

**BY ORDER OF THE COMMANDER
45TH SPACE WING**

45TH SPACE WING INSTRUCTION 90-201

21 NOVEMBER 2013

Special Management

**COMMANDER'S SELF-
ASSESSMENT PROGRAM (SAP)**



COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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SUMMARY OF CHANGES

This instruction has been updated to align with AFI 90-201 published August 2013 and AFSPCI 90-201 Sup 1 published January 2013 respectively. The new guidance introduces a new tool: Management Internal Control Toolset (MICT). MICT training, current instructions and proposed instructions use self-inspection program (SIP), commanders' inspection program (CCIP), and self-assessment program (SAP) interchangeably. This instruction uses SAP to align with current AFI 90-201.

1. Overview. A self-assessment program (SAP) provides an effective means of assessing mission performance and organizational effectiveness through internal review. The intent is to provide commanders with a tool for internal assessment of unit health and to complement external inspections and assessments. Commanders are SAP customers and therefore dictate the quality of their SAP. They use SAP results to assess mission readiness and direct resources and energies to correct deficiencies. An effective SAP requires a dedicated approach at all levels.

1.1. Program Criteria. A SAP is beneficial if it does the following:

- 1.1.1. Assigns SAP responsibilities.
- 1.1.2. Is tailored to each unit's structure and contains mechanisms that ensure adequate periodic inspection coverage of the organization's mission, resources, training and personnel programs.
- 1.1.3. Establishes a method to identify, document, track and resolve deficiencies.
- 1.1.4. Provides feedback to commanders.
- 1.1.5. Ensures that all AF, AFSPC, 14 AF, 45 SW checklists are tailored properly and are current. Checklists can be found in MICT.
- 1.1.6. Establishes a method to crossfeed information relevant to the SAP.

2. Responsibilities.

2.1. The Commander (45 SW/CC):

- 2.1.1. Is the SAP office of primary responsibility (OPR).
- 2.1.2. Appoints a wing SAP monitor (primary and alternate) in writing and delegates authority to them for the purpose of administering the 45 SW SAP.
- 2.1.3. Can direct additional inspections.

2.2. 45 SW/IGI will:

- 2.2.1. Administer the 45 SW SAP.
- 2.2.2. Ensure 45 SW units conduct semiannual self-assessments in February and August.
- 2.2.3. Develop SAP policy and guidance in the form of 45SWI 90-201.
- 2.2.4. Serve as an inspection interface between 45 SW units and outside agencies.
- 2.2.5. Provide the wing commander information on open critical SAP discrepancies.
- 2.2.6. Conduct Staff Assistance Visits (SAVs) on group and wing staff agencies' SAP programs to evaluate their effectiveness, adequacy and currency.

2.2.6.1. Squadron SAVs are delegated to the group SAP monitors.

2.2.7. Conduct training for group and wing staff agency SAP monitors

2.2.7.1. Squadron training is delegated to group SAP monitors.

2.2.8. Provide guidance to group and wing staff SAP Managers on maintaining SAP Record Sets in accordance with paragraph 5 of this instruction.

2.2.9. Provide a MICT Lead Manager to manage the MICT database, group MICT Lead Manager user accounts, and Wing Functional Area Manager (FAM) accounts.

2.3. Group Commanders and Wing Staff Agency Chiefs will:

2.3.1. Assign responsibilities for functional areas and additional duties critical to their mission.

2.3.2. Identify, via a memorandum, functional areas and additional duties critical to their mission to be inspected during the semiannual self-assessment.

2.3.3. Appoint group/wing staff agency SAP monitors (primary and alternate) in writing to manage the group/wing staff agency program and forward a copy of the appointment memorandum to the wing SAP monitor with the monitors' ranks, names, office symbols and duty phones (Attachment 1). All appointment letters will be updated when appointed SAP monitors change or when the appointing authority changes.

2.4. Group/Wing Staff SAP Monitors will:

2.4.1. Act as the primary focal point for their subordinate units and are directly responsible for the quality of the SAP.

2.4.2. Manage the group/wing staff agency SAP and maintain SAP records. See paragraph 5 for information and criteria.

2.4.3. Ensure assigned units accomplish a semiannual self-assessment of each work center, functional area and additional duties critical to their mission in February and August. The 45 SW/CC may direct additional inspections.

2.4.4. Ensure responsible agencies enter a new entry into the MICT database for any discrepancy that cannot be corrected on the spot. MICT can be accessed through the AF Portal. Discrepancies will be identified as Critical, Significant, or Minor.

2.4.5. Ensure a discrepancy found during an internal/external SAV (as identified in the final report), is entered into the MICT database on a unit deficiency checklist and updated monthly until closed.

2.4.6. Track open discrepancies until closed. Open items will have a corrective action entered in the MICT database monthly. Corrective action updates for each open discrepancy must be entered into MICT by the 15th of every month following the month the discrepancy was entered into the system.

2.4.7. Provide an update to the group commander/wing staff agency chief and the wing SAP monitor on SAP status monthly and after SAP semiannual self-assessment closeout.

