



CIVIL AIR PATROL INSPECTOR GENERAL

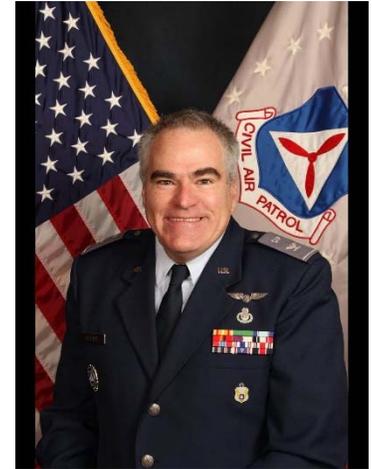
IG AUDIENCE

Volume 6 Issue 3

July 2015

FORWARD THIS NEWSLETTER TO ALL UNITS IN YOUR WING!

A note from Col Tom Kettell, CAP/IG: The IG Audience has evolved from a newsletter to being the Education Journal for the IG Program. Each quarterly issue has introduced a quality tool (or two) that will be implemented into program operations. The use of these tools by Wing IGs (first) and then Wing/Unit Commanders (with mentorship and assistance from IG) will be a contributing element towards moving CAP in the direction of continuous improvement and the establishment of a quality culture.



DTS – Discrepancy Tracking System

by Lt Col Craig Gallagher, CAP/IGT

Although the DTS works almost identically for Compliance Inspections (CIs) and Subordinate Unit Inspections (SUIs), one major difference is who does the work to close the Discrepancies.

Once the inspection report has been written and the report has been uploaded into eServices each of the Discrepancies needs to be loaded into the DTS and tracked to completion. For SUIs, the Wing IG or IGA is responsible (see the Quality Assurance checklist that was downloaded with the Worksheets, Grade Res Calculator, etc.) for loading all of them, even the ones that were closed during the on-site visit. One of the major values derived from the inspection process is the trend analysis that shows where CAP is having systemic problems. Those areas can be addressed by changes in training emphasis or regulations and we know we are spending our time on the highest priority items.

Inspected Unit Duties (Clearing the Discrepancies)

Once the Discrepancies are loaded into DTS the inspected unit should start work on clearing the Discrepancies. Directions are located at the http://capmembers.com/cap_national_hq/inspector_general/inspection-knowledge-base/ website. You can also access the website from the IG Main Menu website by clicking on “Wing/Unit Info” at the top of the page.

1. Open the tab that has a Discrepancy (e.g., A-1 Aerospace Education) and locate the question number for the SUI. The far right column tells you what is needed to clear the Discrepancy.
2. Do the work required and save documentation showing the work was done (Plan of Action, screen print, report, etc.)

3. In the IG Main Menu click on your unit in the Open IG items, which will show the Discrepancies for your unit (Open as well as closed).
4. Click on the Discrepancy you are fixing, write a response stating what you did, upload any documentation supporting the fix and click on “Submit”.
5. Send an email to the Wing IG/IGA requesting they close the Discrepancy.
6. Check back later to verify the Discrepancy has been closed.

IG/IGA Duties (Closing the Discrepancies)

1. Look in the IG Open Items for the unit that has responded and review the open Discrepancies.
2. Evaluate the response (you may want to review the “How to Clear” part of the Knowledgebase) for fixing the problem.
3. If the response is not adequate, write a response to the unit stating what you think is needed and do not close the Discrepancy.
4. If the response is adequate, close the Discrepancy – see http://www.capmembers.com/cap_national_hq/inspector_general/discrepancy-tracking-system-dts/ , Process for Closing Non-CI Discrepancies for details)
5. Once all the Discrepancies have been closed for a unit, click on “DTS – Other” and update the Inspection Status for the unit to “Closed” – this will remove the Unit from the list of Open IG Items on the IG Main Menu page in eServices.
6. Don’t forget to delete the unit’s uploaded documents in the Documentation section after closure – they are no longer needed as a reference for this inspection.

Let’s avoid the **Red** (at Shut-Down) and **Purple** (within 60 days of Shut-Down) problems shown on the 1-Jun-15 listing ...

