

## Continuous Compliance Guidance E1 – Commander

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 E1 Worksheet
- Guidance on how to answer each question
- Sample of a completed E1 Worksheet

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

### E1 – Commander Worksheet Guidance

**E-1 COMMANDER**

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**Summary**

Commendables  Discrepancies

**Staffing**

Position - Commander (CC) held position:  Year(s)  Month(s)

Command Specialty Track:

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**Mission and Staffing Notes**

Y/N/NA	Topic/ Detailed Question	How to verify compliance	Discrepancy Write up	Notes
	4	6	7	8

- 1.) Enter # Years you have been in the Commander position
- 2.) Enter # Months you have been in the Commander 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→E1 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.

## **E1 – Commander Question Guidance**

- Question 2:** Is the wing MOU with the state current and approved?  
The MOU must be current and must be properly approved IAW CAPR 111-2 para 3a(2). It needs to have either an expiration date or a process named on how to renew or continue as is. Your Legal Officer can assist with this. NHQ has all MOU's on file if you cannot locate it. If they do not have it, it does not exist.
- Question 3:** Are members within the wing briefed annually on the CAP Nondiscrimination Policy?  
Since this is required annually it is recommended that you use the letter from the National Commander stating the purpose, add a letter of your own containing a briefing and send it out to your ALL list. Include a copy of the email including the fact that you yourself received it which demonstrates the email was in fact sent. Have all Squadron Commanders brief your letter, and return a roster with Date/Time it was briefed at the unit level and include with your upload.
- Question 4:** Does the wing ensure compliance with the sexual/physical abuse policy? Has the wing had any allegations of sexual/physical abuse?  
If no cases, answer "N/A" If yes,  
a) Was the member suspended?  
Include the CAPF 2a showing the suspension in section II FROM (current Duty Assignment) TO (Suspended). It is recommended that you use Sertify to transmit this to NHQ as you will be able to show they received it.  
b) Were Wing Legal Officer & General Counsel contacted?  
Include copies of the notification. If by phone include a transcript and a follow-up email.
- Question 5:** Have all active senior members completed Equal Opportunity Training?  
(<https://www.caphq.gov/CAP.MemberReports.Web/Modules/MemberReports.aspx>)  
This report will show you who has and has not completed the training. It is important to note that even a single member over the 6 month time limit since joining places you out of compliance. You must work with your Squadron Commanders to ensure the training is completed on time.
- Question 7:** Has the Wing/CC completed the online Basic (or Technician), Senior and Master Safety courses and associated tests?  
It is strongly encouraged that as a Commander you take and pass all three tests. Taking the ORM tests is good advice as well and you should upload those results to this question to demonstrate your attitude towards safety in general.

- Question 8:** Does the Wing CC approve all fundraising events within the wing?  
You should have a process in place that demonstrates that Legal, Safety, and you have reviewed and approved of any fund raiser. Copies of all approvals need to be uploaded for this question. The Inspectors will review your Finances to determine if there were deposits made for fund raisers and check to ensure that each one was approved.
- Question 9:** Are SUIs accomplished IAW CAP regulations? In review of the wing's SUIs, did the wing CC take appropriate action on any subordinate unit that received an overall grade of "Ineffective"? This must be a Y, N, or N/A.
- a) If any sub-ordinate unit received an overall Ineffective grade was it re-inspected within 180 days of the original inspection? This must be a Y, N, or N/A.
  - f) If a subordinate unit exceeded the 27- month limit for accomplishing SUIs was the unit suspended? This must be a Y, N, or N/A.
  - g) Was the unit referred to command for remedial action if its SUI was determined to be invalid before the time limit expired without the necessary waiver? This must be a Y, N, or N/A.
  - h) Did the Wing establish an SUI travel budget as part of the Annual Training Plan and submit it to Region? This is part of your Operations Budget and should include funds required to accomplish the SUI's.
- Question 10:** Does the wing ensure the CD program is maintained IAW CAP regulations? Does the wing have a CD program? If Yes:
- a) Is the Wing/CC CD qualified?
  - b) Was the personnel alert roster updated in WMIRS?  
The Alert Roster is in WMIRS 1. It MUST be shown as updated every 6 months. It is strongly recommended that your DO ensure it is correct on a monthly basis. This is what AFRCC uses to contact your wing for missions.
- Question 11:** Did the CC ensure at least two "Approved" Senior members were present at all cadet activities? (excluding cadet flying and real-world operational missions conducted under CAPR 60-3)?  
Note that this says "ALL CADET ACTIVITIES". Not just overnight activities. A sign in roster of all personnel present should be used for any activity and uploaded to this question. If you use an event program then upload that roster and sign in sheet to demonstrate seniors present.
- Question 13:** Are all members assigned to an authorized duty position enrolled in the appropriate specialty track?  
This is a UNIT based question and requires that everyone assigned to your 001 unit have an assignment and be assigned to that Specialty Track. Your DP should be ensuring this anytime someone takes on a job at your Headquarters unit. It is also encouraged that if you have "deadwood" assigned to your Headquarters unit that they be transferred to a unit or to the 000 Squadron. This is no single report. You will need to run a report on the members assigned, the members with Duty Assignments, and check them against the Specialty Track report. Again, this is a job for your DP but you are responsible for it.

**Question 14:** Are Reports of Survey properly initiated, conducted, and documented in IAW CAP regulations?  
Ask your Department Heads for C2 (Communications) and D7 (Supply) if any report of surveys were required. Compliance is determined through review of records in ORMS. Make sure that what you do is timely as they check to see if you met the time deadlines for reporting, updating, closing, etc.