

Army Regulation 1–20

Administration

Legislative Liaison

**Headquarters
Department of the Army
Washington, DC
2 July 2013**

UNCLASSIFIED

SUMMARY of CHANGE

AR 1-20
Legislative Liaison

This major revision, dated 2 July 2013--

- o Expands the roles and responsibilities of the Chief, Legislative Liaison relating to the appeals process, congressional requests for internal documents, and the Army Congressional Fellowship Program (paras 1-4a(5), 1-4a(12) (b), and 1-4a(15)).
- o Clarifies the responsibilities of the Assistant Secretary of the Army (Financial Management and Comptroller) (para 1-4b).
- o Adds information on senior leader congressional contacts and the Army Congressional Fellowship Program (paras 2-3 and 2-7).
- o Adds a requirement for Army officials to obtain clearance of any statement to be provided to the Congress that offers a position or view on proposed or pending legislation (para 2-4c).
- o Adds information advising that the Department of Defense and the Secretary of the Army may issue election-year guidance specific to current campaign issues or concerns of either department (para 2-6c).
- o Adds guidance on granting awards and special recognition to political candidates for partisan-elected offices (para 2-6d).
- o Adds information outlining procedures for providing drafting services to members of the Congress or staff (para 3-1b).
- o Clarifies Army cooperation and support with congressional investigations and hearings (paras 4-2 and 4-3)
- o Establishes the Congressional Response Team to manage the release of information and documents to Congress (chap 7).
- o Adds a requirement for Department of the Army leaders, if so ordered by the Chief, Legislative Liaison, to search for, collect, review, and transmit documents in accordance with Congressional Actions Responsibilities Standing Operating Procedures (para 7-3b).
- o Eliminates the administrative procedure entitled "White Star."
- o Makes administrative changes (throughout).

Administration

Legislative Liaison

By Order of the Secretary of the Army:

RAYMOND T. ODIERNO
General, United States Army
Chief of Staff

Official:



GERALD B. O'KEEFE
Acting Administrative Assistant
to the Secretary of the Army

History. This publication is a major revision.

Summary. This regulation contains policy, guidance, and procedures for legislative and congressional activities.

Applicability. This regulation applies to the active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. It also applies to civilian employees of the Department of the Army, to include employees of nonappropriated fund instrumentalities. During

mobilization, chapters and policies contained in this regulation may be modified by the proponent.

Proponent and exception authority. The proponent of this regulation is the Chief of Legislative Liaison. The proponent has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Army internal control process. This regulation contains internal control provisions in accordance with AR 11–2 and identifies key internal controls that must be evaluated (see appendix B).

Supplementation. Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Chief, Legislative Liaison, 1600 Army Pentagon, Room 1E416, Washington, DC 20310–1600.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Headquarters, Department of the Army, Office of the Chief of Legislative Liaison, 1600 Army Pentagon, Room 1E416, Washington, DC 20310–1600.

Distribution. This regulation is available in electronic media only and is intended for command levels B, C, D, and E for the active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

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Glossary

Chapter 1 Introduction

1–1. Purpose

This regulation sets forth the responsibilities, policies, and procedures of the Department of the Army (DA) for legislative affairs and congressional activities.

1–2. References

Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms

Abbreviations and special terms used in this regulation are explained in the glossary.

1–4. Responsibilities

a. Chief of Legislative Liaison (CLL). The CLL reports to the Secretary of the Army (SA) and is responsible for all legislative affairs for the Army, including providing legislative and associated staff support to Headquarters, Department of the Army (HQDA) principal officials. The Office of the Chief of Legislative Liaison (OCLL) is designated the single office in HQDA responsible for legislative affairs and, subject to the authority, direction, and control of the SA, provides the Chief of Staff, Army (CSA) such staff support as the CSA considers necessary to perform his/her duties and responsibilities. The CLL will—

(1) Develop, coordinate, and supervise policies and programs related to the Army's relations with Congress, to include—

(a) Publishing the Congressional Actions Responsibilities Standing Operating Procedures and overseeing its effective implementation.

(b) Providing guidance to, and coordinating training for, Congressional Affairs Contact Officers.

(2) Advise HQDA officials on the legislative aspects of Army policies, plans, and programs and on the status of congressional matters affecting or of interest to the Army.

(3) Advise HQDA, Army agencies, and Army commands (ACOMs) on the status of defense authorization committee actions, to include providing timely and accurate information derived from hearings, engagements, and contacts and key meetings involving Army senior leaders and members of the Congress.

(4) Inform all relevant HQDA officials, Army agencies, and ACOMs about significant congressional engagements, developments, and issues, including congressional and staff delegation travel to installations.

(5) Manage the Army appeals process for authorization appeals.

(6) Serve as the liaison between the Army and committees of Congress, except for appropriations committees and on civil works; provide appropriate notifications to Congress and members of the Congress, to include casualty notification.

(a) Liaison work with appropriations committees, except on civil works matters, will be conducted by the Assistant Secretary of the Army (Financial Management and Comptroller) (ASA (FM&C)).

(b) Liaison work on civil works will be conducted by the Assistant Secretary of the Army for Civil Works (ASA (CW)).

(c) Liaison work on Army printing matters will be conducted by the Administrative Assistant to the Secretary of the Army, in coordination and consistent with the authority of the CLL.

(7) Serve as the primary Army point of contact with Congress, including members of the Congress, committees, and staff, except appropriation committees and on civil works.

(8) Manage the Army's legislative program and serve as the Army point of contact for legislative initiatives and for reviewing, coordinating, and forwarding the Army position on all legislation.

(9) Prepare Army leaders for and advise Army leaders on congressional contacts and appearances before committees, to include—

(a) Preparing the SA, CSA, Under Secretary of the Army (USA), Vice Chief of Staff of the Army (VCSA), and Sergeant Major of the Army (SMA) for all congressional testimony and contacts.

(b) Providing the SA, CSA, USA, VCSA, and SMA legislative liaison assistants to assist in the coordination and synchronization of their congressional interactions across DA.

