

TRAINER GUIDANCE

Line Item 1.12 *Compliance/evaluation fundamentals*

Prerequisites:	<p>A. Trainee has no prerequisites.</p> <p>B. Trainer will establish a timeline for completing the required training with the trainee.</p>
Training References:	<p>A. AFI 24-605, Vol 5, Air Transportation Standardization and Resources</p> <p>B. AFI 20-112, Logistics Readiness Quality Assurance Program</p> <p>C. AFI 24-605, Vol 4, Air Transportation Reserve Component</p> <p>D. CFETP 2T2X1, Air Transportation Specialty</p>
Additional Supporting References:	N/A
Training Support Material:	N/A
Specific Techniques:	N/A
Criterion Objective:	<p>A. Upon completion of training, the trainee will:</p> <ol style="list-style-type: none"> 1. Know the different programs used to evaluate compliance within the various unit types across the Air Transportation career field. 2. Know the basic facts, terms, and general principles about the Air Transportation Standardization Evaluation Program (ATSEP). 3. Know the basic facts, terms, and general principles about the Logistics Readiness Quality Assurance Program. 4. Know the basic facts, terms, and general principles about the Aerial Port Quality Assurance Program. <p>B. Trainee will:</p> <ol style="list-style-type: none"> 1. Review the training objectives. 2. Review the training references. <p>C. Trainer will:</p> <ol style="list-style-type: none"> 1. Review the training objectives. 2. Review the training references. 3. Conduct the training using the attached lesson plan. 4. Perform remedial training if necessary. 5. Comply with the duties outlined in AFI 24-605, Vol 2, Air Transportation Operations. 6. Complete the AMC TTG (EOS CRS Feedback) https://www.usafecsurvey.com/sc/251137455E5A907801
NOTES to Trainer:	This training guide is knowledge based.

TASK STEPS

Line Item 1.12 Compliance/evaluation fundamentals

Learning Objective 1 *Upon completion of training, the trainee will know the different programs used to evaluate compliance within the various unit types across the Air Transportation career field:*

A. Air Transportation Standardization Evaluation Program (ATSEP)

1. ATSEP is Air Mobility Commands air transportation compliance program executed by commanders at aerial port and air mobility squadron level. This program provides commanders and AMC/A4T with assessments of a unit's ability to perform core air transportation and traffic management procedures ensuring standardized, repeatable, and technically compliant process execution.
2. Applies to AMC active duty, civilian equivalent, reserve and guard personnel activated under Title 10 performing air transportation or traffic management functions while assigned to an AMC aerial port squadron (APS), air mobility squadron (AMS), contingency response group (CRG) or to an expeditionary location with similar structure.

B. Logistics Readiness Quality Assurance Program

1. The purpose of the Logistics Readiness Quality Assurance program is to provide the unit commander/civilian director and senior leadership with an assessment of the unit's ability to perform key logistics processes by ensuring standardized, repeatable, technically compliant process execution, while promoting a culture of professional excellence and personal responsibility. The program's primary focus is on personnel proficiency and adherence to established policy and procedures.
2. Applies to all Air Force Uniformed personnel (Regular, Air Force Reserve (AFR) and Air National Guard (ANG)) and civilian personnel assigned to a Logistics Readiness Squadron.

C. Aerial Port Quality Assurance Program (APS QA)

1. APS QA is the Air Force Reserves' (AFR) air transportation compliance program, executed by commanders at the squadron level. Assessments are the official avenue to ensure the effectiveness of training, readiness of unit personnel, areas for improvement and a standardized training program. They provide leadership with information about the health and effectiveness of the unit. Accurate assessments of personnel proficiency are critical to identifying unit effectiveness. This program is intended to enhance training and communication within the aerial port community.
2. Applies to Air Force Uniformed personnel and civilian personnel assigned to an Air Force Reserve (AFR) Aerial Port Squadron.

Learning Objective 2 *Upon completion of training, the trainee will know the basic facts, terms, and general principles about the Air Transportation Standardization Evaluation Program (ATSEP):*

A. Purpose. ATSEP provides tools to:

1. Validate compliance with established operational and training directives.
2. Develop trend data by identifying deficiencies in core transportation functions.
3. Oversee root cause determination and ensure corrective action plan (CAP) for all command process evaluation list (CPEL) items graded as non-compliant, including trends, are in place.
4. Ensure PA is completed as required.

B. Roles and Responsibilities

1. AMC/A4T will:

- a). Establish guidance and training for administration and execution of ATSEP.
- b). Review deficiencies for trends and establish quarterly air transportation interest item(s) (ATII). ATII's require a focused evaluation and will be documented in Logistics Evaluation Assurance Program (LEAP).
- c). Manage the AMC/A4T ATSEP SharePoint® website.
- d). Determine if an ATSEP workshop is required. Should funding not be available for a physical presence of program participants, then a workshop event is not required. Teleconference and/or online meetings can suffice by using Defense Collaboration Service online or other similar e-tools.
- e). Act as LEAP functional administrator for ATSEP.
- f). Provide monthly ATSEP metrics for unit crosstalk when manual procedures are implemented.
- g). Review and brief command leadership on unit evaluation results monthly.
- h). Manage CPEL. CPEL is AMC/A4T managed/directed list of tasks to be evaluated

monthly within each unit. C. Unit Commander will:

1. Establish and assign appointed personnel to an ATSEP section that will report directly to unit commander. For contingency response forces, if determined operationally more effective, ATSEP shall be administered at group level (CRG, Chief of Standardization/Evaluation). ATSEP section will be continually manned and report directly to the squadron commander (or group commander as appropriate within contingency response construct).
2. Maintain overall program responsibility.
3. Designate, in writing, a full-time ATSEP unit program manager (UPM), full-time evaluators, and augmentees as applicable. Templates are available on the AMC/A4T ATSEP SharePoint® website. Appointment letters will be maintained in ATSEP office files. A copy must also be provided to AMC/A4T ATSEP manager.
4. Ensure ATSEP section is staffed with SMEs for all air transportation and applicable traffic management functions in the unit.
5. Limit additional duties for ATSEP personnel.

