

Stewardship and Risk Management

Lesson Objective: Understand the duties and responsibilities associated with being a trusted steward for CAP assets, including the importance of Risk Management.

Desired Learning Outcomes (DLO):

1. Understand the responsibility of good stewardship with CAP's most valuable assets: people.
2. Explain the responsibility of good stewardship with CAP's other assets: money and equipment.
3. Describe the accountability processes associated with good stewardship in CAP.
4. Understand the CAP National Commander's policy on Risk Management and its importance in the CAP Safety Program.

Scheduled Lesson Time: 60 minutes

Introduction

There are several definitions of stewardship. In CAP, stewardship refers to the trust that is placed in the organization, units, and individuals to protect and properly use the assets that are entrusted to our care, and which we are allowed to use to meet the missions assigned to us. The Civil Air Patrol is a part of the Total Force when we perform Air Force-assigned missions: because we are funded by the taxpayers, we are accountable to them. We are also accountable to our subordinates. They put their trust in us to not only accomplish the missions, but to get them home unharmed. Both as commanders and as friends, it is imperative that we watch out for their safety by understanding and emphasizing the National Commander's Policy on Safety Risk Management (see Policy Letter at end of this course reading).

1. Stewardship over CAP's most important assets: people.

Respect

People want to be treated with respect. Every person deserves to be treated with respect. Respect is a two-way interaction. As a commander, you are held to a higher level of responsibility. If you start by showing respect, you will have begun the process of earning the respect of others. Conversely, if you are on a "power-trip," there will be no respect coming your way. True humility can play a large part in how your respect of others is perceived.

Starting with the non-discrimination policy that is put out every year, you are required to put one out as well. The easiest thing to do is forward the national policy via e-mail to every member of the squadron and to read the policy at the first meeting of the year. If you only do that and put the policy on the shelf for the rest of the year, your actions may show a lack of respect - in spite that you met the "letter of the law." Making it known by your actions, as well as your words, that all people are respected in CAP, and that opportunities are available for everyone in your unit will show you are living the core value of respect.

Respect is the foundation of stewardship. That will help you keep your people interested in

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working with you and your unit. Respect is also shown by the care you give to their opinions, professional development, training opportunities, promotions, and especially to their personal safety.

A basic component of respect is caring for and protecting your fellow members. The key to that is Risk Management (RM). As a unit commander, it is your responsibility to talk about and utilize risk management in all your squadron activities. Ensure you appoint a strong, dedicated senior member as your Safety Officer. As the National Commander has emphasized in his RM policy letter, your safety officer is a key member of your command staff and is to be involved in all squadron activities and their planning.

Appoint a cadet safety officer and ensure cadets know they play an important part in the safety program. Make sure every senior member considers themselves a “safety officer” by encouraging every senior member to earn the technician rating in the safety specialty track.

Impressions are lasting

When you, on behalf of CAP (real or perceived), interact with people who are not members of your squadron, you are giving them an impression of the entire organization, not just your squadron or yourself. Make it a good impression: you only have one chance to make that first impression. These people may be interested in becoming members themselves or perhaps they have family or friends who might be a good fit. You are a walking, talking advertisement for your squadron and CAP. These people may be willing, wanting, and able to help you accomplish your goals in the squadron in many ways: they could be thinking about donating equipment, money, hangar or classroom space, their expertise as subject matter experts, or any number of things that could benefit you and your squadron. As a commander, you gave up the right to take off that CAP advertising billboard that is on your back. In “the old days” it might have been called, “good manners,” or simply being polite. Humility will help you in many ways. In the end, helping others is its own reward, but it sure is nice having extra benefits for your squadron.

One bit of advice that has served many people well is: After you have said, “please,” ensure you say “thank you.” The adage of catching more flies with honey than vinegar points out being nice when asking, but it fails in the follow-up category. If you need something, asking nicely helps. Giving valid reasons for your request will help even more. Giving reasons that are focused on the organization, as a whole, rather than only on your squadron will go a lot further with your group or wing commander. “We need this training or gizmo, and it’s our turn because that other squadron always has it” sounds like a petulant child. “With this training or gizmo, we can meet the standards for ____ and then we will have ____ people ready to respond to an incident in this way” sounds like you are offering a solution to a problem your boss has been trying to fix. With limited resources, you may need to have a resource (van, plane, etc) rotate among two or three squadrons. If you can offer justification for why you should be included in the rotation, you are more likely to get what you need - at least part time.