(c) Tasking HQDA, Army agencies, and ACOMs to assist in preparing senior Army leaders for congressional testimony and contacts, review/edit committee hearing transcripts, answer questions for the record, and prepare inserts for the record, as required.

(10) Report, monitor, and coordinate investigative actions of interest to the Army and provide advice to Army witnesses called to appear before legislative or investigative committees.

(11) Manage the Army Congressional Reports' process for authorization and appropriation reports.

- (12) Provide responses to inquiries received from members of the Congress, congressional committees, and governors, and respond to all congressional requests for internal Army documents.
- (a) Responses must be prompt, coordinated, consistent, and factual.
- (b) The Congressional Response Team (CRT) will coordinate the identification, collection, review, staffing, and release of documents and information in response to congressional requests for internal Army documents, except for matters pertaining to the Army budget and under the purview of the ASA (FM&C).
- (13) Facilitate the confirmation process for Army officers and senior Army leaders, to include general officer nominees. Coordinate with the Office of the Chairman, Joint Chiefs of Staff, for Army general officer nominations to Joint assignments.
- (14) Serve as the DA lead for congressional travel conducted pursuant to congressional committee request, Secretary of Defense designation, or SA invitation, to include issuing appropriate travel orders, ensuring adherence to proper protocol measures, and obtaining and accounting for funding.
- (15) Staff, manage, and support Senate and House liaison offices on Capitol Hill to enhance trust, facilitate communication and access to Members, provide introductions, and develop engagement opportunities.
- (16) Serve as the Army Staff proponent for the Army Congressional Fellowship Program (ACFP), in accordance with AR 1–202.
- b. ASA (FM&C). ASA (FM&C) is responsible for liaison with the congressional appropriations committees on all matters pertaining to the Army budget and those matters under the purview of the ASA (FM&C), except for matters pertaining to civil works. The ASA (FM&C) will—
- (1) Advise the SA and respond to the CSA on all appropriations matters pertaining to the Army budget and the Army’s resourcing strategy.
- (2) Develop and articulate a simple and clear congressional strategy for the SA, USA, CSA, VCSA, SMA, and HQDA that supports and defends the Army’s budget with the appropriations committees.
- (3) Report to the SA and respond to the CSA on the current status of all actions pertaining to the appropriations committees, including the status of actions on all appropriations bills and the President’s budget.
- (a) Track all appropriations bills as they progress to final passage; keep HQDA, Army Staff agencies, and ACOMs informed of the status of the bills; and provide analysis of the implications of projected passage or non-passage of the bills.
- (b) Provide the SA and the CSA with appropriations strategies to protect the Army budget and support the President’s budget during the committee marks process.
- (4) Coordinate with the CLL, as appropriate, to ensure an accurate and consistent Army message and a unified DA congressional strategy.
- (5) Serve as the primary point of contact with members of the Congress on the appropriations committees, their staffs, and committee staff.
- (6) Task HQDA, Army Staff agencies, and ACOMs to provide briefers and information requested by members of the Congress on the appropriations committees, their staffs, and committee staff.
- (7) Provide responsive, coordinated, consistent, and factual information on Army policies, plans, programs, and operations in response to all inquiries received from members of the Congress on the appropriations committees, their staffs, and committee staff.
- (8) Coordinate the Army’s involvement in hearings held by the appropriations committees and subcommittees.
- (a) Arrange for and task HQDA, Army Staff agencies, and ACOMs to furnish witnesses for hearings requested by the appropriations committees.
- (b) Coordinate hearing schedules.
- (c) Assist in preparing witnesses, to include the SA, USA, CSA, VCSA, and SMA for appropriations committee hearings.
- (d) Provide information and anticipated questions to Army witnesses prior to appropriations committee hearings.
- (e) Task appropriate HQDA officials, Army Staff agencies, and ACOMs to review hearing transcripts and provide inserts for the record, as required by appropriations committees.
- (f) Act as the final reviewing authority for appropriations hearing inserts for the record and questions for the record.
- (9) Manage the Army appeal process for appropriations appeals.
- (10) Coordinate, monitor, and report the status of ongoing investigations by the House Appropriations Committee (HAC) Surveys and Investigations staff.
- (11) Maintain recommendations and legal directives of appropriations committees and assign responsibility to the appropriate staff agency for actions necessary to comply with the intent of congressional mandates.
- (12) Review Army responses to congressional committees and the Congressional Budget Office (CBO), in conjunction with the Deputy Chief of Staff (DCS), G–8, that involve resources prior to submission of the response to ensure accuracy and consistency with the Army budget.
- (13) Review, approve, and provide a copy of the cost benefit analyses for all Army legislative proposals to DCS, G–8 Program Analysis and Evaluation.

c. *ASA (CW)*. ASA (CW) is responsible for all legislative affairs and congressional liaison pertaining to civil works. The ASA (CW) will—

(1) Serve as the DA point of contact for Congress on authorization and appropriations matters relating to the civil works program.

(2) Communicate with Congress on all civil works matters with assistance as necessary from the Chief of Engineers.

(3) Coordinate with the CLL on congressional contacts and developments that impact the Army outside of civil works, and for civil works matters involving actions of, or requests to, Army senior leaders.

d. *The Judge Advocate General*. The Judge Advocate General, under the general supervision and guidance of the Army General Counsel, will draft DA legislative proposals and process private relief legislation, except for matters related to civil works.

e. *Commanders of ACOMs and heads of Army Staff agencies*. Commanders of ACOMs and heads of Army Staff agencies will—

(1) Select qualified witnesses for congressional hearings in coordination with the CLL, ASA (FM&C), and ASA (CW), and ensure designated witnesses are given appropriate preparation and guidance.

(2) Provide timely, consistent, factual, and fully coordinated information and backup material in response to requests received from the CLL or ASA (FM&C).

(3) Ensure all information affecting resource programming is coordinated with the DCS, G-8; ASA (FM&C); and the DCS, G-3/5/7 before providing it to OCLL and the Army Budget Liaison Office for submission to congressional committees, the CBO, or any other organization, entity, or official working on behalf of a member of Congress or a congressional committee.