6. Conduct monthly ATSEP briefing to analyze trends of deficiencies and on-duty mishaps. Attendees will include: ATSEP UPM (or designated representative), work center representatives and other senior leaders and unit personnel as required.
 7. Ensure all deficiencies are addressed and ensure flight leadership develops CAPs for all CPEL line items graded as non-compliant. Note: CPEL line items graded as noncompliant are still required to have minimum number of monthly evaluations completed.
 8. Develop monthly commander focus item(s) (CFI) based on CPEL. CFIs require a focused evaluation and will be documented in LEAP. Commanders should consider areas of noncompliance, trends, high missed items and on-duty mishaps when developing monthly CFI(s).
 9. Ensure an annual ATSEP self-assessment is completed in Management Internal Control Toolset.
 10. Consider ATSEP data when conducting squadron self-assessments in Management Internal Control Toolset.
 11. Determine/validate significant and critical deficiencies based on category descriptions in this volume.
- D. APS/Flight Senior Enlisted Leader/Superintendent will:
1. Recommend to commander most qualified and proficient individuals to serve as ATSEP UPM and evaluator(s).
 2. Review monthly ATSEP data: determine if any processes (i.e., mishaps, close-calls, negative evaluation trends) should be recommended to commander as a CFI.
 3. Attend ATSEP monthly briefings to assess unit performance and actions taken to analyze, correct, and improve aerial port processes.
 4. Ensure all deficiencies are briefed to all sections and flight leadership develops written CAPs to all CPEL line items graded as non-compliant.
 5. Review ATSEP deficiencies to ensure corrective actions and CAPs are valid, accurate, and complete.
- E. Unit Program Manager will:
1. Be an air transportation senior non-commissioned officer or civilian equivalent. Grade exceptions require a waiver from AMC/A4T. Waivers expire one year from approval date or when mission changes. Templates can be found on the AMC/A4T ATSEP SharePoint® website.
 2. Reflect highest standards of military bearing and professionalism; be impartial, objective, and consistent in all evaluations. Possess strong verbal and written communication skills.
 3. Complete ATSEP Formal Training course. Interim training will consist of viewing ATSEP training video located on the AMC/A4T ATSEP SharePoint® website.
 4. Manage unit-level ATSEP.
 - a). Ensure evaluators effectively and accurately identify deficiencies and detect trends of non-compliance.

- b). Review, track, and compile items graded as non-compliant. Present to flight leadership for review, and to commander for validation.
 - c). Review monthly ATSEP data and all on-duty mishap reports to make recommendations for CFIs.
 - d). Ensure monthly CFIs are evaluated as identified by unit commander.
 - e). Track non-compliant CPEL line items until resolved. Re-evaluate previous month's areas of non-compliance to ensure established CAPs are effective.
- 5. Assist leadership in nominating most knowledgeable personnel within the unit to serve as ATSEP evaluators.
 - 6. Ensure required number of evaluations are conducted and evenly spread throughout a 30day period. Evaluation requirements are listed in paragraph 3.11. Ensure evaluations are conducted to cover all shifts and work centers.
 - 7. Review current and previous month's reports to identify trends.
 - 8. Initiate actions when additional attention is required to resolve adverse trends or training discrepancies. Actions include facilitating cross-talk and conducting briefings to unit personnel.
 - 9. Document, review, and submit monthly evaluation results to AMC/A4T no later than the seventh day of each month.
 - 10. Maintain continuity binder or electronic file equivalent. Ensure files consist of but not limited to: appointment letters, previous 12 months CFIs, waivers, and previous 12 months ATSEP reports.
 - 11. Review and validate deficiencies noted during evaluations.
 - 12. Communicate deficiencies to flights/sections within one duty day of discovery for crosstalk and appropriate corrective action.
 - 13. Provide a monthly summary of evaluations to unit commander and brief all validated deficiencies.
 - 14. Ensure ATIIIs are reviewed, and appropriate action(s) taken.
 - 15. Be well-versed on training requirements contained in Chapter 2.
 - 16. Certify training for all ATSEP evaluators and augmentees.
 - 17. Complete ATSEP Formal Training course within 60 calendar days of assignment.
 - 18. Ensure evaluators are proficient on evaluation techniques, LEAP system, and documenting evaluations. ATSEP evaluators must pass a PA within 30 calendar days of appointment and prior to being certified to perform unsupervised evaluations. PAs will be documented in LEAP and individual training records/TBA.
 - 19. Perform LEAP site manager duties for unit.
 - 20. Participate in ATSEP meetings hosted by AMC/A4T. If UPM is unavailable, the highest ranking evaluator will participate.
 - 21. Review and validate all evaluations. Ensure all deficiencies include a clear, detailed, and accurate narrative with a valid reference.

22. If UPM acts for both a squadron and a group, UPM will be liaison to the group for aggregation and reporting of squadron ATSEP results.
23. Perform evaluations as needed.
24. Review CAPs and ensure PAs are conducted. Assist sections with root cause analysis (RCA) as required.
25. With the exception of civilian personnel, ATSEP UPMs will serve for a minimum of one year, but no longer than three years. Commanders will establish a rotation procedures in order to ensure fresh expertise is provided to ATSEP section without disrupting continuity

F. ATSEP evaluators will:

1. Be an air transportation non-commissioned officer with a seven skill level (or civilian equivalent). Traffic management personnel can evaluate applicable traffic management processes. Skill level exceptions require a waiver from AMC/A4T.
2. Reflect the highest standards of military bearing and professionalism; be impartial, objective, and consistent in all evaluations. Possess strong verbal and written communication skills.
3. Complete ATSEP Formal Training course within 60 calendar days of assignment. Interim training will consist of viewing ATSEP training video.
4. Be well versed on training requirements contained in Chapter 2.
5. Provide post-evaluation feedback to personnel.
6. Assist sections with RCA as required.
7. With the exception of civilian personnel, ATSEP evaluators will serve for a minimum of one year, but no longer than three years. Commanders will establish rotation procedures in order to ensure fresh expertise is provided to ATSEP section without disrupting continuity.

G. Guidance and Procedures

1. Program Guidance
 - a). Evaluations are AMC's formal avenue to ensure effectiveness of air transportation processes, identify areas for improvement, and maintain a standardized training program across aerial port functions of the air transportation career field. They provide leadership at all levels with factual information about health and effectiveness of unit training. Accurate assessments of proficiency are critical to identifying unit effectiveness. This program is intended to enhance training, crosstell, and facilitate potential benchmarking.
 - b). Process evaluations are assessments of procedures required to accomplish a unit's mission. Conduct evaluations on processes while unit personnel are performing their daily duties without disruption to the normal work schedule. Focus on efficient and effective completion of tasks and processes within command standards. Safety must be inherent in all processes and an integral part of evaluations. Whenever safety is compromised, leadership will apply risk management principles to prevent mishaps.

This may include risk assessments or job safety analysis in accordance with AFI 91202, The US Air Force Mishap Prevention Program.

2. Mishap Documentation

- a). ATSEP will be used to document all mishap occurring within an aerial port. ATSEP's role is solely to document these findings and will not be involved in any investigation processes. Investigations are responsibility of local safety office and/or flight/squadron leadership. Deficiencies and CAPs are not required for mishaps. Note: All mishaps will be reported through chain of command to applicable safety office in accordance with AFI 91-204, Safety Investigations and Reports.
- b). ATSEP will send AF Form 978, Supervisor Mishap Report, to AMC/A4T ATSEP org box by the 7th of the following month of evaluation cycle. (T-2). Privacy Act information will be omitted from AF Form 978 (i.e., name and social security number) when submitted. Note: AF Form 978s will be routed to applicable safety office within timelines established in AFI 91-204.
- c). ATSEP will also validate accomplishment of PAs required as a result of a mishap.

