affairs				
D-7 Supply				
D-8 Transportation				
E-1 Commander				
E-2 Safety				
Total				

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Key Personnel

<u>Position</u>	<u>Name, Rank</u>	<u>Date Appointed</u>
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Team CompositionTeam ChiefTeam Members

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RATING DEFINITIONS

1. **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. A commendable 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.

2. **Discrepancy.** A Discrepancy is any deficiency that is a violation of a CAP directive that results or could result in significant mission impact or widespread mission impact or failure. Discrepancies will include all repeat discrepancies and potential Fraud, Waste and Abuse (FWA) discrepancies. Discrepancies require a written response submitted to the Discrepancy Tracking System (DTS - Other). Check the Inspection Knowledgebase (IKB) for the proper way to clear a Discrepancy. The IKB is found at https://www.capmembers.com/cap_national_hq/inspector_general/inspection-knowledge-base/.

REPLY INSTRUCTIONS

All inspection discrepancies are to be closed within 5 months of the date of the report being published (CAPR 20-3 Table 9.1). Units not correcting all discrepancies within five months will be prohibited from participating in any CAP activities (including weekly meetings) not related to closure of the discrepancies until all discrepancies are closed. Waivers to exceed the 5-month maximum without restrictions being placed on the Unit must be approved by the CAP/CC and the CAP-USAF/CC.

The Wing IG will close all discrepancies.

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B-1 CADET PROGRAMS

Summary

Commendables Discrepancies Repeats

Staffing

Position - Deputy Cmdr for Cadets/Cadet Prog. Off. position held: Year(s) Month(s)

Cadet Programs Specialty Track:

Y,N,N/A # Question

05 Does the unit have at least two graduates of the Training Leaders of Cadets program assigned?

06 Has the unit adopted a set of annual goals?

07 Are squadron meetings guided by a written schedule?

08 Does the unit offer at least one "Saturday" activity per month, on its own or in cooperation with another unit?

11 Have all members who are required to complete cadet protection training done so?

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D-1 PROFESSIONAL DEVELOPMENT

Summary

Commendables Discrepancies Repeats

Staffing

Position - Professional Development Officer (PDO) held position: Year(s) Month(s)
Professional Development Specialty Track:

Y,N,N/A # Question

04 Does the unit maintain hard copy testing materials IAW CAP regulations?

05 Do composite and/or cadet squadrons which use paper tests have a TO appointed?

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D-3 FINANCE

Summary

Commendables Discrepancies Repeats

Staffing

Position - Director of Finance (FM) held position: Year(s) Month(s)

Finance Specialty Track:

Y,N,N/A # Question

03 Does the Finance Committee meet IAW CAP regulation?

05 Has the unit appointed all necessary members of the Finance Committee IAW CAP regulation?

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D-4 ADMINISTRATION

Summary

Commendables Discrepancies Repeats

Staffing

Position - Administration Officer (AO) held position: Year(s) Month(s)
Administration Specialty Track:

Y,N,N/A # Question

01 Are publications managed IAW CAPR 1-2?

02 Are unit OIs published IAW CAPR 1-2?

03 Are unit forms published IAW CAPR 1-2?

04 Is there a formal file plan established IAW CAP regulations?

05 Are cut-off instructions followed IAW CAP regulations?

06 Are records destroyed properly IAW CAP regulations?

07 Are frequent back-ups of electronic files made IAW CAP regulations?

09 Are unit supplements and OIs properly coordinated and approved?

10 Are all documents that direct requirements or procedures either a supplement or OI?

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D-5 PERSONNEL

Summary

Commendables Discrepancies Repeats

Staffing

Position - Personnel Officer (PO) held position: Year(s) Month(s)
Personnel Specialty Track:

Y,N,N/A # Question

01 Are unit positions updated in eServices/CAPFs 2A upon appointment by Unit CC?

02 Has a personnel record been established for each member of the unit?

03 Are inactive personnel records maintained for 5 years unless otherwise directed IAW CAP regulations?

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D-6 PUBLIC AFFAIRS

Summary

Commendables Discrepancies Repeats

Staffing

Position - Public Affairs Officer (PAO) held position: Year(s) Month(s)
Public Affairs Specialty Track:

Y,N,N/A # Question

02 Was the PA plan completed IAW CAP regulations?

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D-7 SUPPLY

Summary

Commendables Discrepancies Repeats

Staffing

Position - Logistics Officer (LO) held position: Year(s) Month(s)
Logistics Specialty Track:

Y,N,N/A # Question

01 Did the unit complete an annual inventory between 1 October and 31 December?

02 Are all non-expendable items on hand accurately reflected in ORMS and do they have a property tag?

03 Have items that cannot be located been recorded as "missing" in the condition field in ORMS?

04 Are issue and return of non-expendable property completed IAW CAP regulations?

05 Are Reports of Survey (ROS) properly initiated, conducted, and documented in IAW CAP regulations?

06 Are property storage areas safe, secure, and protected from the elements?

07 Is the real property inventory conducted concurrently with the annual physical inventory between 1 October and 31 December?

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D-8 TRANSPORTATION

Summary

Commendables Discrepancies Repeats

Staffing

Position - Transportation Officer (LGT) held position: Year(s) Month(s)
Logistics Specialty Track:

Y,N,N/A # Question

01 Do the vehicle folders contain all required documentation?

02 Prior to first use of the day, do vehicle operators perform a safety check on all CAP vehicles using CAPF 73?

03 Are all CAP vehicles appearance, identification, and markings maintained IAW with CAP regulations?

04 Is maintenance on CAP vehicles performed IAW the vehicle owner's manual or CAP regulations?

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E-1 COMMAND

Summary

Commendables Discrepancies Repeats

Staffing

Position - Commander (CC) position held: Year(s) Month(s)

Commander Specialty Track:

Y,N,N/A # Question

01 Are unit positions filled and appointed correctly?

03 Does the unit ensure compliance with the sexual/physical abuse policy?

04 Have all active senior members completed Equal Opportunity Training?

05 Does the Wing CC approve all fundraising events within the unit?

07 Are all SUI worksheets, unit details and data and other deliverables provided IAW CAP regulations?

09 Is POV use IAW CAP regulations?

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E-2 SAFETY

Summary

Commendables Discrepancies Repeats

Staffing

Position - Safety Officer (SE) held position: Year(s) Month(s)

Safety Officer Specialty Track:

Y,N,N/A # Question

07 Was the squadron SE Technician rated or enrolled in the Safety Specialty Track when appointed?

08 Did the Squadron SE provide a safety education topic every month?

09 Did the unit conduct the Annual Safety RM Day during the months of January, February, or March?

10 Was the Unit SE knowledgeable in the use of the Hazard Reporting / Safety Suggestion portion of SIRS?

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SECTION III –REPORT DISTRIBUTION

Wing Commander	1
Vice-Commander	1
GROUP Commander	1
Squadron Commander	1
Wing IG	1
Total	5

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