CONTINUOUS COMPLIANCE GUIDANCE

for

Compliance Inspection Tabs

C1 - ES OPS
C2 - ES COMM
C3 - ES Aircraft
C4 - ES Flight

This document is to be used as guidance and information exchange only. You need to make the decisions for your wing to ensure you are compliant as the requirements are more extensive than can be completely covered herein. However several items that you can use to help have been included as follows:

- Guidance on completing the C1, C2, C3, C4 Forms
- Guidance on not only how to answer each question but recommendations on how to maintain CONTINUOUS READINESS for a Compliance Inspection.

"CONTINUOUS" Compliance on an ON-GOING Basis

The overall objective for CONTINUOUS COMPLIANCE is to maintain readiness for an inspection on an on-going basis rather than needing a last-minute push to prepare for the inspection. For the great majority of the topics to covered in the CI worksheets for C1, C2, C3 and C4 the data should already be available in the various elements of WMIRS and/or other elements of eServices including Ops Quals. The key is to ensure that this data is updated on an on-going basis either as scheduled by regulation or as changes are needed in real time. That is the purpose of the included matrix that identifies suggested methods to accomplish this "Continuous" objective.

GENERAL COMMENTS REGARDING THE TABS/QUESTIONS

Staffing

1.) Enter # Years/Months current holder(s) have been in position
2.) Click the down arrow and select the appropriate response to the remaining questions:
   a. Column 1 – Select your Specialty Track Rating
      i. Not Enrolled
      ii. Enrolled –No Rating
      iii. Technician
      iv. Senior
      v. Master

Topic/Detailed Question(s)

1.) Column 2 – Contains the question(s) to be answered. Make sure there is a Y/N/NA in Column 1 for each question in Column 2
2.) 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 ensure there is documentation (electronic or otherwise) for each validation item. And if necessary, this is what should be uploaded to the appropriate IG→Documentation→Section for your wing. No need to duplicate records already in eServices.
3.) Column 4 – This is there 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
4.) Column 5 – Your notes regarding this question

C-1 - OPERATIONAL MISSION MANAGEMENT

Summary

Commendables   Discrepancies

Staffing

Position - Director of Operations (DO) held position: Year(s)   Month(s)
Operations Specialty Track:
Position - Director of Emergency Services (DOS) held position: Year(s)   Month(s)
Emergency Services Specialty Track:

Mission and Staffing Notes

Y/N/NA	Topic/ Detailed Question	How to verify compliance	Discrepancy Write up	Notes
01	Has the wing published any supplements or operating instructions, or granted/requested any waivers IAW CAP regulations? Has the wing published any supplements or operating instructions (OI)s to CAPRs 60-3, 60-5, or 60-6? If so, were they approved IAW CAPR 60-3, 60-5 or 60-6 prior to implementation?	Wing will submit a copy of approval documentation along with approved supplement. Compliance is determined by comparing the wing's published supplements/OIs with NHQ/DO records. NOTE: When Supplement/OIs are not properly marked/certified, see D-4 Question 1. All other discrepancies are documented under this question.	(Discrepancy): [xx] (C1 Question 1) Wing failed to obtain approval for its supplement to CAPR 60-3 IAW CAPR 60-3 para 1-2. (Discrepancy): [xx] (C1 Question 1) Wing failed to obtain approval for its supplement/operating instruction to CAPR 60-5 IAW CAPR 60-5 para 2. (Discrepancy): [xx] (C1 Question 1) Wing failed to obtain approval for its supplement/operating	

ADDITIONAL COMMENTS

Synchronization of Records: One of the more common findings in a CI occurs when electronic files in eServices/WMIRS/et.al. do not match any related paper records. The most common occurrence of this is between the aircraft maintenance data as recorded in the MX portion of WMIRS and the aircraft logbooks which contain the written logs and certifications as provided by the authorized maintenance shop personnel. Be sure to verify the data when entered since a mis-stated operation and/or date could lead to a safety issue or FAA violation in addition to a finding.