2.4.8. Provide wing SAP monitor with an updated listing of all assigned group/wing staff agency SAP monitors quarterly. The list will include monitors' rank, name, squadron, office symbol and duty phone.

2.4.9. Immediately inform the wing SAP monitor when a group/wing staff SAP manager no longer requires access to MICT.

2.4.10. Review all group/wing staff agency MICT entries periodically each month. Reviews will include checking for overdue estimated completion dates (ECDs), overdue 30-day updates, etc.

2.4.11. Conduct random checks of squadron/wing staff agency SAP programs to evaluate their effectiveness, adequacy and currency.

2.4.12. Distribute items of interest and cross feed other units' (including those located at other bases) inspection reports.

2.4.13. Execute duties delegated by the wing SAP manager including squadron-level SAP and MICT training.

2.4.14. Ensure current Air Force Special Interest Items (SIIs), AFSPC SIIs and 14 AF High Interest Items are included as part of the MICT semiannual self-assessment.

2.5. Squadron Commanders will:

2.5.1. Commanders will ensure their SACs accurately reflect current status at all times. A change in compliance status will be updated in MICT within 5 duty days.

2.5.2. Appoint a SAP monitor (primary and alternate) in writing who will manage the squadron SAP. Forward an appointment memorandum (Attachment 2) to the applicable group SAP monitor. All appointment letters will be updated when appointed SAP monitors change or when the appointing authority changes.

2.5.3. Identify, via a memorandum, functional areas and additional duties critical to their mission to be inspected during the semiannual self-assessment.

2.6. Squadron SAP Monitors will:

2.6.1. Act as the primary focal point for their unit and are directly responsible for the quality of the SAP.

2.6.2. Manage the squadron's SAP and maintain SAP records. See Paragraph 5 for set-up information and criteria.

2.6.3. Review all checklists and AFIs used for inspections prior to each semiannual self-assessment to ensure the most current version is in use.

2.6.4. Ensure functional area monitors accomplish a semiannual self-assessment of each functional area, work center and additional duties critical to their mission in February and August. The 45 SW/CC may direct additional inspections.

2.6.5. Ensure squadron agencies input a new entry into the MICT database for any discrepancy that cannot be corrected on the spot.

2.6.6. Ensure if a discrepancy is found during an internal/external SAV (as identified in the final report), it is entered into MICT.

2.6.7. Track open discrepancies until closed. Open items will have a corrective action entry entered in the MICT database, updated monthly. Corrective action updates for each open discrepancy must be entered into the MICT database by the 15th of every month following the month the discrepancy was entered into the system.

2.6.8. Track current Air Force Special Interest Items (SIIs), AFSPC SIIs and 14 AF High Interest Items in MICT.

2.7. 45th Space Wing Functional Area Managers (45 SW FAMS) will:

2.7.1. Actively engage 14 AF and AFSPC regarding all functional area initiatives. Know, brief leadership and implement the latest guidance in the functional area.

2.7.2. Author and distribute functional area guidance to group and wing staff (if no group or wing staff FAM exists, forward directly to squadron) FAMS at least twice a year. The guidance shall include at a minimum the specific AF, AFSPC, and 45 SW checklists to execute.

2.7.3. Perform a self-assessment of your functional area in February and August using MICT. The 45 SW/CC may direct additional inspections. Track all discrepancies in MICT.

2.7.4. Perform SAVs of group and wing staff FAMS in accordance with applicable AFI.

2.8. Group/Wing Staff Agency/Squadron Functional Area Monitors (FAMs) will:

2.8.1. Use AF, AFSPC and 45 SW checklists identified by the 45 SW FAM for self-assessments.

2.8.2. Review all checklists and AFIs used for inspections at the beginning of each semiannual self-assessment.

2.8.3. Perform self-assessments using appropriate functional area checklists in MICT and ensure a deficiency is opened for a discrepancy that cannot be corrected on the spot. In addition, notify the next highest level FAM and the group SAP monitor of the discrepancy.

2.8.4. Ensure if a discrepancy is found during an internal/external SAV (as identified in the final report), it is entered into the MICT database.

2.8.5. Track open discrepancies until closed. Open items will have a corrective action item entered in the MICT database, updated monthly. Corrective action updates for each open discrepancy must be entered into MICT by the 15th of every month following the month the discrepancy was entered into the system.

2.8.6. Review crossfeed items for their area and, if applicable, incorporate findings into functional area checklists.

3. Management Internal Control Toolset.

3.1. MICT Database.

3.1.1. Is an interactive application that helps Air Force organizations manage their various inspections.

3.1.2. Training is available in MICT.

3.1.3. Use 45 SW MICT Business Rules.

3.1.4. For individual access, notify the next highest SAP Manager in the chain of command.

4. Other Databases.

4.1. The 45 MDG MedFacts Tracking System.

4.1.1. All medical-specific compliance discrepancies will be monitored by the 45 MDG using the MedFacts Tracking System. Monitor all other non-medical compliance elements using MICT.

4.2. Inspector General's Evaluation Management System (IGEMS).

4.2.1. All wing compliance discrepancies found during an AFSPC inspection will be monitored by AFSPC/IG using the IGEMS. Monitor all other compliance elements using MICT.

