

Air Force Life Cycle Management Center

Standard Process

To

*Conduct Unit Self-Assessment Program (USAP)*

Process Owner: AFLCMC/IG

Date: 18 Mar 2021

Version: 5.0

Record of Changes.

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| Record of Changes |
| Version | Effective Date | Summary |
| 1.0 | 25 June 2013 | Standard process approved by S&P Board on 20 June 2013.  |
| 1.1 | 5 August 2013 | Corrected administrative errors in 5.2 & 6.1.6 |
| 1.2 | 23 September 2013 | Updated AFLCMC Unit Self Inspection (USAP) Business Rules |
| 1.3 | 21 February 2014 | MICT software 2.0.10 the following words changed:“Deficiency” changed to “Observation”“Clone SAC” changed to “Instance”Business Rules added “Security (SE)” to para 1.0 |
| 1.4 | 27 January 2015 | Changed process owner from XP to IG |
| 2.0 | 24 March 2016 | Document completely revised based on AFI 90-201 changes |
| 2.1 | 20 April 2017 | Annual review; admin changes only; approved by S&P Board 20 Apr 2017 |
| 2.2 | 24 January 2018 | Annual review; References removed; admin; approved by S&P Board 24 January 2018 |
| 3.0 | 21 February 2019 | Annual review; substantial changes based on updated AFI 90-201; added section on IGEMS; updated USAP flowchart (Figure 2); removal of Rosetta Stone references; updated appendices; admin; approved by S&P Board 21 February 2019 |
| 4.0 | 20 February 2020 | Annual review; admin changes, added sections for Enterprise Risk Management (EPRM) for security assessments and IGEMS Business Rules; approved by S&P Board 20 February 2020  |
| 5.0 | 18 Mar 2021 | Annual Review; administrative changes, incorporated the requirement of assessing both ACAT and BCAT programs, (previously listed as ACAT), administrative updates to the MICT and IGEMS business rules; Approved by SP&P Group on 18 Mar 2021 |

*Conduct Unit Self-Assessment Program*

1. **Description.**
	1. This document defines the AFLCMC process for executing the Unit Self-Assessment Program (USAP). This process shall be performed by each AFLCMC Program Executive Officer (PEO), Directorate, and Detachment (hereafter referred to as “Units”), listed in **Attachment 2**. Unit leadership utilizes Self-assessment is the primary means used by AFLCMC PEOs, Directors, and Detachment Commanders to proactively detect non-compliance in their respective units.
	2. The 88 ABW and 66 ABG have stand-alone Inspector Generals (IG) managing unit-specific Commander’s Self-Assessment Program (CCSAP). The 88 ABW and 66 ABG and subordinate units are required to run Wing/Group USAPs accordingly.
2. **Purpose**
	1. The AFLCMC USAP provides AFLCMC leadership the means to actively detect and correct non-compliance in their Unit(s). The USAP is implemented IAW Air Force Instruction (AFI) 90-201, *The Air Force Inspection System (AFIS),* the AFMC Supplement to AFI 90-201, and AFLCMC/CC directives.
	2. Under the AFLCMC USAP, the AFLCMC/IG inspects AFLCMC units to validate unit self-assessments and verify overall compliance with established directives.
3. **Entry/Exit Criteria**
	1. Entry Criteria. Each Unit determines when to conduct their annual self-assessment. Each Unit shall conduct at least one self-assessment cycle per calendar year using the Management Internal Control Toolset (MICT). Annual self-assessments for Information Protection security disciplines (Information, Personnel, and Industrial Security Programs) shall use the Enterprise Protection Risk Management System (EPRM) tool, or successor system, as the system of record to document inspection compliance.
	2. Exit Criteria. Unit self-assessments are considered complete when Unit leadership deems all applicable Self-Assessment Communicators (SACs) have been validated in MICT.
	3. Inputs. Upon initiating their annual self-assessment, units will identify the applicable SACs in MICT. No classified data is to be entered into MICT.
		1. Special Access Programs (SAP) will create local versions of current MICT SACs to complete their self-assessments and ensure the local SACs are stored securely. The AFLCMC/IG does not inspect SAPs.
	4. Outputs. Observations, properly documented in the MICT, are required for any MICT SAC item that indicates unit non-compliance. Typically, non-compliance corresponds with a “no” response to a SAC item.
		1. Observations shall be tracked by the Unit’s leadership until they have been closed.
		2. Each observation must have a root cause analysis (RCA) and corrective action plan (CAP) entered into MICT and executed. Additionally, IAW AFI 90-201, a Deficiency Cause Code must be assigned. RCAs/CAPs shall be approved at the appropriate level. Observations should be closed within 180-days. USAP managers may provide additional guidance to tailor and standardize RCA/CAP responses.
4. **Process Workflow and Activities**.
	1. Suppliers, Inputs, Process, Outputs, Customers (SIPOC). Table 1 represents the SIPOC.

