



NATIONAL HEADQUARTERS CIVIL AIR PATROL

CAP REGULATION 123-3

25 FEBRUARY 2009

Inspection

CIVIL AIR PATROL COMPLIANCE ASSESSMENT PROGRAM

This regulation provides an explanation of the procedures used in the conduct of CAP unit inspections, staff assistance visits (SAVs), subordinate unit inspections (SUIs), and self-assessment programs. It establishes procedures and provides guidance regarding the responsibility of unit commanders in processing and replying to inspection and SAV reports. **Note: This regulation is revised in its entirety.**

SUMMARY OF CHANGES.

This revision implements administrative and procedural changes necessary to reemphasize mission critical compliance issues as part of the compliance assessment process. It revises the grading system for compliance assessments, changes the special report item "Observation" to "Area of Concern," creates two levels of Findings, as well as rewords some content from previous editions of this regulation to add clarity.

Table of Contents

| | Page |
|---------------------------------------------------------------------------------|-------------|
| 1. GENERAL..... | 2 |
| 2. Responsibilities..... | 2 |
| 3. Definitions..... | 2 |
| 4. Inspection Frequency and Scheduling..... | 4 |
| 5. Notification of Assessment..... | 5 |
| 6. Staff Assistance Visit (SAV)..... | 5 |
| 7. Compliance Inspection (CI)..... | 6 |
| 8. Assessment Grade Definitions..... | 7 |
| 9. Reports..... | 7 |
| 10. Report Processing..... | 8 |
| 11. Maintenance and Disposition of Compliance Inspection and SAV Reports..... | 9 |
| 12. Subordinate Unit Inspections (SUIs)..... | 9 |
| 13. CAP Unit Self-Assessments..... | 11 |
| Attachment 1 - Inspection and Staff Assistance Visit Unit Details and Data..... | 13 |
| Attachment 2 – The Assessment Book..... | 14 |

1. General. Assessments are a responsibility of command. CAP commanders must continuously evaluate organizational readiness, efficiency and effectiveness. The inspection system provides the commander with a credible, independent assessment process to measure capability of assigned resources. The Bylaws of the Civil Air Patrol, Sections 10 and 23, and the Statement of Work for the Civil Air Patrol authorize the assessment of CAP units.

a. Items subject to review include, but are not limited to the following:

(1) Implementation of policies, procedures, and regulations established by the Board of Governors, the Air Force, the National Executive Committee, the National Board, and National Headquarters.

(2) Management of personnel, corporate resources, and CAP programs.

(3) Compliance with CAP directives to include acquisition, control, use, and disposition of Department of Defense (DoD) excess property.

(4) Financial management and controls, accounting, and general fiscal responsibility.

b. The following assessments are not covered under this regulation:

(1) Safety surveys conducted in accordance with CAPR 62-1, *CAP Safety Responsibilities and Procedures*.

(2) Survey audits conducted in accordance with CAPR 67-1, *CAP Property Regulation*.

2. Responsibilities.

a. Commanders. This is a commander's program. Commanders at each level, with the support of their Inspectors General, are ultimately responsible for the success of this program.

b. Members. CAP members involved in the CAP programs are responsible for understanding and complying with CAP directives and ensuring all programs are performed in a safe manner. Safety and security is everyone's direct responsibility.

c. Inspectors General and assessment team members. It is the responsibility of Inspectors General at all levels, as well as members of IG assessment teams, to take immediate action (up to and including stopping operations) to prevent personal injury, damage to equipment, or the release of sensitive information should a potential/actual safety issue or security violation be observed.

3. Definitions.

a. Area of Concern (AoC). This term replaces the term "Observation" and is defined as a minor deficiency. An AoC is listed when mission accomplishment, program purpose or membership satisfaction is impaired or threatened. Examples of AoC include, but are not limited to:

(1) A weakness or impairment that, if uncorrected, may lead to a violation of regulation or other standard.

(2) A sample which may indicate an unsatisfactory trend or violation if found to be prevalent in the unit.