If your squadron meets in a location and the owner doesn’t charge you for rent or utilities, you may want to offer to clean up the place (wash the windows, mop the floor, etc), or bring in some pizza/donuts on occasion. Be sure to include the people who are taken for granted and can feel invisible: the janitors, the secretaries, etc. If you can put any of your benefactors in for an award (e.g. Brewer award in Aerospace Education for a school or FBO), give them an award that your

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squadron creates (an "Above-and-Beyond" or "Extra-Miler" type of certificate), or have them mentioned in any news article/story that gets into the newspaper or put on TV, it shows them that you appreciate them. These simple things mean a lot to people and shows them they aren't taken for granted. If it brings them more business, you are automatically held in higher esteem. Naturally, if you damage or break anything of theirs, immediately notify them, take responsibility for it, and offer to pay for the repair or replacement. This shows them that you respect them and their property. It removes any suspicion of deceit and builds their trust in you. Remember, "their house, their rules." Leave things the way they want them!

Stewardship over cadets: a special trust

Another category of people you need to be a good steward for is your cadets. When you are privileged to have a new cadet join your squadron, the trust that is given to you is immense. The cadet and parents are all saying they are entrusting a big part of the future of their family to your care. They are also trusting that you will not let their money be wasted needlessly.

HELPING CADETS FIT IN: THE CAP UNIFORM

One way you can do this is with uniforms. The Curry Blues Program is relatively new, but in this program, once a cadet passes the Curry (first) Achievement, s/he will get an email with a voucher code from Vanguard. They have 45 days to spend the \$100 voucher at Vanguard (it is a use or lose voucher). Their parents are responsible for anything over the \$100. A few days later the order will arrive in the mail. Hint: Tell the parent the voucher is coming so when the cadet gets the email it won't accidentally get deleted. While parents are much better at knowing their cadets' correct size, you should guide them to the sizing charts located on the Vanguard website. NOTE: You can wear boots with utility and blues uniforms but you can't wear low quarters with utility uniforms. There are things you can only get at Vanguard, but you can get shoes locally. Those bought locally are likely to fit better since they were tried on before purchase. Don't forget, kids outgrow clothing very fast. Having the parents order the uniform one size too big will allow the cadet to get a little more use out of it. If you match the Curry Blues Program with locally issued field uniforms, you will have an outfitted and committed cadet in a short time. Many units have an insignia swap program. This works well with various uniform accessories. If you can get cadets and their parents to turn in uniforms their cadet has out grown, it can make a big difference. (Seniors can do it, too.)

Another good source of uniforms is DRMO. Your group/wing LG can help you with that, but you should have a wish list ready. Send it in a couple of times a year even if they don't ask.

Former members are also a good source of uniform items for many reasons. Recovered uniforms tend to have most of the insignia. Donated and returned items mean you don't have to pay to replace them. They become available to other members, which is good for morale and retention. On the bigger scale, it is a matter of public trust. Our uniforms look a lot like AF uniforms so you are contributing to base and national security.

An often-overlooked resource is other squadrons. Resources can be scarce so we tend to hoard. There are squadrons that have 50 female enlisted flight caps and never have more than 3 female cadets at a time. They have a 20-year supply of caps they "might need some day." Share the ones you don't need. I have 20 canteens and you have 20 canteen covers. Neither can be used without the other. Swap 10 covers for 10 canteens. Think bigger! Cooperate!

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You can make the swap at events like commander's call, encampment, or SAREX: you are going to be there anyway. Ask your LG how to make it work.

If all these methods don't get you what you want, you can always buy the equipment and materials. You can fund raise through dues or getting your members and their families to donate.

As you can see, many times taking care of your people goes hand in hand with being a good steward of other resources. This leads to the next topic.

2. Stewardship over CAP's assets: money and equipment.

Money, Money, Money

Having your finance committee propose a budget is good. Having them ensure it still meets your needs as the year progresses is even better. Here is where your oversight may prove to be the most beneficial thing you can do for the squadron.

One thing the committee can do for you is to have internal reviews. They should be looking at things like:

- Do the receipts match the reimbursement request?
- Do the requests have more than one signature?
- Did the person receiving the reimbursement authorize the reimbursement?
- Are all the deposits recorded in our account?
- Are we on budget?
- Have we done the internal review?
- What percentage of transactions did you look at?
 - What did you find?
- What is our projected income?
- What major financial transactions can we expect in the next quarter?
 - How are we prepared for them?

Let's review the spending requests.

- Were they budgeted for?
- Where is the money coming from?

