BY ORDER OF THE COMMANDER
42D AIR BASE WING (AETC)

MAXWELL AFB INSTRUCTION 90-201

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Command Policy

WING UNIT COMPLIANCE PROGRAM

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This instruction implements AFPD 90-2, *Inspector General - The Inspection System*. It establishes policies, procedures, and responsibilities governing implementation and conduct of the 42d Air Base Wing (42 ABW) Unit Compliance Program (UCP). It applies to all wing activities, excluding AU and tenant units.

Summary of Revisions

This revision adds a section for abbreviations and acronyms (1), wing inspector general-conducted training requirements (3.1.5), implements the Self-Inspection Tracking System (SITS) and associated procedures (3.1.5, 3.2.4, 3.2.5, 3.3.3, 3.3.4, 4, 5.6), adds 42 ABW/IG intranet site as a source for ORI reports (3.3.6), deletes the requirements to maintain file copies of unit compliance inspection results and to forward semi-annual inspection reports to 42 ABW/IG. A start (★) indicates changed material from the previous version.

★1. Abbreviations and Acronyms.

1.1. OPR – Office of Primary Responsibility. An individual or organization responsible for a process.

1.2. ORI – An evaluation of operational readiness or ability to conduct combat operations in wartime for any unit with a wartime mission. The unit is evaluated on how well it can respond, employ forces, provide mission support, and survive and operate in a combat environment.

1.3. SII – Special Interest Item. A tool to focus management attention, gather data, and assess the status of specific programs and conditions in the field. IG inspectors evaluate SIIs using inspection guides and grading criteria provided by the SII sponsoring agency.

1.4. SITS – Self-Inspection Tracking System. User-friendly Access database designed to track self-inspection findings. Enables easy access by work center to open findings and provides archive of all closed discrepancies.

1.5. UCP – Unit Compliance Program. A process to measure and evaluate an organization's quality and compliance with Air Force policies.

2. General. The UCP measures and evaluates *quality* and *compliance*. It provides feedback to commanders, senior supervisors, and unit personnel by validating the effectiveness and efficiency of each group and agency supporting the wing mission. Unit programs should focus on: (1) is the mission accomplished effectively, efficiently and safely; (2) how are obstacles impacting mission accomplishment identified; (3) how is compliance with laws, instructions, regulations, technical orders, applicable audit findings, special interest items, etc. documented; (4) how are problems identified, feedback provided, and the appropriate level for action or attention determined; and (5) how is fraud, waste, and abuse detected and prevented.

3. Responsibilities.

3.1. Wing Inspector General will:

3.1.1. Establish a base instruction governing the UCP.

3.1.2. Review and distribute Special Interest Items (SII) information and crossfeed materials.

3.1.3. Conduct program reviews and periodic spot checks as needed.

3.1.4 Provide feedback to senior wing officials on unit compliance program status.

★3.1.5. Provide training to Group/Squadron Commanders, Wing Staff Agency Chiefs, and unit compliance monitors on the Self-Inspection Tracking System (SITS) database as required.

3.2. Group/Squadron Commanders and Wing Staff Agency Chiefs will:

3.2.1. Establish and maintain viable UCPs.

3.2.2. Appoint UCP monitors by letter, forwarding a copy to 42 ABW/IG.

3.2.3. Ensure UCP checklists are supplemented to include applicable compliance requirements and audit findings. Units should use or incorporate HQ AETC functional area checklists into unit compliance programs/inspections.

★3.2.4 Ensure Unit compliance monitors enter inspection results into the SITS database located in SITS folder on the *Public on 'maxfs226'* drive.

★3.2.5. Ensure semi-annual UCP inspections are conducted and 42 ABW/IG notified when inspection results are loaded into SITS.

3.2.6. Review open discrepancies quarterly or more often as needed, until closed.

3.2.7. Ensure timely follow-up action on all open discrepancies.

3.2.8. Identify problem areas to the proper level for action.

3.2.9. Maintain Higher Headquarters reports (i.e., ORI reports with crossfeed results) distributed by 42 ABW/IG and applicable excerpts from audits.

3.2.10. Maintain a file copy of actions taken to comply with applicable SIIs.

3.3. Unit Compliance Monitors will:

3.3.1. Maintain and utilize a unit compliance binder (paragraph 5).

3.3.2. Develop, review annually and personalize unit compliance checklists. HQ AETC functional area checklists may be found on the HQ AETC/IGQ web site.

★3.3.3. Notify chain of command and Group/CC and Staff Agency Chiefs when inspection results are loaded into SITS database.

★3.3.4. Maintain and update the SITS database to monitor discrepancies and reflect most current status.

3.3.5. Ensure unit supervisors and commanders review discrepancy status at least quarterly to confirm follow-up action and closeout of open items.

★3.3.6. Review and maintain applicable Higher Headquarters reports and audit excerpts with crossfeed results (ORI reports may be obtained from the 42 ABW/IG or IG intranet site).

★**4. SITS Database Updates.** The remarks section of each SITS entry should include a summary intended to be a word picture, capturing important trends. As functional experts you need to ensure group/wing commanders understand the severity of each discrepancy. Coordinate findings through the chain of command and notify the group commander (42 ABW/IG for Wing Staff Agencies) SITS is ready for review no later than 10 working days after the inspection.

5. Squadron/Staff Agency Unit Compliance Binders. All unit compliance monitors will maintain a unit compliance binder for their level of responsibility with the following areas:

5.1. Table of Contents.

5.2. Copy of Maxwell AFB Instruction 90-201.

5.3. Copy of current appointment letter and list of unit/staff agency compliance monitors.

5.4. HQ AETC functional area checklists and any unit developed checklists.

5.5. Copies of the last two semi-annual UCP inspection documentation to support responses to checklist questions.

★5.6. Copy of SITS "All Open by Workcenter" printout to track open discrepancies.

5.7. Applicable AF and AETC SIIs (active and applicable). This should include results of last review and documentation to support responses to applicable SIIs checklist questions.

5.8. Cross-feed Items.

5.9. Benchmark Items.

5.10. Supplemental Information.

6. Group Unit Compliance Binders. All group compliance monitors will maintain a group compliance binder for their level of responsibility with the following areas:

6.1. Table of Contents.

6.2. Copy of Maxwell AFB Instruction 90-201.

6.3. Copy of current appointment letter and list of the group's unit compliance monitors.

6.4. Tab for each squadron. This will include the appointment letter and SITS printout for all open inspection findings.

6.5. Applicable AF and AETC SIIs (active and applicable). This should include results of last review and documentation to support responses to applicable SII checklist questions.

6.6. Crossfeed Items.

6.7. Benchmark Items.

6.8. Supplemental information.

NOTE: The above are minimum requirements for Group/Squadron/Staff Agency UCP Binders. 42 ABW organizations may tailor UCP Binders to meet their specific needs.

7. Schedule. All wing organizations will conduct semi-annual wing UCP inspections during the months of January and July.

8. Special Interest Items. When HQ USAF or HQ AETC identifies certain functional areas or activities as an SII, the Wing Inspector General will designate (if necessary) a base OPR for the SII inspection and implementation. The OPR will task appropriate agencies as necessary to review and act upon the SII and submit any required findings and action through 42 ABW/IG. The OPR will also prepare and forward a final status report (as required) within 15 workdays of expiration date of the applicable SII.

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Inspector General