

## SUI Evaluation Criteria and Inspection Guidance

The following guidance is provided for inspectors and for the commander and staff of inspected units. Included are examples of observations that will be uniformly applied in each SUI of each unit. Additional items will be added over the course of continuing inspections.

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1. **Purpose.** To insure uniformly applied grading standards to the SUI
  - a. The following guidance is provided for inspectors and for the commander and staff of inspected units.
  - b. Presently, this guidance focuses determining compliance vs. non-compliance. Grading standards for the range of specific grades will be added in the future.
  - c. As common questions and resolution occurs in future inspections, they will be added to this evaluation guidance.

### 2. **General considerations.**

- a. Inspection validation resources.
  - (1) e-services>reports>member reports.
  - (2) e-services>operations>reports.
  - (3) Wing directorates. A primary objective of wing directorates is to provide expertise, guidance and assistance to the subordinate units. It may be necessary to telephone or email the wing directorates to resolve questions or concerns on the worksheets.
  
- b. Scope of the inspector's inquiry.
  - (1) The inspectors will ordinarily limit the inspection to the items listed in the worksheet and to the special interest items of the wing commander.

(2) The inspector shall not ignore other regulatory requirements that may come to the inspector's attention in the course of an inspection.

c. Discrepancies

(1) As set forth in CAPR 5-4. Paragraph 1.a., "shall", "must" and "will" are mandatory requirements. If the inspected unit is not in compliance with a requirement, it is a discrepancy.

d. Areas of concern/weaknesses

(1) As set forth in CAPR 5-4, paragraph b. and c., "should", "may" indicates a non-mandatory or preferred method of accomplishment [nondirective].

(2) If the inspector finds that a "should" practice is not being used and the unit representative is not able to satisfactorily explain the need to deviate from the recommended procedure, the inspector shall assign an area of concern to the worksheet.

e. Not Rated. Nevada wing subordinate units shall not assign a "not-rated" grade. All functional areas of the SUI worksheets shall be inspected. Each unit in the wing has the capability of supporting each of the functions covered by worksheets, even if the inspected area is not a primary responsibility of the unit. For example;

(1) A senior squadron being evaluated for worksheet B-1. The squadron has the capability of supporting the cadet programs of other units.

(2) A unit without an assigned COV being evaluated for worksheet D-8. The unit likely uses the transportation assets of the wing and other units.

(3) A unit without communications equipment being evaluated for worksheet C-2. The responsibilities of units to support the ES mission include operating communications equipment.

(4) While a Not Applicable observation may be appropriate for individual worksheet questions, the overall worksheet shall be evaluated. If all of the questions in the worksheet are N/A, the inspector shall append comments to the worksheet regarding the extent of the inspected unit's support of the worksheet function.

f. Deliverables.

(1) Deliverables shall be uploaded into the documentation page of the e-services IG program. Ordinarily, the inspected squadron commander completes this task.

(2) Training in this process is available through the IG office

(3) See 3.g. below if deliverables are not available in e-services documentation

(4) The file naming convention for deliverables uploaded into e-services is the worksheet, question number, unique name assigned by the unit. For example, the AE plan of action required by question 1 of worksheet A-1 should have a file name of: "A1\_Q1\_POA ." The file name "D3\_Q3b\_minutes" are the minutes required by the finance worksheet, question 3.b. The unit could further identify it by adding third quarter; "D3\_Q3b\_minutes\_3." What are most important on the file name is the worksheet number and the question number.

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### 3. Grading standards applicable to all worksheets.

a. The header of each worksheet contains the professional development data for the assigned *principal* staff officer.

b. See Worksheet E-1, Commander, for deliverables and for evaluation of the other primary and assistant duty assignments.

c. To assist the team leader in the preparation of the report, include the name of the primary staff officer in the mission notes block at the top of the worksheet.

d. Evaluation of the professional development of the assigned staff officer includes the following considerations.

(1) With the exception of (2) below, it is a discrepancy if a squadron staff officer is not enrolled in the professional track appropriate to the primary staff duty assignment(s). If such a discrepancy exists, reference the situation on the worksheet but the discrepancy will be documented and counted on Worksheet E-1, Commander.

(2) Exception. If the staff officer has a master rating in the assigned staff position, it is not necessary to be enrolled in the professional development track for that assignment.

(3) It is not a discrepancy or area of concern if the principal unit staff officer languishes in the staff assignment for years, with a technician rating. Note, though, there is nothing to prevent the commander from replacing the staff officer with a more motivated member.

(4) The regulation is unclear regarding, a “None” rating. National has changed the previous ambiguous guidance by simply deleting the guidance in this regard. We will continue to subjectively call such situations an AOC, if there has been no reasonable progress. Subjectively, two years (typically since last SUI) with no track movement out of the “None” category is an AOC.

e. Worksheet questions include verification that certain documents have been submitted to wing headquarters. Prior to starting the evaluation of the documents submitted to you for the inspection, it may be helpful to contact the wing staff officer having staff supervision of the worksheet. With this, you will have technical expertise on the quality, completeness, strengths and weakness of the documentation submitted to the wing headquarters.

f. Some worksheet questions include the requirement to receive the wing commander’s approval for certain plans and documentation. Approval by the wing directorate having staff responsibility for the plan or documentation is acceptable in lieu of the wing commander’s approval.

g. All deliverables are due between no later than 10 days prior to onsite visit. Each worksheet describes the required deliverables. Deliverables received after this date constitutes a discrepancy, which is recorded on Worksheet E-1, Commander. Count one or more delinquent deliverables as a single discrepancy.

h. Discrepancies that are corrected prior to the conclusion of the onsite visit shall be closed, "Corrected. No Further Action Required." This will eliminate the requirement to make status reports on the progress of clearing these discrepancies.

i. Don't try to take shortcuts. Review the regulations listed for each worksheet question.

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#### **4. Worksheet A-1, Aerospace Education**

**a. Question 1, regarding the squadron AE POA.**

(1) Does it generally include the topics listed in the sample unit plans on pp 27-28 of CAPP 15?

(2) Verify AE POA was submitted to wing PAO NLT 15 Nov

(3) If a POA was not submitted to you for evaluation or if the POA is not satisfactory to you or to wing AEO, it is a discrepancy.

(4) A compliant but weak POA may be an area of concern. This requires subjective remarks to justify this weakness.

**b. Question 2, regarding the internal AE program.** The evaluation is subjective. It focuses on AE for senior members and cadets.

(1) Expect, as a minimum, a list of the tools and resources from CAPP15 that the squadron uses for its internal AE program.

(2) Better will be a schedule of the dates the AE training was conducted and the members that participated in the training.

(3) Comment on the emphasis, or lack thereof, of members achieving the Yeager award.

**c. Question 3, re external AE program.** The evaluation is subjective. In rural communities expect more difficulty in establishing relationships with schools and organizations.

(1) Expect, as a minimum, a list of organizations and associated AE activities with which the unit has coordinated.

(2) If there has been no such coordination, ask for copies of unit correspondence and dates documenting attempts by the unit to establish coordination.

(3) Ask for dates, summary of phone conversations and the names of points of contacts, if there is no written documentation. Ordinarily, this level of lack of documentation will result in an area of concern, at a minimum.

