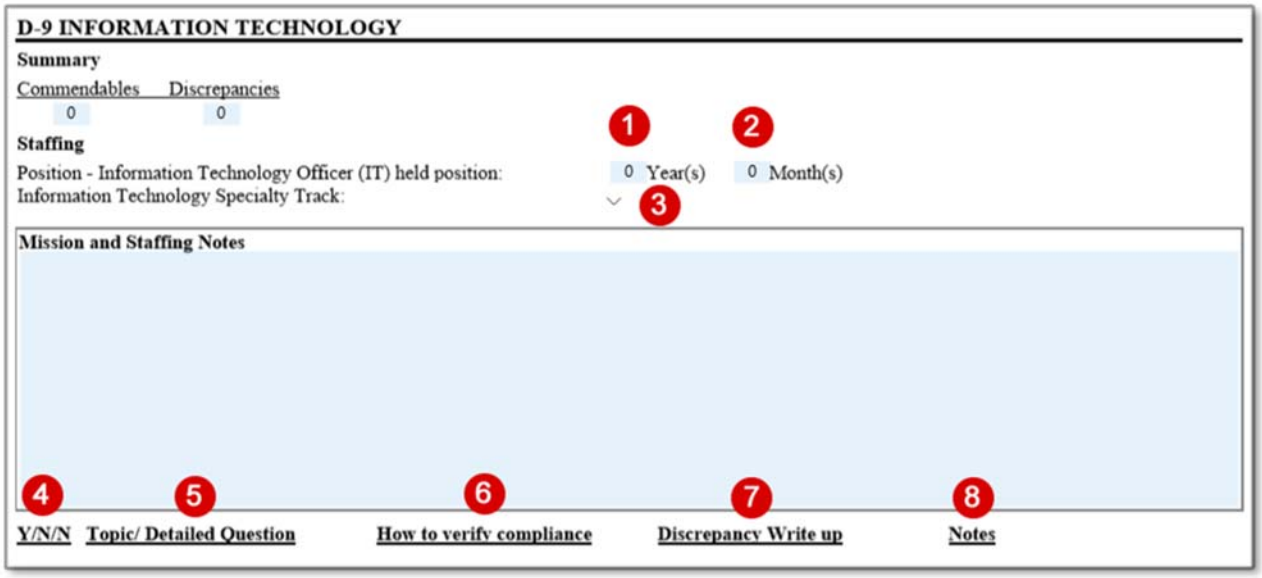
Continuous Compliance Guidance
D9 – Information Technology

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 several items that you can use to help, that list is as follows:

- Guidance on filling out the D9 Worksheet
- Guidance on how to answer each question
- Sample of a completed D9 Worksheet

I have not provided sample report to be uploaded, but if you need samples I can try to put something together.

D9 – Information Technology Worksheet Guidance



1.) Enter # Years you have been in the Director of IT position
2.) Enter # Months you have been in the Director of IT position
3.) Click the down arrow and select the appropriate response to the question.

    Select your Specialty Track Rating
    a. Not Enrolled
    b. Enrolled –No Rating
    c. Technician
    d. Senior
    e. Master
4.) Column 1 – Contains the question(s) to be answered. ** Make sure there is a Y/N/NA in Column 1 for each question in Column 2 **
5.) Column 2 – This contains the question by the IG that you must be in compliance with.

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→D9 Section for your wing.
7.) 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
8.) Column 5 – Your notes regarding this question. See below for examples.

D9 – Information Technology Question Guidance

Question 1: If you have no supplements or OI's to 120-1, then there is no documentation to provide and the answer you provided is sufficient.

Question 2: Upload a print out of your Member Report from eServices showing that you are properly appointed and the length of time you have been appointed.

Question 3: Review the Internet Operations page on eServices and print and upload proof that wing internet operations have been submitted and approved in eServices by the next higher command. You must also include a copy of the Organizational Report from Member Reports section which will show what units must be validated. All internet operations within your control that have not been submitted for approval should be suspended until the proper submission has been made for approval.

Question 4: During your internet operations review(s) of the websites, you should be checking to make sure that the site(s) are in compliance with all parts of CAPR 120-1. Do your best to identify if there is any confidential information being shared. The best practice here is to make sure they are NOT displaying any confidential information. Then the answer to this question would be a simply, no confidential information is being displayed on any web pages.

Question 5: All electronic files should be backed up regularly. If you are doing this or have a process to manage it, produce a report showing the schedule of the backup process and also something showing that the backups are being completed successfully. Also, document the high level portions of the process and upload the process you are using to conduct the backups. Just stating that you are doing it will not be enough to satisfy the compliance requirement. If you are using Office 365, Google, etc. to do this, produce the document from the vendor stating how they backup the files, how often, and where they are stored. You may NOT be able to produce the documentation showing the backups completed, but you can produce the document stating that the vendor assumed the responsibility.

Question 6: All CAP distributed laptops do **NOT** come with Antivirus by default. We must ensure that it gets installed before distribution to the units/members. eServices provides a link at the bottom to download and install the antivirus application. There is no report necessarily needed, but you have (2) options here. First, make sure you have a sample of CAP distributed laptops onsite during your CI for the inspectors to validate. Second, you could have each unit for which you distributed a laptop/computer, send you a screenshot, showing the CAP Asset tag, screenshot showing the antivirus software is running and current definitions are installed. However, this is more difficult to generate and it would be best to just have a sample physically ready to be inspected.