(4) Provide timely notice to the CLL or ASA (FM&C), as appropriate, of contacts with members of the Congress, their staffs, and committee staff, or congressional requests to visit activities or installations.

(5) Ensure congressional contacts outside the CLL and ASA (FM&C) channels comply with the policies set forth in chapter 2 of this regulation.

(6) Handle communications received directly from individual members of the Congress, congressional committees, and their staffs in accordance with chapter 6 of this regulation.

(7) Ensure all information intended for submission to the CBO is properly coordinated and cleared before submitting to the CLL and ASA (FM&C).

(8) Ensure witness statements are received by the CLL, ASA (FM&C), or ASA (CW), as appropriate, prior to scheduled testimony and in accordance with chapter 5 of this regulation.

(9) Appoint Congressional Affairs Contact Officers whose primary duty is to serve as liaison to the CLL or ASA (FM&C). Congressional Affairs Contact Officers will ensure that legislative proposals, witness statements, responses to congressional inquiries, and other information to be provided to Congress comply with the policies and procedures set forth in this regulation and the Congressional Actions Responsibilities Standing Operating Procedures.

(10) Under the guidance and direction of the CLL or ASA (FM&C), support congressional visits to Army installations, facilities, locations, and events.

f. *Army General Counsel*. As the chief legal officer of the DA, the Army General Counsel will—

(1) Review for legal sufficiency, and provide final legal clearance of, all legislative proposals submitted by the DA.

(2) Review Army substantive comments submitted in support of the Army's position on pending or proposed legislation.

(3) Review replies to congressional correspondence involving legal issues or matters of significant interest to the Army.

(4) Review proposed hearing statements, draft responses to questions for the record, and draft inserts for the record

(5) Coordinate legal and policy advice to all members of HQDA.

(6) Determine the DA position on any legal question or procedure.

(7) Review documents and information proposed for release by the Army in response to congressional requests.

(8) Review all advance policy questions.

g. *DCS, G-8*. The DCS, G-8 will—

(1) Participate in development of the purpose, scope, and theme of the Army's programs before Congress.

(2) Review Army responses to congressional committees and the CBO that involve resource programming prior to submission of these responses, in conjunction with the ASA (FM&C).

(3) Receive the cost benefit analysis (CBA) from the ASA (FM&C), review all Army legislative proposals, and provide both packets to the appropriate program evaluation groups.

h. *Other heads of Army Staff agencies*. These leaders will—

(1) Provide accurate, timely, and responsive information when tasked to respond to congressional correspondence or inquiries; provide support for congressional travel as required.

(2) Search for, assemble, and forward (or release) documents and information in response to congressional requests when tasked by OCLL or the ASA (FM&C).

(3) Make officials available in response to requests for briefings, hearings, congressional events, or other congressional contacts.

Chapter 2

Contacts with Congress

2-1. Policy

Contacts between Army commanders and officials and members of the Congress and congressional staff are encouraged. Army commanders and officials will not, however, engage in any activity that could be interpreted as associating the U.S. Army with particular partisan causes or candidates.

2-2. Handling of contacts

Notify OCLL and ASA (FM&C) of all scheduled or anticipated official contacts with members of the Congress or congressional staff. Notice will be provided as soon as possible by submitting a report via email to usarmy.pentagon.hqda-ocll.mbx.da-conrep@mail.mil. The report will include the date and place of the scheduled meeting or contact, the member of the Congress or staff attending, and a summary of the matters expected to be discussed. When meeting with members of the Congress and their staff, official statements by Army officials will be confined to matters under their purview, and will be factual, forthright, and responsive. Following all contacts, a synopsis of what was discussed and any required follow-up action will be expeditiously provided via email to usarmy.pentagon.hqda-ocll.mbx.da-conrep@mail.mil.

2-3. Senior leader congressional contacts

a. Army senior leaders, including general officers, senior executive service officials, and senior commanders, are expected to support Army congressional engagements and outreach activities. OCLL will coordinate senior leader contacts and participation in engagements and activities such as congressional travel, receptions, social events, and Army strategic communications outreach. Army senior leaders are encouraged to recommend congressional outreach efforts to OCLL and, in coordination with OCLL, schedule congressional engagements.

b. New general officers and senior executive service officials are encouraged to schedule orientation sessions with OCLL. OCLL offers individual or small group sessions to inform senior leaders of Army congressional policies, programs, and objectives, and how they can assist in promoting Army legislative objectives.

2-4. Limitations on contacts

a. Army commanders and other officials will not ask members of the Congress or congressional staff to support funding requests not included in the President's budget request or enact legislation that has not been approved by HQDA, the Department of Defense (DOD), and the Administration.

b. Title 18, United States Code, Section 1913 (18 USC 1913), prohibits the use of appropriated funds to encourage, pressure, or suggest that private citizens, citizens' groups, corporations, associations, or other private organizations contact or solicit Congress on legislative matters. These restrictions do not prohibit Army officials from providing information to the public on Army programs and policies or providing information to or engaging in direct contacts with members of the Congress or congressional staff.

c. Army commanders and other officials will obtain clearance of any statement to be provided to Congress in a letter, report, testimony, or other communication that offers a position or view on proposed or pending legislation. All budget positions must be coordinated with, and approved by, the ASA (FM&C).

d. Army contract employees and consultants may not represent Army interests with the Congress. Contract employees and consultants may provide support to Army personnel during their interactions with the Congress.

2-5. Congressional travel

a. Policy. Visits by members of the Congress and congressional staff to Army installations, facilities, units, training areas, and events heighten congressional awareness of and support for Army programs, policies, and activities and are encouraged. Only the Office of the Secretary of Defense (OSD) or the SA may extend invitations for non-reimbursable travel to members of the Congress, their family members, or congressional staff. Other Army officials will not unilaterally issue invitations for non-reimbursable congressional travel.

b. Requests for non-reimbursable travel. Army officials may request that an invitation for non-reimbursable congressional travel be extended to members of the Congress or congressional staff by forwarding a memo signed by the head of the organization to the SA, through OCLL. The memo will include the purpose of the trip and itinerary, the names of all congressional travelers, the mode of transportation, and the organization's point of contact. Requests should normally be submitted at least 15 days prior to the date of the planned travel. Short notice requests will be submitted to the Congressional Travel Branch, OCLL, by telephone at (703) 697-7271 or 697-7272, or email at usarmy.pentagon.hqda-ocll.mbx.da-conrep@mail.mil.

c. Reporting congressional visits.

