Nevada Wing Compliance Inspection Guide

****it is imperative that <u>any confidential information</u>, including but not limited to private personnel information and adverse member actions, <u>must not be uploaded</u> into an online storage system such as Dropbox. Although services such as Dropbox offer password protection and encrypted filing options, such information should be kept in paper format or uploaded into the appropriate NHQ eServices module.**

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Use in CAP Inspection Process:

Nevada Wing's very successful Continual Compliance process in preparing for the 2015 SAV resulted in one of the top results in the nation, and this was mentioned as a national exemplar during the 2015 National Staff College. The process outlined by CAPR 20-1 ensures review of our processes and documentation outside of the wing, but the incorporation periodic uploading of evidence and responses improves operations in Nevada Wing. More to the point, compliance has transitioned from being a once-per-year effort into a way of operating throughout the year.

Staff Selection and Training- the Culture of Compliance:

Wing staff officers generally do not receive training on fulfilling their position with a mindfulness towards continual compliance. Often times CAP regulations provide a brief outline of the duties and responsibilities that come with any position, but the mentorship that is provided to new wing staff can sometimes be focused on the reports and immediate duties he/she will need to get familiar with immediately. Such training produces officers who generally think of preparing for a SAV/CI only at 90 days from the due date of the documentation, resulting in a mad scramble for paperwork that adds unnecessary stress to the officer and others in the wing

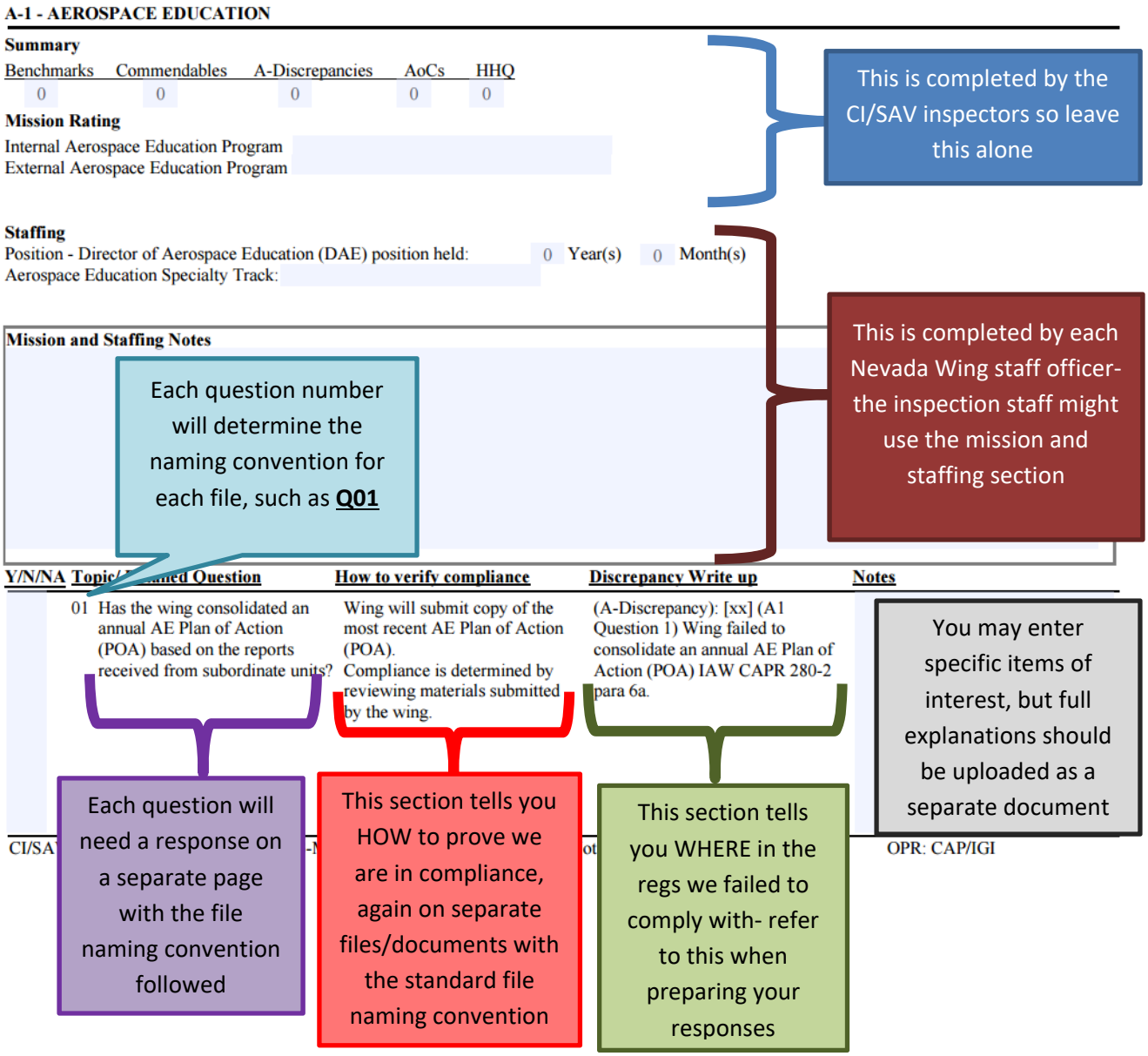
Nevada Wing has made it a mission to develop a **culture of compliance** that begins with staff selection and continues through the training phase of staff officers. New staff members need to be made aware prior to accepting the wing-level position that "preparing for the CI" is not only an expectation but a great way to assist him/her in successfully executing their position's duties. It keeps the wing prepared at all times to successfully execute a no-notice SAV/CI even though this would not happen. Since personal and professional commitments can pull a staff officer away from his/her duties with little or no notice for extended periods, Nevada wing's process of continual compliance establishes a "continuity book" that can easily be provided to a temporary or permanent replacement to aid them in transitioning to the new position.