3. Evaluation Requirements

- a). Minimum number of monthly air transportation CPEL evaluations required is listed below in Table 3.1 Units not performing task(s) on CPEL due to location or operational specific reasons may request a waiver through AMC/A4T. Waivers expire one year from approval date or if nature of the waiver changes.
- b). Types of evaluation waivers:
 - (1) Type 1: Exemption/exception waiver allows squadron commanders to approve exemption/exception waivers for respective units. Squadron commanders can determine evaluation frequency for CPEL line items identified as Type 1 waiverable. This type of waiver applies to units that may not possess certain types of equipment or resources (i.e., MHE) or a particular function that is performed by another entity (i.e., contractor). Units are required to send signed waivers to AMC/A4T ATSEP functional area managers once approved.
 - (2) Type 2: Exception waiver allows AMC/A4T approval to decrease number of monthly evaluations for a particular CPEL line item within a respective unit. Units with this type of waiver will still evaluate waived CPEL line item(s) when opportunity arises, once a month, or quarterly, depending on justification provided. Real-world based evaluations are preferred but may not always be an option for units with Type 2 waivers. Therefore, training scenarios will be used when real world opportunities are not available.
 - (a) Units can request this type of waiver if a significant lack of workload or opportunities for evaluation of a particular line item exists (i.e., JIs only performed once a quarter or minimum available hazardous material for inspection).
 - (b) This waiver is intended to provide flexibility in balancing needs for training opportunities with ensuring compliance and is strictly based on workload or

opportunities for evaluation. It is not associated with manning and will not be approved without proper justification. Note: Whenever possible, units with an approved CPEL requirement waiver will still perform evaluations on waived items and meet their original CPEL requirements (i.e., an increase in monthly workload provides evaluation opportunities).

- (3) All waivers require detailed written justification. (T-2). Wartime tasks identified in unit designed operational capability statements and core tasks identified in CFETP do not qualify for a Type 1 exemption/exception waiver. CPEL line items that are evaluated once a month or quarterly, regardless if item is waived or not, will require a focused evaluation.
- (4) Traffic management processes are exempt from this specific requirement. Units with assigned Traffic management functions will evaluate each Traffic management process on CPEL twice monthly regardless of available personnel.

Table 3.1. Number of Required Evaluations Based on Personnel.

<u>Available Personnel</u>	<u>Monthly CPEL Evaluation Requirements</u>
51-200	2
201-300	3
301-400+	4

H. Evaluation Process

1. All personnel assigned (officers, enlisted, and civilians) to an AMC air transportation unit are subject to ATSEP evaluation to include AFR and/or ANG personnel assigned to and performing duties within a RegAF unit. Evaluations and findings on AFR and ANG personnel are conducted and documented as they are for RegAF. However, ATSEP will not conduct PAs on AFR or ANG personnel. ATSEP members will communicate findings with the reserve liaison.
2. ATSEP evaluations may be conducted in two ways: wing-tip view and focused evaluation.
3. Wing-tip view is used to evaluate multiple tasks within a process at the same time. While this approach does not focus on every step within a task, wing-tip view can detect a need for a focused evaluation.
4. Focused evaluations scrutinize critical steps to an individual task. It is a step-by-step evaluation of a process. Three situations drive focused evaluations:
 - a). While conducting a wing-tip view an indicator is present, or a deficiency is noted that requires a closer look.
 - b). CFIs.
 - c). ATIs.
5. Evaluations will be conducted in a natural working environment as much as possible allowing the process to occur without interruption by ATSEP personnel. Evaluations will accurately assess proficiency of personnel and processes. In the absence of real world

opportunities, training scenarios will be used with intent to provide flexibility in balancing the need for compliance and proficiency. Anyone may stop any process if a safety issue is discovered or further process completion could result in harm to an individual, and/or damage to equipment or aircraft.

6. Evaluations resulting in a deficiency will include a reference, instruction, and/or the required standard that was violated.
7. Evaluations will be conducted as part of a process with emphasis on documenting them as either a Minor, Significant or Critical deficiency. ATSEP will not conduct investigations to look for deficiencies that are not part of an evaluation.
8. Grading is based on total number of evaluations completed for 30 calendar days.

I. Deficiencies

1. A deficiency is a validated evaluation finding that violates established guidance. ATSEP will identify all deficiencies. Each deficiency requires leadership to resolve the issue based on merits of the deficiency rather than severity of the deficiency level. Deficiencies fall into three categories: Minor, Significant, Critical.
 - a). Minor - validated deficiency noted while evaluating a CPEL line item that violates established guidance but has no immediate threat of personal injury, damage to equipment, severe mission degradation, or does not impose excessive unnecessary cost to the enterprise. NOTE: Unnecessary cost to enterprise will include misappropriation and/or mismanagement of funds or misuse of fund cites/transportation account codes.
 - b). Significant - deficiency noted during an evaluation resulting from actions that have a clear and unambiguous indication that continuing/repeating such action has potential to cause personal injury, damage equipment, incur severe mission degradation, or impose excessive unnecessary cost to the enterprise. Additionally, repeated and deliberate violations of guidance noted during same evaluation may be assigned a significant deficiency. Note: Safety violations are not necessarily significant deficiencies; however, if observed safety violation clearly could have resulted in a mishap, it should be annotated as a Significant. A mission delay will not automatically be considered as severe mission degradation unless delay resulted in mission being canceled or re-cut. Examples of a significant deficiency are: failure to utilize chock when inside circle of safety, failure to use spotter when operator's view is obstructed by cargo/baggage and/or sterile area/vault left unsecured, etc.
 - c). Critical - deficiency that resulted in personal injury, damage to equipment or property, severe mission degradation, or imposed excessive unnecessary enterprise cost.
2. Unit commanders will be notified of all Significant and Critical deficiencies within one duty day.
3. Individuals cited with three or more Minor deficiencies within a single evaluation, a Significant or Critical deficiency, are required to undergo a PA on deficient line item task, to include a review of their TBA records or equivalent. PA will be documented in TBA and verified by ATSEP after estimated completion time.