(1) Upon receiving information of a proposed visit by members of the Congress or their staff or congressional committees, subcommittees, task forces, or special survey groups or teams, the responsible Army official will immediately file an initial priority report by email to OCLL at usarmy.pentagon.hqda-ocll.mbx.da-conrep@mail.mil providing all available information about the visit. The report will include notice that security clearances will be needed during the congressional visit, if required. The report will not be delayed to await receipt of additional information.

(2) At the end of a congressional visit, investigation, or hearing, the responsible Army official will submit a trip report via email to OCLL at usarmy.pentagon.hqda-ocll.mbx.da-conrep@mail.mil, unless an HQDA escort officer is present during the travel. Reports will include the place and duration of the visit, names of congressional travelers, areas of congressional interest, summary of information furnished, and any corrective action recommended. Even if an HQDA escort was present, Army officials may submit reports to provide their perspectives on the visit, investigation, or hearing, and highlight key issues. More frequent reports may be required for extended visits or for significant investigations or field hearings.

d. Partisan activities. Commanders of Army installations or facilities sponsoring congressional travelers will be familiar with and adhere to Army public affairs policies pertaining to partisan political activities on a military installation (see AR 360–1) and DOD guidance concerning election-year activities (see para 2–4, above).

2–6. Election-year activities

a. AR 360–1 contains policies and procedures to be followed, when considering military involvement in election-year activities. Installation and garrison commanders will not permit the use of military installation facilities by any candidate, or individual representing his or her interest, for political assemblies, meetings, fund-raising events, press conferences, or any other activity that could be construed as political in nature. Candidates who are not members of the Congress may be given the same access to installations as that to which any other visitor is entitled. Prior to visiting an installation, political candidates and their staffs shall be informed that candidates, their staff members, and campaign representatives will refrain from making campaign- or election-related statements or responding to campaign- or election-related media queries, while on the installation.

b. Requests from candidates to film or tape campaign commercials in front of military equipment on Army installations or facilities will be denied. Army support, including troops, bands, and color guards, for political meetings, ceremonies, or similar events is prohibited.

c. In addition to the requirements of AR 360–1, the DOD and the SA may issue election-year guidance specific to current campaign issues or concerns of the DOD or the DA. Compliance with these issuances is mandatory, as is compliance with 5 USC 7321 et seq. and Department of Defense directive (DODD) 1344.10, which govern individual political activities of civilians and uniformed military members, respectively.

d. Unless waived by the SA, awards or special recognition will not be approved, granted, or provided by Army officials to political candidates for partisan-elected offices between their announcements to run for office and the election.

2–7. Army Congressional Fellowship Program

The CLL is the proponent for the ACFP, which educates and trains selected Army officers and civilians in all aspects of congressional affairs. Army organizations are strongly encouraged to nominate military officers and senior Army civilians to participate in the ACFP. The ACFP is administered in accordance with AR 1–202.

Chapter 3 Legislation

3–1. Policy

a. The CLL directs the Army Legislative Program through the Investigations and Legislative Division. All Army legislative proposals, except those concerning civil works matters under the direction of the ASA (CW), will be coordinated by the Army Staff with ASA (FM&C), for budgetary implications; Office of the Judge Advocate General, for legal and technical accuracy; and Office of the General Counsel, for final legal clearance. Army comments submitted to DOD in response to proposals submitted by DOD or other Services, congressional and Office of Management and Budget (OMB) requests for views on pending legislative proposals, bills, proclamations, reports, testimony, statements, and executive orders that do not originate from the Army will be reviewed by the Office of the Judge Advocate General and Office of the General Counsel before release to DOD.

b. Army organizations will contact OCLL upon receipt of a request from a member of the Congress or staff for assistance in drafting legislation. Army organizations may provide drafting assistance to a member of the Congress or staff in accordance with OMB Circular No. A–19 and after coordination with OCLL. Army organizations will not

submit legislative proposals, drafts, or initiatives directly to congressional members, committees, or staff without coordination with OCLL.

3–2. Legislation proposed by Department of the Army

a. Annually, Army organizations may submit proposals for legislation or legislative changes necessary to carry out Army missions and responsibilities. Submitting officials should consider legislative proposals that streamline operations, increase efficiency, reduce costs, enhance readiness, and improve personnel well-being. The ASA (CW) will recommend necessary legislative proposals concerning civil works.

b. Army organizations will initiate legislative proposals through the appropriate Assistant Secretary of the Army or the Army Staff principal with oversight of the subject matter of the proposal to Investigations and Legislative Division. The memorandum must explain the purpose and objective of the proposal, indicate the DOD and Army priority or priorities supported, provide budgetary implications (a CBA and CBA approval memorandum from ASA (FM&C) must accompany each proposal), and list all points of contact. If the legislative proposal was previously submitted and disapproved, the action memorandum will explain the changed circumstances that warrant reconsideration.

c. The Investigations and Legislative Division will process and coordinate all Army legislative proposals to include obtaining concurrence from ASA (FM&C), DCS, G–8 (Program Analysis and Evaluation), Office of the Judge Advocate General, and Office of the General Counsel, and approval from the SA. After approval by the SA, the Investigations and Legislative Division will monitor legislative proposals through DOD and OMB coordination and submission to Congress.

d. Army organizations having interest in a legislative proposal will provide information and supporting data, as required, during consideration of the proposal.

