

**BY ORDER OF THE COMMANDER
AIR EDUCATION AND TRAINING
COMMAND**



AIR FORCE INSTRUCTION 10-201

**AIR EDUCATION AND TRAINING
COMMAND
Supplement**

27 APRIL 2015

Operations

**STATUS OF RESOURCES AND TRAINING
SYSTEMS**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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This supplement implements and extends the guidance in AFI 10-201_AFGM2014-01, Status of Resources and Training System (SORTS), 13 May 2014. This publication applies to the Air National Guard (ANG) only upon mobilization. It applies to Air Force Reserve Command units upon full mobilization to active duty and release of operational control to AETC. Submit recommendations for changes or improvements to this supplement using AF Form 847, *Recommendation for Change of Publication*. Send the completed AF Form 847 to the Command and Control Branch (HQ AETC/A3OC), 1 F Street, Suite 2, Joint Base San Antonio-Randolph, TX 78150-4325. Waiver authority is HQ AETC/A3OC. Notify HQ AETC/A3OC of omissions or conflicts with other publications. See Attachment 1 for a glossary of references and supporting information used in this publication.

SUMMARY OF CHANGES

This supplement has been substantially revised and must be completely reviewed. Major changes include the addition of guidance to establish the requirement to report between the 1st and 13th of the month, and the transition from SORTS Mobile Training Team (MTT) to AETC Advanced Distributed Learning Service (ADLS) Computer Based Training (CBT) AF Readiness Reporting Course (AFRRC). Guidance detailing wing SORTS continuity binders, training documentation, and virtual Staff Assistance Visits (SAVs) for wing Subordinate Reporting Organizations (SRO).

Chapter 1

SORTS GENERAL POLICY

1.1. SORTS

Figure 1.1. (ADDED) Sample Unit SORTS Monitor/Releasing Official Appointment Memorandum



**DEPARTMENT OF THE AIR FORCE
AIR EDUCATION AND TRAINING COMMAND**

MMM 2013

MEMORANDUM FOR AETC

FROM: XX xxx/CC

SUBJECT: Appointment of Program Monitor/Manager/CC- Status of Resources & Training System (SORTS)

1. In accordance with AFI 10-201, SORTS, paragraph 1.10.10.1.3. and/or 1.10.11.1.2. , I appoint the following members as the primary and alternate program managers for SORTS. Additionally, I appoint the following Management Internal Control Toolset (MICT) Checklist Supervisor:

<u>Rank/Name/Office</u>	<u>Initial Training</u>	<u>SIPR E-Mail/DSN/Comm</u>
Pri-SSgt Xxxx Xxxx xx Unit/SORTS Monitor	DDMMYY	xxx.xxxx@us.af.mil xxx-xxxx & xxx-xxx-xxxx

Alt-SSgt Xxxx Xxxx xx Unit/SORTS Monitor	DDMMYY	xxx.xxxx@us.af.mil xxx-xxxx & xxx-xxx-xxxx
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2. In addition, the following personnel are authorized to release monthly SORTS Reports in my absence:

<u>Rank/Name/Office</u>	<u>DDMMYY</u>	<u>SIPR E-Mail/DSN/Comm</u>
Alt-Col Xxxx Xxxx xx Unit/CV	DDMMYY	xxx.xxxx@us.af.mil xxx-xxxx & xxx-xxx-xxxx

Alt-Col Xxxx Xxxx xx Unit/DS	DDMMYY	xxx.xxxx@us.af.mil xxx-xxxx & xxx-xxx-xxxx
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----- TSgt Xxxx Xxxx xx Unit	Checklist Supervisor	xxx.xxxx@us.af.mil xxx-xxxx & xxx-xxx-xxxx
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3. The program managers listed above are responsible for managing this program IAW applicable law, regulations & instructions. Additionally, the program managers will perform frank and honest periodic self-assessments of this program using MICT. The Checklist Supervisor will then validate and sign-off on those self-assessments in MICT. Deficiencies will be identified and corrected at the lowest level possible. *NOTE: The Checklist Supervisor cannot be the Primary or an Alternate Program Manager for this program. The Checklist Supervisor does not have to be in the program manager's rating chain.*

4. The security clearances of the personnel listed above have been verified by the (Unit) Security Manager. Also, the Command Post will be notified when the above individuals are no longer allowed to sign the SORTS Report.