4. CPEL line items that receive a single Significant or Critical deficiency or a total number of Minor deficiencies that is greater than total number of required evaluations on that CPEL line item will be documented as non-compliant.
 5. CPEL line items with a Type 2 waiver or a monthly/quarterly evaluation requirement will be graded as non-compliant when there are three or more deficiencies within an evaluation.
 6. Line items that are graded as non-compliant for two months in a three month period on a rolling calendar will be tracked as trends.
 7. Leadership will brief all applicable deficiencies to their respective flights/sections as it applies to their work center. Any line item found to have a deficiency will not be reevaluated for at least one duty day. Flight/section leaders shall brief all personnel and take corrective actions as required.
 8. Deficiencies will be referenced per paragraph within applicable guidance. Deficiencies with a separate reference on same process would constitute more than one deficiency. Final determination is made by UPM after consulting process owners, leadership, and subject matter experts.
- J. Corrective Action Plan (CAP). In accordance with AFI 90-201, The Air Force Inspection System, a CAP is a deficiency corrective action which at a minimum includes root-cause(s), deficiency cause code(s), countermeasures, responsible section, and estimated completion date.
1. The following situations require a written CAP:
 - a). All Significant and Critical deficiencies. (T-2).
 - b). All line items graded as non-compliant for the month. (T-2).
 - c). Non-compliance trends. (T-2).
 2. Applicable flights/sections must provide a written CAP for all non-compliant line items by stating actions taken/planned to resolve the identified non-compliance, to include an implementation date or estimated closure date. Work center CAPs for non-compliant items will be reviewed by applicable superintendent(s), flight chief(s), operations officer and approved by unit commander before ATSEP suspense date.
 3. An RCA of deficiency shall be conducted anytime a CAP is required. Recommend using the continuous process improvement program to determine primary, and if applicable, contributing root causes. Guidance can be found in AFI 38-401, Continuous Process Improvement (CPI).
- K. Reporting Procedures
1. ATSEP shares all deficiencies with all squadron members. Intent is for unit leaders from other sections to proactively look at same/similar processes, tasks, or operations to ensure compliance across all functions.
 2. Evaluations should be documented in LEAP. When LEAP is not available, AMC units will utilize ATSEP Manual Evaluations Report found on the AMC/A4T ATSEP SharePoint® website. Regardless of documentation method, AMC deficiency data (to include all written CAPs and RCAs) is due to AMC/A4T for review no later than the

seventh day of the following month of evaluation cycle. Failure to provide data due to computer downtimes and/or problems will not be an acceptable reason during unit inspections.

3. Evaluation disputes will be resolved within squadron chain of command, preferably between flight leadership and UPM. Ultimately, squadron commander has sole authority to accept or reject results of an evaluation.
4. Unit ATSEP personnel will brief ATSEP data up their applicable chain of command, (i.e., maintenance group, air mobility operations group, CRG) when required. AMC ATSEP reporting data, as a minimum, will include:
 - a). Overall compliance (evaluations vs. deficiencies).
 - b). Number of evaluations and deficiencies by CPEL breakdown.
 - c). Deficiency breakdown (Minor, Significant, Critical), CAPs and RCAs.
 - d). CFIs/ATIIs/mishaps.
 - e). Non-compliance areas and trends.

L. ATSEP Program Administration/Execution

1. Non-deployed/In-Garrison Locations

- a). Squadron commanders will establish an ATSEP section. Additional duties must be minimized and not take priority over management/evaluation requirements of unit task evaluation. AMC ATSEP sections will establish and maintain an ATSEP organizational email address.
- b). Manning for ATSEP office is based on assigned personnel to include civilians and foreign nationals. A minimum of one military 2T2X1 is required; however, squadron commanders will ensure evaluation/quality assurance (QA) section is sufficiently manned so that all required CPEL line item evaluations are fulfilled.
- c). Commanders of AMC units with 50 or less permanently assigned air transportation personnel (including civilian and foreign nationals) are not required to establish an ATSEP section. Commanders electing to establish an ATSEP must fully comply with this instruction. These AMC units not required to maintain an ATSEP under this instruction are still subject to inspection by wing inspection or MAJCOM Inspector General teams.
- d). Refer to Table 3.2 for recommended manpower authorizations based on 2T2X1 authorized positions.
- e). ATSEP sections should be comprised of a cross-section of aerial port personnel with experience in all work center function, who are highly professional and motivated, and possess strong communication skills. Evaluators should be assigned to ATSEP program manager for evaluation performance report (EPR) purposes.

Table 3.2. ATSEP Manning Requirements.

<u>Assigned 2T2X1</u>	<u>UPM + Evaluators</u>
0-50	(0) 1*
51-149	2
150-199	3
200-249	4
250-299	5
300-349	6
350-399	7
400-449	8
450-499	9
500-549	10
*ATSEP requirement is not required per Air Force Manpower Standard 42P500. If program is established, ATSEP section will be manned as indicated and duties will be assigned to unit trainers/supervisors. (T-2).	

2. Expeditionary Locations

- a). Commanders at expeditionary AMC locations are required to establish an ATSEP.
ATSEP section will establish and maintain an ATSEP organizational email address.
- b). Manning for ATSEP will be taken from available personnel. In deployed environments, ATSEP duties may be a primary or an additional duty.
- c). Provisions of this publication will be utilized as guidance; however, the following requirements may be waived:
 - (1) Grade requirement for UPM based on allocated authorizations.
 - (2) Formal training requirements for UPM and evaluators.
 - (3) Rotation procedures for UPM and evaluators.

Learning Objective 3 *Know the basic facts, terms, and general principles about the Logistics Readiness Quality Assurance Program:*

A. Purpose and Scope.

1. Purpose. The purpose of the Logistics Readiness (LR) Quality Assurance (QA) program is to provide the unit commander/civilian director and senior leadership with an assessment of the unit's ability to perform key logistics processes by ensuring standardized, repeatable, technically compliant process execution, while promoting a culture of professional excellence and personal responsibility. The program's primary focus is on personnel proficiency and adherence to established policy and procedures.
2. Scope. The LR QA program is focused on enabling and strengthening commanders' mission effectiveness and efficiency. To motivate and promote military discipline, improved unit performance, and manage excellence up and down the chain of command at all levels. To identify issues interfering with readiness, economy, efficiency, discipline, effectiveness, compliance, performance, surety and management excellence. Civil

Service Most Efficient Organizations and contracted organizations shall follow the requirements established in their contract's Performance Work Statement (PWS) and the Quality Assurance Surveillance Plan (QASP) for an accepted quality program.

B. Roles and Responsibilities. The Quality Assurance Evaluator (QAE), where applicable, are responsible for coordinating compliance actions for their assigned logistics management function, and will be aligned under individual flights within LRS. The evaluations will be accomplished by qualified subject matter experts from the various Air Force Specialty Codes (AFSC) resident in the LR Activity. Air Force Reserve Command and National Guard units are authorized to tailor the QAE in order to accomplish the quality assurance function and complete mission requirements.