(3) Non-mandatory processes or activities that are not accomplished, but would be beneficial or useful to the program.

b. Assessment. Review of a unit's management, mission accomplishment and regulatory compliance programs. This review may be a graded evaluation (inspection) or a non-graded SAV.

c. Benchmark. The best of the best processes observed and researched to date by the assessment team and worthy of posting for consideration for emulation by other units. Benchmark Candidates will be identified by the inspection team and reviewed by National Headquarters, who will make the final decision if the process is of Benchmark quality.

d. Commendable. A highly effective concept, technique, or management practice which enhances mission accomplishment and exceeds the program requirements specified by CAP directives.

e. Finding. The use of "A-Finding" and "B-Finding" is limited to Compliance Inspection and Staff Assistance Visit Reports ONLY. Subordinate Unit Inspection (SUI) reports will continue to use "Finding" (defined as a significant deficiency that requires specific answers) pending revision of the SUI Guide in the first half of 2009.

(1) "A-Finding": An A-Findings is any deficiency that is a violation of a CAP directive that results or could result in significant mission impact or widespread mission impact or failure. A-Findings will include all repeat findings, potential Fraud, Waste and Abuse (FWA) findings and Safety findings. A-Findings require a written response submitted describing the corrective action(s) taken to correct the deficiency and prevent recurrence.

(a) **A-Finding – Repeat:** A finding reported in the wing's previous compliance inspection that exists again during the current assessment. Repeat Findings are highly undesirable and may indicate a systemic problem with leadership in the wing, in addition to the area under inspection.

(b) **A-Finding – Potential FWA:** A significant deficiency that may reveal fraud, waste and/or abuse of CAP resources.

(c) **A-Finding – Safety:** A significant deficiency that potentially affects the safety and well being of CAP members, equipment or assets. Safety findings may be highlighted in any inspection area of the inspection report. [See paragraph 10a(4)].

(2) "B-Finding". B-Findings are any deficiency that is a violation of a CAP directive that is procedurally incorrect but has less significant mission impact than an A-Finding. B-Findings require a written response submitted describing the corrective action(s) taken to correct the deficiency and prevent recurrence. [See paragraph 10a(4)].

f. Higher Headquarters Item. Any Area of Concern or Finding that requires action from a higher level to resolve. These items will be identified in the appropriate tab of the assessment report.

g. Highly Qualified Inspector. An inspection team member who has completed the Inspector General Basic Course and is a current subject matter expert in the assigned inspection area(s).

h. Inspection. Graded evaluation intended to determine the effectiveness of unit management, mission accomplishment and regulatory compliance programs.

i. Inspection Guide. A guide developed jointly by CAP/IG and CAP-USAF/IG, with the approval of the Executive Director (CAP/EX), National Commander (CC), and CAP-USAF/CC, for use by assessment teams in the evaluation of region or wing headquarters. This

guide may also be used by regions and wings to conduct self-assessment programs for their respective headquarters. Separate inspection guides will be developed to assess special mission units.

j. Open Item. A finding from a prior assessment in which the unit or higher headquarters' corrective actions are incomplete and have not been closed by the CAP and CAP-USAF IGs or the assessing agency.

k. Major Emphasis Item (MEI). An area or function requiring particular assessment emphasis. MEIs are designated by the CAP-USAF Commander, National Commander, Executive Director, or the NEC to ensure review of issues critical to the success of the CAP mission, safety, etc.

l. Self-Assessment (SA). An inspection conducted by a unit, at any level, to evaluate its own directorates and/or programs using an appropriate level assessment guide. There are two types of self Assessments:

(1) Mandatory Self-Assessment. A self-assessment accomplished approximately every 12 months starting with the anniversary of the unit's most recent SUI. Mandatory self-assessments are **NOT** required in wings where the average SUI frequency is 24 months or less.