(4) An active effort by the unit, even though the outcome has not been productive, does not, in itself, warrant a discrepancy. This may have to be resolved at the onsite inspection and with the unit commander and AEO

(5) If the documentation does not clearly demonstrate an effort to include the community, it is a discrepancy.

**d. Question 4, re annual AE activity report**

(1) In the Nevada wing, the AE report is submitted quarterly to the wing AEO. Either the annual report or the four quarterly reports is acceptable. Review the report(s) from the most recent completed reporting year. The wing AEO is a resource on the quality and completeness of the report(s).

(2) Is the report(s) generally in the recommended format on pp 36-37 of CAPP 15? Comment on strengths and weaknesses. Include comments, if any, from the wing AEO.

(3) No report, a meaningless report, a report that ignores the recommended format is a discrepancy, or a report not submitted to the wing within the required suspense date of 15 Oct, is a discrepancy.

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**5. Worksheet B-1, Cadet Programs**

a. For senior squadrons. Nevada wing senior squadrons actively support cadet programs. Comment on the extent to which the senior squadron supports, or does not support wing cadet program activities. For example, WMIRS data will provide data on O-rides conducted by the inspected senior squadron.

b. **Question 1. TYPO.** The worksheet refers to cadet activities lasting 4 nights or longer and other cadet activities, “designated by the unit commander.” This is in error and may incorrectly result in assignment of a discrepancy. The regulation refers to wing commander designation of certain cadet activities, not the unit commander designation.

c. **Question 1, regarding the requirement for required staff training.** Through coordination with the inspected unit commander and wing cadet programs officer;

(1) Identify activities, in which inspected unit members have participated as staff members, of activities lasting at least four nights, e.g. the last wing encampment.

(2) Coordinate with wing cadet programs officer to identify any other activities, designated by the wing commander, requiring the staff training.

(3) Determine if the participating members served on the activity staff of an activity (look for a certificate in the personnel file, entry on the CAPF45/CAPF66, ask the wing cadet programs officer if any unit members are listed on the previous staff roster of the wing encampment etc).

(4) If there are no unit members participating on the staff of the activity, grade the question as N/A.

(5) For those inspected unit members who did serve on an activity staff, verify the personnel file contains a certificate of completion or a CAPF11 documenting completion of the required staff training. Having personal knowledge that the member completed the training does not meet the standard. It is a discrepancy if there is no such documentation.

**d. Question 2 regarding required adult supervision at cadet activities.**

(1) If validating an activity prior to 18 Apr 2014, cadet supervision by one adult is acceptable. After 18 Apr 2014 the cadet supervision requirement is now two adults.

(2) As a minimum, expect the unit to submit an attendance log for any activity that includes cadets. Review the log for presence of senior member(s).

(3) The CAP attendance log has no form number assigned. Units may download it from member reports in eservices.

(4) If there is no documentation of an adult presence, it is a discrepancy, regardless if the unit representative or other members report having personal knowledge of the presence of adult(s).

**e. Question 3, regarding HAA.**

(1) If the unit conducts HAA, expect submission of CAPF54. First, review CAPR 52-16, para 2-8. Then, review the submitted documentation..

(2) Insure the documentation is completed and is an activity approved in the regulation. Ordinarily the wing commander / cadet programs officer will have reviewed the form prior to approving the activity.

(3) If the CAPF54 is not in compliance but was approved, consider a discrepancy against the wing. If the CAPF54 was not approved, determine if the activity was conducted. If it was, it is a discrepancy against the unit.

(4) HAA conducted without submitting a request for approval is a possibility and may be difficult to identify if there is no documentation. When such incidents occur, it is normally through ignorance of the regulations.

(5) Possible information sources that may indicate HAA include past training/meeting schedules and AE activity reports. Review of these alternative sources of cadet activity from six months to a year should be adequate. Any such HAA identified, without an accompanying approved CAPF54 is a discrepancy.

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**6. Worksheet C-2, Communications**

a. The review of the ORMS data will provide most answers. The only activity for the on-site inspection is to conduct the inventory and assess the area.

b. If ORMS or the unit reports no communications equipment, validation of the worksheet is still necessary. For example;

(1) It is not uncommon for a unit to use donated equipment, particularly hand-held radios, that are not properly documented in ORMS. Undocumented equipment in possession may be a source of liability to CAP.

(2) Equipment on temporary loan to the unit should, but may not, be entered into ORMS. If the property is missing or damaged, a report of survey is required.

**c. Question 1, regarding reports of survey.**

(1) As part of the onsite inspection, inventory all issued communications equipment and inspect the condition of the equipment.

(2) If equipment is found missing or damaged, a status change is required in ORMS and a report of survey is required. Failure to enter the status change is a discrepancy.

(3) Each equipment item requires a unique CAP property number attached to the equipment. Each equipment item without the required identification number is a discrepancy.

(4) The wing headquarters assigns and manages the progress report of the report survey. If the report of survey has not been assigned or the report is not completed (or in progress) it is a discrepancy against the wing. The wing logistics officer is a resource to verify the need/status of a report of survey

**d. Question 2, regarding donated equipment.**

(1) During the onsite visit and inventory, be attentive to communications equipment that is present but for which no documentation is in ORMS.

(2) If the unit representative is unable to satisfactorily explain the presence of the equipment, including the owner, it is presumed to be donated and is a discrepancy.

**e. Question 3 a), regarding the annual inventory.**

(1) ORMS includes the date of the annual inventory certification.

(2) If the inventory was not conducted or not conducted within the required period, it is a discrepancy.

(3) If the inventory was conducted after the suspense date, it is still a discrepancy except that it may be closed and the conclusion of the inspection.

**f. Question 3 b) (1), regarding revalidation of equipment on loan.** The ORMS report will include the revalidation date, if it was completed prior to, or on the date of, the inventory. If the date is not current, i.e., within 60 days, it is a discrepancy. Further, actual inspection by the unit of the loaned property is required during the unit's annual inventory.

**g. Question 3 b) (2), re transfer and acceptance of equipment.**

(1) If the inventory reveals there is equipment on hand, but the equipment has not been accepted in ORMS by the unit within 10 days of issue, it is a discrepancy. Accepting the property in ORMS after the 10 days will not remove the discrepancy but, the discrepancy can be closed.

(2) If the unit has transferred equipment out, and the equipment is still assigned to the unit in ORMS, pending acceptance by another organization, it is a discrepancy against the wing.

**h. Question 3 c) (3) regarding location of the equipment.** As part of the onsite inventory, verify the storage location of the communications equipment is accurately reported in ORMS. Actual storage locations that conflict with the documentation in ORMS is a discrepancy.

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**7. Worksheet D-1, Professional Development**

**a. Question 1, regarding CPPT.** The worksheet is straight forward on verifying compliance in CAPR 50-17.

(1) Review e-services> Member Reports> Members Missing CPPT. Review those who have not completed Level 1. Verify the members are not assigned duties in e-services>Member Reports>Duty Assignment.

(2) It will be more difficult to verify that members without Level 1 are in compliance with CAP uniform restrictions. Subjective discussion with the commander may resolve this.

(3) With two senior members now required to be present at cadet activities, it is unlikely that both senior members will not have CPPT. A review of the CAP attendance log and operations plans/ORM for cadet activities should list the names of senior members supervising the activities.

(4) Do not overlook the exceptions to the CPPT requirement, listed in the referenced regulation.