Name: Xxxxx Xxxxxx
(Unit) Security Manager

Date: _____

Signature: _____

5. This letter supersedes all prior appointment letters, same subject.

Xxxxx Xxxxxx, Colonel, USAF
Commander

cc:
Individuals
Wing SORTS Program Manager
HQ AETC (HQ AETC FAM)
Upload copy to MICT checklist

1st Ind, xxx IS/xxx, Appointment of Program Manager –SORTS Program XX DATE 2014

MEMORANDUM FOR 70 ISRW/REPORTS

I acknowledge my appointment as the SORTS Program Monitor/Manager. I will provide a copy of this memorandum to our Squadron Self-Assessment Program (SAP) Manager so that the MICT Administrators can grant me the proper access privileges in MICT. I will conduct a self-assessment of my assigned program within 60 days of my appointment and will perform self-assessments periodically as required by higher headquarters. My Squadron MICT Administrators and/or Group/Wing Program Managers can help me determine which checklists to use. I will use any and all HAF-core and MAJCOM supplementary checklists for my program in MICT. After completing a self-assessment, I will inform the Checklist Supervisor so that he/she can close out the assessment in MICT.

Xxxxx Xxxxxx, TSgt, USAF
Primary Program Monitor Manager

Xxxxx Xxxxxx, TSgt, USAF
Alternate Program Monitor Manager

2nd Ind, XX IS/xxxx, Appointment of Checklist Supervisor XX MMM 2014

MEMORANDUM FOR 70 ISRW/REPORTS

I acknowledge my appointment as checklist Supervisor for the SORTS Program. I am responsible for closing out self-assessments for this program in MICT. I will validate the Program Managers' self-assessment and provide an honest rating of Comply/Comply with Comments/Non-Comply/Not-Applicable.

Xxxxx Xxxxxx, SMSgt, USAF
Checklist Supervisor

1.3. All AETC SORTS reporting units will submit their monthly SORTS reports between the 1st and the 13th day of each month no later than close of business Central Standard Time on the 13th day. If the 13th day falls on a holiday or weekend, submit the report no later than the last duty day prior to the 13th day. (T-2). Reports will be tracked by the unit, the Wing SORTS Managers (herein referred to as the SRO) and the HQ AETC SORTS Manager (CRO) to ensure they are submitted with a date between the 1st and the 13th of each month. (T-2). If a report is submitted after the 13th calendar day of the month, the unit is still required to submit a new monthly report between the 1st and 13th calendar day of the following month. Unit SORTS Monitors (USM) and SRO will create procedures to ensure accurate on time reporting. (T-2). Failure to submit reports within these timelines will be identified as a Failure to Report (FTR) within the monthly AETC/CC's SORTS briefing. (T-2).

1.3.1.1. (Added) Report Changes. Units are required to report changes in the Overall C-level, overall reason code, measured area levels, measured area reason codes, PCTEF, D, E, F, and G reason codes (DEFG), GWD updates, forecast dates, unit location or when directed by the measured unit commander. Units expecting to submit an urgent report should contact their SRO via voice and provide an estimated delivery time. Wing SROs

must establish after-hours recall procedures for all units to use in the event of submitting an urgent report. (T-3).

1.3.1.2. **(Added)** All AETC SORTS reporting measured units, SRO, USM will access easy reads through either Defense Readiness Reporting System (DRRS) or PACAF GSORTS Retrieval Tool (PGRT). (T-3).

1.3.6. **(Added)** In case of a man-made or natural disaster causing a unit degradation or evacuation affecting SORTS data, if the SRO cannot update the database, the SRO will notify the CRO. Immediately upon return from the evacuation, the SRO will have units update SORTS reports, as necessary. (T-2).

1.4.3.1. **(Added)** For proper classification control marking guidance refer to AFI 31-401 Information Security Program Management.