(2) Voluntary Self-Assessment. Self-assessments, conducted to provide feedback to the commander or staff officer highlighting areas that require further emphasis, help resolve deficiencies, and place emphasis on mission impact problems and fixing root causes. New staff officers and commanders should conduct a voluntary self-assessment within 60 days of assuming their respective positions, then annually thereafter.

m. Staff Assistance Visit (SAV). Ungraded assessment by higher headquarters and/or CAP-USAF liaison region (LR) personnel intended to provide assistance in improving mission effectiveness. Findings may still be a part of this assessment and must be answered.

n. Subordinate Unit Inspections (SUI). Inspections established by either CAP regions or wings to evaluate the management and mission capability of units below the wing level.

o. Subordinate Unit Inspection Guide. A guide developed jointly by CAP/IG and CAP-USAF/IG for use in assessing units below the wing level.

4. Inspection Frequency and Scheduling.

a. CAP/IG and CAP-USAF/IG will conduct joint (compliance) inspections of each CAP wing approximately every 48 months. CAP-USAF/LRs are requested to conduct a SAV on each CAP wing in their respective region every 48 months. Ideally, this SAV will occur 9 to 15 months prior to the next scheduled joint inspection. The inspection guide will be revised at least annually, and will be distributed far enough in advance for the inspected wing to prepare.

b. CAP/IG and CAP-USAF/IG will jointly publish an updated schedule of inspections no later than 1 June and 1 December of each year. The schedule should project plans as far into the future as practicable. At least the first 12 months of the schedule will reflect specific inspection dates with the remainder showing at least the month and year of the proposed inspection. The appropriate region/wing commander(s) is responsible to advise the CAP/IG of problems or conflicts with the proposed inspection schedule far enough in advance to allow for travel and other planning to occur, but not later than 3 months prior to the scheduled inspection.

c. CAP-USAF/LRs should publish an updated SAV schedule for their respective wings no later than 1 July and 1 January of each year. SAV schedules should project plans for at least the next 12 months.

d. Additional or follow-up inspections or SAVs may be scheduled as necessary.

e. Subordinate Unit Inspections (SUIs) will be scheduled in accordance with paragraph 12 of this regulation.

f. Any CAP wing receiving an overall marginal grade during an inspection should receive a SAV by the LR within 180 days of receiving the inspection report. If the grade was safety related, the LR should conduct the SAV within 30 to 60 days of receiving the inspection report, with follow-up as necessary.

g. Any CAP wing receiving an overall unsatisfactory grade during an inspection should receive another joint inspection by the CAP/IG and CAP-USAF/IG within 180 days of receiving the inspection report.

h. CAP region/wing commanders may request additional inspections through coordination with the CAP/IG. The CAP/IG will, in turn, coordinate the request with the appropriate CAP-USAF office(s).

i. All CAP units, programs, and resources are subject to short notice assessments at the discretion of the Board of Governors, CAP/CC, CAP/EX or CAP-USAF/CC.

5. Notification of Assessment. CAP units to be assessed will be notified in writing by the assessing agency approximately 30 days in advance, except for a short notice assessment. The notice will include:

- a. The estimated date of arrival and duration.
- b. The purpose and scope of the assessment.
- c. Additional information that will enable the commander to prepare for and expedite the assessment.
- d. Any special requirements or requests.

6. Staff Assistance Visit (SAV).

a. SAVs may be conducted by CAP-USAF, CAP National Headquarters, CAP regions, wings, or groups for their subordinate units. One of the purposes of a SAV is to assist the inspected unit to prepare for an up-coming Compliance or Subordinate Unit Inspection by providing an ungraded assessment similar to either a Compliance or Subordinate Unit Inspection.

b. SAVs will focus attention on items contained primarily in published inspection guides, but may include, as necessary and determined pertinent to CAP mission accomplishment by the headquarters staff: CAP Corporate policy and guidance; Air Force, Air Education and Training Command, Air University, CAP, and CAP-USAF directives and instructions; functional area checklists.

c. All wing directors should be present for wing SAVs. Should a director be unavailable, someone knowledgeable in his/her functional area must represent the absent director. Any pertinent wing files and/or documentation must also be available for inspection.

d. In the interest of progress through assistance, special effort should be made during a SAV, time and resources permitting, to train functional experts, on the spot, to a level of expertise where a discrepancy may be corrected and reported as an Area of Concern instead of a finding.

e. SAVs conducted by CAP-USAF will be conducted in accordance with CAP-USAF Instruction 90-201, *CAP-USAF Inspector General Activities*.

f. SAVs are to be conducted in accordance with the instructions in this regulation for Compliance Inspections for SAVs conducted at Region and Wing HQ, and the instructions for Subordinate Unit Inspections for SAVs conducted below wing level.