3–3. Other legislative and executive items

a. The Investigations and Legislative Division coordinates the review of legislative and executive items, to include proposals, bills, proclamations, reports, testimonies, statements, and executive orders, that do not originate from the Army. The Investigations and Legislative Division will task, coordinate, and transmit Army comments to DOD in response to congressional and OMB requests for views.

b. Comments on legislative proposals, bills, proclamations, reports, testimonies, statements, and executive orders are time sensitive and require expeditious action at every level. Army offices tasked to provide comments on these actions will ensure proposed comments are consistent with DA, DOD, and Washington administration policy; are coordinated with offices within DA that may have an interest; and are approved at the appropriate level.

Chapter 4 Investigations

4–1. Policy

Army policy is to cooperate fully with all formal, informal, and special congressional investigations, including studies and examinations conducted by the HAC Surveys and Investigation staff. The CLL will ensure the Army promptly provides appropriate information on Army programs and operations requested by Congress during investigations, and that Army officials cooperate fully with congressional committees and their staffs. The CLL will monitor the progress of investigations and report significant developments to the Army leadership and, where appropriate, ACOMs.

4–2. Army cooperation with congressional investigations

a. The CLL will appoint a legislative counsel to coordinate all aspects of congressional investigations, including responding to requests for information, facilitating requests to interview Army officials, providing briefers, and providing Army officials to testify at congressional hearings. OCLL will work closely with the Army General Counsel in reviewing proposed Army responses to requests for information and requests to interview Army officials. As appropriate, legislative counsel will coordinate with OSD to ensure that DA-proposed responses are consistent with DOD and the Administration policy.

b. Documents requested by committees in conjunction with a congressional investigation will be reviewed and processed in accordance with chapter 7 of this regulation.

c. Army activities will promptly advise OCLL of any engagements or requests for information or support relating to a congressional investigation.

d. The Army will support congressional requests to visit installations and Army activities in conjunction with congressional investigations. The CLL will keep Army installations and ACOMs informed of any planned or proposed congressional investigative visits. Installations and activities will assist OCLL in planning, coordinating, and supporting congressional investigative trips.

e. The ASA (FM&C) may designate an Army secretariat or Army Staff agency to provide a liaison or monitor for investigations conducted by the HAC Surveys and Investigations staff. The ASA (FM&C) may also designate a budget

monitor as required for investigations of budget or appropriations issues, including investigations and reviews conducted by the CBO or the Government Accountability Office (GAO). The assigned monitor will coordinate briefings for investigators, review and recommend the release of all material, arrange the travel of investigators to ACOMs and field activities, and provide monthly status reports to ASA (FM&C).

f. Documents requested from the Army by the HAC Surveys and Investigations staff, CBO, and GAO will be processed and released in accordance with chapter 7 of this regulation.

4–3. Army role in congressional investigative hearings

a. The CLL will notify appropriate Army organizations of investigative hearings involving Army witnesses or interests. Army organizations will make witnesses available to appear before congressional hearings and support requests for witness interviews or briefings.

b. The appointed legislative counsel will prepare Army witnesses invited to testify at investigative hearings, assist in the preparation and submission of witness statements, monitor the hearing, and assist in the preparation and submission of post-hearing information, including inserts and questions for the record.

Chapter 5 Appearances Before Congressional Committees

5–1. Policy

Army policy is to provide knowledgeable, experienced, and prepared officials to present testimony at congressional hearings. Statements presented by Army witnesses will be consistent with DA, DOD, and the Administration policy and cleared by OMB. Testimony by Army witnesses at congressional hearings is critical to ensuring congressional awareness and understanding of Army policies, programs, and challenges, as well as ensuring support for Army legislative initiatives, resource requirements, policies, and programs. For the purposes of this policy, Army witnesses do not include Army officials testifying as a result of occupying a Joint assignment or when appearing at a confirmation hearing for nomination to a combatant command.

5–2. Support to witnesses testifying during congressional hearings

The CLL will designate a legislative liaison or legislative counsel for each hearing involving Army witnesses. The ASA (FM&C) will designate a representative from the Army Budget Liaison Office for appropriations-related posture or other hearings. The designated hearing representative will assist Army witnesses and supporting Army personnel in preparing, coordinating, and clearing hearing statements; ensure witnesses are informed of DA and DOD policies and positions on the subject of the hearing; provide advice and assistance to witnesses during all phases of the hearing; and attend the hearing.

5–3. Selection of witnesses

a. In most hearings involving the Army, congressional committees invite a specific Army official to testify. Officials receiving an invitation to testify will provide a report via email to OCLL at usarmy.pentagon.hqda-ocll.mbx.da-conrep@mail.mil summarizing the invitation and providing a biography of the witness. The report may include a recommendation for an alternate witness or for other supporting witnesses.

b. If selection of a witness is left to the DA, the CLL will coordinate with the Army organization having oversight responsibility of, or interest in, the subject matter of the hearing to select the best possible witness. Individuals will be designated as witnesses on the basis of grade and position, knowledge of the subject matter, and ability to present the Army position. The organization sponsoring the designated witness will provide support as needed to the witness and facilitate his or her attendance at the hearing.

5–4. Hearing statements

a. In most cases, congressional committees require witnesses to provide a written hearing statement 48 hours prior to the hearing. Hearing statements are important official documents that are published in the hearing transcript and made available to the media and the public. Officials responsible for preparing statements will ensure that classified information is not contained in the hearing statement. Hearing statements will be concise, informative, inclusive, and consistent. Whenever possible, action organizations will complete hearing statements at least 10 working days in advance of the hearing to ensure sufficient time is available to complete the clearance process.

b. Written hearing statements must be cleared by HQDA, OSD, and OMB prior to release to Congress to ensure they reflect DA, DOD, and the Administration policy and are consistent with the President's budget. Action organizations will coordinate statements with the DA offices having oversight responsibility or a direct interest in the content of the statement. A coordinated copy of the statement will be provided to the OCLL, ASA (FM&C), or ASA (CW) liaison officer handling the hearing at least five working days prior to the hearing. The Congressional Actions Responsibilities Standing Operating Procedures contains additional information concerning witness statement preparation and the

clearance process. Hearings statements will not be provided outside of DOD or the Administration until cleared by OMB and will not be released to the public until authorized by the congressional committee holding the hearing.

c. Witnesses will ensure that oral testimony presented during the hearing and responses to questions are consistent with their prepared statement. Witnesses who do not have cleared written statements must receive special authority to present testimony during congressional hearings. Witnesses authorized to testify without prepared statements will ensure testimony is unclassified and consistent with DA, DOD, and the Washington administration policy.

d. Classified information will be provided to Congress only in closed sessions consisting of individuals who are authorized access to the subject classified information. When a question is asked in open session that requires a classified answer, the witness will advise the committee that the question cannot be answered, because of security reasons. Prepared statements, oral statements, and testimony given in closed sessions of congressional committees are the property of the committee and will not be released to individuals or agencies outside of DOD, except by permission of the committee or by the committee.