1. Headquarters Air Force Logistics Readiness Division (AF/A4LR & A4LX) will:
 - a). Develop, articulate, and clarify all Air Force LR QA guidance.
 - b). Develop/maintain/approve Key Task List (KTL) and Routine Inspection List (RIL) pertinent to MAJCOM/AFSC unique requirements via Career Field Education and Training Plan (CFETP).
 - c). Ensure MAJCOMs utilize LEAP (Logistics Evaluation Assurance Program) as the automated IT/SharePoint to manage all aspects of the program while serving as the central repository.
 - d). Review effectiveness of the overall LR QA program through metrics pertinent to AFSC unique requirements.
 - e). Provide funding and sustainment for LEAP.
2. MAJCOM/A4R will:
 - a). Manage QA programs within the command.
 - b). Ensure units are executing Key Task List (KTL) and Routine Inspection List (RIL) developed by AF/A4LR/A4LX.
 - c). Recommend program guidance and administrative changes to AF/A4LR/A4LX.
 - d). Ensure units are utilizing LEAP as the repository for the LR enterprise.
 - e). Ensure distribution and posturing for LEAP in collaboration with Program Office and AF/A4LR/A4LX.
3. LR Activities will:
 - a). Establish a LR QA program.
 - (1) Assign a QA Manager.
 - (a) QA Manager will manage the unit-level QA Program.
 - (b) Ensure Quality Evaluator's are trained IAW Chapter 3 of AFI 20-112.
 - (c) Ensure the required number of process evaluations are conducted monthly based on the percentages of personnel assigned to the functional area detailed in Attachment 2 of AFI 20-112 and evaluation results are reported to each respective Commander, Flight Chief, Superintendent, and the Training Manager.

- (d) Track all evaluations rated Fail, Technical Data Violation (TDV), Detected Safety Violation (DSV), or Unsatisfactory Condition Report (UCR) until resolved. Comply with the written response policy defined by the Commander, to avoid overdue or overlooked replies.
 - (e) Provide a summary of evaluations to LR leadership to include all late replies and repeat findings on a monthly basis.
 - b). Review reported findings for appropriate corrective actions.
 - (1) Determine when additional assessments are required in a specific area based upon findings.
 - c). Review and submit unit developed KTL/RIL items to MAJCOM.
 - d). Utilize LEAP as the repository for the AF LR inspections/evaluations.
4. LR QA Program will:
- a). Evaluate the performance of logistics procedures performed within the organization or falling under the responsibility of the commander/director and report results.
 - b). Make recommendations for improving the effectiveness of all logistics processes.
 - c). Provide functional area inspection and evaluation quotas by type (e.g., Personnel Evaluations (PEs), Quality Verification Inspections (QVIs), etc.).
 - d). Incorporate Special Inspections (SI) resulting from cross-tells or determined by Commander driven metrics and designated Special Interest Items. Ensure SIs are reviewed, maintained, and appropriate action(s) taken.
 - e). Employ RIL/KTL items developed by Headquarters Air Force or locally developed to improve effectiveness of logistics processes.
 - f). Utilize the Career Field Education and Training Plan (CFETP), policy and procedural guidance to evaluate and inspect flights.
 - g). Determine when job guides and manuals associated with assessments, evaluations and inspections are current and available. Notify the appropriate organization (HAF, MAJCOM, Wing, and Group) when deficiencies are found.
 - h). Enter observations, inspections, and evaluation reports into LEAP.
 - i). Track all failed assessments, TDV, DSV, or UCR until resolved within LEAP.
 - j). Customer assistant visits as requested by installation customers, as available and approved by LRS/CC, without impacting required inspection schedules.
 - k). Provide a developed Monthly QA Evaluation and Inspection Plan. The plan must show the areas, types, and number of assessments, inspections and evaluations that must be conducted over the course of a quarter. The plan will comprise the following to provide QA clear direction for assessing and measuring compliance:
 - (1) Consult with local legal counsel and ensure compliance with federal, state, and local environmental laws/regulations and AF publications. At overseas locations, ensure compliance with Final Governing Standards (FGS) or the Overseas Environmental Baseline Guidance Document in the absence of the FGS.
 - (2) Consult with the Installation Environmental Protection Committee, Base

Environmental Manager, Base Civil Engineer, Base Bioenvironmental Engineer, Wing Safety, Staff Judge Advocate, Unit Environmental Coordinators and the Environmental Management System Cross-Functional Team semiannually to stay current on local environmental rules, restrictions, and regulations.

5. Contracted Functions. Contracted functions will be evaluated by the Contract Officer Representative IAW the contract's Performance Work Statement using the Quality Assurance Surveillance Plan (QASP).
6. Munitions Activities. Munitions activities assigned to an LRS are responsible to the LRS/CC for quality assurance, will follow the quality assurance program requirements prescribed by AFI 21-200, Munitions and Missile Maintenance Management. Munitions quality assurance reporting will be through the QA leadership to the LRS/CC.

C. Evaluation Requirements and Methodology

1. Program Guidance. The LR QA representative will perform analysis, surveillance, and trend identification of LR processes through personnel evaluations on all duties assigned within their functional area to include personnel and inspections of processes. Commanders must ensure oversight is provided for all LR processes.
2. Personnel Requirements. Personnel assigned QA duties within LR must be impartial, objective, and consistent in all evaluations. Leadership is encouraged to select qualified personnel that are considered subject matter expert.
 - a). Military Quality Evaluators must hold the same Air Force Specialty Code (AFSC) of those being evaluated on technical tasks contained in the applicable CFETP. General evaluations or observations may be conducted by any qualified evaluator.
 - b). Civilian Quality Evaluators must have experience in the functional discipline they are responsible for evaluating. Evaluator duties must be included in the individual's position description and their performance plan.
 - c). Air Reserve Component (ARC) LRs may utilize traditional members not on extended active duty as QAE.
 - d). Those component LR activities (active, guard and reserve), which are collocated are encouraged to integrate LR quality evaluator functions to facilitate diversity and experience while consolidating and streamlining workload. ANG LR/CCs may request to waive the AFSC requirement only in manning shortage situations and after Total Force Integration opportunities have been exhausted.
3. QA Personnel Training Requirements.
 - a). All QA personnel must be trained to perform quality evaluator functions. Training must cover evaluator responsibilities, inspection and evaluation techniques, metrics analysis, inspection worksheet documentation, report writing, problem-solving, publications management, and actions to prevent personnel injury or equipment damage. Personnel assigned to QA must complete the following mandatory requirements to become fully qualified:
 - (1) QA Evaluator Course (AFIT LOG 143). This course is designed to educate LRS evaluators on the concept, policies and responsibilities of the LR Quality

Assurance Program contained in this AFI. It will ensure a standardized method is used to evaluate a unit's compliance with Air Force, command and local directives and policies. Completion of this course is mandatory to qualify as an evaluator.