(1) The SAV team chief will provide all details pertinent to the visit in the 30-day notification, except for short notice assessments. A formal in-brief is desired, but is not required.

(2) CAP commanders of the unit(s) receiving the SAV will provide unit details, data, and other “deliverables”, to the assessing unit’s point of contact (POC) at least 14 days prior to the assessment. Attachment 1 contains an example of the information requested from a wing. For units below wing level this list should be modified to fit the unit.

(3) At the conclusion of a SAV, the team chief may provide an out-briefing including observations, findings, repeat findings, FWA items, major emphasis items, commendable items, and benchmark candidates. Grades will not be assigned.

g. Wing commanders may attempt to obtain Air Force funded training missions to transport vehicles and aircraft selected for inspection by the SAV team to the SAV site. These funds will not be used solely to transport inspectees. The SAV program requirements must be met regardless of the availability of reimbursement funds.

7. Compliance Inspection (CI).

a. Prior to the scheduled inspection.

(1) The wing/region to be inspected will be provided all details pertinent to the visit in a 30-day notification, except for short notice assessments.

(2) The most recent visit (within 90 days of the scheduled CI) completed by a NHQ Wing Financial Analyst (WFA) will be the basis for the Finance tab contained in the Compliance Inspection report. A checklist supplied by the CAP Chief Financial Officer (NHQ CAP/FM) and approved by the CAP/EX will be used during the financial review. The WFA will forward a report of that review to the NHQ Inspector General Administrator (NHQ IG Administrator) prior to the first day of the scheduled inspection.

(3) Each staff position to be inspected will prepare a section Assessment Book as described in Attachment 2.

(4) CAP wing commanders will provide unit details, data, and other “deliverables” as specified in Attachment 1, to the assessing unit’s point of contact (POC) at least 14 days prior to scheduled start of the assessment.

b. During the scheduled inspection.

(1) Inspections will focus attention on items contained primarily in the currently published Compliance Inspection Guide, but may include, as necessary and determined pertinent to CAP mission accomplishment by the headquarters staff: CAP Corporate policy and guidance; Air Force, Air Education and Training Command, Air University, CAP, and CAP-USAF directives and instructions; functional area checklists. Compliance Inspection Guides do not replace current CAP directives which are the standard for any inspection. The requirements found in CAP directives published after the issuance of a Compliance Inspection Guide take precedent over the content of the guide.

(2) All wing program directors should be present for wing inspections. Should a director be unavailable, someone knowledgeable in his/her functional area must represent the absent director. Appropriate wing files and/or documentation must also be available for inspection.

c. After the scheduled inspection.

(1) At the conclusion of an inspection, the team chief will provide an out-briefing including overall grade, individual area grades, findings, major emphasis items, commendable items, and benchmark candidates.

(2) A preliminary draft inspection report will be presented to the wing/region commander prior to the departure of the compliance team.

(3) The inspected wing should begin preparing their responses to the findings in the draft inspection report presented at the conclusion of the inspection.

(4) **Safety Findings.** The inspected unit must report initial actions to resolve all safety related Findings within 60 days of the date of the inspection Out-brief.

