

## D-4 ADMINISTRATION

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### Summary

Benchmarks   Commendables   Discrepancies   AoCs   HHQ

### Mission Rating

Files Maintenance and Record Disposition

Publications and Forms Management

### Staffing

Position - Administrative Officer position held:

Year(s)

Month(s)

Administration Specialty Track:

### Mission and Staffing Notes

<u>Y/N</u>	<u>Topic/ Detailed Question</u>	<u>How to verify compliance</u>	<u>Discrepancy Write up</u>	<u>Notes</u>
1	Are publications managed IAW CAP regulations? a) When publishing supplements, does the unit ensure the content does not conflict with higher headquarters directives?  b) On the anniversary date of each supplement or OI, has the OPR certified (by annotating the record copy with the name of the person making the certification and the date the certification was made) it is still current and essential?	a) Unit will provide access to on-line publications or copies of unit publications for review.  b) Unit will provide access to on-line publications or copies of unit publications for review.  c) Unit will provide email traffic showing the supplement was forwarded to a higher headquarters.	a) (A-Discrepancy): [xx] (Question 1) Unit failed to ensure supplement to CAPR XX-X did not conflict with the parent directive IAW CAPR 5-4 para 3a(1).  b)(A-Discrepancy): [xx] (Question 1) Unit failed to ensure supplements/OIs were certified by the OPR, on the anniversary date of the supplement IAW CAPR 5-4 para 3b. by annotating the record copy with the name of the person making the certification and the date the certification was made.	

c) Have all supplements been forwarded to the XXX Group/Wing Headquarters IAW CAPR 5-4 para 3a(1).

c)(A-Discrepancy): [xx] (Question 1)  
Unit failed to forward a copy of its supplement to CAPR XX-X [OI ###] to the XXX Group/Wing Headquarters IAW CAPR 5-4 para 3a(1).

2 Are unit OIs published IAW CAP regulations?  
Do unit published OIs, only apply to the Unit headquarters (charter xxx)?

Unit will provide access to on-line publications or copies of unit publications for review.

(A-Discrepancy): [xx] (Question 2)  
Unit failed to ensure Operating Instructions (OI) only apply to one unit IAW CAPR 5-4 para 1g.  
NOTE: Use sub-bullets to identify the offending OIs.

3 Are unit forms published IAW CAP regulations?  
If the unit publishes unit forms, is the use of each form specified in an official unit directive publication?

Unit will provide access to online forms or copies of for review.  
NOTE: The prescribing directive publication (supplement, operating instruction or documented guidance [memorandum style letter]) for a form can be attached to the form. The following must be contained in either (combination of) the prescribing directive publication and form (forms are generally self explanatory and cover most of the requirements below).

(A-Discrepancy): [xx] (Question 3)  
Unit Forms are not prescribed in an official directive publication IAW CAPR 5-4 para 6a.  
NOTE: Use sub-bullets to specify the forms in question.

- directs organizations and individuals to use the form
- states the purpose of the form
- states how to complete the form
- states when to complete the form
- states how to submit the form

Note: We no longer have policy letters; a memorandum style letter is acceptable

4 Is there a formal file plan established IAW CAP regulations?

Unit will provide a copy of formal file plan documentation that includes where records are located (e.g., File drawer C-H, vehicle glove box, computer file My

(A-Discrepancy): [xx] (Question 4)  
Unit does not have a formal file plan IAW CAPR 10-2 para 2.

5	Are cut-off instructions followed IAW CAP regulations?	Compliance is determined through on-site inspection.	(A-Discrepancy): [xx] (Question 5) There was no evidence the unit follows cut-off instructions IAW CAPR 10-2 para 6 and Attachment 1.
6	Are records destroyed properly IAW CAP regulations?	Compliance is determined through on-site inspection.	(A-Discrepancy): [xx] (Question 6) There was no evidence the unit follows destruction instructions IAW CAPR 10-2 Attachment 1.
7	Are frequent back-ups of electronic files made IAW CAP regulations?	Compliance is determined through on-site inspection or provide screen shots of on-line back up system if applicable.	(A-Discrepancy): [xx] (Question 7) Unit does not ensure frequent and thorough backups of electronic records to protect against possible loss of information due to fire, disaster, or storage device failure IAW CAPR 10-2 para 7b.
8	Are all administrative communications completed IAW CAP regulations? a) Formats? b) Letterhead? c) Signature block? d) E-mail?	Compliance is determined through a review of documentation delivered by the unit prior to the inspection and during the pre-visit interview.	(A-Discrepancy): [xx] (Question 8) Unit failed to ensure written communications meet the standards IAW CAPR 10-1 para 2, 3, 7, and 2a(3). NOTE: Use sub-bullets paragraph reference depends on what is done incorrectly. a) Formats CAPR 10-1 para 2. b) Letterhead - CAPR 10-1 para 3. c) Signature block CAPR 10-1 para 7. d) E-mail CAPR 10-1 para 2a(3).

SUI Worksheet, Jul 15

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OPR:CAP/IGI

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