5-5. Responsibilities after hearings

a. Army officials appearing as hearing witnesses will ensure information requested during a hearing is forwarded to OCLL (or to ASA (FM&C) or ASA (CW), as appropriate) for transmittal to the committee.

b. The OCLL will coordinate and assign to appropriate Army agencies congressional committee inserts for the record and hearing transcripts. An insert is any information that is inserted into a transcript to complete the record of the hearing. Inserts are usually answers to members of the Congress' questions that require additional information from the witness, or written supplemental questions for the record, submitted after the hearing. Inserts may also include the witness's prepared statement or biographical sketch, charts, or any published document required by the committee, such as the Army Posture Statement.

c. After the hearing, a copy of the transcript is normally made available to the witness for review and correction. Witnesses may correct grammatical or typographical errors in their transcripts provided the corrections do not alter the meaning of their testimony. If any material part of the testimony has been incorrectly reported or if substantial changes are considered necessary, witnesses will seek guidance from OCLL.

d. The Congressional Actions Responsibilities Standing Operating Procedures contains additional information on preparing inserts for the record and editing transcripts.

Chapter 6 Communications with Congress

6-1. Policy

a. Army policy is to make information promptly available to members of the Congress, congressional committees, and their staffs. This policy is limited only by pertinent regulations and directives relating to security and protection of individual privacy and to official information that requires protection in the public interest. Chapter 7 of this regulation contains additional information on the release of information and documents to Congress.

b. No provision of this regulation is intended to restrict the right of any individual to communicate with a member of the Congress. No person may take (or threaten to take) an unfavorable personnel action or withhold (or threaten to withhold) a favorable personnel action as reprisal against a member of the Armed Forces for making or preparing a communication to a member of the Congress (10 USC 1034).

c. Information and correspondence to Congress will be brief, clear, and courteous. Military abbreviations and technical language will not be used. Letters must be factual, forthright, simple, and responsive.

6-2. Procedures

a. Coordination of information to be released to Congress is the responsibility of the preparing organization. To expedite replies and avoid delays, OCLL is authorized to directly contact all Army organizations to secure necessary information.

b. When several identical inquiries are received from different members of the Congress, the responses should be consistent. A form letter or copy will not be used. Each case must be handled on its individual merit. Every inquiry must be answered fully and factually.

c. Communications between a member of the Congress and the Army are close hold. Inquiries from members of the Congress will not be furnished to any other member of the Congress, business, or individual without the prior approval of the CLL. When responding to an inquiry from a member of the Congress, names of other members from whom identical constituent inquiries have been received will not be cited. Reference may be made to other inquiries on behalf of the same constituent, written or verbal, without citing the specific names of members of the Congress, when—

- (1) It is considered appropriate or essential to provide the information in the interest of clarity.
- (2) It will ensure a complete understanding of all the circumstances involved.

(3) It will more fully substantiate an Army position.

d. No Army organization will transfer any congressional inquiry referred to it by OCLL to any other organization without the express consent of OCLL.

e. When congressional inquiries are referred for direct reply from one Army organization to another, the reply will not mention that the inquiry has been referred. The opening paragraph will normally be written to include the subject and the name of the constituent (if identified). The first paragraph will merely state "This is in response to..." or a comparable phrase.

f. Whenever possible, members of the Congress will be advised of the outcome of constituent matters before any other inquiring parties are informed, including the constituent. This restriction does not apply to constituents when the matter under consideration requires contact with them, before a reply to the inquiry can be made.

6-3. Correspondence with individual members of the Congress

a. Requests for information received from members of the Congress that are referred to an Army organization by OCLL or other HQDA office will be accompanied by specific instructions to include suspense date, signature level, and special interest by senior Army or DOD leadership.

b. When a congressional inquiry is addressed to a particular Army organization (or has been referred to that organization for direct reply), the reply will be signed by the head of the organization responsible for the action (or his or her designated representative) and sent directly to the member of Congress concerned. ACOMs will designate signature authorities within their areas of responsibility. When replies to such inquiries involve sensitive issues, OCLL will be advised immediately.

c. Copies of all inquiries received directly from Congress by Army organizations and the responses will be provided to OCLL when action has been completed (except inquiries concerning civil works matters, which will be provided to the ASA (CW)). Inquiries may be sent via email to usarmy.pentagon.hqda-ocll.mbx.congressional-inquiries@mail.mil or mailed to Headquarters, Department of the Army, Office of the Chief of Legislative Liaison, 1600 Army Pentagon, Washington, DC 20310-1600. Each ACOM may act as the forwarding agent for replies by their subordinate commands or organizations.

d. Proposed replies to members of the Congress (together with the member's inquiry, enclosures, and all additional information) will be forwarded to OCLL for coordination and final reply to the member when the answer to a direct inquiry requires approval by HQDA, relates to proposed or pending legislation or a congressional investigation, or requires an explanation of Army policies or procedures beyond the purview of the addressee. Command channels will be used when forwarding proposed replies.

e. Congressional inquiries often concern subjects of significant importance to the Army. As such, it is in the Army's best interest to furnish replies promptly. Special attention will be given to those inquiries involving compassionate or time-sensitive matters, such as death, injury, or sickness of, or other grave circumstances relating to Army personnel or members of their Families. Replies to inquiries involving compassionate or time-sensitive matters must be given the highest priority and will be expedited by telephone, email, or facsimile, using overtime and weekend duty as necessary. An experienced action officer will handle such cases.

f. Replies to congressional correspondence requiring the signature of the Secretary of Defense or the Deputy Secretary of Defense require immediate response by the CLL. Because of this critical time constraint, all communications on these actions between OCLL and field action officers must be by telephone, facsimile, or email. Occasionally, final responses cannot be made within the allotted time. In these cases, a substantive interim reply will be made. Interim replies must include as much specific information as possible, reasons for the delay, and the approximate date when a final reply may be expected.

g. The following guidelines apply to the processing of all other replies to congressional correspondence:

(1) All replies will be transmitted to OCLL by the fastest possible means. Email transmission is preferred.