Officers must be made aware of the responsibilities they are committing to carry out. Each officer will download the current inspection protocol in editable pdf form at https://www.gocivilairpatrol.com/members/cap-national-hq/inspector-general and regularly edit, save on their computer, and upload it in the specific folder of the eServices IG system. The information from the previous year has changed and it is the responsibility of each staff officer to update it throughout the year.

To steal a phrase from President Ronald Reagan, the culture of compliance also operates under the Russian axiom, "Trust, but verify." It is the responsibility of the Compliance Officer and senior wing leadership to periodically review the preparation for the next CI/SAV. It is just as important that the senior wing leadership reach out to those specific officers to provide guidance and support when continual compliance is not being maintained.

Preparatory Work:

- Once each officer has downloaded their specific worksheets, they need to stay on top of meeting the requirements, collecting evidence, and uploading that evidence into the eServices IG module. You will not have to print screen reports that are asked for in the checklists, although it is recommended to do so. It's important that every officer becomes familiar with properly reading and responding to the required questions on the checklist worksheet. NHQ has presented an overview of completing the checklists which be viewed at **https://vimeo.com/97376774**
- As a primer to interpreting and completing a worksheet:



Collecting the Data:

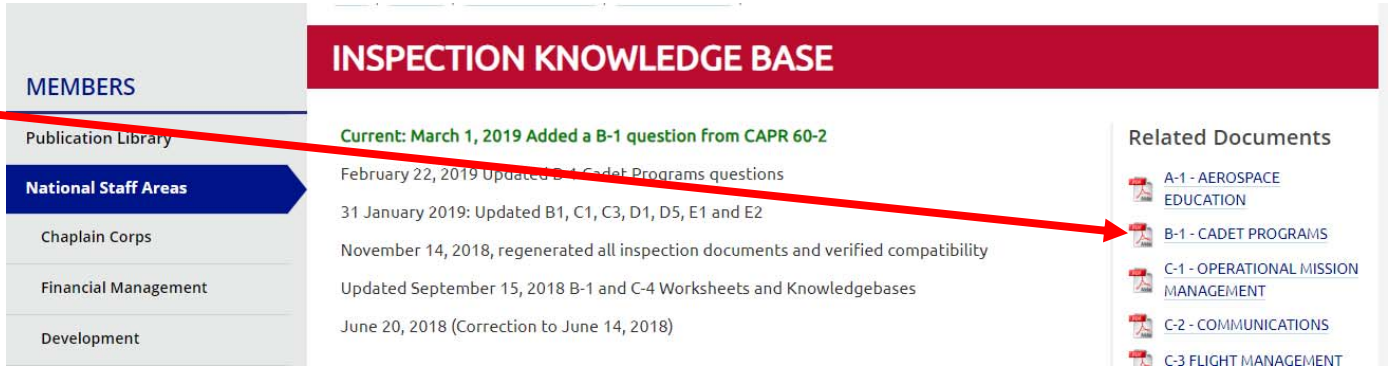
- Officers MUST BE AWARE OF EACH QUESTION THEY MUST ADDRESS! Proper initial training has to include introducing new and existing officers to the worksheets they are responsible for. Collecting evidence of excellent work allows each officer to document our compliance throughout the year in preparation for the CI/SAV.
- For example, question #8 under E1 Commander states, "***Does the Wing CC approve all fundraising events within the wing***?" As the wing commander receives various requests for fundraising she will maintain some record keeping of the approvals. This could be as simple as a series of emails in pdf form uploaded into eServices (simple to generate right after she sends the email), or upload the completed and signed NVCAPF 173-4 Fundraising Approval forms.
- Under B1 Cadet Programs, demonstrating the completion of Required Staff Training is one area where an email is not enough; have a scanned copy of the participant sign-in for those required activities in the folder. Simply stating that we covered everyone is NOT proof.
- Under B1 Cadet Programs, question #2 requires documentation that seniors were present at all activities. A spreadsheet containing the activities APPROVED and conducted in the wing with the names and CAPIDs of senior members present (keep in mind the Two Deep principle!) is good evidence that we are conforming to regulations and protecting our cadet members.
- Some items will be pulled directly from eServices. The Supply Officer will ensure that eServices reflects the completed inventory on time, as required in question #1. He/she may want to use a print screen as well for upload.
- Use a clear naming convention. If you are answering for Aerospace Education (listed as A1) question #4 please name your file **Q4 Activity Listing**. The system will add your CAPID and the correct position symbol if you first select your area when uploading