- (2) NWRM Fundamentals Course IAW applicable CFETPs. This course can be found on the Advanced Distributed Learning Service (ADLS) website.
 - (3) Evaluators must pass three Evaluator Proficiency Evaluations (EPE) within 120 days of appointment (the first EPE will be accomplished within 40 days). EPEs will be conducted by a qualified evaluator to ensure the member can execute the proper steps to conduct an evaluation. Each quality evaluator, must pass the EPEs prior to performing unsupervised evaluations and inspections. ARC evaluators must accomplish mandatory training and pass three EPEs within 210 days of appointment (the first EPE will be accomplished within 90 days).
 - (4) Create a Master Training Plan in the Training Business Area using LR QA Air Force Job Qualification Standard (AFJQS) and document QAE training in individual training plans. Document civilian training on AF Form 971, Supervisor's Employee Brief.
4. Assessment Methodology. Assessments are the formal avenue to ensure the effectiveness of logistics procedures and identify areas for improvement. They provide leadership with factual information about the health and effectiveness of the unit and training. Accurate assessments of personnel proficiency and processes are critical to gauging unit effectiveness. This program enhances cross-tell and facilitates benchmarking, while allowing latitude to adapt it for local needs. QAE assessments will be conducted through the use of evaluations, inspections, and observations.
- a). Evaluations. Represent the direct evaluation of a logistics action, inspection, or training conducted/performed by an individual or team. Evaluations are used to assess job proficiency, degree of training, and compliance with technical data or instructions. Any individual performing, supervising, or evaluating logistics tasks is subject to a direct evaluation. Evaluations include:
- (1) Personnel Evaluations (PE). A PE is the direct evaluation of an individual or team conducting/performing a logistics action. PEs may be conducted on task-oriented functions such as equipment maintenance as well as process-oriented functions such as vehicle dispatch.
 - (2) Evaluator Proficiency Evaluation (EPE). An EPE is the direct evaluation of QA or any individual performing a quality/compliance assurance function in a unit.
 - (3) Trainer Proficiency Evaluations (TPE). A TPE is the direct evaluation of a unit instructor/trainer or certifier to determine their ability to teach accurately and sufficiently. TPEs also assess weapon system, equipment or process knowledge; teaching methods and techniques; the ability to operate trainers; and adequacy and effectiveness of training programs. Any individual training or certifying personnel on a task or process is subject to a TPE.

- b). Inspections. Defined as the inspection of equipment, to ensure compliance with established standards. Inspections are rated as Pass/Fail. Inspections include:
 - (1) Quality Verification Inspection (QVI). A QVI is an inspection of equipment condition or a process after an inspection, repair action or process that has been completed by a technician or supervisor to assess if it was properly completed. The QVI finding should reflect deficiencies by the individual who accomplished the task and identify specific discrepancies.
 - (2) Special Inspections (SI). SIs are inspections not covered by QVIs or Evaluations and may include, but are not limited to, inspections of: equipment forms, document control procedures and file plans, inventory controls, Technical Order (T.O.) files, vehicle inspections, housekeeping, safety practices, and other interest items identified by Headquarters Air Force and MAJCOMs. SIs may be compliance or proficiency oriented.
- c). Observations. Defined as the observed events or conditions with safety implications or technical violations not related to an evaluation or inspection that are considered unsafe, not in accordance with established procedures, or in the case of equipment, unfit to operate. Observations include:
 - (1) Detected Safety Violation (DSV). A DSV is an observed unsafe act by an individual. The QAE must stop the unsafe act immediately. Do not document a separate DSV on an individual undergoing a direct evaluation since the unsafe act automatically results in a “Fail” rating. Annotate the failure with “Safety” when a safety violation is committed during an evaluation. Report all safety incidents to the squadron safety representative IAW local safety policy.
 - (2) Technical Data Violation (TDV). A TDV is an observation of any person performing maintenance or another logistics process inconsistent, contradictory or without the required technical data present at the job site when mandatory use is required. The technician must have knowledge of all general directives associated with the job prior to performing the task. Do not document a separate TDV on an individual undergoing a direct evaluation since failure to use technical data automatically results in a “Fail” rating. Annotate the failure with “Tech Data” when a TDV is committed during an evaluation.
 - (3) Unsatisfactory Condition Report (UCR). A UCR is an unsafe or unsatisfactory condition, other than a DSV, chargeable to the work center supervisor. UCRs will be documented even when it is not possible to determine who created the condition.
- 5. Acceptable Quality Levels (AQLs). An AQL denotes the maximum allowable number of minor findings that a process or product may be charged for the task to be rated “Pass.” It must be strict enough that the task, process or product meets an acceptable level of quality, and is not so strict that a pass rating is unattainable. Task issuing authorities (e.g., HAF, MAJCOM, LR/CC) establish/approve AQLs. Discrepancy codes are IAW AFI 90201, Air Force Inspection System.

6. Key Task List (KTL). The KTL is a HAF, MAJCOM or unit developed list of required inspections. The KTL is designed to cover tasks that are complex and those affecting critical logistics processes, nuclear surety and/or safety as designated by leadership. All logistics actions/functions listed on the KTL require mandatory call-in to QA each time the logistics action/function is accomplished. QAE will respond and perform an inspection. The QAE must review and update unit KTLs as required to ensure they encompass those logistics actions/functions directly affecting quality of complex critical logistics processes.
7. Routine Inspection List (RIL). The RIL is a HAF, MAJCOM or unit developed list of routine inspections that must be performed with an identified frequency. The QAE shall consolidate inputs provided by flight leadership for suggested RIL items/frequency and obtain LR/CC approval. Tasks shall not be removed from the RIL without issuing authorities' approval (e.g. HAF, MAJCOM, LR/CC).
8. Assessment Finding Procedures.
 - a). The QAE will notify the LR/CC immediately of all major findings or failures related to safety, security, or nuclear surety. Additionally, the QAE will suspend evaluations/inspections receiving a fail, DSV, TDV, or UCR to the appropriate flight commander/NCOIC for corrective action(s).
 - b). Work centers will provide a corrective action plan to all findings by the 10th duty day, stating the action taken to resolve the identified problem(s) to include an implementation date or estimated completion date. Root cause analysis will be conducted by the evaluated work center for all major findings to determine underlying causes and appropriate corrective action. The LR quality evaluators may assist with conducting root cause analysis. Unit commanders will be briefed on open/closed items. ARC units will submit replies by the end of the next scheduled Unit Training Assembly/Regularly Scheduled Drill.
 - c). Evaluators will provide the following:
 - (1) Introductory and post-evaluation feedback to personnel, as appropriate to the evaluation.
 - (2) Offer guidance/suggestions as needed during the post-evaluation feedback session.
 - (3) Tracking number assigned to each evaluation within LEAP.
 - (4) Use Specialty Training Standard to evaluate authorized areas.
 - (5) Maintain all specialty training, i.e., Hazardous Materials, Joint Inspections, etc.
 - (6) Review all individuals' records, where applicable, for those evaluations receiving a fail, DSV or TDV to verify training documentation.
 - (7) Identify discrepancies in documentation to the individual's supervisor with follow-up action to the unit training manager. At no time will the evaluation ratings be changed based on OJT Record documentation discrepancies alone.
 - d). Findings are validated deficiencies and will be tracked at the unit level until resolved. The following are the two types of findings:

- (1) Major Finding. A deficiency that results or could result in widespread or significant mission impact or failure.
- (2) Minor Finding. A deficiency that is procedurally incorrect, but only has minor mission impact.
- (3) All findings (e.g., failed evaluation/inspection or observation) will include a reference to the TO, instruction, and/or command standard individually violated. QAE will review results with the individual(s) and supervisor upon completion of each evaluation.