(5) It is a discrepancy if cadets are supervised by a person without CPPT (be sure to review the exceptions).

**b. Question 2, re testing officer.**

(1) If the unit does not maintain test materials, the appointment of a testing officer and test storage is not required.

(2) Occasionally, a PDO may say that no tests or testing materials are maintained by the unit, as all tests are online. If the unit has cadets, this is incorrect as the professional development of cadets does include some paper copy tests.

(3) Note that it is possible that senior squadrons may not store testing materials. However, all composite and cadet squadrons have some manual testing materials for advancement of cadets and therefore store or shall provide for storage, of onsite testing materials. All composite and cadet squadrons shall have a testing officer.

(4) Review of e-services>Member Reports>Duty Assignment does not reflect appointment of a testing officer it is a discrepancy.

(5) The regulation specifically states the appointment is in e-services. An appointment is made only with a manual CAPF2A is not compliant.

**c. Question 3, re commander assigned as a testing officer** (primary or assistant). A commander assigned as a testing officer or assistant testing officer is a discrepancy. Check both e-services for this duty assignment and the commander's personnel file to verify there is no manual CAPF2A, assigning the testing officer duty.

**d. Question 4 a), regarding test storage container**

(1) Verify the storage cabinet meets each of the several standards in para 1-5, CAPR 50-4. The standards are basic and easy to follow.

(2) If there are deficiencies, whether single or multiple deficiencies, it counts as a single discrepancy.

**e. Question 4 b), regarding test materials inventory.**

(1) As set forth in para 1-4, CAPR 50-4, expect to see either a paper or electronic log similar to the example in Attachment 2, CAPR 50-4. Although use of the same log in the attachment is unnecessary, the log used by the unit shall contain all of the data elements in the example.

(2) Conduct an inventory of the unit test storage container as set forth in para 1-6 of CAPR 50-4.

(3) Pay attention to identifying missing tests, tests that are in the file but not on the test log, and presence of obsolete tests and testing materials.

(4) An inventory is required every 180 days and when there has been a change of testing officers or assistants. Cross check the dates of assignments of testing officer in e-services with the dates of the test inventory to verify inventories were conducted when testing officer changes occur.

(5) Failure to conduct inventories every 180 days and on change of testing appointment are separate discrepancies.

**f. Question 5, re maintenance of the CAPF45.**

(1) NOTE: In this worksheet, reference is made only to the CAPF45 (senior master record). No reference is made to CAPF66 (cadet master record) in professional development. Accordingly, it is not necessary to include CAPF66 in the professional development part of the inspection.

(2) NOTE: Evaluation of CAPF45 is difficult. Redundancy of records keeping is not required. Therefore, documentation of events on the CAPF45 is not necessary if the events are documented elsewhere, such as in e-services.

(3) If there is no documentation of delegating maintenance of CAPF45 to the PDO, it remains the responsibility of the personnel officer (worksheet D-5).

(4) At a minimum, a copy of CAPF45 shall be prepared for each senior member.

(5) It is not a discrepancy if a CAPF45 in the member's file is only partially completed i.e., includes only data not available through e-services. If a completed activity is not recorded and not recorded elsewhere, or if there is no CAPF45 for senior members, it is a discrepancy.

(6) If the PDO is maintaining the forms, without evidence of a delegation, it is a discrepancy.

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**8. Worksheet D-3, Finance**

a. Expect the following deliverables prior to the on-site visit.

(1) CAPF172 at beginning of fiscal year and, if applicable, for change of command

(2) All finance committee meeting minutes for previous 12 months.

(3) Unit budget

(4) Document(s) appointing finance committee

**b. Question 1a), re annual preparation of CAPF172**

(1) The CAPF172 is prepared NLT 1 October of each year and when there is a change of command at the inspected unit.

(2) Review the unit's current CAPF172 for preparation date.

(3) Review the duty assignment report in e-services for commander. If there has been a change of command following the preparation of the annual form, expect an additional form, prepared NLT 30 days after the change of command.

(4) It is a single discrepancy if the CAPF172 was not submitted within the suspense date or not submitted within 30 days of change of command.

**c. Question 1b), re approval of the CAPF172**

(1) NOTE: Don't accept this form as the enabling document by which the finance committee is appointed.

(2) This form requires approval by each member of the finance committee. Cross check the names of finance committee members listed on the CAPF172 with the PA used to appoint the finance committee members, to determine compliance.

(3) A missing signature and/or incorrect finance committee member on the CAPF172 is a discrepancy.

**d. Question 2a), re approval of expenditures**

(1) While the unit may encumber expenses, only the wing can pay the expense following a request, with supporting receipts, to the wing. The wing assumes expenditure has either been approved by finance committee or is on a list of pre-approved (recurring) expenditures.

(2) Typical problem area. Past issues have occurred when the expense is forwarded to the wing for payment without the required approval by either; a recurring expense approval, the unit finance committee, or person designated in part A of CAPF172.

(3) Prior to the inspection, obtain a sampling list of payments made by the wing on behalf of the inspected unit.

(a) Cross check the payments with the CAPF172 and finance committee minutes to verify the expenses were previously approved.

(4) Be aware of the amount of individual expenses and the level of the approval by the unit (e.g. under \$500.00 shall be approved by

(5) A request for payment made to the wing without prior expense authorization is a discrepancy.

**e. Question 2b), re documenting transactions.**

(1) Supporting documentation includes exhibits such as receipts, deposit receipts, journal entries.

(2) Using the list of approved wing payments, above, verify that the unit has supporting documentation for each expense.

(3) Expenses without supporting documentation are discrepancies.

(4) Because the wing requires submission of receipts, with requests for payments, it is unlikely that supporting documentation will be missing. If the unit is unable to locate receipts in file, contact the wing administrative officer to determine if receipts were forwarded. If the receipts are located at wing, the event is an area of concern rather than a discrepancy.

**f. Question 3a), re finance committee meeting requirements**

(1) Review the minutes and dates to verify the finance committee conducted, as a minimum, quarterly finance meetings.

(2) Dated minutes of the meeting are acceptable as verification the meeting was conducted.

(3) Finance meetings require documentation. If documentation of the date of any meeting cannot be produced, it is a discrepancy.

**g. Question 3b), re minutes of committee meeting.**

(1) The inspector should expect documentation of minutes for all meetings held during the previous 12 months.

(2) Minutes are required for each finance meeting. Read the minutes for a sensing of more frequent meetings than one per quarter. If the minutes suggest more frequent meetings, there shall be minutes for these meetings, as well. Non-documented meetings are a discrepancy

(3) There is a sample format of the finance committee meeting minutes on page 36 of the Commander's Finance Guide, dated March 2012. It is not necessary to use the same format. However, the data elements in the sample are required in the inspected unit's minutes. Depending upon the completeness of the unit's minutes, the grade may vary from area of concern to a discrepancy for non-compliance.

**h. Question 4), re balanced budget.**

(1) There is no format for the budget at the unit level. Expect a dated report with line item forecast of income and expenses. The budget expense and income shall be in balance.

(2) Review unit budget. Confirm the budget was submitted to the wing NLT than 1 Oct of current fiscal year. E-mail transmittal/acknowledgement of budget transmittal will suffice. If there is no documentation, verify date of receipt of the budget with the wing finance director. If the budget was not submitted within required date, it is a discrepancy.