Open IG Items							
Unit	Type	Start Date	End Date	Shut-Down	Status	Cycle	Open
GLR-IL-075	Subordinate Unit Inspection	27-Dec-14	11-Mar-15	11-Sep-15	Open	4	22
GLR-IL-122	Subordinate Unit Inspection	17-Jan-15	18-Mar-15	18-Sep-15	Open	4	11
GLR-IL-284	Subordinate Unit Inspection	16-Mar-15	5-Apr-15	5-Oct-15	Open	4	5
GLR-IL-303	Subordinate Unit Inspection	15-Nov-14	20-Apr-15	20-Oct-15	Open	4	16
GLR-IL-334	Subordinate Unit Inspection	14-Jan-15	10-Mar-15	10-Sep-15	Open	4	3
GLR-IN-036	Subordinate Unit Inspection	13-Jan-15	13-Feb-15	13-Aug-15	Open	1	5
GLR-IN-086	Subordinate Unit Inspection	20-Oct-14	20-Oct-14	20-Apr-15	Open	24	9
GLR-IN-123	Subordinate Unit Inspection	20-Oct-14	20-Nov-14	20-May-15	Open	24	15
GLR-IN-221	Subordinate Unit	5-Dec-14	31-Dec-14	30-Jun-15	Open	1	4
GLR-KY-123	Subordinate Unit Inspection	21-May-15	21-May-15	21-Nov-15	Open	2015	5
GLR-MI-009	Subordinate Unit Inspection	21-Apr-15	21-Apr-15	21-Oct-15	Open	1	7

Unit Safety Meetings Discrepancies

by Don Barbalace, CAP/IGTA

I read an SUI report recently in which a squadron commander was given a discrepancy for allowing two cadets to attend the weekly meeting after missing the previous meeting's safety briefing. The inspector's interpretation was that cadets who are not safety current (and these two were no longer current) cannot attend meetings until they become safety current except to attend for the purpose of having a safety briefing. That would mean, for example, if the safety briefing is held the third week, they would not be allowed to attend meetings the 1st and 2nd weeks of the next month. That would suspend their training and progression in the Cadet Program.



Cadets miss meetings for any number of legitimate reasons including school activities, illness, and family activities. I was not sure that the inspector's interpretation was correct, so I contacted Mr. George C. Vogt, Chief of Safety at NHQ and got a reply from Col. Robert H. Castle, Assistant Chief of Safety at NHQ. CAPR 62-1 para 4.a seems to require them to be absent on meeting nights 1 and 2 (in the example used above) of the following month since they would not be safety current past the end of the current month. However, there is an alternative to missing meetings.

While there is a means of completing the safety requirement on-line, the topics are designed for seniors and may be beyond the capability or responsibility of cadets. Cadets seldom use the on-line method of becoming safety current, relying instead on the unit safety briefing. So, what can you do?

Col. Castle replied to me:

“Thank you for asking for clarification on the topic of monthly safety education. This is one aspect of the CAP safety program that seems to cause considerable confusion among our members.

“In the example you described, CAPR 62-1 does not prohibit the members who missed the safety briefing from attending the next meeting (see Para 4.b.), but they are expected to be provided with a safety education briefing at that next meeting in order to update their currency and continue to participate.” In the January issue of the Beacon, he also explained that a safety education briefing can be conducted by telephone from a safety officer or commander, which is considered an "in person" briefing,

Col. Castle continued,

“One thing to note is that safety education currency is valid through the end of the month *after* the education is received. So in your example, if the safety education is given on the 3rd meeting of the month, the education would show the member current through the end of the *following* month (i.e., safety education presentation on 19 May, their record would show them current through 30 June).

“R62-1 also allows members to receive safety education credit from non-CAP sources, such as work or school. The member merely needs to provide some documentation for validation purposes and we recognize that requirement maybe difficult to obtain for our cadet members.

“Mr. Vogt and I are aware of the limited number and age of the current online safety presentations in eServices and are exploring ways to replace them with updated and suitable topics for all our members.

“Our overall goal is to help our members become more hazard aware and keep people from getting hurt.”

