

## Continuous Compliance Guidance D4 – Administration

This document is to be used as guidance only. You need to make the decisions for your wing to ensure you are compliant. I have included items that you can use to help, that list is as follows:

- Guidance on filling out the D4 Worksheet
- Guidance on how to answer each question

There is no provided sample report to be uploaded, but let me know directly if you need a sample or help in completing your wing’s D4 worksheet at [sjewell@cap.gov](mailto:sjewell@cap.gov).

### D4 – Administration Worksheet Guidance

#### **D-4 ADMINISTRATION**

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##### **Summary**

Commendables    Discrepancies  
0                      0

##### **Staffing**

Position - Director of Administration (DA) held position:                      **1**                      **2**  
0    Year(s)    0    Month(s)

Administration Specialty Track:                      **3**

##### **Mission and Staffing Notes**

| <b>4</b>      | <b>5</b>                        | <b>6</b>                        | <b>7</b>                    | <b>8</b>     |
|---------------|---------------------------------|---------------------------------|-----------------------------|--------------|
| <u>Y/N/NA</u> | <u>Topic/ Detailed Question</u> | <u>How to verify compliance</u> | <u>Discrepancy Write up</u> | <u>Notes</u> |

- 1.) Enter # Years you have held the Director of Administration position.
- 2.) Enter # Months you have held the Director of Administration position
- 3.) Click the down arrow and select YOUR CURRENT Administration Specialty Track Rating:
  - a. Not Enrolled
  - b. Enrolled – No Rating
  - c. Technician
  - d. Senior
  - e. Master
- 4.) Column 1 – Contains the inspectors compliance answer (Yes, No, N/A) to the inspection question in column 2.
- 5.) Column 2 – Contains the question(s) to be answered.
- 6.) Column 3 – Important to read and understand this column. This will tell you what will be reviewed in order to determine your compliance with this section. You should try to ensure there is a document for each validation item, this is what should be uploaded to the IG→Documentation→D4 Section for your wing.

- 7.) Column 4 – This is for the inspector. If you are not compliant based on the evaluation of the items in Column 3, then this is the exact text that will appear in the Inspection Report
- 8.) Column 5 – Your notes regarding this question. See below for examples.

## **D4 – Administration Question Guidance**

**Question 1: Are publicaitons managed IAW CAPR 1-2?** IF your wing is publishing supplements and/or operating instructions (OIs), you will need to justify how your wing ensures the supplement or OI will not conflict with higher headquarters directives; region supplements and OIs or the parent regulation itself. Wings can go more restrictive, but not less restrictive than the parent regulation and/or region supplement or OI. Furthermore, all supplements and OIs will need to be reviewed by the OPR in the anniversary month of its publication by NHQ to be recertified or rescinded. Lastly, wing supplements and OIs are required to be revised or rescinded within 6 months of the parent regulation’s revision. It is the ultimately the Wing’s responsibility to ensure their supplements and OIs are current and approved appropriately. Per the PCR Supplement to CAPR 1-2, all wing supplements and OIs MUST be routed/sent through the PCR/DA for review and subsequent approval by the PCR/CC before being forwarded to NHQ for their review, approval, and publishing.

**Question 2: Are wing OIs published IAW CAPR 1-2?** (*Reference CAPR 1-2, para 8.3.2.3.; N/A for no published Wing OIs*) OIs are only applicable to the Wing headquarter charter number (001). It is encouraged to only reference the CAP National Headquarters “Approved Supplements and OIs” webpage for the approved version of a wing supplement or OI. Listing this webpage as the source is sufficient. However, wings may choose to post their supplements or OIs on their wing websites as well. If this method is chosen, you will be required to ensure that the correct, and approved, version is posted and updated when renewed annually or revised.

**Question 3: Are wing forms published IAW CAPR 1-2?** (*Reference CAPR 1-2, para 8.4*) If wing forms are published, they must be posted online or in physical form for inspection at the wing headquarters. Forms are only valid if the form is prescribed in a directive publication, regardless of issuing unit.

**Question 4: Are records filed properly IAW CAP regulations?** (*Reference CAPR 10-2, para 2*) Wing file plans may be in electronic or paper format.

**Question 5: Is there a formal file plan established IAW CAP regulations?** (*Reference CAPR 10-2, para 1*) List where the file plan is located (physical location or where specifically it is located on a local computer or cloud-based location)

**Question 6: Are cut-off instructions followed IAW CAP regulations?** (*Reference CAPR 10-2, para 6 and attachment 1*). Wings will ensure cut-off instructions are followed by listing records by their calendar or fiscal year instructions.

**Question 7: Are records destroyed properly IAW CAP regulations?** (*Reference CAPR 10-2, attachment 1*). Wings will ensure disposition of records is complied with by physically removing outdated paper or electronic records from their file according to the disposition instructions. Administration officers will ensure all other OPRs are following their specific disposition instrucionts as well.

**Question 8: Are frequent back-ups of electronic files made IAW CAP regulations?** (Reference CAPR 10-2, para 7b; N/A for wings who have not transitioned to electronic record keeping) Showing the inspector the backup or screenshots suffice.

**Question 9: Trick question, there is no question number nine.**

**Question 10: Are wing supplements and OIs properly coordinated and approved?** (Reference CAPR 1-2, para 8.3.3.2 and PCR Supplement to CAPR 1-2). PCR/DA will ensure coordination with the CAP-USAF/PLR office is complied with, per the PCR Supplement to CAPR 1-2. Once the supplement or OI is approved by PLR, and final screenshot of the coordination will be forwarded to the Wing/DA for inspection records.

**Question 11: Are all documents that direct requirements or procedures either a supplement or OI?** (Reference CAPR 1-2, para 8.3.1) Any directive documents or statements MUST be listed in an approved supplement and OI only. Example: Wing Uniform Policy listed in a letter from the wing commander. This would be found as a discrepancy since CAPM 39-1 contains the CAP Uniform policy. A Wing supplement to CAPM 39-1 listing the wing policy would be the appropriate course of action to disseminate a local directive.