(3) Confirm the budget is balanced i.e., projected income and projected expenses are balanced. Time permitting, calculate the total of income and expense to verify the budget is accurate. An unbalanced budget is a discrepancy.

**i. Question 5a), 5b), re appointment of the finance committee.**

(1) Composition of the finance committee shall be the chairperson (unit commander), finance officer and at least one senior member.

(2) The unit commander shall appoint a finance committee in writing within 30 days of assuming command. Review the e-services duty assignment report to determine the appointment dates of the commander and finance officer.

(3) Although the finance officer is appointed in e-services, the remaining committee member appointments are not in e-services. A manual report e.g. PA, is required appointing the members of the finance committee.

(4) Ordinarily the PA appointing the finance committee is a single document with each member's name and respective committee assignment. Insure the commander is specifically named as the chairperson and the finance officer is identified.

(5) Inspect each committee member's personnel file to confirm there is an appointment document.

(6) If assumption of command occurred prior to the previous SUI, validation of this requirement is not necessary. Otherwise, failure to appoint the finance committee within 30 days of assuming command is a discrepancy.

(7) Failure to designate the positions of the committee members is a discrepancy.

(8) Failure to include an appointment document in each member's personnel file is a discrepancy. If there is such a discrepancy, make a note on the worksheet. The discrepancy will be assigned to question 1 of worksheet D-5.

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## 9. Worksheet D-4, Administration

a. Expect deliverables such as;

- (1) Examples of supplements or OI published by the unit, if applicable.
- (2) Copy of document transmitting supplements or OI to wing headquarters
- (3) Copy of forms published by the unit
- (4) Unit file plan.
- (5) Copy of correspondence implementing forms published by the unit.
- (6) Screen shot of file backup directory
- (7) Examples of official correspondence.

b. The administration worksheet is complex because this function transcends all unit functional areas.

(1) Expect that administrative records will include both centralized records and records maintained by specific staff areas such as maintenance, safety and operations.

(2) An onsite inspection is necessary to complete this worksheet inspection.

c. Often, the administrative officer may say the unit does not publish supplements or operating instructions. This may be incorrect. It is not unusual for the commander or staff sections to issue formalized policies and procedures on how the unit will comply with certain regulatory requirements.

(1) If any such guidance is issued, regardless if it meets the format of a supplement, it may in fact constitute a supplement or operating instruction

(2) It may be difficult to distinguish between a unit commander's routine procedural guidance and requirements supplementing a regulation.

(3) Complicating the identification of supplements is that when guidance is issued, it is not always forwarded to the unit administration officer for centralized publication control.

(4) Unit specific requirements that supplement a higher headquarters requirement or may be a local unit operating instruction can be endless and include such subjects as;

- Guidance re conduct and expectations of cadets
- Unit specific requirements for fueling or storage of an aircraft.
- Special finance procedures
- Unit specific Safety procedures

### d. Question 1a), re publication of supplements

(1) Generally, a squadron will not publish guidance to regulations.

- (2) If the unit does publish guidance, it shall forward the documentation to the wing headquarters to determine if there is a conflict.
- (3) Expect that access to unit publications will be available online or paper copy.
- (4) Supplements not forwarded to wing headquarters for review are discrepancies

**e. Question 1b), re the recertification of supplements and operating instructions**

- (1) If the inspector finds that published guidance constitutes a supplement to regulations or operating instructions,, it shall be dated.
- (2) The publication shall be reviewed on the anniversary date and certified as current and still a requirement.
- (3) Supplements and operating instructions not recertified on an annual basis are discrepancies.
- (4) If the administrative officer does not have documentation in the administrative files of published guidance, it may be a discrepancy or area of concern. See Question 4.

**f. Question 1c), regarding forwarding supplements to wing headquarters.**

- (1) If it is found that the unit has issued supplements, or directions which are constructively supplements to the regulations and requirements of higher headquarters, the documentation shall be forwarded to wing headquarters to the directorate having staff responsibility for the regulation.
- (2) Expect to see documentation (e.g., e-mail) forwarding the supplement to wing. If documentation is not available, contact the wing directorate to determine if the supplemental information was received.
- (3) Supplements not forwarded to wing headquarters for approval are discrepancies.

**g. Question 2, re operating instructions.**

- (1) A unit may only publish operating instructions i.e., local policies or procedures, applicable to that unit.
- (2) Review the OI to verify the scope of the instructions clearly limits the requirement to that unit.
- (3) Operating instructions that do not clearly limit the scope of applicability are discrepancies.

**h. Question 3, re forms**

- (1) Most units have unit-specific forms requiring members to document certain processes and information. For example, typical forms at the unit level pertain to logistical and operational documentation.
- (2) The inspector should expect to be provided each unit form, either online or paper copy
- (3) If the unit has developed such forms, the forms shall comply with the five elements listed on the worksheet.
- (4) For purposes of forms management at the unit level, the inspector will accept a single letter summarizing the five elements for each form in use. As an alternative, the inspector will also accept as compliant, those forms which contain the five elements, e.g., on the reverse of the form.

(5) This evaluation does not include suggested data collection forms to collect data for other regulatory forms. The distinguishing action is if the form is mandated, rather than just suggested.

(6) Forms required to be completed, for which the required explanations do not exist, are discrepancies.

**i. Question 4, re formal file plan.**

(1) There is no specific required numbering sequence for the file plan. See figure 1 (page 2) of CAPR 10-2 for an example. Even though the unit may use its own file format numbering system, the data elements on the example are required, including the actual location of the files.

(2) The wing administrative officer is a good resource for a working file plan.

(3) Evaluate and comment on the number sequence that is used, i.e., is it logical and consistent?

(4) If the file plan refers to another location where the files are stored, cross check a sample of those locations to determine if the plan is working.

(5) It is a discrepancy if there is no file plan.

**j. Question 5, regarding records disposition.**

(1) The accumulation of unnecessary and obsolete administrative files may be a significant storage problem and may lead to confusion as to which guidance and instructions are current. Use Attachment 1 of CAPR 10-2 as a guide and sample the administrative files (including those files stored at other locations) to determine unnecessary retention.

(2) If the inspection reveals obsolete documents that exceed retention requirements, they are discrepancies. A record that exceeds the retention table is not necessarily a discrepancy if it is one of the exceptions, e.g., ongoing litigation, historical value, etc.

(3) It may be difficult to identify required files that have been prematurely purged, e.g. training files. Mission files should not be a problem at the unit level because such files are retained in WMIRS or by the wing operations officer. If required administrative files are not available, they are discrepancies.

**k. Question 6, re destruction of records.**

(1) This worksheet question is ambiguous and is redundant with Question 5 regarding disposition instruction. But, it does not indicate how destruction is to occur.

(2) Many records are public information and can be destroyed simply by use of paper recycling disposition. Records marked for official use only, or which contain personal identification, such as old membership rosters, shall be destroyed so that the information is not available to others.

(3) During the inspection, cross check some of the trash receptacles to determine if sensitive information is being improperly disposed.

(4) As all units have paper shredders, the unit administrative officer's concurrence that this method is used should suffice. If records with sensitive information are being disposed without destruction, it is a discrepancy.