Learning Objective 4 *Know the basic facts, terms, and general principles about the AFRC Aerial Port Quality Assurance Program:*

A. Purpose

1. Provide commanders with a systematic, quantitative measurement of process and task performances with associated feedback.
2. Assess the unit's ability to perform key air transportation tasks and processes to ensure standardized, repeatable, and technically compliant process execution.
3. Assess members' proficiency of UTC tasks and inspect quality of training prior to deployment and identify areas requiring additional training.
4. Develop trend data by identifying deficiencies in core air transportation functions.
5. Oversee root cause determination and ensure there is a corrective action plan for all observations and assessments rated as "Fail".

B. QA Structure

1. The QA section is aligned under the Readiness and Resources flight (TROX). The required minimum number of QA evaluators in a small sized aerial port squadron is two. The required minimum number of QA evaluators in a medium and large aerial port squadron is three. The UPM is not included in the minimum number of QA evaluators, however, the UPM should also maintain QA evaluator proficiency. QA personnel must remain UTC trained and deployable. Personnel assigned as primary evaluators will not perform daily functional duties except in cases where mission failure will result. To avoid potential conflicts of interest, primary evaluators will be assigned to the QA UPM for reporting purposes. Augmentees will be used to ensure assessments are accomplished in all areas outlined in the contingency/expeditionary training requirements listed in the CFETP 2T2X1.
2. Primary evaluators will have experience in one or more of the following sections: Ramp Service, Cargo Processing, and/or Passenger Operations. For smaller work centers, (e.g., Air Terminal Operations Center, Fleet Service, Load Planning, Special Handling, Joint Inspection), flight leadership will select qualified personnel to serve as augmentees. Augmentees cannot be the flight chief or non-commissioned officer in charge for the work center being assessed.

3. Personnel are assigned to QA for a minimum of 36 months, but no longer than 48 months. In addition, personnel will serve no more than two rotations in the QA section. To ensure expertise flows in and out of the QA section without disrupting continuity, rotation of personnel will be staggered.

C. Responsibilities

1. AFRC Readiness Branch (AFRC/A4RR) will:
 - a) Establish policy and administration of the program.
 - b) Review unit reports for trends.
 - c) Publish command specific Air Transportation Interest Items in response to trend data or when otherwise directed.
 - d) Act as the Logistics Evaluation Assurance Program (LEAP) Functional Administrator.
 - e) Manage the AFRC APS QA section on the AFRC/A4R SharePoint® website.
2. Unit commanders will:
 - a) Establish a QA program and maintain overall program responsibility.
 - b) Designate, in writing, the QA UPM (if the unit does not have an Assistant Aerial Port Manager), evaluators, and augmentees. The letter of appointment will identify the sections which each QA personnel are qualified to assess and the date member will rotate from the section.
 - c) Establish a written response policy for all Observations and assessments rated as Fail.
 - d) Host QA quarterly meeting.
 - e) Provide a QA quarterly report to the group commander.
3. QA UPM will:
 - a) Be a SNCO with a 7-skill level or higher.
 - b) Complete training in accordance with paragraph 5.5.
 - c) Manage the unit level QA program and nominate and select the most qualified and proficient personnel to serve as evaluators and/or augmentees.
 - d) Ensure rotation of personnel.
 - e) Enter and update QA personnel information in the AFRC Air Transportation Special Certification database.
 - f) Develop milestones in the ATR for all QA personnel.
 - g) Work with commander, flight chiefs, superintendents, and squadron senior enlisted leader to establish an augmentee schedule.
 - h) Ensure QA personnel are qualified on the tasks they are assessing.
 - i) Ensure required evaluator proficiency evaluations (EPEs) are performed on all QA personnel and recorded in LEAP.
 - j) Ensure assessments are conducted as outlined in the APS Evaluation Guide.
 - k) Perform LEAP site manager duties outlined in paragraph E.4.

- l) Ensure QA Assessments are accomplished on all work center UTC tasks using the contingency/expeditionary training requirements listed in the CFETP 2T2X1 as a guide.
 - m) Provide supervisors with assessment results.
 - n) Track all observations and assessments rated as “Fail” until resolved.
 - o) Inform unit leadership of all late replies and repeat findings in accordance with the commander’s written response policy.
 - p) Assist section leads with root cause analysis for all major findings to determine underlying causes.
 - q) Ensure assessments are closed with appropriate corrective action and dates.
 - r) Review past and present reports to identify trends.
 - s) Prepare and provide the commander and flight leadership with a quarterly QA briefing.
 - t) Upload the commander’s letter of appointment for UPM, evaluators and augmentees, training plan, commander’s written response policy, and completed briefing slides in the appropriate unit folder located on the AFRC/A4R SharePoint® website.
4. QA Evaluators/Augmentees will:
- a) Be a non-commissioned officer, well-seasoned in the 2T2XX AFSC and have a 7skill level awarded.
 - b) Have been QTP trained on all CFETP processes they are certified to evaluate.
 - c) Complete training in accordance with paragraph D.
 - d) Ensure APS related local operating instructions, technical orders, manuals, ATR, and policy documents are spot checked for currency.
 - e) Not serve as an extension of the workforce and will not provide assistance (e.g., ground spotting duties, verify vehicle lights are operable) or provide training to evaluatees during an evaluation.
 - f) Perform assessments as outlined in the APS QA Evaluation Guide. All assessments on personnel, including SNCOs, must be conducted using the current QTPs/TTGs. Guides can be found in the APS QA Document Library on the AFRC/A4R SharePoint® website (Attachment 4).
 - g) Verify evaluated individuals have been trained properly and training is documented in member’s ATR.
 - h) Enter all assessments into LEAP. All detected findings will be included even if the acceptable quality level has not been exceeded.
 - i) Provide UPM with updates on all observations and assessments rated as “Fail”. Include details of the finding(s) and valid reference(s).
5. Work center supervisors will:
- a) Provide responses to failed assessments in accordance with the commander’s written response policy and provide QA with an estimated closure date by close of the following UTA.

- b) Provide root cause analysis and corrective action plan actions for observations, assessments rated as Fail and repeat findings.
- c) Determine if decertification and/or retraining is warranted for an individual that has failed an assessment.
- d) Work closely with the QA UPM to ensure training deficiencies are being addressed.

D. QA Training

1. Units will identify milestones in the ATR for all QA evaluators and augmentees. Training must cover inspection and evaluation techniques, documenting inspections, and actions to prevent personal injury or equipment damage.
2. Units will use the AFRC QA Evaluation Guide for QA training. The guide can be found on the AFRC/A4R SharePoint® site. AFRC/A4RR's in-residence, Logistics Enterprise Quality Assurance Course is optional. To become fully qualified, QA personnel must:
 - a) Complete evaluation technique training requirements outlined in the evaluation guide and practical hands on training within 210 days of appointment.
 - b) Pass three initial EPEs upon completion of training (the first EPE will be accomplished within 90 days).
 - c) Complete LEAP training located in the APS QA section of the AFRC/A4R SharePoint® website.
 - d) Become familiar with root cause analysis fundamentals.