8. Assessment Grade Definitions. The following grades will be used in Compliance Inspections and Subordinate Unit Inspections.

a. Highly Successful. Performance or operation exceeds mission requirements. Procedures and activities are carried out in a superior manner. Resources and programs are very efficiently managed and relatively free of deficiencies and existing deficiencies do not impede or limit mission accomplishment.

b. Successful. Performance or operation meets mission requirements. Procedures and activities are carried out in an effective and competent manner. Resources and programs are efficiently managed. Minor deficiencies may exist but do not impede or limit mission accomplishment.

c. Marginally Successful. Performance or operation does not meet some mission requirements. Procedures and activities are not carried out in an efficient manner. Resources and programs are not efficiently managed. Deficiencies exist that impede or limit mission accomplishment.

d. Unsatisfactory. Performance or operation does not meet mission requirements. Procedures and activities are not carried out in an adequate manner. Resources and programs are not adequately managed or endanger personnel or resources. Significant deficiencies exist that preclude or seriously limit mission accomplishment.

9. Reports.

a. A written report will be prepared for each assessment using the current joint CAP/IG and CAP-USAF/IG report format available on the NHQ web page. Assessment reports will consist of the following sections:

(1) **Section I** -- Includes the purpose and scope, executive summary, overall assessment, administrative details, team composition, and reply instructions for findings.

(2) **Section II** -- Includes the assessment details. Each functional area, such as command, administration, aerospace education, etc., will be structured as follows:

(a) A **Program Summary** which consists of one or more short paragraphs which summarizes the direction and trends, staffing, and general condition and compliance of the inspected program.

(b) An **Identified Strengths** section.

(c) An **Identified Weaknesses** section.

(d) The **Identified Strengths** section and/or the **Identified Weaknesses** section may be deleted from the report if there are no entries for that section.

(e) Each functional area will receive a grade in this section.

(3) **Section III** -- Lists the report distribution.

b. Disclaimer. All inspection and SAV reports, and associated correspondence containing discrepancy reporting, will include the following statement:

"This is a PRIVILEGED DOCUMENT that cannot be released in whole or part to persons or agencies outside the Civil Air Patrol or USAF, nor can it be republished in whole or part in any publication not containing this statement, including the Civil Air Patrol magazines and general use pamphlets, without the express approval of the Executive Director of the Civil Air Patrol and CAP-USAF Commander."

10. Report Processing.

a. Inspections of CAP Regions/Wings.

(1) CAP/CC, CAP/EX and CAP-USAF/CC will each receive a copy of the final inspection report for their review and concurrence.

(2) Following acceptance by CAP/CC and CAP-USAF/CC, two printed copies of the inspection report will be mailed to the inspected unit. Upon verification of receipt of the mailed copies of the inspection report by the unit, an electronic version will be distributed.

(3) All inspection findings are to be closed within 14 months of the date of the final report of the inspection. Wing/region commanders not correcting all findings within 14 months could face disciplinary action at the discretion of a higher headquarters commander.

(4) The inspected region/wing will forward a response to all findings to the NHQ NHQ IG Administrator with information copies to CAP region/CC and CAP-USAF/LR using the format supplied by the NHQ IG Administrator.

(a) Responses to all findings will be submitted to the NHQ IG Administrator either electronically, by FAX or by mail, at the intervals shown in the table below:

| Type of Finding | 1 st Response is Due | 2 nd Response is Due | All Subsequent Responses are Due |
|---------------------|---------------------------------|-----------------------------------------------------------------------------|----------------------------------------|
| Safety Findings | <u>60 Days</u> after Out-Brief | <u>90 Days</u> after 1 st response (150 days after Out-Brief) | <u>60 Days</u> after previous response |
| Non-Safety Findings | <u>90 Days</u> after Out-Brief | <u>60 Days</u> after 1 st response (150 days after Out-Brief) | <u>60 Days</u> after previous response |

(b) Progress updates will continue until all open findings are closed by the CAP/IG and CAP-USAF/IG.

(5) The NHQ IG Administrator will coordinate responses to the inspected region/wing's replies with the responsible National Headquarters office and the CAP-USAF and CAP IGs, as appropriate. The NHQ IG Administrator will then forward the CAP and CAP-USAF/IGs' responses to the inspected region/wing.

(6) When all corrective actions are considered adequate, a close-out letter will be forwarded to the inspected unit jointly by CAP/CC and CAP-USAF/CC. .

b. SAVs Conducted by a CAP HQ.