### **l. Question 7, re backing up electronic files**

(1) It may be that the unit maintains manual files and that electronic files are simply supporting, non-required files. In such case, this question is N/A. Remarks should include that required files are kept in paper form.

(2) Some units use the SIMS software to eliminate redundancy of personnel record entries in CAPF45 and CAPF66. In such case, this should be included in the administrative file.

(3) If original files are maintained as electronic files, this question is ambiguous regarding a minimum standard for the frequency of backups and if sequential back-ups are made. It may be that only the most recent backup is available, with the file names of previous back-ups being overwritten.

(4) If there is a record of a backup, e.g. a recent file change date in the directory, consider the unit in compliance. If, in the inspector's opinion, the backup date is excessively old, consider an area of concern.

(5) Rather than a maze of files on the computer desk top, administrative files shall be in a directory, which mirrors the file plan. Comment on the logic of the organizational structure of the electronic directory.

(6) Determine where the backup is stored. Simply backing up the files on the same computer as the original files does not meet the intent of the regulations.

(7) The wing is moving to storing all records online ("cloud"), such as Dropbox. If the squadron is using the wing's cloud storage, backup is the responsibility of the wing. If the wing cannot provide documentation of back-up, it is a discrepancy against the wing.

(8) Failure to backup administrative files to a separate storage device is a discrepancy.

### **m. Question 8, re administrative communications**

(1) Scope. Administrative communications applies to correspondence that is official and representative of CAP. Examples include business correspondence to agencies outside of CAP, correspondence that is directive in nature, memorandums of understanding and correspondence requiring a response. Do not include informal communications as part of the inspection. Informal communications typically includes e-mail within the wing, notes, and guidance on implementing regulations.

(2) The administrative officer may report the unit does not prepare administrative communications. This may be incorrect as there are occasions when it is appropriate for the unit to prepare official correspondence. An example is correspondence between the unit and the airport authority where a CAP aircraft is stored in a hangar. Correspondence between and organizations involved in the aerospace program is another.

(3) Locate the administrative communications in the administrative files, or at a location referenced in the file plan.

(4) Cross check a sample of unit administrative communications and verify they are completed IAW regulations pertaining to format, letterhead and signature block.

(5) Communications not meeting regulatory standards are discrepancies.

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## **10. Worksheet D-5, Personnel.**

a. **General guidance.** Most confusion pertains to the documentation that is required to be retained in the personnel file at the unit. In addition to the inspection activities prior to the SUI day, the personnel inspection will require an onsite inspection.

(1) Occasionally a personnel officer will say the unit does not maintain paper copies in the personnel folder because the personnel data is in e-services. This is not correct.

(2) Personnel documentation that is in e-services does not have to also be retained in the personnel file.

(3) Expect that some personnel data will be only on line, some only on paper reports, and some paper reports (e.g., CAPF45/CAPF66) with partial entries.

(4) CAPR 39-2, paragraph 1-7 is ambiguous. *It begins with; 1-7. Active Records. Personnel records should consist of...* Therefore, because of the “should,” all that follows in paragraph 1-7 is recommended but not mandatory. Yet, near the end of paragraph 1-7 is the statement; *the online record cannot be used as the only personnel file since all information concerning the member is not currently tracked online.*

b. The documents typically subject to the confusion on retention requirements are CAPF2, CAPF2A, CAPF12, CAPF15, CAPF45, CAPF66, CAPF120.

(1) Correspondence applicable to the member such as letters of appreciation, letters of reprimand/counseling are required in the personnel file. It will be difficult to identify missing correspondence unless the inspector has personal knowledge of the existence of an event requiring such a letter.

(2) While the original application, CAPF12 / CAPF15, should be in the personnel file (e.g., fraudulent entries), it is not required. All of the data in the application is online in e-services. If the paper copy of the application for membership is absent, the inspector shall describe the event as an area of concern, rather than a discrepancy.

(3) Although good management procedures suggest otherwise, there is no requirement to print and then save the online version of the CAPF15.

### c. **Question 1, re CAPF2 - promotions**

(1) A paper copy of the CAPF2 may be required even though most promotions occur automatically within e-services following approval by the commander, based upon training and professional development recorded in e-services.

(2) Situations requiring a CAPF2 include promotions which require approval by a commander above the promoted member’s immediate commander and reduction in grade; both because online process does not provide for the supporting justification narrative.

(3) Inspectors should expect to see a CAPF2 for any member who has received a duty performance promotion to the grade of captain or above and special, mission related and professional appointments/promotions as listed in the CAPF2. The unit roster is a good resource to quickly identify member personnel records to review. Time permitting, the inspector may further exam the professional development tracks of the members to determine the source of the appointment/promotion to determine if a CAPF2 should be present.

(4) If a CAPF2 is required and is not in the personnel file, it is a discrepancy.

**d. Question 1 regarding maintenance of personnel records.**

Using the membership roster, select a representative sample of personnel records for review.

**e. Question 1, re CAPF2A – duty assignments**

(1) Worksheet question re CAPF2A - duty assignments. If the inspected unit maintains duty assignments in e-services, it is not necessary to retain CAPF2A for duty assignments. E-services has current and past duty assignments.

(2) Some units use both e-services and the personnel file to document the duty assignments. A disadvantage to this procedure is there may be conflicts between the online and manual document appointments. If duty assignments are found in personnel files, sample these against the online assignments to determine possible conflicts. If conflicts are found, record the situation as an area of concern.

(3) Some duty assignments are not recordable in e-services. The inspector may validate the CAPF2A requirement by examining the personnel files of members appointed to the various unit boards/committees such as promotion board, membership board, finance committee, and cadet CAC representative.

(4) If a duty has been assigned for which there is no CAPF2A or an e-services entry, it is a discrepancy.

(5) Don't overlook a discrepancy for question 5a/5b of worksheet D-3, Finance.

**f. Question 1, re CAPF2A - awards.**

(1) A paper copy of CAPF2A/ CAPF120 is required in the personnel file because activity ribbons, service ribbons, some awards and decorations are not documented in e-services.

(2) If the member has not yet received an award, a CAPF2A/CAPF120 is not required.

(3) Unless the member of the inspected unit is in uniform with ribbons exhibited, it will be difficult for the inspector to identify members who should have a CAPF2A in the personnel file but do not. Subjectively determine if the person has likely earned ribbons. E.g., a member in CAP for more than two years may have earned the red ribbon(s). Likewise, a mission pilot may have an ES ribbon or CD ribbon.

(4) If the inspector can reasonably determine that a member has earned an award or decoration and the CAPF2A/CAPF120 is not in file, it is a discrepancy.

**g. Question 2, pertaining to established personnel files.**

(1) Cross check the most recent e-services membership roster against the personnel files. A personnel file is required for each person in the unit.

(2) A missing personnel file is not automatically a discrepancy. A missing personnel file could be the result of a recent transfer. The member is authorized to take the personnel file to the new unit. The gaining unit, responsible for completing the transfer, may not yet have completed the transfer.

(3) It is a discrepancy if there is not a personnel file for each member.

**h. Question 3, pertaining to inactive records**

(1) The personnel records of members who do not renew membership or are terminated shall be moved to an inactive file. After five years (some exceptions) the records shall be destroyed.

(2) Inspect the active personnel records. Verify each record is associated with an active member.