Mr. Vogt, Chief of Safety, also requested us at CAP/IG to encourage our audience to read the Beacon every month for safety program updates. If you ever have questions about safety, you can get Mr. Vogt and Col. Castle directly at safety@capnhq.gov.

Our recommendation to commanders and safety officers is that they always be prepared to provide members with a safety briefing in person or by telephone at the start of a meeting.



Keeping IG Investigation Data Secure

by Col Jim Linker, CAP/IGS

It's a sad commentary that we have gotten used to large data breaches: Home Depot, Target, Anthem, Sony, even the US Government's Office of Personnel Management. These are perpetrated by nefarious, often offshore, elements. While looking on the hackers with disdain, we all wonder how these large outfits could leave themselves open to losing trusted data that can be so damaging to their customers and clients. It's unthinkable that IGs would be so careless. Or is it?

How much do we really think about protecting the confidentiality of our work? We certainly believe that we do. But imagine the damage that could be done if someone could casually peruse your case file data and your historical cases. How could this happen?

- By leaving your computer on and unguarded while your back is turned or while you are otherwise occupied while visiting a unit or at some public setting.
- By having IG complaint files on a thumb drive with other files you may have occasion to share.
- By allowing your computer and your thumb drives and other storage devices to be lost or stolen.
- By misaddressing email containing confidential IG material and attachments. You may think this is simply stating the obvious, but it has happened and depending on the addressee, can be disastrous.

Simple rules minimize the threat that any of these would happen.

- Make sure your portable computer and any other computer that you use for IG work is password protected, especially, if it is accessible to others. There are applications that safeguard specific files with password and other protections you may want to consider in addition to your computer's basic password protection.
- Since many of your IG files and confidential emails are on your smart phone as well, it should be password protected, too.
- Turn off your computer when you are not using it and carefully safeguard it when you are in public places.
- Do not mix IG files and other files on your thumb drives and other storage devices. It is possible to forget that confidential IG material is on a drive when sharing non-IG files with others.
 - If you keep IG materials on a separate drive do not mix it with other files.
 - Use only one thumb drive for IG work, for better tracking and safeguarding its location.
 - Use some method—a label, bright color, etc.—to clearly identify the thumb drive with IG material, and keep it separate from your other drives.
 - Upload all files to ECIM as soon as the case is complete. Do not carry old case materials where it can be lost or accessed.
- Finally, always check the addressee lines before sending an email with confidential IG information. Check and double check that the addressee is right. Picking addresses off drop-

down lists often leads to picking the one below the intended one. It bears reminding to check that you have selected “reply” and not “reply all”. Careers have been broken over that simple error.

It is hard to imagine a greater embarrassment than allowing your confidential IG information and data to fall into the wrong hands. Being aware of the potential and taking a few simple steps to safeguard your data will save you, the individuals involved, and the CAP that embarrassment.

Repeat Discrepancies

by Lt Col Les Manser, CAP/IGTA

The Discrepancy Tracking System (DTS) categorizes discrepancies by type. One of these types is the Repeat Discrepancy. As discussed in previous journal articles, the typical cause of a repeat discrepancy is a problem that was not prevented from recurring. Repeat Discrepancies result in rework and additional volunteer time/resources that is expended on the compliance issue [again] rather than being applied to the missions of CAP.

A Repeat Discrepancy is defined in CAPR 123-3 Paragraph 9d(1)(a) as:

“A discrepancy reported in the wing’s previous compliance inspection that exists again during the current inspection. Repeat Discrepancies are highly undesirable and may indicate a systemic problem with leadership in the wing, in addition to the area under inspection.”

Further, the word describing the problem - “systemic” - is defined in CAPR 123-1 Attachment 1 as “a trend or pattern that relates to, or is common to, an organization.”