(1) Two copies of the SAV report are furnished to the evaluated unit approximately 30 days after completion of the visit. Information copies are provided the next higher headquarters. An electronic copy of all SAVs conducted of region and wing HQ, preferable in Microsoft Word, will be forwarded to the IG Administrator.

(2) Replies of corrective action(s) to deficiencies are submitted to the assessing agency that completed the SAV. Use an electronic format supplied by the assessing agency, as a format for replying to SAV deficiencies.

(3) When all deficiencies are corrected, the appropriate IG and Commander of the assessing agency will issue a SAV close-out letter to the assessed unit, with copies to the next higher headquarters.

11. Maintenance and Disposition of Compliance Inspection and SAV Reports. CAP units will maintain reports and applicable correspondence until issuance of the next assessment report, i.e., inspection or SAV.

12. Subordinate Unit Inspections (SUIs). A regional SUI program is optional. If a region establishes an SUI program, the process described in this paragraph for the wing SUI program will be used. Each CAP wing will establish an inspection program for its subordinate units modeled after the wing inspection program outlined in this regulation. Subordinate AFROTC and legislative units are not subject to being inspected as part of the SUI program.

a. The wing IG will administer the SUI program and is responsible for all SUIs conducted below the wing level, as well as ensuring that all mandatory subordinate unit self-assessments are completed in a timely manner.

b. SUIs are to be conducted on an approximate 36-month cycle with the purpose of improving both safety and regulatory compliance. Any excess interval between SUIs beyond 36 months will be subtracted in computing the next SUI due date. Any unit that exceeds 39 months without a completed SUI will be prohibited from participating in any CAP activities (including weekly meetings) until an SUI is completed. Waivers to exceed the 39-month maximum without restrictions being placed on the unit must be approved by the CAP/IG and the CAP-USAF/IG.

(1) Wings may elect to conduct SUIs more often than the frequency specified above as long as all units in the wing are inspected on the same frequency. This does not limit staff assistance visits or short notice assessments of a unit in accordance with paragraph 12q, below.

(2) During the period between scheduled SUIs each subordinate unit will accomplish a mandatory self-assessment, as described in paragraph 13, below, approximately every 12 months starting with the anniversary of the unit's most recent SUI. A written report documenting the results of the self-assessment will be provided up one level of command (i.e., squadron to group, group to wing) as well as to the Wing/IG, within 30 days of completing the self-assessment, so results may be used internally to enhance mission accomplishment.

(3) Such self-assessments are not required in wings where the average SUI frequency is 24 months or less.

c. A schedule of SUIs should be published as far in advance as possible.

d. Wings may choose to conduct all SUIs for units within their wing, may conduct SUIs of groups and delegate squadron and flight SUIs to the group, or may arrange SUI responsibility by other plans appropriate to the wing's organizational structure. The provisions of paragraph 12b(1) and 12b(2) above apply regardless of the plan selected.

e. The region/wing inspector general, in coordination with his/her commander, must appoint a sufficient number of inspection team members to conduct the required SUI program inspections. They may use personnel from throughout the wing to assist in the manning of the SUI teams.

(1) At no time will an SUI be performed with fewer than two highly qualified inspectors, although three team members are desirable.

(2) For inspections of units with a flying program, the team must be comprised of at least one qualified mission pilot. The mission pilot on the team should be well versed in aircraft operations and maintenance, flying safety, and CAP flying directives.

(3) For inspections of units with a counterdrug flying program, the team must be comprised of at least one counterdrug qualified mission pilot.

f. The applicable inspection guide developed jointly by the CAP/IG and CAP-USAF/IG will be used to conduct the SUI. Region/wing headquarters should add local requirements from their published supplements (if any) to allow for unique local requirements to subordinate unit inspection guides as appropriate. These changes should be published in a region/wing modified SUI Guide.

g. A SUI shall not be considered complete until all tabs of the inspection guide that apply to the inspected unit have been completed.

(1) Should time constraints prevent a complete inspection during a single visit, the remaining inspection items must be completed within 30 days of when the inspection was started.