Mission Files/IC, COMM and other Logs: Timely, accurate and complete mission files, particularly those that can be routinely entered in to WMIRS, are of significant utility and importance during the conduct of any mission. It is intended that they be used to the maximum extent practical during the actual conduct of the mission and not just something to be completed later. And they also serve as a basis for any subsequent AAR activity, particularly in the pursuit of continuous improvement. They are also a legal record of the mission as performed including decisions made should such a review/investigation become necessary after the conclusion of a mission.

In the following pages you will find a description of the required content for mission files and logs.

Utilization of this Document: This document is intended to provide a vehicle to exchange information between wings regarding the successful conduct of a CI. It is also a forum to discuss/make suggestions on how to avoid repeat findings in and among the wings. Please communicate your suggestions for additions/changes to this document to the PCR DCS-Operations.

TAB		Question		Sched	On-going	Content	CONTINUOUS Compliance Implementation
C-1	OPS	Summary	sub		X	DO/DOS Qualifications	update OPS QUALS as changes occur
		1			X	Supplements, OI's	prepare, submit for appropriate approvals, publish once approved , confirm member awareness
		2		X	X	Alert Roster, annual update or when changed, alert officers are IC's	verify quals and assignments, update as changes needed, certify annually
		3			X	Mission records, last 4 years	use all aspects of WMIRS (logs, etc) during mission, upload other records and documentation at conclusion of mission. Content defined by XXXXXX
		4			X	Standardized IC kit	keep content current as it changes, including contact lists, maps, etc.
		5		X		Annual OPS Training Plan, approved by PLR	comply with NHQ/Region schedule
		6			X	Wing assessment of CISM need, implemented, team identified	conduct, document, update as changes needed
		7			X	CD participants screened and current, mission documentation	verify participant quals before each mission, complete documentation in accord with XXXX at end of mission
C-2	COMM	Summary			X	DC Qualifications	update OPS QUALS as changes occur
		1			X	Supplements, OI's	prepare, submit for appropriate approvals, publish once approved , confirm member awareness
		2		X		Annual COMM Plan	prepare, submit on schedule

		3		X		Annual radio comm effectiveness, approved by region, AAR	Plan, get approval, conduct, prepare AAR
		6			X	1 active HF/ALE station	test, verify, document results
		7			X	Weekly conventional voice net	conduct, verify, document results, upload
		9		X		Annual Inventory	complete per schedule, close out open items ASAP, complete Survey if needed
		9	a	X		time frame completed	allow buffer to internal schedule to meet time frame
		9	b	X		on-loan items revalidated	comply with regulatory time frames
		9	c		X	pending issues and transfers completed	LG to monitor regularly for closeout
		9	d		X	condition and location of all assets	periodic inspection, particularly of equipment needing periodic maintenance such as charging, etc.
		9	e		X	non-expendable items tagged and accurately recorded	tag and enter to ORMS within 30 days of receipt
C-3	FLIGHT	Summary			X	DOV Qualifications	update OPS QUALS as changes occur
		1			X	Supplements, OI's	prepare, submit for appropriate approvals, publish once approved , confirm member awareness
		2			X	non-CAP passengers	upload Form 9's to WMIRS mission files during mission
		3		X	X	F18 data	cross check and validate in WMIRS by XXth day of month
		4			X	sortie data in WMIRS in 3 days	enter all data within 3 days of sortie conclusion, 45 days to upload actual receipts

