D-3 FINANCE

Staffing

Position - Officer Finance (FO) held position: Year(s) Month(s)

Finance Specialty Track:

List FM Name	Date Appointed	CAP ID	Phone Number	E-Mail
Notes				

Y/N/R/NA/OB	Topic/ Detailed Question	How to verify compliance	Discrepancy Write up	How to Clear
	03 a) Does the Finance Committee meet at least once per quarter IAW CAP regulation?	Unit will provide Committee meeting minutes.	(Discrepancy): [xx] (D3 Question 03a) Unit Finance Committee did not have a meeting at least once per quarter IAW CAPR 173-1 para 9c(8)	Create a plan of action, approved by the Unit CC, to ensure the discrepancy is not repeated and attach a copy of the plan of action to the discrepancy in the DTS.
	03 b) Does the Finance committee record and save the meeting minutes?	Unit will provide Committee meeting minutes.	(Discrepancy): [xx] (D3 Question 03b) Minutes for a Finance Committee meeting were not recorded IAW CAPR 173-1 para 9c(8).	Create a plan of action, approved by the Unit CC, to ensure the discrepancy is not repeated and attach a copy of the plan of action to the discrepancy in the DTS.

	05 a) Does the unit have a finance officer appointed in writing?	a) eServices/Reports/ Member reports/ duty assignments	(Discrepancy): [xx] (D3 Question 05a) Unit does not have a Finance Officer appointed IAW CAPR 173-1 para 8.	Appoint a Finance officer in eServices. Upload the appointment to the discrepancy in the DTS.
	05 b) Has the Unit Commander appointed a finance committee in writing within 30 days of assuming command? The committee will be composed of the unit commander as the chairperson, the Finance Officer, and at least one other senior member.	b) eServices/Reports/ Member reports/ Committee Listings	(Discrepancy): [xx] (D3 Question 05b) Unit does not have a Finance Committee appointed IAW CAPR 173-1 para 9c.	b) Appoint a Finance Committee comprising the minimum required members in writing. Attach a copy to the discrepancy in the 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.