(2) Final replies to communications received directly from members of the Congress and those referred from HQDA for direct reply will be dispatched within five working days after receipt.

(3) Requests for draft replies to communications referred by HQDA will be returned to the HQDA tasking office by the assigned suspense date. Normally, the suspense date will be five working days from receipt of the request.

(4) When circumstances clearly prevent a final or draft reply within the periods outlined above, an interim reply will be made. The interim reply will contain as much information as is available at the time, inform the member of the Congress of the reason for the delay (if appropriate), and set a specific date for a final response. Information developed from investigations, boards, and other similar proceedings should not be provided until after the ongoing action is complete. Subsequent interim replies will be provided every 15 calendar days.

h. As appropriate, when the situation involving a congressional inquiry changes significantly within six months after a member of the Congress has been given a final reply, a follow-up reply will be furnished to the member. An information copy of the follow-up reply will be furnished to OCLL.

i. The following guidelines apply to the processing of telephonic congressional inquiries:

(1) Action organizations in the continental United States will respond by telephone to telephone inquiries referred to

them by OCLL within two working days. If this is not possible, an interim reply will be provided with the expected date of a final reply and reason for the delay.

(2) Action organizations overseas will respond by telephone or email directly to OCLL or through the appropriate liaison facility within five working days, using procedures determined by their ACOM. Email or telephonic responses are preferred, but facsimile responses are acceptable.

(3) Same-day responses are required in cases of threatened suicide, abuse, violence, or threat to life.

(4) Shorter suspenses than those listed above may be imposed, as necessary, by OCLL.

6-4. Correspondence with committees of Congress

a. The OCLL may forward congressional committee inquiries to an appropriate Army organization for direct response.

b. The following guidelines apply to committee inquiries:

(1) All releases of official records and Army documents will be made, in accordance with chapter 7 of this regulation.

(2) Inspection of official records will normally be permitted when requested by a congressional committee. Such committee requests will be processed through OCLL. When classified records are involved, the provisions of AR 380-5 will be followed.

(3) In the event of a question or concern on a committee request for sensitive material, the matter will be referred to OCLL for consideration and action.

c. The following applies to the release of restricted data:

(1) Authority to communicate restricted data to a member of the Congress or staff of a committee will be obtained through OCLL.

(2) When any DA office, agency, or organization corresponds with Congress on matters pertaining to nuclear energy, two copies of the correspondence will be provided to the DCS, G-3/5/7.

Chapter 7

Release of Information and Documents to Congress

7-1. Policy on providing information and documents to Congress

a. The Army is committed to providing maximum information to and fully cooperating with members of the Congress, congressional committees, and congressional staff. Responsiveness is critical to ensuring congressional awareness, understanding, and support of Army policies, programs, and challenges. Army responses to requests from members of the Congress, congressional committees, and congressional staff for Army documents will be timely, coordinated, consistent with applicable law and policy, accurate, and responsive.

b. Requests for Army documents should be made in writing and clearly identify the documents requested. If the request is made on behalf of a congressional committee or subcommittee, the request should be on committee letterhead, clearly state that the request is made on behalf of the committee, and be signed by the committee chair.

c. Army organizations will promptly notify the OCLL CRT upon receipt of any congressional request for Army documents. Prior to release, Army officials will coordinate with the CRT requests by members of the Congress, congressional committees, congressional staff, and GAO for Army documents, studies, or information not in the public domain.

d. Unsolicited information involving any significant development concerning the Army and prepared specifically for members of the Congress, congressional committees, or congressional staff, or designed to provide notice to members of the Congress, congressional committees, or congressional staff, will be coordinated with the CRT.

e. Army organizations will immediately notify the CRT upon receipt of a request from a member of the Congress or a congressional committee for any Army document or information that is or may be protected from public release under 5 USC 552; 5 USC 552a; the Health Insurance Portability and Accountability Act (Public Law (PL) 104-191); or any other law or regulation. This notification requirement includes requests from any legislative branch organization or from any organization, entity, or official working on behalf of a member of the Congress or a congressional committee, including the GAO, CBO, and the Congressional Research Service.

f. All Army organizations will cooperate fully and promptly with OCLL in performing its critical role of facilitating congressional oversight of Army programs and activities.

7-2. Access to information

a. Members of the Congress, congressional committees, and their staffs are authorized access to classified and unclassified information when necessary to perform their governmental functions. Members of the Congress and their staff are, however, subject to applicable laws, executive orders, and regulations pertaining to classified and personal

information (to include AR 380–5 and AR 340–21). Congressional committees handle classified information under security procedures similar to those of the military departments.

b. The release of information to members of the Congress who are acting in their individual capacities or on behalf of constituents is subject to 5 USC 552; 5 USC 552a; PL 104–191; and other applicable laws and DOD and DA directives and regulations. Pursuant to these statutes, the Army makes this information available to committees of the Congress (see Department of Defense instruction (DODI) 5400.04).

c. The SA must approve the denial of any non-constituent based requests for information from members of the Congress acting in their individual capacity. The OSD must approve the denial of any requests for information from congressional leadership and committees of the Congress.

7–3. Procedures for responding to congressional requests for documents

a. The CRT is responsible for organizing and overseeing searches for documents, coordinating the review of responsive documents within the Army and the DOD, and transmitting the Army’s reply in response to all congressional requests for documents from the Army. This responsibility includes the following:

(1) Documenting, tracking, and monitoring the status of all major or sensitive congressional requests for Army documents and DA’s response to those requests.