- Each officer will develop processes, activities, and resources that aid in the execution of their responsibilities or assist unit counterparts in their duties. Document these as much as possible and enter them as COMMENDABLES to be considered by the CI/SAV evaluation team. They will only be considered if those processes can be quantitatively shown to provide added value to CAP, so describe the quantifiable benefits the program is providing in time, cost, or mission.
- NHQ has set up a separate CAP Knowledgebase so that each question on the worksheet is addressed in a way to help the officer determine the preferred response. Please see page 5 of this guide for the direct link and a brief explanation of the process.
- The Compliance Officer will review the uploaded items three times per year, but he/she is not an enforcement officer. They are providing assistance, but may have to request assistance from senior wing leadership to get improvements in documentation completed.
- The wing will set a deadline prior to the two-week period generally given by inspection staff for the materials to be uploaded into eServices. This ensures any needed documentation can be obtained. It is also a goal of the NHQ eval team to be able to review items beforehand and suggest improvements.

CI Knowledgebase Steps

How to get specific guidance on correctly responding to CI/SAV questions

1. When you encounter difficulty addressing specific question, from the SUI to a CI worksheet, go to the Inspections CAP Knowledgebase which is NOT the same as the version on the main NHQ page. You must go to the specific link at https://www.gocivilairpatrol.com/members/cap-national-hq/inspector-general/inspection-knowledge-base under the Inspector General tab

2. Select the specific tab you need clarification on by viewing the right far right of the page



3. Determine which type of question you are trying to address and the questions number itself

B-1 - CADET PROGRAMS

Questions

Type	#	Topic/Detailed Question	How to verify compliance	Discpreancy Write up	How to Clear
SUI	01	Have Cadet and/or Senior members completed Required Staff Training before serving on the staff of an activity lasting 4 nights in duration or longer or at any other cadet activity designated by the Unit Commander?	Unit will provide copies of Cadet and Senior members' Required Staff Training Certificates (or completed CAPF 11, Senior Member Professional Development Program Director's Report for Cadet and Senior members) involved in the previous year's Unit encampments and cadet activities.	(A-Discrepancy): [xx] (Question 1) Unit failed to ensure Cadet and Senior members completed the Required Staff Training before participation in a Cadet Program activity IAW CAPR 52-16, 2-3b	Attach a plan of action, approved by Unit/CC, to prevent reoccurrence to the discrepancy in the Discrepancy Tracking System (DTS).
CI	01	Have Cadet and/or Senior members completed Required	Wing will provide copies of Cadet and Senior members'	(A-Discrepancy): [xx] (B1 Question 1) Wing failed to ensure	Attach a copy of the plan of action, approved by

4. The specific question is followed by a clear explanation for demonstrating compliance as well as how to clear any cited discrepancies- THIS HAS TO BE DONE AND ENTERED IN THE DTS