1.10.4.7.1. AETC unit SORTS reports will be submitted between the 1st and the 13th calendar day of each month. (T-2).

1.10.4.18.1. SROs will SAV their units at least annually or when a new USM is assigned and provide a copy of any deficiencies to AETC/A3OC. Virtual SAVs are acceptable. (T-2).

1.10.4.19. **(Added)** AETC/A3OC will post the master SORTS worksheets, waivers, CIFS, templates, etc. on the SIPR AETC Command Post SharePoint http://intelshare.intelink.sgov.gov/sites/aetc_cp/SitePages/Home.aspx for SROs to download. (T-2).

1.10.4.20. **(Added)** Provide AETC SORTS status to the Commander, AETC (AETC/CC) on a monthly basis or upon request.

1.10.10.2.3. SORTS records will be retained for the current and previous month. USM and SRO may maintain electronic records as long as they ensure the records are appropriately backed up. (T-3).

1.10.10.2.6. USM will attend initial SORTS training provided by the SRO before submitting their first SORTS report. Recurring (quarterly) training must be conducted in the quarter the training is required. (T-2). Recurring training can be in the form of emails with training material attached. (The Commander and designated alternates/releasing officials will receive initial and annual training. USM will receive initial and quarterly training). (T-2) SRO and USMs will document all required training either by electronic files or hardcopy, however must be accessible and/or backed up. (T-2).

1.10.10.2.6.1. **(Added)** SRO will create quarterly training and SRO and USM will maintain documentation. (T-3).

1.10.10.2.7. Initial training for measured unit commanders can be conducted by correspondence. SRO and USMs will document and maintain confirmation of the completed training for the length of appointment. (T-2).

1.10.10.2.8. Units should maintain copies of previous months Easy Reads and worksheets until following months information has been submitted into the data base and confirmed for accuracy. SRO and units may choose to keep electronic files.

1.10.10.2.9. SRO will conduct program reviews on their measured units annually. Virtual reviews are acceptable to meet this requirement. (T-2). SRO and units will maintain current and previous reports for all reviews that have been accomplished since the last IG-level inspection. SRO and units that choose to keep electronic files must comply with AFI 90-201 concerning responsibilities during period of deficiencies. (T-2).

1.10.10.2.11. **(Added)** SRO will be proficient in accomplishing SORTS duties. Duties include overall management of the SORTS program, and verifying unit SORTS data complies with SORTS policy and guidance. SRO will not accept unit worksheets with errors. (T-2).

1.10.10.2.12. **(Added)** Procedures will be established to recall a SRO to duty when reports or other critical SORTS correspondence are received and a SRO is not on duty. (T-2).

1.10.10.2.13. **(Added)** Each SORTS reporting unit will maintain a SORTS continuity binder. (T-2). All parts may be kept electronically if accurately maintained, cross reference directions sheets may also still be required and kept electronically as long as backed up and accessible for day to day upkeep of the overall SORTS program.

1.10.10.2.13.1. **(Added)** Minimum classification for SORTS continuity binders will be SECRET. (T-2). At the SRO discretion, units may maintain an UNCLASSIFIED continuity binder, provided that the required classified sections are separately maintained in secure storage and the UNCLASSIFIED continuity binder identifies the exact location of the classified sections. If the unit does not have the capability or authorization to store classified information IAW AFI 31-401 guidance, then the unit may maintain classified sections within the SRO office. All of the contents of the Continuity binders may be kept electronically maintain records in accordance with AFMAN 33-363.

1.10.10.2.13.1.1. **(Added)** Section 1--Appointment letters. Combine Unit CC and designated alternates/releasing officials with USM appointment letter. Any member that attended the legacy SORTS MTT course must maintain certificates (paper/electronic) for each individual identified in the unit's SORTS appointment letter. (T-2). If member is trained by the AFRRRC then unit and SRO will maintain a record of completed course. (T-3). Include SIPR email addresses of each of the member listed on the appt letter. Commander's designated alternates will meet the same requirements identified for the measured unit commander. (T-2). **Figure 1.2**

1.10.10.2.13.1.2. **(Added)** Section 2--DOC Statement (AF Form 723). USMs will maintain a copy of the current signed/dated DOC statement, as well as any Interim Message Changes pertaining to the report and MFR from HAF for Waiver for Annual DOC Statement Review until DOC statements are available in DRRS, then Section 2 will state "DOC Statements available in DRRS." (T-2).