E. Logistics Evaluation Assurance Program (LEAP) Database

1. The Air Force Logistics Directorate has designated LEAP as the QA authoritative source for QA. Units will use LEAP for documenting and reporting QA assessments and observations. Access to LEAP requires all users to submit a DD Form 2875, Systems Authorization Access Request (SAAR). Roles in LEAP are assigned, based on the user's level of responsibilities to QA (see AFR LEAP User's Manual on the AFRC/A4R SharePoint® website). LEAP accounts are disabled after 60 days of inactivity; the system automatically deletes accounts after 90 days of inactivity.
 - a) Manual Procedures. Units unable to access the LEAP database due to unforeseen circumstances may construct an Evaluation & Inspection (E&I) plan using localized products such as Microsoft Word, Microsoft Excel, etc. to conduct evaluations and inspections. Evaluations and inspections conducted using localized products must be populated into the LEAP database as soon as the system becomes available, not to exceed 30-days after system access/availability has been restored.
2. LEAP training slides and the users' manual can be found in the APS QA section of the AFRC/A4R SharePoint® website.
3. Each unit is authorized two (2) site managers: the QA UPM and an individual designated by the QA UPM.
4. Site Managers. These personnel manage LEAP at the unit level by: providing oversight of unit accounts; approving and disapproving new users; modifying existing user accounts and enabling locked accounts; and developing and publishing the unit's Evaluation & Inspection (E&I) plans by 1 October each year. E&I plans show the areas,

types, and number of assessments to be conducted over the course of the year. E&I plans will list planned evaluation and inspections on a monthly basis. Site Managers will also:

- a) Ensure QA personnel enter assessments by close of the following UTA.
- b) Conduct a monthly review and validation of all LEAP inputs for accuracy of content and data integrity.

F. Assessment Requirements

1. The contingency/expeditionary training requirements listed in the CFETP 2T2X1 provides a list of tasks and processes for each work center's UTC and identifies each task and/or process to be assessed.
2. The unit will ensure 100 percent of the work center's contingency/expeditionary training requirements are inspected by the end of each fiscal year. Assess a random sampling of 25 percent of the personnel assigned to each work center. Assigned personnel are individuals on the manning document that are active participants versus non-participating AFR members. Example: A non-participating member would be no-pay no-points, student status, retired, etc.
3. QA evaluators and/or augmentees will evaluate tasks based on the member's assigned section contingency/expeditionary training requirements listed in the CFETP 2T2X1 (i.e., load planning personnel are evaluated on load planning processes).
4. Evaluations may be conducted by RegAF personnel. Recommend providing the APS QA Worksheet. AFR QA personnel will enter these evaluations into LEAP. Enter evaluator's name and unit in the remarks section of LEAP (e.g., "Evaluation conducted by TSgt John Doe, 60APS").
5. Types of Assessments. There are five categories of assessments and three categories of observations. Assessments consist of evaluations and inspections. Evaluations include: personnel evaluation (PE), trainer proficiency evaluation (TPE), and evaluator proficiency evaluation (EPE). Inspections include: quality verification inspection (QVI), and special inspection (SI). Observations include: detected safety violation (DSV), technical data violation (TDV), and unsatisfactory condition report (UCR).
 - a) Evaluations. Evaluations accurately assess the proficiency of each individual, team, trainer, and/or evaluator. The evaluator focuses on members' performance in relation to task standard as outlined in QTPs.
 - i. Personnel are evaluated to the "go or no go" level. "Go" means the individual can perform the task without assistance and utilizing appropriate instructions or procedural guidance.
 - ii. All 2T2XX personnel involved in performing air transportation processes are subject to an evaluation, to include senior NCOs.
 - b) Inspections. Inspections are a review of a completed process and/or task such as a form review. All inspections will be rated as a "Pass" or "Fail."
 - c) Observations. Observations are unplanned events. They are neither an evaluation nor an inspection. Observations occur when a QA members' intent was to assess other events, however, the observation is discovered and/or witnessed and action must be

- taken due to safety and/or security. If an unsafe act or security violation occurs during an assessment, it results in an immediate rating of “Fail.” Observations are not counted toward contingency/expeditionary training requirements completion.
6. Findings are validated deficiencies and will be tracked at the unit level until resolved. All findings must include a reference (technical order, instruction and/or command standard) that was violated. There are two types of findings:
 - a) Minor Finding. A deficiency that is procedurally incorrect but, only has minor mission impact. It has no immediate threat to personal injury, damage to equipment, mission degradation, or does not impose excessive unnecessary cost to the enterprise.
 - b) Major Finding. A deficiency that results or could result in widespread or significant mission impact or failure. Actions have a clear indication that continuing such action in the particular instance will cause personal injury, damage equipment, incur severe mission degradation or impose excessive unnecessary cost to the enterprise. Under no circumstances will a safety or equipment reliability error go uncorrected. When these conditions are detected, correct them immediately. The evaluator considers the seriousness of the error when deciding whether or not the member(s) performing the process, and the evaluation itself, should continue.
 7. Rating Criteria. Personnel are assessed using the same performance standard in AFI 362670, *Total Force Development*, paragraph 4.6.9.5. Acceptable quality levels denotes the maximum allowable minor findings and still pass an assessment. Assign one of the following ratings to every assessment:
 - a) A “Pass” rating indicates the process met the acceptable standard and is in compliance with established guidelines.
 - b) A “Fail” rating indicates the process did not meet the acceptable standard and is not in compliance with established guidelines.
 8. Follow-Up Assessments and Observations. QA will follow-up on all major findings and observations, after the root cause analysis has been submitted to the QA office to verify the corrective action plan has been implemented by the flight. Note: This does not constitute an additional assessment towards the minimum quarterly assessments standards. If the QA UPM determines that the follow-up is not a sustainable solution, the assessment will remain open.
 9. Trend Analysis. QA personnel review previous reports to determine if inspected areas have improved or declined. Consistent high scores in any category may indicate the program’s emphasis is not focused on the unit’s actual problem areas. Low scoring areas may require a reassessment of the corrective action plan taken by management. Continuous communication between unit leadership, supervision and QA personnel is essential. QA personnel will highlight trends and root causes in the summary.
 10. Quarterly Briefing. The briefing provides a summary of the unit’s performance, a discussion of problem areas, a review of trend data and successful initiatives. The following areas must be addressed: number of evaluations and/or inspections completed, pass and/or fail rate for each section, open and closed items (to include estimated closure

dates), observations, major findings and/or trends, root cause, and corrective actions. This can be done using graphs, and narratives. A template for the briefing can be found on the AFRC/A4R SharePoint® website.