(2) If multiple visits are required to complete the SUI, the date the inspection was started shall be used to calculate the due date for the next SUI.

h. Major Emphasis Items (MEIs) within the flying and safety portion of the inspection must include the following:

(1) The unit's flying and ground safety programs to include safety meeting minutes and attendance records.

(2) A review of the unit's flying records to include the unit's pilot records.

(3) The unit's flight release procedures, to include the appointment and training of FROs, and a review of all CAPFs 99, *CAP Flight Release Log*, that have not already been forwarded to higher headquarters.

(4) The maintenance records and general condition of the unit's assigned CAP aircraft.

i. Should a unit receive a repeat finding in a flying or safety MEI on consecutive inspections, the wing commander must reassign all of the unit's corporate aircraft and prohibit all

CAP flying under CAPR 60-1, *CAP Flight Management*, for that unit in corporate and member-owned/furnished aircraft.

(1) The National Commander, on recommendation of the region commander may, for good cause shown, grant a waiver or delay to the reassignment of aircraft.

(2) After a successful reinspection of the unit, a wing commander may return flying privileges to that unit subject to approval of the region commander.

j. Wing commanders should attempt to obtain Air Force funded training missions to transport SUI inspectors. The SUI program requirements must be met regardless of the availability of reimbursement funds.

k. SUI teams will assign a grade to each functional area inspected as well as assigning an overall grade for the entire subordinate unit. The applicable grades and their definitions are found in paragraph 8b above.

l. Units will be provided written reports outlining the results of their SUIs within 45 days. It is strongly recommended that the standard report format on the IG Personal Training Disk, available from the NHQ IG Administrator, be used in writing SUI reports. The report organization shown in paragraph 9a above may be used for SUI reports.

m. The inspected unit will forward a reply to all findings in the SUI report to the wing/IG within the suspense established by the wing's SUI program. Submit progress updates on all open responses until the wing/IG closes each finding. Units that fail to close findings in a timely manner may be subject to wing commander action.

n. Any subordinate unit receiving an overall unsatisfactory grade during an inspection will receive another SUI within 180 days of the original inspection.

(1) If safety is graded unsatisfactory, the wing commander will ground all flying and/or suspend all vehicle activities of that unit and conduct another SUI of the unit's safety function(s) within 30 to 60 days of the original inspection, with follow-up as necessary.

(2) If finance is graded unsatisfactory, the wing commander will take appropriate action in accordance with the guidance in the governing CAP 173 series regulation.

(3) If significant equipment/property accountability issues are noted during an SUI, the wing commander will require property recovery/report of survey procedures be completed prior to closing out the unit's SUI report processing procedures. The wing commander will consider appropriate sanctions to ensure compliance.

o. A copy of the SUI report and mandatory responses to findings for units below wing level will be provided to the inspected unit's wing/IG.

p. Wings will retain all SUI reports and mandatory responses to findings for the last two cycles of inspections.

q. All wing programs, resources, and subordinate units are subject to short notice assessments at the discretion of the wing commander.

13. CAP Unit Self-Assessments.

a. Self-assessments, when conducted properly, provide feedback to the commander highlighting areas that require further emphasis. Administrative requirements should not burden managers, but should realistically identify and help resolve deficiencies. Emphasis should be on mission impact problems and fixing root causes.

b. The appropriate inspection guide and/or Self-assessment Tool will be used for region, wing, and local level self-assessments.

c. New directors or commanders should run a voluntary self-assessment within 60 days of assuming their respective positions, then annually thereafter.

d. A copy of the voluntary self-assessment report will be provided up one level of command (i.e., squadron to group, group to wing) as well as to the Wing/IG so results may be used internally to enhance mission accomplishment.

e. Self-assessments required by paragraph 12b(2) above are mandatory.