(3) Inspect inactive files. Verify the records are in alphabetical order, are not associated with an active member, and are no older than five year (some exceptions)

(4) Inactive files not maintained IAW with the previous paragraph are discrepancies.

**i. Question 4, re CAPF45.**

(1) Use the previously selected personnel records from question 1.

(2) The unit may be using SIMS, the electronic version of the CAPF45/66, in which case Question 4 shall be validated through the electronic data.

(3) If maintenance is delegated to the PDO, ask for documentation.

(4) The inspector should expect a CAPF45/66 prepared for every member but not necessarily completed in detail, if documentation is located elsewhere.

(5) Examples of required entries includes attendance at a wing conference or encampment. These are not recorded in e-services. Inspector does not have knowledge of which activities have been completed by members.

(6) See validation guidance for question 5, Worksheet D-1, Professional Development.

(7) The following are separate discrepancies

- No personnel file
- No documentation on delegation to PDO
- No CAPF45 or CAPF66
- Failure to document an activity on the CAPF45 / 66 if the activity is not documented in e-services. This may be difficult to evaluate if the If a completed activity is not recorded, it is a discrepancy. Examples of alternative validation data sources include the wing administrative officer for conferences, wing cadet programs officer for encampments, wing operations officer for training exercises.

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**11. Worksheet D-6, Public Affairs**

a. Expect the deliverables to include:

(1) Public relations plan

(2) Crisis communications plan

b. Inconsistencies.

(1) It is not clear if the public relations plan and public awareness plans are the same requirement. CAPR 190-1 does not clarify this. For purposes of the inspection, consider them synonymous.

(2) There is conflict regarding subordination of goals to objectives. Regardless of the conflict, look for a logical progression of steps or activities to accomplish an objective/goal.

(3) In past guidance compliance included the requirement to submit the public affairs plan and crisis communication plan to the wing. This is still a requirement but it is no longer within the scope of the worksheet.

**c. Question 1, re annual public relations plan**

(1) The extent to which the unit meets or exceeds mission requirements is a subjective assessment based upon the comparison of the unit plan with the example of a public relations plan. While the unit plan is not required to mirror the example, it should contain all of the elements of the example.

[http://members.gocivilairpatrol.com/cap\\_national\\_hq/public\\_affairs/cap\\_public\\_awareness\\_plan/](http://members.gocivilairpatrol.com/cap_national_hq/public_affairs/cap_public_awareness_plan/)

(2) It is a discrepancy if the plan was not submitted

(3) The grade may range through any of the available grades depending upon the inspector's subjective assessment.

**d. Question 2a), re four step process**

(1) Verify the four step process is evident in the public relations plan

(2) If is not necessary steps are sequentially identified in the plan, if the process is evident.

**e. Question 2b), regarding evaluation of previous year's goals.** The evaluation of previous year's goals may be in the current year plan or published separately.

**f. Question 3, re crisis communications plan.**

(1) The extent to which the unit meets or exceeds mission requirements is a subjective assessment based upon the comparison of the unit plan with the example of a crisis communication plan

(2) An example of a crisis communications plan.

[http://members.gocivilairpatrol.com/media/cms/Crisis\\_Communications\\_Plans\\_D201F1E80E595.pdf](http://members.gocivilairpatrol.com/media/cms/Crisis_Communications_Plans_D201F1E80E595.pdf)

**g. Grading.**

(1) While not within the scope of the inspection, failure to submit the public relations plan and crisis communications plan to wing are discrepancies.

(2) Failure to include the four step planning process in the public relations plan is a discrepancy.

(3) In the evaluation of the plans, if the wing PAO has provided input, defer to the wing PAO evaluation.

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**12. Worksheet D-7, Supply**

a. This worksheet applies to non-expendable equipment and real property. As part of the onsite inspection, inventory all issued equipment and inspect the condition of the equipment. If worksheet C-2 has been completed, it is not necessary to re-inventory communications equipment.

b. Data for this worksheet can be viewed in ORMS.

c. A thorough review of the unit's ORMS data will provide most answers and will expedite the onsite inspections.

**d. Question 1, regarding conduct of the annual inventory.**

(1) The likelihood of not completing the validated within the suspense dates is small, given the command emphasis from wing headquarters

(2) ORMS data will show the validated inventory is completed.

(3) Failure to validate an inventory for non-expendable property for the immediate preceding year is a discrepancy.

(4) If the inventory is validated but not within the suspense dates, it is a discrepancy

**e. Question 2, regarding documentation of non-expendable equipment**

(1) If equipment is found missing or damaged, a status change is required in ORMS and a report of survey is required. Failure to enter the status change in ORMS is a discrepancy for each failed entry

(2) Each equipment item requires a unique CAP property number attached to the equipment. Each equipment item without the correct required identification number listed in ORMS is a discrepancy.

**f. Question 3, regarding missing property**

(1) If an item listed on the inventory cannot be located, and it is not recorded in ORMS as missing, it is a discrepancy.

(2) If property is missing, question 5 is the follow-on response to missing property.

**g. Question 4, regarding issue of property to other persons/units**

(1) Failure to properly document either equipment issue or equipment return, is a discrepancy.

(2) If property has been issued and the status is not in ORMS, do not accept a CAPF37 as an alternative to documenting the transfer in ORMS. The unlikely exception is if the unit representative can demonstrate ORMS, within seven days of the issue, was not accessible.

(3) If, in the ORMS review, the location of property is off-site or had been issued to another person, consider requiring the commander to produce the equipment at the onsite visit to the inspected unit.

(4) Though the inspection worksheet does not address property issue to cadets under 18 years of age, be attentive to this possibility. The property issued requires the parent's authorization to be scanned into ORMS.

**h. Question 5, regarding reports of survey**

(1) The wing headquarters assigns and manages the progress report of the report survey. If the report of survey has not been assigned or the report is not completed (or in progress) it is a discrepancy against the wing.

(2) If reports of survey have been completed, the quality of the investigation is not a subject of the inspection.

(3) If the inspection reveals damaged property that has not been listed in ORMS as missing/damaged, it is a discrepancy. When a missing/damage status is assigned, ORMS automatically initiates the report of survey process.

**i. Question 6, regarding condition of storage areas**

(1) CAPR 174-1, para 2-18 is vague. A subjective evaluation of the condition, safety, and security of the property contained there-in is necessary.

(2) Serious safety or security concerns, which, in the inspector's opinion, are non-compliant will require documentation.

(3) It is possible a storage facility is inadequate for the stored contents and there is no reasonable alternative. If the unit has documented requests to wing asking assistance and no reasonable assistance has been proposed, consider the discrepancy against the wing.

(4) Vehicles and aircraft stored out of doors is not a focus of this inspection.

**j. Question 7, regarding real property included in the inventory**

(1) ORMS data will validate the inventory is completed.

(2) Absence of a validated inventory entry for real property for the immediate preceding year is a discrepancy.

(3) Real estate includes all CAP owned, leased, rented or occupied real property. Omitting real property from the annual inventory is a discrepancy

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**13. Worksheet D-8, Transportation**

a. Expect the following deliverables:

(1) Copy of registration exemption letter

(2) Representative examples of CAPF73

(3) Photographs (4) of both sides and both ends of COV

b. For units without an assigned COV.

(1) Review the operations qualifications – driver licenses report. If this reveals there are licensed drivers in the unit, the unit likely operates corporate vehicles even though none are assigned.