**Table 1. SIPOC**

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| **S**uppliers | **I**nputs | **P**rocess | **O**utputs | **C**ustomers |
| Center USAP lead, USAP Managers, USAP Monitors, Assessors, Validators/ Supervisors | Appointment letters, MICT permissions, SACs, MICT, SharePoint, EPRM, EPRM accounts | Execute assessment | Completed and validated SACs, identified observations, RCA/CAP | Center USAP Manager, PEOs, Directors, Commanders |
| Assessors, USAP Monitors, Validators, Directors  | Completed/ validated SACs, identified observations, RCA/CAP | Resolve observations | Closed observations | Center USAP Manager, PEOs, Directors, Commanders |
| Center USAP lead, USAP Monitors, Assessors, Validators  | Completed SACs, identified observations, MICT reports | Data analysis | SAC change recommendations and feedback to AFLCMC/IG and MAJCOM FAMs | USAP Managers, SACs owners, Senior Functionals, MAJCOM FAMs |

* 1. Process Flowchart. The process flowchart, **Figure 1**, depicts the steps in the standard USAP process.
	2. Work Breakdown Structure (WBS).The USAP process is structured in a WBS format, **Figure 2**, providing detail on each step in the process flow chart.
	3. Work guidance package. Additional detailed instructions on the USAP process are contained in the USAP Business Rules, **Attachment 1**.

**Figure 1. USAP Process Flowchart**

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* 1. Work Breakdown Structure (WBS). The USAP process is structured in a WBS format. Figure 3, providing detail on each step in the process flow chart.

**Table 3. WBS Template**

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| **Activity** | **Description** | **OPR** | **Time** |
| Execute USAP Process | Execute the Unit Self-Assessment Program (USAP) to provide leaders with a standard methodology to internally assess Unit health and detect non-compliance. | AFLCMC/IG | Annual |
| Notify USAP Managers to begin planning annual self-assessment cycle | AFLCMC/IG will initiate annual self-assessment planning. Notify USAP Managers to begin planning and initiating annual self-assessment cycle | AFLCMC/IG | Annual |
| Execute Assessment | Initiate annual Unit self-assessment | Leadership | Annual |
| Notify USAP monitors & Special Access Programs to begin assessment | Units will conduct an annual Self-Assessment at least once per calendar year; ensure validators, monitors and assessors have correct permissions for their respective Units. | USAPManagers | Annual |
| Notify assessors to begin assessment | Monitors notify assessors to being annual or out-of-cycle assessments. For out-of-cycle SAC updates, assessors shall update new or updated SACs within 30 days. | USAPMonitors |  |
| Assessors complete USAP SACs in MICT | Assessors complete USAP SAC(s). document any non-compliant observations, and lock the assessment for validation | USAPAssessor |  |
| Observations documented | While completing SACs, the Assessor identifies and documents observation(s), if applicable. | USAPAssessor |  |
| Conduct Root Cause Analysis (RCA) on observation(s) | Assessor works with Validator and Monitor as necessary to ensure RCA for observation(s) is/are conducted. | Monitors,Assessors,Validators |  |
| Develop Corrective Action Plan (CAP) | Assessor works with Validator and USAP Monitor as necessary to ensure development of Corrective Action Plan (CAP) for the observation. | Monitors,Assessors,Validators |  |
| Approve CAP | PEO/Director/CC reviews and approves the CAP. | Leadership |  |
| Approve CAP Verification | Validator verifies that leadership has approved CAPs for all observations in the assessment. | Validator |  |
| Verify assessment completion  | Validator validates all assigned assessments to ensure all MICT items have proper responses, comments, artifacts and observation documentation. | USAPValidator |  |
| Resolve observations | Monitors work with validators and assessors to close open observations, if applicable. | Monitors,Assessors,Validators | ASAP(180 days) |
| Execute CAP | Assessor executes CAP to completion and reports to the Validator. | Assessor |  |
| Monitor CAP | Assessor and Validator monitors CAP to closure. | Assessor Validator |  |
| Approve observation closure | Unit leadership approves observation closure based on satisfactory completion of all action(s) in the CAP; provides closure authorization to validator. | Leadership |  |
| Observation Closure | Validator documents, closes observation and re-validates SAC | Validator |  |
| Verify Observations closed | Complete | Monitor, Manager |  |
| Report assessment completion to USAP Manager | USAP monitor reports all SACs answered and validated. | Monitor |  |
| Request leadership approve USAP completion | USAP Manager reports to leadership that all SACs are answered & validated and requests approval to close the annual assessment. | Manager | Annual |
| Approve Assessment Completion | PEO/Director/CC approves completion of assessment. | Leadership | Annual |
| Assessment cycle complete | Send completion notification to AFLCMC/IG Workflow: aflcmc.ig\_org@us.af.mil  | USAPManagers | Annual |