Although CAPR 123-3 does not at this time specify any additional requirement(s) or action(s) to be taken for repeat discrepancies, it is highly recommended that much more time/focus be taken the second time around to:

- Review WHAT actions were previously identified when the discrepancy was first issued. It may be discovered that the identified actions only addressed the Direct Cause of the problem (a.k.a. the symptom – which is not the problem) rather than the problem itself.
- Find out WHY the previous actions were ineffective. This should be a learning experience for many Staff Officers and will raise awareness about the importance of accomplishing genuine problem solving the first time around.
- Find out WHAT leadership characteristics/culture may have contributed to allowing the repeat discrepancy to occur. Did a “fill the square” mentality exist? Was compliance considered a “necessary evil”? If found to be factual, these would be things to eliminate as they hinder progress toward a quality culture in CAP.
- Take adequate time to accomplish effective Cause Analysis and identify ALL of the causes that make up the Cause Chain between the Root Cause (beginning) and the resulting Event (end - identified by the Discrepancy).
- Identify WHAT actions and HOW MANY of these actions will need to be included in the Discrepancy Plan of Action (POA) to truly prevent the problem from recurring.
- Eliminate any more wasted time/resources associated with this problem in the future.



Over time, the DTS will contain a gold mine of data that can aid Commanders, IGs and Staff Officers at all levels with the means to analyze prior/current discrepancies by functional category and discrepancy type on an ongoing basis. Even now, the DTS contains enough data for Repeat Discrepancies from Compliance Inspections (and now starting to show a few from SUIs) to obtain an awareness regarding WHICH discrepancies cause the biggest problems. The top category that accounts for about one-third of all repeat discrepancies is:

- Missing Records – Plans, Reports and those specified by function.
- At the root of this problem is typically a weak/failed/non-existent administrative function with a major contributing cause being individual OPRs who do not understand/know WHAT records are specified in applicable regulations that are required to be maintained.
- A further breakdown of Missing Records by percentage:
 - 54% - ES Mission Records
 - 23% - Vehicle Inspection/Maintenance Records
 - 18% - SUI Reports
 - 5% - Other (largest component - missing CAPR 66-1 Supplement)

Do you want to see for yourself what repeat findings/discrepancies have been issued in the past four years and see some examples of rework/waste? You can. Although the Trend Analysis tool in the IG Module (listed under Reports) has yet to be completed (Due Date – TBD), it can currently give you a listing of prior issued discrepancies just by putting in a key word or words for the search. For this topic, search on the word “repeat” and a very long list of repeat findings/discrepancies will appear. Upon review, you may recognize a few of them that may exist in your organization; if so, take action now (proactive) versus waiting for the next inspection (reactive)!!!!

What is a Civil Air Patrol Best Practice?

by Col Larry Stys, CAP Chief of Educational Plans & Programs



A CAP **Best Practice** is any process, method, tool, software, procedure, activity, or event that:

1. Shows measurable improvement of effectiveness and/or efficiency over and above any CAP standard or other standard as applicable to CAP.
2. Enhances and improves membership capabilities and training in or across a functional area
3. Demonstrates measurable improvement in recruitment; and/or a measurable improvement in retention
4. Is a “Benchmark” as defined by CAPR 123-3 Para 9c (1) recorded in the Compliance Inspection or Subordinate Unit Inspection results.

5. May include wing or subordinate unit practices that are highly effective and defined as “Commendable” in accordance with CAPR 123-3 Para 9c (2) and recorded in the Compliance Inspection or Subordinate Unit Inspection results if the following subset conditions are met:
 - a. It becomes the responsibility of that unit receiving a commendable to demonstrate that additional refinements to their program are worthy of consideration for Best Practice as defines in points 1-3 above.
 - b. That unit accepts its submission for recognition and vetting by higher headquarters and accepts the results therein.
6. **Best Practice** for the purpose of this program carries the above five definitions. The term “best practice” in general has broader use throughout CAP. By example, the CAPR 52-10 uses that term (written in small caps) to describe effective methods to ensure seniors and cadets are safe and free of harm, under the larger category of universal standards of practice. Additionally, best practices in aviation include adherence to sterile cockpit rules, or ground handling of CAP aircraft. Wearing high visibility vests during certain defined points in various CAP activities are clearly a best practice.