Equipment

CAP equipment is entrusted to us from the taxpayers with specific purposes in mind. Some of the most expensive equipment is intended for use in emergency situations. If money is spent wastefully or if equipment is unavailable due to being lost or broken, the missions we would normally use it for may go unmet. This has the potential to cause excessive/needless loss of life or property: it does result in loss of credibility for the squadron, group, and wing-perhaps up

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to region level, or possibly even the entire organization will suffer a loss of credibility.

While discussing equipment globally, it's important to remember that the logistics function and equipment also encompasses:

- Vehicles/transportation
- Aircraft
- Communications gear
- Real property

So, it's important that any tangible item that CAP possesses is treated with the same care and respect.

DAMAGE

Damage to equipment may cause degradation of that equipment's performance, remove that equipment from use for an extended period of time, or may cause that piece of equipment to need to be replaced. Money is not freely available and when it finally becomes available, the purchase of replacement equipment is frequently a lengthy process. During this entire time, training, our effectiveness in providing emergency services, and our public image all suffer. The damage to these things does not get repaired immediately after the item is replaced. Training takes time to coordinate and complete. The state emergency management system may no longer trust us to deliver on our promises. If the member was held liable for damages to the equipment, s/he may not only have a pinch in the wallet, s/he may not want to remain in CAP anymore. We end up losing more than equipment: we also lost a trained member and friend.

The leading causes of degraded equipment are mishaps; damage that is often caused by improper usage or simply failing to use sound risk management principles. Improper use of equipment is also one of the leading causes of personal injury for our CAP members. No CAP member should use a piece of equipment without asking themselves, "Do I know how to use this?" "Am I using it for its intended purpose?" "What can go wrong and what am I doing to prevent that." This simple risk management tool will preserve our equipment and protect our members. As commander, this must be a constant point of emphasis.

Equipment isn't damaged only by getting banged around. Preventive maintenance that is delayed or ignored can have deleterious effects as well. Monthly checks on the vehicles, proper oil changes for both planes and automobiles, etc. all go a long way toward maximizing the life of our equipment. As the commander, it is your responsibility to ensure that preventive maintenance is done properly and in a timely manner.

PROPER UTILIZATION

Proper utilization of the resources you have not only ensures the best training for your members and availability of the equipment, it helps everyone to feel valued and a part of the team. If you only give your friends the radios (real or perceived assignment of the equipment), members will notice and not give their best effort. If you have training currency, frequency of use, active duty

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position, and personal availability for real mission requirement for the equipment you assign, ensure that everyone who meets those requirements is in the lineup to share the equipment. (This is the same process as when you are asking group or wing for an asset to be assigned to your squadron.)

3. Accountability processes associated with good stewardship in CAP.

Because we are accountable to the taxpayers and our subordinates, we need to show them that their trust is well-placed. One easy way to do that is to meet suspense dates for awards, usage reports, inspections, safety briefs, and in the event of a mishap, filing timely reports.

Common and Recurring Suspense Dates

Common and recurring suspense dates you should keep in mind include, but are not limited to (list accurately timed as of November 2016 - regulations may change required times):

Annually:

- Brief the Nondiscrimination Policy

Monthly

- Safety education
- Vehicle usage reports due in ORMS (by the 10th)
- Aircraft use reports due (by the 10th)
- Reconcile Wing Banker account

Quarterly

- Review budget and note it in Finance Committee Meeting minutes
- Finance Committee meets
- Review all Wing Banker reconciliations

1 January	New calendar year files start, CAPF172 completed
10 January	Chaplain Corps Statistical Report due
15 January	AFA Outstanding CAP Cadet, AFSA NCO of the Year, of the year nominations due
31 January	Annual Safety Surveys due
15 February	NCSA applications must be approved by the unit
31 March	Annual Safety Day must be completed before this date
15 April	VFW Cadet NCO/Cadet Officer awards due
15 May	Balsam Award nominations due
10 July	Chaplain Corps Statistical report due
1 September	CAC assigned in eServices
30 September	Review/approval of domain names
1 October	New fiscal year files begin, annual budgets due
15 October	AE Plan of Action and Activity Report due to wing, Winter NCSA applications due
30 October	DDR End of Year reports due
1 November	Execute CAPF 171
15 November	AFA AE Cadet of the Year nomination due

31 December Annual inventory due, CAP Scholarship applications due

4. Risk management and the CAP Safety Program

The unit commander is responsible for ensuring a strong safety program is in place, that meets the requirements of CAPR 160-1 and emphasizes the National Commander's focus on risk management. The commander must appoint someone else as the unit safety officer, and that officer is given direct access to the commander during the planning and conduct of ALL squadron activities. The Safety Officer will run the program, but it is the commander's attention and emphasis that will make the program succeed.