1.10.10.2.13.1.3. **(Added)** Section 3-- SORTS Worksheets/Easy Reads.

USM will maintain all worksheets and easy reads for current and previous SORTS reporting months. (T-2). If stored electronically, units should state the exact location of the stored documents to include the approval email traffic (i.e., http://intelshare.intelink.sgov.gov/sites/aetc_cp/SORTS...). Email traffic will show the complete trail of the email from the USM to the unit CC or Verifying Official to the USM with a courtesy copy to the SRO. (T-2). To keep the approved SORTS worksheets with the approval email traffic the Unit CC will need to forward the email to the USM and SRO using SIPR email.

1.10.10.2.13.1.4. **(Added)** Section 4-- SORTS Reporting Instructions. USMs are responsible for the creation and maintenance of a detailed set of instructions that highlight unit procedures for the completion (to include: information gathering, calculations, and additional documentation requirements) of their unit's SORTS worksheets. Include a copy of the unit's blank SORTS Worksheets.

1.10.10.2.13.1.5. **(Added)** Section 5—Self assessment checklists, MICT inspections. USMs should maintain a copy of the latest AETC SAV report, IG Inspection report and the wing SAV with associated unit after-action reports. USMs should maintain the last wing with associated unit after-actions reports. Not required during AETC/IG Inspection. If any items are kept in MICT a cross reference sheet may be used.

1.10.10.2.13.1.6. **(Added)** Section 6--SORTS Training Documentation. At a minimum SORTS Data Handlers course certificate/AFRRC completed training documentation maintained by the SRO should be maintained for each individual identified in the unit's SORTS appointment letter. SRO training must be documented IAW AFI 10-207.

1.10.10.2.13.1.7. **(Added)** Section 7—Miscellaneous section. May contain any additional information that pertains to the unit's SORTS reporting procedures, but which does not meet the criteria of any previously identified section.

1.10.10.2.13.2. **(Added)** SRO will prepare the wing commander a summary of collected data showing what information has been reported. (T-2). AETC/A3OC will prepare a MAJCOM summary of unit data showing what information has been reported. (T-2). Information for creation and clarification of this summary will be requested from the units. (T-2).

1.10.11.1.2. Contractor personnel may be appointed USM and prepare the unit's SORTS report provided they are U.S. citizens completely trained and listed on the SORTS appt letter. Contractor personnel will not be appointed as a releasing official. (T-2). The unit commander or designated alternate government person must be completely trained and listed on the SORTS appt letter in order to release the report. (T-2).

1.10.11.1.6. Units contact the applicable FAM to resolve SORTS DOC Statement discrepancies and recommend changes through the Wing SRO. Keep the SROs

involved with all issues. The SRO is the Wings' experts and should be the first point of contact for unit SORTS questions.

1.10.11.2.1. All USM will be proficient in accomplishing SORTS duties. (T-3) Duties include verifying unit SORTS data complies with SORTS policy and guidance.

2.10.2. Pair each remark to the data fields it explains. For example, a unit has an issue in Supplies On-Hand, sub-category ESSA8. Add a remark in ESSA 8 field, ESRES field, and Over-all field remarks.

2.10.2.1. Provide a realistic forecast date for each shortfall or problem in each remark, if applicable. Forecast Dates are for the next improved or lower C-level. For example, if the unit is a level four or level three in any measured area, provide a date to a level three or a level four, as applicable. Forecast dates are for levels three and four. Get Well Dates (GWD) are for levels two and one, and are required.

2.10.3. Each remark has a unique, specific purpose and will have two parts. The first part of the remark will consist of a summary explaining the unit's shortfalls and their impact on the unit's mission(s). (T-2). In the second part of the remark, units will list their deficiencies and provide what unit and HHQ actions are needed to resolve the shortfalls and what actions have already been accomplished. (T-2). Additionally, units must report the forecast dates and GWDs for all shortfalls to be resolved. (T-2). Abbreviations and acronyms will not be used in a remark unless they have also been defined within that remark.