References for this initiative: *Civil Air Patrol 2014-2015 Strategic Plan*, Goal 1.1 Enable CAP to better fulfill assigned missions, Goal 2.3 Develop CAP Total Force initiative, Goal 4.2 Focus on Fundamentals, Goal 6.1 Promote member advancement with world-class professional development programs, Goal 6.2 Recruit and retain the best personnel. Goal 7.2 Value the service of CAP members

Suggestions and Recommendations for Implementation

The data repository provided through CAP Inspector General Program is the primary source to provide data necessary to identify and promote Best Practices

Best Practices will be used by more units and affect CAP if under these criteria:

1. These Best Practices are promoted nationally across all of CAP. Currently, eServices and capmembers.gov have “best practices” and wing “benchmarks” posted. Regretfully, few CAP members are aware of these. The CAP/IG provided benchmarks do not contain contact information at this time.
2. Best Practices will be regularly updated and amended to serve as a marketing device to encourage units to explore new ideas. A Best Practice that is still in use but now has different points-of-contact information, for example, must be updated.
3. There is a repository of past Best Practices on eServices that are still viable despite significant changes in CAP policy, directives, or strategic objectives. A good idea remains a good idea.
4. Genuine recognition can be given to any unit that has an accepted benchmark deemed a Best Practice displayed that further shows improved efficiency, effectiveness, recruitment, and retention of the organization
5. At all times, Best Practices must use the chain of command for implementation and subsequent recognition.

6. Involve the national, region and wing staff, as applicable, in “championing” the best practices. CAP members and units need to receive genuine recognition for successful advancement of CAP’s Vision and Mission Statement defined in the 2014-2015 Strategic Plan.
7. Publish Best Practices that come out of subordinate unit inspections on wing websites, if possible. Not all subordinate unit inspections could practically be listed and maintained on a national level site. It is an assumption that all 52 CAP wings either have viable web-sites or the access needed to create one.
8. Setup a Best Practice exchange sessions at conferences (again national to wing level) consisting of commanders and the key staff members responsible for the best practices:
 - i. Invitation is open and based on the units contributing a Best Practice and on any units committing to implement one or more from others (hence “exchange”)
 - ii. This will help build a critical mass of high performing units
 - iii. It will generate friendly competition among units
9. Identify the capabilities and competencies that must exist within the unit to ensure that the Best Practice can be implemented successfully and achieve a measurable result. This is important.

(Reference is Robert F. Mager, Analyzing Performance Problems. The entire book analyzes the difference between a desired outcome and the result that is achieved or can be measured. This works equally well in the inverse with best practices. The deficiency or discrepancy is countered, or the best practice enhanced, by results. The nature of these results Mager summarized as:

“I think I have training problem” (Well. . . train your people . . . train your leaders) - -in applying a best practice, new training may be needed.

“You really oughta wanna” (Well . . . there is management, motivation, or methods problem that needs fixing) - - - in applying a best practice, inertia “always did it that way” must be overcome.

10. Define the measurements, metrics and targets to quantify success and enable continuous improvement. Without a measurement there is no meaningful way to determine if the time, talent, and resources expended on the Best Practice yields beneficial results for CAP.
11. Provide leadership and guidance to help units assess the current state of their capabilities and competencies to overcome obstacles and then implement the Best Practice – give them tools for success. Think Capabilities (that lead to) Motivational Drivers (that lead to) Outcomes. Mentorship is one essential asset to this step.
12. Provide success coaches to motivate, to guide and, to create a sense of accountability once the commitment to implement the Best Practice has been made – the hallmark of leadership at any level.
13. Ensure strong connections between IGs and Commanders to create and promote a Best Practice. Benchmarks as indicators of a Best Practice help increase top ranking scores for inspections. The IG in the wing is often on the front line of the inspection process and by the nature of the duty, directing the inspections. Knowing the health and strength of all the units in a wing makes the IG valuable to command. The IG is the “eyes and the ears” of Command, but the IG is not the “mouth.” The IG does not speak for the commander.

Please contact me if you would like to submit a Best Practices for inclusion in a revised national web-site location or if you have suggestions to improve this plan at lwstys@icloud.com or, when able, over the phone at 414-322-0562.