Attachment 1 - Inspection and Staff Assistance Visit Unit Details and Data

The following outline covers data usually presented at an assessment in-brief. In the interest of timeliness and not burdening or requiring the CAP wing staff to attend the in-brief, one copy, except where noted, of the following data is to be faxed, mailed or e-mailed to the assessing headquarters/POC NLT 14 days prior to the scheduled start date of the assessment. In case of the assessment team being assigned back-to-back assessments, the notification letter will specify a compliance date for meeting this requirement to ensure receipt at least 14 days prior to the team departing headquarters.

1. Number of units: groups, squadrons with cadet members, squadron without cadet members, flights with cadet members, and flights without cadet members.
2. Number of members: seniors and cadets.
3. A copy of the wing budget and the amount of any state appropriations.
4. Number of vehicles, last fiscal year (FY) vehicle expense, year-to-date (YTD) vehicle expense.
5. Number of aircraft, last FY aircraft expense and income, YTD aircraft expense and income.
6. Counterdrug flying hours last FY, CD hours YTD, percent of private aircraft CD hours last FY and YTD.
7. Actual Search and Rescue (SAR) flying hours last FY and YTD, actual ground team hours last FY and YTD.
8. SAR training hours last FY and YTD, both flying and ground.
9. Number of cadet orientation flights last FY and current YTD; the number of individual cadets who were flown on orientation flights last FY and current YTD.
10. Number of current pilots, number of current mission pilots, number of observers.
11. Number and names of flight release officers currently on orders.
12. A list, by unit, of the date(s) of Subordinate Unit Inspections (SUIs) in the past 4 years and future scheduled inspections. Hard copy results of all inspections should be available during the Inspections functional area interview.
13. A list of all MOUs under which your wing is operating. Please have hard copies of all MOUs available for the Emergency Services interview.
14. A copy of Sections 2 and 3 of each assessment book (see Attachment 2) prepared by each staff section scheduled to be inspected. These should be submitted in Microsoft Word[®] file format.
15. Other items deemed pertinent to the inspection as outlined in the 30-day notification letter to the wing commander.

Attachment 2 – The Assessment Book

Overview

One of the most important things you can do in preparing a self-assessment or for either a Compliance inspection or Subordinate Unit Inspection is the development of a assessment book.

An assessment book consists of in-depth explanations to the questions found in the inspection guide for your area of responsibility. How each function is accomplished must be critically reviewed and then explanations must be carefully constructed to accurately describe how you perform the functions of your area of responsibility. Honesty in the review is a critical part of this process.

If during the course of the preparation of the continuity book, weaknesses in how the functions are being accomplished are identified, or it is determined that the function is not being accomplished at all, describe the weakness(es) and explain the plan to correct the weakness(es).

The assessment book should also contain any supporting documents, examples, or material that will help explain your responses to the guide questions.

Organization:

The assessment book should be organized in the following manner in a suitable sized three-ring binder.

Section 1 The Table of Contents of the assessment book

Section 2 Brief introductions of yourself and your staff (if you have any) should be in this section. Copies of appointment documents should be placed in Section 4. Additionally, briefly describe your experience/background that enables you to fulfill the duties of the position. A brief description of the experience/background for each of your staff can also be in this section. **A complete biography are not required in this section.**

Section 3 Place the written explanations to each of the inspection guide questions. Be sure that you are using the latest Wing Inspection Guide. The latest Wing Inspection Guide can be found on the National Headquarters website in the Inspector General section. The explanations should be in the same order as the inspection guide questions. Make reference to tabbed subsection in Section 3 that contain the supporting documents, examples or material. Answers to the inspection guide questions should not be Yes or No answers unless the answer contains an explanation of how the wing is accomplishing the material in the question. If the wing is not currently accomplished the material in the question, please explain the wing's plan to accomplish any specific directive. **Sections 2 and 3 should also be available on a CD-ROM or other computer media and submitted with the information requested in Attachment 1 of this regulation.**

Section 4 Place the supporting documents, examples or material to support the explanations found in Section 3 in a separate, tabbed subsection. The order of these tabbed subsections should be the same as the inspection guide questions. **Any of this supporting material that is critical to the explanations contained in Section 3 should also be available on a CD-ROM or other computer media.**