2.10.5.1. The ESRES remark must list all equipment shortages and the impacts of these shortages. (T-2). Provide a full accounting of the equipment shortfalls, including the authorized numbers and the numbers not possessed. Discuss specific actions being taken to resolve the shortfalls and state if HHQ assistance is required. Requests for assistance must include specifics; (e.g. dollar amounts). (T-0).

2.10.5.1.4. **(Added)** Format for the ESSA remarks: **EQUIP TYPE/NUMBER REQUIRED/ON-HAND/PCT/EQUIPMENT AND SUPPLIES ON HAND REASON CODE/CORRECTIVE ACTION/GWD**. Example: STAPLERS/10/5/50/S66/UNIT HAS FUNDED AND ORDERED ITEMS. AWAITING ARRIVAL/GWD IS 30JUN14.

2.10.6. The ERRES remark must provide a summary of the unit's maintenance issues and the impacts of those shortfalls on the unit's mission(s). (T-2). Provide a full accounting of equipment maintenance issues including possessed numbers, maintenance issues, expected mission ready dates, part numbers, and nomenclature, as applicable. Discuss specific actions being taken to resolve the shortfalls and state if HHQ assistance is required. Requests for assistance must include specifics; (e.g. dollar amounts, GWD). (T-0).

2.10.6.1. **(Added)** Format for ERSA remarks: **EQUIP TYPE/NUMBER POSSESSED/NUMBER OPERATIONAL/PERCENTAGE/EQUIPMENT CONDITION REASON CODE/CORRECTIVE ACTIONS/ GWD**. Example: STAPLERS/10/5/50/R66/UNIT IS AWAITING PARTS, ITEMS ON ORDER, DUE-IN (date)/GWD IS 30AUG14.

2.10.7.1. The TRRES remark must provide a summary of the unit's training issues and the impacts of those shortfalls on the unit's mission(s). (T-2). Provide a full accounting of the training issues including training class schedules, etc. Discuss specific actions

being taken to resolve the training shortfalls and state if HHQ assistance is required. Requests for assistance must include specifics, (e.g. dollar amounts, GWD). (T-0).

2.10.7.4. (Added) Format for TRSA remarks: **TRAINING TYPE/PERSONNEL REQUIRED TO BE TRAINED/PERSONNEL TRAINED/PERCENTAGE/TRAINING REASON CODE/CORRECTIVE ACTIONS/GWD**. Example: BASKET WEAVING/10/5/50/T15/UNIT IS AWAITING UNIT FUNDING TO SCHEDULE PERSONNEL/GWD IS 30AUG14.

2.10.8.6. (Added) Format for partial unit deployment code remark: **PARTIAL UNIT DEPLOYMENT REASON CODE (D, E, F, G)/XX (NUMBER OF PERSONNEL DEPLOYED) DEPLOYED TO (BASE X) FOR (OPERATION). GWD (DDMMYY). ESTIMATED RETURN DATE IS (DDMMYY)**. Example: PARTIAL UNIT DEPLOYMENT REASON CODE E/10 PERSONNEL DEPLOYED TO DISNEY WORLD FOR OPERATION MICKEY MOUSE. GWD ESTIMATED TO BE 30AUG14. ESTIMATED RETURN DATE IS 30AUG14. (T-1).

3.1.1.5. Foreign nationals are not included in AETC unit UMDs and therefore, will not be counted in the units' SORTS reports.

STEPHEN J. LINSENMEYER, JR., Brigadier
General, USAF
Director of Intelligence, Operations, and Nuclear
Integration

Attachment 1**GLOSSARY OF REFERECES AND SUPPORTING INFORMATION*****References***

(Added) AFI 31-401, *Information Security Program Management*, 1 Nov 2005
AFI 33-360, *Publications and Forms Management*, 25 Sep 2013

Abbreviations and Acronyms

ADLS—advanced distributed learning service

AFRRC—AF Readiness Reporting Course

CBT—computer-based training

MTT—mobile training team

POC—point of contact

SAV—staff assistance visit

USM—unit SORTS monitor

SORTS MTT—SORTS Data Handlers

CRO—HQ AETC SORTS Manager