* 1. Work guidance package. Additional detailed instructions on the USAP process are contained in the USAP Business Rules, **Attachment 1**.
1. **Measurement.**
	1. Process Results. A key concept of AFIS (i.e., AFI 90-201) and this USAP process is to minimize “inspection preparation.” In addition to requested deliverables, inspectors use the data present in MICT and EPRM at the time of the inspection notification to assess the unit. The *better* the data in MICT and EPRM, the less on-the-ground and face-to-face interactions are needed. Notice of inspection may occur at any time, irrespective of a Unit’s USAP cycle.
	2. All benchmarks, strengths, recommended improvement areas, and deficiencies documented during an inspection are attributed to a specific MGA and will ultimately impact a Unit’s overall inspection score.
	3. For IG inspections. Units will be given an overall rating and a rating for each Major Graded Areas (MGAs) shown in **Figure 2** and outlined in AFI 90-201 AFMC Supplement.

**Figure 3. Major Graded Areas (MGA).**

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* + 1. Strong USAPs complete self-assessments on time and show evidence of detecting non-compliance through well written and executed MICT and EPRM observations. Additionally, they provide excellent traceability between MICT and EPRM item responses and up-to-date artifacts. Units are assumed to be in the *EFFECTIVE* region at the start of each inspection.

			1. Properly documented observations, IAW AFI 90-201, are positive indicators that show the USAP is actively detecting and correcting non-compliance.
1. **Roles and Responsibilities.** This section should identify and describe the role of any internal or external organizations or key personnel involved in the execution of the process. Ensure that you identify participants who are accountable.
	1. AFLCMC/IG.
		1. Shall establish and manage the Center USAP and provide guidance to Center USAP managers regarding USAP execution.

			1. Shall assist directorate USAP managers and monitors and conduct monthly meetings to provide guidance and the latest updates on USAP and inspection programs.
			2. Shall maintain appointment letters and a roster of primary and alternate USAP Managers.
			3. Shall provide training to MICT users.
			4. Shall review and evaluate USAPs, coordinate results with USAP Managers, and present status at the monthly Commanders Inspection Management Group (CIMG).
		2. Shall conduct unit inspections that will include an evaluation of the Unit’s USAPs. This may include periodic continual evaluations (CE) of directorates’ USAP,
		3. Shall be the MICT administrator for the Center and assist Units with using Units with using this system.
	2. PEOs/Directors/Direct Report Detachment Commanders.

* + 1. Shall establish a USAP program IAW AFI 90-201 and this standard process.
		2. Shall ensure annual assessments are conducted in MICT and EPRM (i.e., for the entire Unit).
		3. Shall appoint, in writing (Attachment 5), primary and alternate USAP managers, and update the memo as required.