		5			X	Flight Releases	enter into WMIRS or 99 release entered within 24 hours
		6			X	Suspension Procedures	timely documentation, notification, resolution
		7			X	OPS QUALS data	update as necessary, completion of new quals, ES officer review to Plan
		8		X	X	Pilot stats	IC (or designee) to insure all sorties closed as required, data will then be available in WMIRS pilot reports
C-4	AIRCRAFT	Summary			X	AMO Qualifications	update OPS QUALS as changes occur
		1			X	Supplements, OI's	prepare, submit for appropriate approvals, publish once approved , confirm member awareness
		2		X		AMO/rep inspects each aircraft annually	capture, electronically store any time new CAPF 71 done
		3			X	Discrepancy reporting	prompt input to WMIRS
		4		X		certificates of insurance	tickler file to get renewals usually annually
		5			X	Aircraft Documentation	system to insure logbook updates and synch with WMIRS as they occur
		5	a		X	periodic maintenance accomplished	LGM, ACM's update and review at least monthly, schedule needed MX
		5	b		X	logbook entries, 100 and annual, other mandatory	LGM, ACM's update and review at least monthly and insure consistency between log books and WMIRS MX data
		5	c	X		inspection pitot static, transponder, altimeter	same as 5, 5a, 5b
		5	d	X		ELT batteries replaced	same as 5, 5a, 5b

		5	e		X	Weight and Balance forms	Capture completed forms in WMIRS sortie information. Update W&B info for any aircraft modifications
		5	f	X		biennial corrosion control	same as 5, 5a, 5b
		5	g		X	FAA form 337's	Capture approved 337 document and place in aircraft logbook and note in WMIRS MX data
		5	h		X	logbook entries for mid-cycle oil change	same as 5, 5a, 5b
		5	i		X	AIF current, serviceable	ACM to update on notification from NHQ of changes. ACM should check content revision status monthly
		6			X	Maintained in accord with 14CFR's and CAP regs	follow CAPR XX-X +
		6	a		X	required placards	verify periodically using Form 78
		6	b		X	fire extinguishers	verify periodically using Form 78
		6	c		X	CO detectors	replace annually in January, record in WMIRS MX data
		6	d		X	survival kits	Inventory annually, replace expired items as needed
		6	e		X	properly secured	check for chocks and/or proper tie down, control locks, pitot cover, etc.
		6	f		X	tires properly inflated	check monthly or if observed not fully inflated. Inspect at flying events, SAREX, etc
		6	g		X	aircraft hinge pins	verify periodically using Form 78
		6	h		X	external ID plate	verify periodically using Form 78
		6	i		X	checklists	verify periodically using Form 78
		6	j		X	POH/AFM complete, current	verify periodically using Form 78
		6	k		X	INOP instruments	verify periodically using Form 78

CI INSPECTION SHEET:

State **DATE:** MM/DD/YY **0** of **0** records reviewed

MISSION TYPES: M (AFRCC) **1** (1ST AF) **T** (AF TRNG SAREX, OPS EVAL, FLIGHT CLINICS) **C** (CAP COPORATE MISSIONS) - - - **M, 1, T, C**

RUN CALENDAR YEAR (CY) FOR M MISSIONS, RUN FISCAL YEAR (FY) FOR ALL OTHERS, 4 YEAR (FY or CY) look back required

REF: "Mission Records Documentation" https://www.gocivilairpatrol.com/programs/emergency-services/operations-support/mission-documentation/

#	MISSION	DATE	ICS 201/ IAP	IC LOG	Form 104 In	MEM Sign In	VEH Sign In	A/C Sign In	F9 OTR CAPFs	Form 104 109 Out	Inter-view forms	Com Log	News Rls	F122 SITREP other rpts	Must Keep info	notes
01																
02																
03																
04																
05																
06																
07																
08																
09																
10																
11																
12																

General Notes:

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13																
14																
15																
16																
17																
18																
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General Notes:

MISSION RECORDS DOCUMENTATION

ICS 201 or full Incident Action Plan; Most missions will only need to have an ICS 201, but some more resource intensive missions may need additional documentation and planning. Substantial revisions should be kept reflecting major changes like objective or tasking changes; changes to correct spelling or grammatical errors made are not necessary. Even if CAP is not the lead agency, incident action plans should be retained in our records for later reference.A35