D-9 INFORMATION TECHNOLOGY

Summary

Commendables	Discrepancies
0	0

Staffing

Position - Information Technology Officer (IT) held position: 5 Year(s) 2 Month(s)
Information Technology Specialty Track: Senior

Mission and Staffing Notes

Y/N/N	Topic/ Detailed Question	How to verify compliance	Discrepancy Write up	Notes

N N N	01	Has the wing published any supplements or operating instructions, or requested and been granted any waivers to CAPR 120-1? a). Is the wing operating under any supplements or operating instructions to CAPR 120-1, and, if so, were they approved IAW this regulation prior to implementation? b). Is the wing operating under any waiver to CAPR 120-1 and, if so, were they approved IAW this regulation prior to implementation?	Compare wing's published supplements/OIs or waivers with those documents posted on the CAP publication website.	a). (Discrepancy): [xx] (D9 Question 1) Wing failed to obtain approval IAW CAPR 120-1 para 3 for supplement or operating instruction prior to implementation IAW CAPR 120-1 para 3. b). (Discrepancy): [xx] (D9 Question 1) Wing failed to obtain approval IAW CAPR 120-1 para 3 for requested waiver prior to implementation IAW CAPR 120-1 para 3.	Wing has no published supplements or operating instructions or any waivers to CAPR 120-1
Y	02	Does the Wing have an assigned Director of IT or IT Officer responsible for maintenance, upkeep and compliance with regard to use of all CAP IT assets within their respective units IAW CAPR 120-1 para 2.2.5?	Review duty assignments for the wing within eServices to identify whether the Wing has an assigned Director of IT or IT Officer.	(Discrepancy):[xx] (D9 Question 2) Wing does not have an assigned Director of IT/IT Officer IAW CAPR 120-1 para 2.2.5.	Wing has assigned a Director of IT IAW CAPR 120-1 para 2.2.5. *** Member Report ***
Y	03	Are all wing CAP Internet Operations records current IAW CAPR 120-1 para 5.2.2?	Review the Internet Operations Report and the Organizational Report from Members Reports to determine if all websites are approved and approval dates for Wing websites are within the current fiscal year.	(Discrepancy): [xx] (D9 Question 3) Wing failed to comply with annual Internet Operations review requirements IAW CAPR 120-1 para 5.2.2.	All wing CAP Internet Operations records are current IAW CAPR 120-1 para 5.2.2 *** Internet Operations Report *** *** Organizational Report ***

NA	04	Are locally developed web pages dealing with confidential information clearly marked with the warning required by CAPR 120-1 para 9.2.4?	Review representational sample of unit web pages noting whether warning is present when the page is displaying confidential information.	(Discrepancy):[xx] (D9 Question 4) Wing has not properly provided warning requirement on web pages that present confidential information IAW CAPR 120-1 para 9.2.4.	Locally developed web pages do not contain confidential information IAW CAPR 120-1 para 9.2.4. **<u>* Sample Web Pages Printed *</u>**
Y	05	Are backups of electronic files made IAW CAPR 120-1 para 11.6?	Review unit's backup schedule documentation to ensure backups are being completed IAW CAPR 120-1 para 11.6	a). Discrepancy):[xx] (D9 Question 5) Wing does not perform full backups at least monthly and incremental backups weekly IAW CAPR 120-1 para 11.6. b). (Discrepancy):[xx] (D9 Question 5) Wing does not store back-up files in another physical location IAW CAPR 120-1 para 11.6.	Electronic file backups are made IAW CAPR 120-1 para 11.6. **<u>* Backup Schedule *</u>** **<u>* Backup Success Report *</u>**
Y	06	Are the default anti-virus protections enabled on all CAP issued computers IAW CAPR 120-1 para 11.7?	Review a representative sample of locally available CAP issued laptops for current anti-virus software. This can found by navigating to the right hand corner of the task bar, locating the anti-virus software icon and opening application to identify if services are current and active.	(Discrepancy):[xx] (D9 Question 6) Wing failed to ensure current anti-virus is enabled on CAP-issued laptops IAW CAPR 120-1 para 11.7.	Default anti-virus protections are enabled on all CAP issued computer IAW CAPR 120-1 para 11.7 ***Be prepared to show a sampling of machines for review.***

Identified Strengths:
(Commendable):

Identified Weaknesses:
(Discrepancies):
(HHQ - Issues):
- This discrepancy was verified corrected - discrepancy closed, no further action required.

Instructions for writing a Commendable and closing a discrepancy on site

1. List “Identified Strengths or Weaknesses”, if any.

2. Delete all of these instructions.

2. A Commendable indicates a highly effective process implemented over a sufficient period of time that results in exceeding mission requirements. Commendables must apply directly to a mission critical compliance question. A commendable must be process oriented; it should save money, manpower and have a benefit for the members and/or mission. The unit must provide supporting documentation to verify that their process does in fact save money, man-hours and present benefits to members and/or mission.

3. Should a discrepancy be closed on-site prior to the inspectors leaving, the discrepancy should be written up followed by this bullet point
a. This discrepancy was verified corrected - discrepancy closed, no further action required.