* + 1. Shall review all CRITICAL and Significant observations opened by their Unit.
		2. Shall serve as the approval authority for CRITICAL observation CAPs.
		3. Shall serve as the closure authority for CRITICAL observations.
		4. Shall attend quarterly Commanders Inspection Management Group (CIMG) meetings.
	1. Division Chiefs and Directorate Detachments (or equivalent).
		1. Shall serve as the approval authority for Significant observation CAPs.
		2. Shall serve as the closure authority for Significant observations.
		3. Shall appoint USAP monitors, in writing, to support the 2-letter USAP manager.
	2. Validator (typically first line supervisor).
		1. Shall consist of military or civilian personnel.
		2. Shall review all SAC items, observations and validate SACs when complete.
		3. Shall approve CAPs completed by assigned action officers and then move them to a higher level for closure, if applicable.
		4. Shall track and update status in MICT and EPRM for all assigned observations.
		5. Shall serve as the approval authority for Minor observation CAPs.
		6. Shall serve as the closure authority for Minor observations.
		7. Shall ensure all observations assigned to their Unit are properly closed.
	3. Assessor/SAC Owner.
		1. Assessor/SAC owners shall consist of military, civilian or support contractors.
		2. Shall complete all SACs and SAC items in MICT and EPRM assigned by the USAP manager and/or monitor.
			1. Shall answer all questions with a Yes, No, or Non-applicable (N/A).
			2. Shall provide supporting comments for ALL questions providing a justification for how the Unit is compliant, non-compliant or how the items are not applicable. Providing comments on all questions aids in the overall USAP review and evaluation during inspections.
			3. Shall provide non-applicable reason codes for any items designated as N/A.
			4. Shall either upload into MICT or enter into EPRM (IP disciplines), or provide access to artifacts referenced in responses (MICT Only).
				1. Shall upload documentation specified in the upload document column with a blue flag indicator.
			5. Shall identify and resolve observations.
				1. SAC questions answered negatively (usually a “no” response) shall be documented as an observation. Observation resolution requires an RCA and a CAP approved by the appropriate supervisory level for closure as specified above.
			6. Shall complete out-of-cycle assessments as required by AFI 90-201.
				1. Per AFI 90-201, new/updated SACs are produced quarterly (Jan 1, Apr 1, Jul 1, and Oct 1). USAPs have 30 days to assess new/updated SACs.
				2. New/updated SAC notifications will be received through MICT messages and AFLCMC/IG USAP Manager quarterly email notification.
				3. USAP managers will ensure updated SACs are assessed and re-validated to show the SAC was reviewed by the Unit after the update.
	4. USAP Managers assigned to PEOs, Directorates, Functional Directorates, or Detachments.
		1. USAP Execution.
			1. Shall accomplish required USAP.MICT training provided by the Center USAP Manager and ensure USAP Monitors, Assessors, and Validators are familiar with how to complete SACs in MICT.
			2. Shall build and execute a Director approved USAP including ensuring applicable SACs are identified, tracked, assigned, and completed in MICT or EPRM. In Units possessing USAP Monitors, the USAP Manager will ensure the USAP Monitor completes this for their respective divisions. .
			3. Shall verify with functional home offices and Unit leadership that all applicable SACs are completed.

				1. Shall ensure that all SACs related to ACAT/BCAT level programs are run at the program level only.
				2. Shall ensure that all workcenters and Unit level SACs are labeled with the ACAT/BCAT program name to identify the programs assessed.
			4. Shall attend AFLCMC Town Hall USAP meetings and distribute information across their organization.
			5. Shall confirm the primary and alternate USAP manager appointment letter is sent to the AFLCMC/IG office and update the appointment letter within 30-days of a change in personnel.
			6. Shall ensure progress of corrective actions of observations is documented in MICT.
		2. MICT. Shall provide MICT administrative support to their Unit.
	5. USAP Monitors.
		1. Shall assist the USAP manager in executing the USAP.
		2. Shall establish and manage USAP assessor access in MICT.
		3. Shall remove USAP assessor privileges in MICT when the assessors no longer require access (e.g., PCA, PCS, etc.).
	6. IGEMS.
		1. PEOs, Directorates, Functional Directorates, and Detachments will assign a primary and alternate IGEMS POC in writing and provide this information to the AFLCMC/IG (**Attachment 5**).
			1. The IGEMS POC will be assigned appropriate IG-identified deficiencies as the “Organization POC” in IGEMS. If this person is not the correct person to work the deficiency, they shall identify a Corrective Action POC to be assigned.
	7. Deficiency Management. See AFI 90-201 for more details. In addition, AFLCMC will manage deficiencies IAW AFMC/IG and AFLCMC/IG IGEMS Business Rules.
		1. The suspense date for the CAP proposal is 45-days from when the deficiency is entered into the system.
			1. The IGEMS or Corrective Action POC will input root cause(s), CAP counter measures(s), and the problem breakdown methodology within 45-days.
			2. CAP actions shall resolve, or mitigate the compliance issue(s) and indicate who does what and when.
			3. The IGEMS POC shall ensure each action can be conducted by the Corrective Action POC listed.
			4. Actions with long lead times or undeterminable outcomes shall be written to focus on mitigations that can be implemented for compliance/closure within 12-months.
			5. When CAP/Countermeasures are completed, the IGEMS POC will move the status in IGEMS to “Implemented.” The POC will also state the name and position of the individual (i.e., Director/Deputy Director) who reviewed and authorized closure in the Notes section of IGEMS.
1. **Tools.**

