D-4 ADMINISTRATION

Staffing

Position - Administration Officer (DA) held position: Year(s) Month(s)

Administration Specialty Track:

Summary

Discrepancies	Repeats
0	0

List AD Name | Date Appointed | CAP ID | Phone Number | E-Mail

Notes

Y/N/R/NA	Topic/ Detailed Question	How to verify compliance	Discrepancy Write up	How to Close
	01 a) When publishing supplements and OIs, does the unit ensure the content does not conflict with higher headquarters directives?	a) 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.	(Discrepancy): [xx] (D4 Question 01a) 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.	a) Attach a copy of the revised supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).
	01 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?	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.	(Discrepancy): [xx] (D4 Question 01b) 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	b) Attach a copy of the certified supplement or OI to the discrepancy in the Discrepancy Tracking System (DTS).

Export Import

	01 c) Have supplements, OIs and pamphlets been forwarded to the next higher headquarters IAW CAPR 1-2 paragraphs 8.3.3. and 9.	c) Unit will provide email traffic or other documentation showing the publication was forwarded to the next higher headquarters.	(Discrepancy): [xx] (D4 Question 01c) 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.	c) Attach a commander approved plan of action to prevent recurrence to the discrepancy in the Discrepancy Tracking System (DTS).
	01 d) Are unit supplements and OIs revised and re-approved or rescinded within 6 months of the parent regulation's revision?	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	.(Discrepancy): [xx] (D4 Question 01d) 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. NOTE: Use sub-bullets to identify the offending supplements and OIs	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).
	02 Do unit published OIs apply only to their unit (charter xxx)?	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.	(Discrepancy): [xx] (D4 Question 02) Unit failed to ensure Operating Instructions (OI) applied only to their chartered unit IAW CAPR 1-2 para 8.3.2.3. NOTE: Use sub-bullets to identify the offending OIs.	Attach documentation showing referenced OI has been modified, rescinded or replaced to the discrepancy in the Discrepancy Tracking System (DTS).

	03 a) Are unit forms published IAW CAPR 1-2?	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.	(Discrepancy): [xx] (D4 Question 03a) Unit failed to properly publish forms IAW CAPR 1-2 para 8.4. NOTE: Use sub-bullets to specifythe forms in question.	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).
	03 b) If the unit publishes unit forms, is the use of each form specified in a unit directive publication?	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.	b) (Discrepancy): [xx] (D4 Question 03b) Unit forms are not prescribed in a directive publication IAW CAPR 1-2 para 8.4. NOTE: Use sub-bullets to specify the forms in question.	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).

	05 Are cut-off instructions followed IAW CAP regulations?	Compliance is determined through on-site inspection.	(Discrepancy): [xx] (D4 Question 05) 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.
	06 Are records destroyed properly IAW CAP regulations?	Compliance is determined through on-site inspection.	(Discrepancy): [xx] (D4 Question 06) 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.
	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 07) 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.

	09 a) Have all supplements and OIs pertaining to AFAMs or federally provided resources been coordinated with the CAP-USAF liaison region and CAP region?	a) Unit will provide access to online publications or copies of unit publications for review and will show record that the coordination was completed.	(Discrepancy): [xx] (D4 Question 09a) 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. NOTE: Use sub-bullets to identify the offending supplements and OIs.	a) Attach a copy of the email traffic illustrating coordination efforts to the discrepancy in the Discrepancy Tracking System (DTS).
	09 b) Have all supplements and OIs been approved by the NHQ OPR as verified by their posting on the CAP publications website?	a) 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. b)	(Discrepancy): [xx] (D4 Question 09b) 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) 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.	(Discrepancy): [xx] (D4 Question 09c) 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).
	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).

Identified Strengths:
(Commendable):
Identified Weaknesses:
(Discrepancies):
(HHQ - Issues):

Instructions for writing a Commendable and closing a discrepancy on site

1. List “Identified Strengths or Weaknesses”, if any.

2. Delete all of these instructions.

3. A Commendable must:
   a. Apply directly to one or more of the already vetted mission-critical worksheet questions
   b. Be process oriented i.e. based on a fully implemented continuous improvement-type cycle (ex: PDCA)
   c. Include results over time from designated process points (ex: input-output; before-after) that are measurable and quantifiable (i.e. performance metrics)
   d. 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

4. Should a discrepancy be closed on-site prior to the inspectors leaving, the discrepancy should be written up followed by this bullet point

This discrepancy was verified corrected - discrepancy closed, no further action required.