IGs: Utilize Your Legal Officer

by Col Gordon Odell, SER/JA, SER/IGA

Legal officers (JAs) and inspectors general (IGs) should talk early and often – even if there seems to be no immediate need to do so. Building your relationship is vital to being well prepared. Utilizing that relationship is key to an effective Complaint Resolution Program.



Regulations require that IGs work with their JAs at critical points in the Complaint Resolution Process. Those points are: (1) complaint analysis, (2) investigation planning (if necessary) and (3) conducting a legal review of the report of investigation. It is highly recommended that the commander and the IG consult with JA prior to sending any closure letter.

Why should IG work with JA? JAs are adept at spotting issues, recognizing legal “minefields” (such as potential civil and criminal liability) and so much more. JAs have been using these skills since law school. For most, it is second nature.

Under what circumstances should I contact my JA? Contacting JA upon receipt of your first complaint puts you behind the game. Contact your JA today! Get acquainted *today!* Establish a working relationship *before* the need arises. Send an email or make a phone call.

What kinds of things should we discuss in getting acquainted? Discuss what you’ll need from one another and what you can reasonably expect from one another. Ask one another about the fastest ways to learn about one another’s responsibilities. Are there any publications or specific parts of publications that should be reviewed? Is there any jargon you should clarify? (For example, do you both know what is meant by “CAP standard”? If the JA says, “The complaint *fails to state a cause of action,*” will you know what is meant?)

What do you expect of one another? Ask! Your JA will likely want you to contact him or her as soon as you get a complaint. That way, the JA can help you steer clear of legal minefields such as civil and criminal liability. Do you want the JA to proofread or wordsmith your documents? Maybe you just want the JA to ensure you haven’t missed anything. Do you want the JA to do only the minimum as required by the regulation or *The Complaint Investigating Officer’s Guide*? (Does the JA have a copy of the guide?) When does the JA want to be brought into the complaint analysis – before, during or after it is drafted? Do you want the JA to help ensure you’ve got all the issues? What is *this* JA’s expertise with CAPRs or specific programs?

What if I need to work with another JA? Start with your wing JA, but feel free to utilize *any* JA. CAP is the JA’s client and each JA is here to help get CAP’s job done. Some have expertise in specific areas of the CAP Program (such as operations or Cadet Programs.) Some have analyzed complaints and conducted investigations. [Editor’s note: DO NOT use the JA as an investigating officer!]

Upcoming IG Training

AUGUST 2015



NHQ IG Senior Course at CAP National Conference, Orlando, FL August 27-28 2015 – contact Craig Gallagher eaacraig@gmail.com

OCTOBER 2015



NCR IG Senior Course at Missouri Wing Conference, Kansas City, MO October 15-16 2015 – contact Emmit Williams emmitw@mmuonline.net

GLR IG Senior Course at Ohio Wing Conference, Mansfield Lahm AFB, OH October 24-25 2015 – contact jayburrell@comcast.net

Contact Missie, IG Support Coordinator at NHQ, nderocher-harris@capnhq.gov to enroll.

What to do if you want to host an IGSC:

1. **Measure Interest:** 12-20 students
2. **Plan When:** Region Conference or some other time
3. **Plan Where:** Wi-Fi, Power for Computers, Projector, Desks or Tables
4. **Contact** the IGT (eaacraig@gmail.com) to get an instructor and schedule the class
5. **Write** a “Promotion Piece” for the class
6. **Recruit** students (20 max)

Upcoming Compliance Inspections

WING	CI DATES	CYCLE/INSP#
CO	18-19 July 15	4-32
VT	8-9 Aug 15	4-33
WY	15-16 Aug 15	4-34
AK	12-13 Sep 15	4-35

IG Audience/LMS-IG Points of Contact

SEND ARTICLE SUBMISSIONS FOR THE IG AUDIENCE DIRECTLY TO LT COL LES MANSER at lesmanser@gmail.com.

With your article, please submit 3-5 good, multiple-choice questions and a wrong-answer feedback explanation for each question.



FINAL EDITOR FOR THE IG AUDIENCE IS LT COL DON BARBALACE at sdig.cap@gmail.com (do not send articles to him)

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