(2) Inspection of worksheet questions 2 and 5 are appropriate for these units.

c. Due to the detail, particularly the vehicle inspection, the SUI should be preceded by a thorough review of CAPR 77-1 and Nevada Wing Supplement 1 to CAPR 77-1. The wing supplement includes additional vehicle equipment requirements.

**d. Question 1a), regarding vehicle registration.**

(1) All wing COV, including those assigned to NV050 (South Lake Tahoe, CA) and NV027 (Truckee, CA) have a registration address in Nevada. The State of Nevada has issued a registration exemption letter to the wing. It is not necessary to consider California registration requirements for COV assigned to these units.

(2) The original certificate of ownership is maintained by the wing transportation officer.

(3) The inspector should expect to see a copy of the certificate of ownership in ORMS and the Nevada registration exemption letter in the COV. The absence of either document is a discrepancy.

**e. Question 1b), regarding CAPF73.**

(1) The CAPF73 is uploaded to ORMS on a monthly basis. The wing transportation program is aggressively managed by the wing transportation officer. It is unlikely there will be delinquent CAPF73. Never-the-less, review ORMS to determine if the forms are present for the previous 12 months.

(2) Evaluate the completeness of the reports. The wing transportation officer can also advise on quality and currency of the reports.

(3) Review the vehicle file at the unit to determine if the CAPF73 reports are being retained.

(4) It is a discrepancy if a monthly report is missing. An area of concern will normally result if the forms contain errors or missing signatures.

(5) The current CAPF 73 is dated February 2015. Use of previous forms is not authorized.

**f. Question 1c), regarding repair and maintenance expenses.**

(1) In the Nevada wing, the vehicle record file is maintained at the squadron level, with copy at wing headquarters. The squadron is also authorized to maintain the file in ORMS.

(2) Inspect the vehicle file (not to be confused with the vehicle information file retained in the vehicle) for maintenance work orders and receipts. The work orders and receipts may be in ORMS.

(3) Because repairs and services are paid by the wing administration officer, consider getting a report of vehicle maintenance expenses and compare to the squadron work orders/receipts to determine if records are being accurately kept.

(4) Missing work orders/receipts is a discrepancy. It may be that these are forwarded to the wing transportation officer. If so, verify this with the wing transportation officer.

**g. Question 2, regarding safety checks.**

(1) Using CAPF73, complete an inspection of the vehicle. For tire pressure, use the tire pressure gauge used by the unit.

(2) Uncorrected vehicle deficiencies are discrepancies.

(3) If a transportation officer is assigned, or if there is a licensed driver available, discuss the requirements of CAPF73 to insure there is knowledge such as; the driver responsibilities, completing the vehicle usage data on the CAPF73, passenger carrying limitations data and scope of the pre-operational vehicle checks. It is an area of concern if the licensed driver(s) or transportation lacks knowledge of these responsibilities. This method will also support remarks if the unit does not have an issued COV.

**h. Question 3, regarding vehicle identification and markings.**

(1) Questions 3a), 3b), and 3d) are self-explanatory and will be evaluated as part of the vehicle inspection. Missing or unapproved decals and markings are discrepancies.

(2) Question 3c) No wing COV have permanently affixed light bars. Therefore, wing commander approval is not at issue. This question is graded N/A.

(3) Some COV may use a temporarily mounted magnetic amber warning light to conform to local airport regulations, when the vehicle is on the airfield. The requirement for wing commander approval in this situation is not yet clear. If COV has this local airport requirement, comment on the situation on the worksheet.

**i. Question 4a), regarding preventive maintenance.**

(1) Continue the preventive maintenance inspection of the vehicle using the same reference used by the unit (the owner's manual or CAPR 77-1).

(2) If the vehicle does not have a tire pressure gauge or CAPR 77-1, it is a discrepancy.

(3) Maintenance deficiencies are a discrepancy.

**j. Question 4b), regarding tire safety. As part of the vehicle inspection.**

(1) Verify the tires are within the vehicle manufacturer's recommendations. i.e. size, read width, load rating, speed rating. Etc. If there is conflict between the vehicle manufacturer recommendation and that set forth in Attachment 2. CAPR 77-1, use the more conservative and restrictive values.

(2) Check valve stems for wear and missing valve caps.

(3) Check tire for cuts, gouges and obvious damage.

(4) Check tire pressure IAW manufacturer recommendations. Tire pressure shall be exact. The worksheet specifically precludes any tolerance variations with air pressure.

(5) Tread depth shall not be below the tire-wear bars.

(6) Deficiencies are discrepancies.

**k. Question 4c), regarding fire extinguishers.** Because Nevada Revised Statutes (NRS) do not require a fire extinguisher in wing COV, there should be no fire extinguisher to inspect. The presence of a fire extinguisher is a discrepancy.

**l. Question 4d), regarding first aid kits.**

(1) Nevada Revised Statutes (NRS) do not require a first aid kit in COV.

(2) The Nevada wing supplement 1 to CAPR 77-1 does require a first aid kit in the COV. Check for a secured first aid kit of the type described in the Nevada wing supplement. The wing supplement describes the contents of the first aid kit. If there is no kit or the contents are not as authorized in the wing supplement, it is a discrepancy.

**m. Question 5 regarding mishap procedures.**

(1) Discuss vehicle mishap reporting procedures and required documents with the transportation officer or safety officer or commander to insure that the proper submission of required documents will follow a mishap investigation (review CAPR 77-1, paragraph 4-1).

(2) This question is appropriate to units without an issued COV if the unit has CAP licensed drivers.

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#### **14. Worksheet E-1, Commander**

a. Expect the following deliverables.

(1) Documentation on date(s) of annual non-discrimination briefing and roster of persons present.

(2) Roster of senior member supervision at cadet activities if not provided in response to Worksheet B-1, question 2..

(3) Copy of current unit report from e-services>member reports>duty assignments for the inspected unit. Include primary, assistant and temporary appointments.

(4) Copy of unit report from e-services>member reports>member specialty track report.

#### **b. Question 1, regarding appointments to unit positions**

(1) CAPR 20-1 and CAPR 35-1 do not specifically direct which staff positions shall be filled. For purposes of the inspection, the following staff positions shall be appointed; aerospace education officer, professional development officer, finance officer, safety officer, administrative officer, personnel officer, logistics or supply officer and, if the unit has a vehicle, a transportation officer. It is a discrepancy if the positions are not appointed.

(2) Determining the additional necessary staff assignments is based upon the subjective assessment of the inspector based upon the mission and configuration of the inspected unit. For example, it may not be necessary for a unit without a COV to have a maintenance officer or transportation officer. It may not be necessary for a unit with no communications equipment to have a communications officer. If the inspector believes that a vacant staff officer position is required, it will be necessary to articulate the need.

(3) Review e-services duty assignments to identify members appointed. Verify that each of the worksheets include the correct primary staff officer, as listed in the report.

(4) If the duty assignment is appointed in e-services, it is not necessary to also have a CAPF2A documenting the appointment. The duty assignment positions in e-services do not include all possible assignments such as some committee assignments. , If the assignment is not in e-services, it shall be documented with a CAPF2A.

#### **c. Question 2, regarding non-discrimination policy briefing**

(1) Documentation of the annual non-discrimination is required. Sources may include unit training records, operations plan etc. The meeting attendance roster or similar documentation of attendance is also required.