Some items that are required to be in the safety program are:

- formally appoint a safety officer in eServices,
- for each CAP activity the activity director/commander will ensure risk management is conducted in the planning, execution, and after-action assessment,
- ensure risk management is using in all decision-making processes,
- ensure safety assurance is accomplished,
- support safety promotion and recognition,
- seek to instill a culture of safety that guides the use of risk management in the planning and execution of every CAP activity, taking immediate action regarding any CAP member who places a fellow member or CAP asset at unnecessary risk in accordance with appropriate CAP regulations,

As a commander, you set the example when it comes to risk management. The way you practice risk management serves as an example, good or bad, of what you expect from your members. As they say, this is where you need to talk the talk, and walk the walk of risk management. Let your members hear you asking about the hazards they face, what risks are present, and what they are doing to lessen or mitigate those risks. Before senior members begin to plan, let them know you need to hear how they are applying risk management. Before every cadet activity or sub-activity (like running the mile, practicing drill, or building model rockets) take the time to lead the cadets through a quick analysis of the hazards, how to lessen the risks, and how to concentrate on completing that activity "...without getting hurt."

No matter how good your safety program is, it is impossible to remove all risk. Injuries are still possible and they will occasionally occur. Mishap prevention requires constant emphasis. The monthly safety briefing, required by regulation, is a great place to start. Topics should be fresh, current, engaging and tailored to your individual unit. Encourage participation by having different senior members or cadets lead the discussion. Every briefing should include a risk management lesson. Make sure everyone attends (no free passes because someone has something "more important" to do)!

MISHAP REPORTING IN SIRS

A "Mishap" is defined as any unplanned or undesired, operational occurrence, or series of occurrences, that results in, or has the potential to result in, death, injury, or damage to equipment or property." Report them all! In the event of a mishap, you need to file a report immediately.

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Max 50000 characters

[Submit & Continue Data Entry](#) [Send Mishap Notification](#)

Don't forget to get this done! → **Note: Step 2 is due within 48 hours of initial notification

The first thing is to protect life and property. Follow your wing's guidance for internal reporting, then start the mishap report in eServices. Any member can do this; have your safety officer guide the process and teach a new member each time there is a mishap.

Safety Information and Reporting System (SIRS) eServices | Sign Out | Maj Dianna E. Ryan

**CIVIL AIR PATROL
SAFETY**

SAFETY INFORMATION AND REPORTING SYSTEM (SIRS)

Welcome to your redesigned eService Safety homepage. Previously the "SMS," this site is now called the Safety Information and Reporting System (SIRS). This name is a better fit for what we're trying to provide- a one-stop shop for all your safety information, reporting, and education needs. This is a work-in-progress so please make suggestions. What would you like to see? What would you like us to add?

[Contact Us](#)

Safety Metrics For: **SWR-OK-115 - COMANCHE-EAGLES COMPOSITE BODN** Be sure it's your unit

Safety Education Participation

November 2016	October 2016	September 2016	August 2016	July 2016	June 2016
0 / 31 (0%)	13 / 32 (40.62%)	6 / 32 (18.75%)	13 / 30 (43.33%)	15 / 29 (51.72%)	11 / 28 (39.29%)
May 2016	April 2016	March 2016	February 2016	January 2016	December 2015
18 / 27 (66.67%)	14 / 32 (43.75%)	14 / 29 (48.28%)	11 / 37 (29.73%)	15 / 33 (45.45%)	12 / 32 (37.5%)

**MISHAP
MANAGEMENT**

- File New Mishap
- Update New Mishap
- Manage Mishap Reports
- Statement Entry
- Mishap Worksheet

**SAFETY
EDUCATION**

- Education Validation
- Log Safety Education
- Online Education
- FAA Courses
- AOPA Courses
- Aircraft Ground Handling

MEDIA & RESOURCES

- Safety Beacon ****NEW****
- Beacon Archives
- Regulation (R62-1)
- Regulation (R62-2)
- Tutorials
- Mishap Entry Practice

<https://www.captng.gov/CAPSafety/MMS/UnitModules/MEM/Entry2.aspx?FID=STED1>

After going to SIRS, ensure it is set for your unit and click the File New Mishap link.

Chose the mishap type, fill in the blanks following the directions.