* 1. MICT. A web-based, automated self-assessment tool for accessing and completing SACs. MICT is a force multiplying tool that reports, tracks, and validates, identifies trends, observations, and corrective actions. MICT is the Air Force Program of Record that shall be used by all AF units running SACs. URL: <https://mict.us.af.mil/>.
		1. SACs are the Functional Area Manager's (FAM) tool to communicate areas of greatest risk in complying with corresponding AFIs, or other guidance. It is important to note that SACs DO NOT capture every AFI “will, shall, or must” requirement. All personnel are responsible for being familiar and compliant with the AFIs that govern their respective professions.
	2. EPRM. A web-based, cross disciplinary decision support tool for security compliance and risk assessments. It facilitates and standardizes risk assessment processes and promotes early implementation of cost-effective countermeasures. The EPRM tool has an Information Protection module that assesses all major areas of the Information, Personnel, and Industrial Security Programs.
	3. IGEMS. IGEMS (to include the classified version) facilitates scheduling, planning, inspecting, and report writing for IG inspections. IGEMS is also used to assign, monitor, and close deficiencies identified during the inspection process. The system is comprised of an open architecture which facilitates manual enterprise-level trending analysis and cross communication with normalized data and standardized reporting.
	4. AFLCMC/IG SharePoint Site.
		1. The AFLCMC/IG SharePoint site is the primary means for storing, distributing, and collecting information pertaining to the Center USAP. If you need access, please contact the workflow at aflcmc.ig\_org@us.af.mil .
1. **Delivery Approach.**
	1. Training Method.
		1. MICT training videos are available within MICT and located at the following URL: <https://cs2.eis.af.mil/sites/12412/Training/Forms/AllItems.aspx?RootFolder=%2Fsites%2F12412%2FTraining%2FMICT%20TRAINING%20VIDEOS&FolderCTID=0x012000909C7D8F6BC0FD4FA36C3E37C8C71A84&View=%7BDE06FD1C%2DEC6D%2D4EF5%2DAC4F%2D044A414E0462%7D>.
		2. EPRM Training videos are located at the following URL: <http://eprmhelp.countermeasures.com/>
		3. IGEMS Training is available from the Center IGEMS Manager.
	2. Change Management Plan.
		1. The Change Management Plan (**Attachment 4)** describes the approach and methods used for implementing and institutionalizing this standard process
2. **Definitions, Guiding Principles, Ground Rules, Assumptions and/or Acronyms**.
	1. “Unit” is defined as a PEO, Directorate, Functional Directorate, or Detachment.
	2. “Validation” is defined as the action to approve and close out the current assessment.
	3. AFLCMC USAP Units are defined in **Attachment 2**.
	4. AFLCMC USAP acronyms are defined in **Attachment 3**.
3. **References to Law, Policy, Instructions or Guidance**. List applicable reference material that governs, guides or constrains the process or any activity used in the process. These references should also be listed in the “Reference” column of the WBS associated with a particular activity. If applicable, you should site the reference to the page or paragraph number that requires or supports the particular activity.
	1. Air Force Instruction  [90-201, *The Air Force Inspection System (AFIS)*.](http://static.e-publishing.af.mil/production/1/saf_ig/publication/afi90-201/afi90-201.pdf)
	2. AFMC Supplement to AFI 90-201, *The Air Force Inspection System (AFIS)*.
4. **List of Corresponding SP/IPGs.**  List applicable SP and/or IPGs that relate to the process or constrains the process.

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| **Attachment 1. USAP Business Rules** |  |
| **Attachment 2: AFLCMC USAP List** |  |
| **Attachment 3: USAP Acronym List** |  |
| **Attachment 4: USAP Change Management Plan** |  |
| **Attachment 5: IGEMS Business Rules `** |  |
| **Attachment 6: MICT/IGEMS Appointment Letter** |  |