(2) Cross check the unit membership roster with the date(s) of the briefing to verify that each member has received an annual non-discrimination briefing.

(3) When calculating the last date that a member received the briefing, note that a member completing Level 1 has received the briefing as part of the training syllabus for Level 1.

(4) Documentation that the policy was briefed through correspondence, e.g., e-mail, is acceptable. Such correspondence shall include the briefing rather than simply referring the member to the policy.

(5) It is a discrepancy for a member to not receive the annual briefing within the past 12 months.

**d. Question 3, regarding previous reported events of abuse.**

(1) Any reported events since last SUI. If yes, note the number of such events. If no, N/A in 3a) and 3b)

(2) Due to privacy issues, recommend documentation of these events not be uploaded as a deliverables and, instead, examined during the onsite inspection.

**e. Question 3a), regarding commander's suspension of accused.**

(1) Provide copy of CAPF2 for each event. Inspector will review the document(s) onsite.

(2) Inspector reviews completed CAPF2 for proper completion and delivery to accused member.

**f. Question 3b), regarding commander's notification**

(1) If a report of abuse has been made, verify the event was reported to the wing commander. Verification is through correspondence or date of telephone call from the unit to the wing.

(2) Contact the wing commander to verify notice of the complaint was delivered to the wing legal officer and to CAP general counsel.

**g. Question 4, regarding equal opportunity training**

(1) Each senior member is required to complete the online equal opportunity program.

(2) As set forth in the worksheet, limit verification to senior members who have greater than six months service in CAP.

(3) Go to e-services>Member Reports>Equal Opportunity Completion for the unit being inspected.

(4) It is a discrepancy if all senior members over six months of service have not completed the training. Note the names of the non-compliant members.

**h. Question 5, regarding fundraising events**

(1) The past practice of squadron-initiated fund raising is no longer authorized without specific pre-approval by the wing commander or designee. Further, fund raising is limited to the respective wing.

(2) Identifying unapproved fund raising activities may be the objective of this question. Review documents such as finance committee meeting minutes, training plans, and training schedules to determine if the unit has participated in fund raising activities.

(3) Ask the wing finance officer to check records of the squadron's records of deposits for category of fund raising.

(3) If the unit has conducted fund raising activities without prior written approval by the wing commander, it is a discrepancy.

**i. Question 6, regarding senior member supervision of cadet activities**

- (1) N/A if the unit is a senior squadron
- (2) This question is also answered in question 2 of Worksheet B-1, Cadet Programs. Coordinate with the inspector of Worksheet B-1 to determine compliance with this question.
- (3) Failure to provide rosters of senior members in attendance at cadet activities is a discrepancy.

**j. Question 7, regarding deliverables for current SUI**

- (1) TYPO. The cited reference for a discrepancy with deliverables should be CAPR 123-2 para 12.e.(4), not CAPR 123-3, para 7.a.(1).
- (2) The extent to which deliverables are available will be a subject of the inspection team grade resolution meeting.
- (3) Inspectors should be prepared to comment on the availability of the deliverables.
- (4) It is a discrepancy if the deliverables are not provided within 30 days prior to the onsite visit to 20 days prior to the onsite visit. If the deliverables are provided no later than the onsite visit, the discrepancy can be closed.

**k. Question 8, regarding use of community clergy.**

- (1) TYPO. The cited reference for a discrepancy is in error.
- (2) It is a discrepancy to have outside clergy present without documentation of the presence of a senior member escort.
- (3) If community clergy is used as an alternative to CAP chaplain support, approval of the higher headquarters chaplain is required and the clergy member shall be escorted at all times when cadets are present.
- (4) If the unit does not use outside clergy, response is N/A
- (5) Acceptable verification that an escort is used includes training schedules or oplan or commander's written comments assigning an escort for the period in which the outside clergy is scheduled or in the document requesting approval of outside clergy.

**l. Question 9, regarding authorization of POV.**

- (1) This requirement applies to unusual situations when POV is used for official CAP business when a COV is required but is not available. It does not include situations when a POV is used to commute to CAP activities. Review CAPR 77-1, para 1-8.b. for examples.
- (2) When a POV is used for official CAP business, written authorization by the unit commander is required.
- (3) Data sources to identify possible POV situations are fuel reimbursement receipts.
- (4) It is a discrepancy if the unit is unable to provide documentation of approval for a POV to be used for official CAP business.

**m. Question 10, regarding staff enrolled in professional development track**

- (1) This is a follow-on validation discussed in paragraph 4, above.

(2) Cross check the primary and assistant assignments with the member specialty track report.

(3) It is a discrepancy if the member is assigned a staff officer position (primary or assistant), and is not enrolled in the appropriate professional development track for the assignment. Note the exception for members holding a master rating in the duty assigned.

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## **15. Worksheet E-2, Safety**

a. Expect deliverables to include:

- (1) Safety Officer Roster and Safety Training Report for the unit
- (2) Screen shot of Safety Day/ORM Report
- (3) Copies of previous hazard reports.

b. **Question 1, re safety officer completing the online basic safety course**

(1) Review unit e-services>member reports>Safety Officer Roster and Safety Training Report

(2) The report lists date of appointment and date basic safety officer training completed. It is a discrepancy if the training is incomplete or not completed within 90 days of appointment.

(3) If the safety officer completed the safety training after 90 days and there was a discrepancy in the previous SUI for the same safety officer not completing the training within 90 days, do not assign another discrepancy.

(4) Comment on advanced safety training completed by the safety officer.

c. **Question 2, regarding completion of annual safety survey**

(1) The date of the annual safety survey is in the safety management system reports. Access to these safety reports is restricted, including the inspectors and the IG. I have not been successful in obtaining the permissions.

(2) To validate this item, request the annual safety survey completion date from the wing safety officer.

(3) The dates on the safety day / ORM report, which is accessible, is not the date of the annual survey.

d. **Question 3, regarding member safety currency when participating in CAP activities**

This questions is deleted effective 20 July 2015

e. **Question 4, regarding members completing introduction to CAP safety**

(1) The validation reference to a 50 day report is ambiguous. It cannot be explained by either the wing safety officer or the region safety officer. Therefore, use the following guidance.

(2) New members require some time to complete the immediate training requirements associated with membership. In e-services>reports>member reports>safety education currency report, identify those members who have not completed Introduction to Safety.

(3) Compare the list of members who have not completed Introduction to Safety to the unit member roster, join date. Non-compliant members who joined CAP more than 50 days previously shall have completed the training. Failure to have completed training within this 50 day window is a discrepancy.

**f. Question 5, regarding annual safety day**

- (1) Review e-services>SMS>Safety Day/ORM>report for the most recent year.
- (2) It is a discrepancy if the safety day is incomplete or not conducted within the required dates.
- (3) For new units, chartered after the safety day period, a safety day not within the required period is not a discrepancy.

**g. Question 6, regarding use of CAP hazard report**

- (1) Use the validation methodology described in the worksheet.
- (2) Incomplete hazard reports are a discrepancy.
- (3) If there are no hazard reports on file, the presence of the safety officer at the onsite inspection is necessary.
- (4) It is a discrepancy if the safety officer is not able to demonstrate accessing and completing an online hazard report.

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