Incident Commander (IC) log ; The IC's log should record all major events and decisions made on an incident, and will tell the story of what happened. Even if CAP is not the lead agency, the CAP IC serving as the agency representative or in another function must keep a log of what was authorized. The final decision to use CAP resources remains within CAP at all times. The CAP IC exercises full authority over all CAP personnel for matters pertaining to the mission. The CAP IC must exercise prudent judgment in prosecuting missions. A thorough assessment of all risks associated with the mission must be accomplished and appropriate controls put in place to ensure safe operations. The logs should reflect these often times difficult decisions when they are made

Mission flight plans ; The CAPF 104, and any attachments must always be kept. This documents not only what a crew was released to do, but what was actually done, and when combined with other logs builds a comprehensive picture of what was accomplished on a mission.

Personnel registers ; Knowing who supported the mission is critical. This is often times recorded on the ICS 201, but can be kept on separate forms or systems as well. Listings of personnel participating throughout the mission must be kept, and don't forget to include those resources that may have been remotely dispatched or support at a distance.

Vehicle registers ; Knowing the vehicles that supported the mission is also critical for insurance and reimbursement purposes. This is also recorded on the ICS 201 for most missions, but can be kept on separate forms or systems too. Listings of vehicles used throughout the mission must be kept, and don't forget to include those resources that may have been remotely dispatched or support at a distance. It isn't necessary to list every member owned vehicle driven to the incident command post or other sites, but as a general rule of thumb it should be recorded if usage will be reimbursed or insured to make sure it is clearly covered.

Aircraft registers ; Knowing the aircraft that supported the mission is also critical for insurance and reimbursement purposes. This is also recorded on the ICS 201 for most missions, but can be kept on separate forms or systems too. Listings of aircraft used throughout the mission must be kept, and again, don't forget to include those resources that may have been remotely dispatched or support at a distance. If the aircraft was flight released on the mission it must be listed somehow.

All CAP forms used ; Though it may seem trivial, all of the forms used on a mission tell the story of what was done and how, and thus need to be retained . You never know if one piece of paper has the critical piece of information needed to solve a bigger problem. That is why having a properly staffed finance / administration section can be critical; so that in the haste to release resources and demobilize at the end of the mission, what was actually done is not lost.

All wing forms used ; Some wings also develop forms to help personnel conduct missions locally. These need to be kept as well as they also tell the story of what was done and how.

Sortie logs ; This is where the rubber meets the road, where field resources, aircrews and ground teams, document what they did and that is obviously critical. At the lowest levels it may be tough to know how important some small piece of data is, but when all of the data is put together from all of the sorties accomplished it can solve many problems and really outline what was done. These logs can also help correct problems on future missions so that lessons can be learned and operations are always improved. Effective use of the CAPF 104 and CAPF 109 debriefing section is a built in tool to accomplish a sortie log and also store it on WMIRS

Interview / interrogations forms ; Interviews in the field may often times seem trivial, but they not only turn up clues, but in some cases their lack of clue development or one strange piece of information could change the course of an entire operation, so keeping these records is essential.

Message logs ; Again, knowing when and how personnel were notified, or if they were can be key, and thus message logs must be kept.

News releases ; News releases not only tell the story that was told to the public, but also often times used to help build additional clues or garner assistance for missions, and thus need to be kept. Documentation of who approved the releases should also be kept in case there is ever a question.

Reports to the controlling agency (CAPF 122, SITREPs, etc.) ; In general, if the controlling agency doesn't have your report, the work might as well not have been accomplished. Records of what was reported done are obviously valuable, and should not be discarded when sent . There are many cases where SITREPs were sent, but not received by all that needed them because of technological failures, so being able to resend them later is key.

Any related information that may be needed in answering future inquiries relating to the mission; This is the catch all. If it may be pertinent to the mission, it should be retained until it can be properly reviewed to determine if it needs to be kept for the long term. In the haste to close out and demobilize personnel, sometimes valuable data to impact how operations can be done better in the future could be lost if records are not retained.

CAPR 60-3 not only outlines what needs to be kept, but also how and who can access them.