5. Maintaining Record Sets. Wing, group, wing staff agency and squadron monitors will ensure they track and execute AF, AFSPC, 45 SW checklists in MICT. Upload all supporting documentation to support each question and answer. Note: During the phase-in period of MICT, a binder can be kept in lieu of MICT while applicable checklists are loaded. Binder instructions are in attachment 3.

6. Inspection Process.

6.1.1. Each checklist step will be marked with a check in either the "Yes", "No" or "N/A" column. Include a written explanation using complete sentences along with uploaded documents supporting the answer to each checklist item. When all applicable checklist steps are completed, publish the results and notify the next highest level SAP manager, FAM, or additional duty contact in your chain of command.

6.1.2. If the answer to the checklist question is "Yes," the written explanation and documentation must be sufficient to show you are in compliance.

6.1.3. If the answer to the checklist question is "N/A," there will be sufficient written justification to show that this question does not apply.

6.1.4. If the answer to the checklist question is "No," then there will be an automatic discrepancy opened in the MICT database to document the discrepancy. The entry will explain the problem and corrective actions being taken.

NINA M. ARMAGNO, Brigadier General, USAF
Commander

Attachment 1

GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

References

AFI 90-201, *The Air Force Inspection System*, 23 March 2012

AFI 90-201_AFSPCSUP_1, *Inspector General Activities*, 02 January 2013

Adopted Forms

AF Form 847, *Recommendation for Change of Publication*

Abbreviations and Acronyms

AFI—Air Force Instruction

AFIA—Air Force Inspection Agency

AFMAN—Air Force Manual

AFRIMS—Air Force Records Information Management System

CCIP—Commander's Inspection Program

ECD—Estimated Completion Date

FAM—Functional Area Manager

IGEMS—Inspector General Evaluation Management System

MICT—Management Internal Control Toolset

OPR—Office of Primary Responsibility

RDS—Records Disposition Schedule

SAP—Self-Assessment Program

SAV—Staff Assistance Visit

SII—Special Interest Item

SIP—Self-Inspection Program

Attachment 2

SAMPLE GROUP OR WING STAFF AGENCY APPOINTMENT MEMORANDUM

Figure A2.1. Sample Group or Wing Staff Agency Appointment Memorandum

MEMORANDUM FOR (Wing SAP Monitor)	(DATE)
FROM: (Group CC or Wing Staff Agency Chief)	
SUBJECT: Appointment of Self-Assessment Program (SAP) Monitor	
1. IAW 45 SWI90-201, the following individuals are appointed SAP monitors for (unit):	
RANK/NAME	OFF SYM DUTY PHONE
PRIMARY: ALTERNATE:	
2. This memorandum supersedes our memorandum dated __, same subject.	
FULL NAME, Rank, USAF Group CC/Wing Staff Agency Chief	

Attachment 3

MEMORANDUM FOR (GROUP SAP MONITOR)

Figure A3.1. Memorandum for (Group SAP Monitor)

MEMORANDUM FOR (Group SAP Monitor) (DATE)

FROM: (Squadron CC)

SUBJECT: Appointment of Self-Assessment Program (SAP) Monitor

1. IAW 45 SWI90-201, the following individuals are appointed SAP monitors for (unit):

RANK/NAME	OFF SYM	DUTY PHONE
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PRIMARY:

ALTERNATE:

2. This memorandum supersedes our memorandum dated __, same subject.

**FULL NAME, Rank, USAF
Group CC/Wing Staff Agency Chief**

Attachment 4

RETAIN PAPER BINDER RECORD SETS UNTIL DIRECTED BY GROUP SAP MANAGER. GROUP, WING STAFF AGENCY AND SQUADRON MONITORS WILL ENSURE THE SIP CONTINUITY BINDERS CONTAIN THE FOLLOWING WITH A TABLE OF CONTENTS

Figure A4.1. SIP Continuity Binder Setup**1. Section 1.**

- 1.1. Letter of appointment for wing SAP monitor.
- 1.2. Letter of appointment for wing staff agency SAP monitor (wing staff agency only).
- 1.3. Letter of appointment for group SAP monitor (group and squadron only).
- 1.4. Letter of appointment for squadron SAP monitor (group and squadron only).
- 1.5. AF, AFSPC and 14 AF guidance. (cross reference or electronic copy is acceptable).
- 1.6. Printed copy of 45SWI90-201, *Commander's Self-Assessment Program (SAP)*.
- 1.7. AF/AFSPC SIIs and 14 AF High Interest Items.

2. Section 2.

- 2.1. Commander's memorandum identifying functional areas and additional duties that require semi-annual inspection.
- 2.2. Copies of any staff assistance visits, Inspector General visits or any other formal inspections from 45 SW or external agencies. Maintain copies for 1 year.
- 2.3. Copies of the 45 SW's last Operational Readiness Inspection (ORI), Expeditionary Readiness Inspection (ERI) and Compliance Inspection (CI) reports (cross reference or electronic copy is acceptable).

3. Section 3.

- 3.1. SAP monitor training records.
- 3.2. Miscellaneous SAP information.