Remember, Part 1 and Part 2 of the Initial Mishap Report need to be completed within 48 hours.

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For more information on filing mishaps, go to the safety portion of the LMS for tutorials. Better yet, put your Safety Officer in charge of teaching your other members.

Lesson Summary and Closure

Most of CAP's assets reside in the squadrons. That means that individual units, their logistics personnel and their commanders have a big impact on public trust locally; every time you put on your CAP uniform, your friends and neighbors will be forming an impression of the Civil Air Patrol.

Protecting your members and equipment is only one part of the long list of duties you have as a commander. There is a lot of responsibility that goes along with being a commander, but it does not mean that you must fill in every form or give every briefing. It does mean that you need to lead your staff and periodically check to make sure things are done right.

As a commander, you have a responsibility to be a good steward of CAP's resources, including money, objects and people, and you have the responsibility to teach your members to do the same. You will be held accountable.

As a commander, you have the responsibility to keep your members safe through your emphasis on the use of risk management and you have the responsibility to ensure each of them knows how to use risk management to keep themselves safe.

You were chosen for the job of squadron commander because the wing commander believes you can do the job, but you don't have to do that job by yourself. Build a team, create a bond, form a family, and make sure every one of your members knows you not only value their service, but will give them the tools to succeed.

Small things add up to big things. Whether it is noticing others and thanking them for their service, giving rewards for safety innovations, putting someone in for an award for all they did for your unit, or including them in your press releases, can lead to good will and more

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cooperation/benefits for your squadron.

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NATIONAL HEADQUARTERS
CIVIL AIR PATROL
UNITED STATES AIR FORCE AUXILIARY
30 SOUTH ANGELL STREET
MAXWELL AIR FORCE BASE, ALABAMA 36112-5332

24 March 2016

MEMORANDUM FOR ALL CIVIL AIR PATROL MEMBERS

FROM: CAP/CC and CAP-USAF/CC

SUBJECT: Safety Risk Management

As the Civil Air Patrol celebrates its 75th year of service we are justifiably proud of CAP's many accomplishments. CAP and CAP-USAF are cooperative partners in all we do and as Commanders we want to publicly and profoundly remind you all of the importance of Safety and Risk Management in all of our missions and activities. For the first time in our history Safety became a part of our CAP Strategic Plan in FY16; an indication of our joint commitment to Safety Risk Management. We ask that all CAP members and CAP-USAF personnel join in this commitment.

First and foremost we must focus on the application of sound Risk Management principles in every aspect of mission planning and decision making throughout CAP. Following the lead of the Air Force, and the standards of the aviation industry, CAP Safety Officers at every level of our organization are to be considered "key personnel" and involved in all planning processes. We insist that Safety Risk be considered on equal footing with all other corporate risk factors.

The National Staff, in cooperation with CAP-USAF, is already active in incorporating Safety Risk Management in the planning phases as well as in the daily pursuit of our missions and activities. Plans change, conditions change, hazards change, and risks change. Everyday Risk Management means active awareness and management of those changes.

Cadet Programs is working closely with our Safety staffs to ensure NCSAs, encampments, and all cadet activities are planned with safety risk management in mind. There must also be a continuous assessment of hazards and risk mitigations as activities transpire. Every cadet and cadet leader must share an awareness and a commitment to complete their activities, "...without getting hurt."

In Emergency Services we continue the task of examining every program and mission to ensure risk management is present at every step. Missions, equipment, and processes are all being scrutinized to ensure we mitigate all risks to an acceptable level. On rare occasions our complex missions demand increased risk; those risks must be carefully considered at the proper decision making level.

In our flying missions you will see increased emphasis on flight release officers and aircrews working together closely and continuously to ensure they are aware of and dealing with mission hazards. Change is constant in the dynamic environment of CAP's flying missions. FROs and aircrews must be engaged in active conversation about every identified risk and how to mitigate it, and this engagement must continue through mission completion. Translation? Semper Vigilans.

Safety Risk Management is a commander's emphasis item for both the CAP National Commander and CAP USAF/CC. Our commitment is strong and we thank you for sharing that commitment. We welcome you to the process and we seek your suggestions. Contact our CAP Chief of Safety, Mr. George Vogt, with comments or questions. safety@capnhq.gov

A handwritten signature in black ink, appearing to read "Joe Vazquez".

JOSEPH R. VAZQUEZ, Maj Gen, CAP
National Commander

A handwritten signature in black ink, appearing to read "Michael D. Tyynismaa".

MICHAEL D. TYYNISMAA, Col. USAF
Commander