(2) Directing the collection, review (including substantive, legal, and security reviews), coordination, duplication, and release of Army documents, and written and oral responses requested by Congress.

(3) Ensuring the Army leadership is properly informed of pending releases of documents to Congress and that preparation of Army principals to respond to queries regarding those documents is a component of any strategic communications plan.

(4) Coordinating document releases within DA, with OSD, and, as appropriate, with other DOD components.

(5) Maintaining accurate and complete copies of documents provided to the Congress.

b. The OCLL may task Army organizations, as appropriate, to search for and provide documents that may be responsive to congressional requests for data, documents, or information. Tasked organizations will collect responsive documents and information; ensure the security and legal review of such documents and information; substantively review and prepare executive summaries of the contents of such documents and information; prepare related products as required by OCLL and Army leaders; and timely make such documents, information, and products available to OCLL. To synchronize and facilitate consistency in the release of Army documents to Congress, organizations will follow the guidance contained in the Congressional Actions Responsibilities Standing Operating Procedures.

c. The Office of the Army General Counsel will review documents proposed for release to the Congress. This review will identify material and information that is subject to executive privilege or limited to committee use only.

d. The Office of the Deputy Chief of Staff, G–2 will review documents and information proposed for release to Congress that are classified as “secret” or higher, and all information or documents that contain sensitive information.

Chapter 8 Congressional Notifications

8–1. Policy

Army policy is to provide members of the Congress and congressional committees with timely information on significant developments involving Army policies, programs, operations, and developments.

8–2. Procedures

a. Army officials will consider the congressional implications of significant Army actions or developments with particular emphasis on matters affecting committee responsibilities and individual constituencies. As Army plans are developed that affect areas of concern to Congress, the responsible Army Staff office or agency will coordinate with OCLL to determine congressional implications.

b. In coordination with the responsible Army Staff office or agency, the CLL will develop a congressional notification plan when necessary to ensure appropriate members of the Congress and interested congressional committees are informed. OCLL will coordinate notification plans with affected ACOMs and provide them the final version of notifications prior to release. OCLL may task Army organizations concerned to prepare news releases, information papers, and briefings for the Congress.

c. Information provided to the Congress on broad Army plans, operations, and activities normally will be prepared by HQDA staff (to include coordination and internal clearance). OCLL will ensure the information is consistent with DA and DOD policy and properly coordinated, and will distribute the information to the Congress.

8–3. Actions or plans requiring notice to Congress

a. Army organizations will provide notice to the CLL of all significant changes in mission or operating levels prior

to public release or implementation, including anticipated changes in government-owned, contractor-operated facilities. If appropriate, these reports will include recommendations on the content and release date of the information to be provided to the Congress. Examples of formats for information for members of the Congress are shown in AR 5–10. The Congressional Actions Responsibilities Standing Operating Procedures contains additional information on preparing information for members of the Congress.

b. Procedures outlined in DODI 1400.25, Volume 351, and AR 690–351–1 will be followed when providing information on realignments and reductions affecting civilian employees of installations or separate activities. DODI 1400.25, Volume 351, requires congressional notification for—

(1) Release of 50 or more civilian employees from U.S. Government employment during a fiscal year at an installation, facility, or activity.

(2) Closure or reductions in an installation work force that may be expected to be of interest to members of the Congress and the public.

(3) Any reduction in force that is of special interest to Congress or the public.

(4) Realignment of 50 or more civilian employees outside the local commuting area.

(5) Substantial reduction in contract operations or employment (involving 100 or more people) during a fiscal year.

c. Contracting officers will report impending contract awards of \$6.5 million or more to HQDA, as required by Defense Federal Acquisition Regulation Supplement (DFARS) 205.303. Release of information is prohibited to anyone concerning the identity or location of the person, company, or corporation to whom any contract has been awarded by DOD (including a member of the Congress) prior to public announcement.

d. Contracting officers will report proposed significant contract terminations through the Assistant Secretary of the Army (Acquisitions, Logistics, and Technology) to OCLL as required by DFARS 249.7001. DODI 1400.25, Volume 351, requires congressional notification for any termination involving a reduction in employment of 100 or more contractor personnel. OCLL may furnish other reported information to Congress, depending on the significance of the termination.

Appendix A References

Section I Required Publications

AR 1–202

Army Congressional Fellowship Program (Cited in paras 1–4*a*(15), 2–7.)

AR 5–10

Stationing (Cited in para 8–3*a*.)

AR 25–400–2

The Army Records Information Management System (ARIMS) (Cited in para B–4*d*.)

AR 340–21

The Army Privacy Program (Cited in para 7–2*a*.)

AR 360–1

The Army Public Affairs Program (Cited in paras 2–5*d*, 2–6*a*, 2–6*c*.)

AR 380–5

Department of the Army Information Security Program (Cited in paras 6–4*b*(2), 7–2*a*.)

AR 690–351–1

Reduction in Force (Cited in para 8–3*b*.)

DODD 1344.10

Political Activities by Members of the Armed Forces (Cited in para 2–6*c*.) (Available at <http://www.dtic.mil/whs/directives/>.)

DODI 1400.25, Volume 351

Department of Defense Civilian Personnel Management System: Coordination and Clearance Requirements for Personnel Reductions, Closures of Installations, and Reductions of Contract Operations in the United States (Cited in paras 8–3*b*, 8–3*d*.) (Available at <http://www.dtic.mil/whs/directives/>)

DODI 5400.04

Provision of Information to Congress (Cited in para 7–2*b*.) (Available at <http://www.dtic.mil/whs/directives/>.)

DFARS 205.303

Announcement of contract awards (Cited in para 8–3*c*.) (Available at <http://www.acq.osd.mil/dpap/dars/dfarspgi/current/index.html>.)

DFARS 249.7001

Congressional notification on significant contract terminations (Cited in para 8–3*d*.) (Available at <http://www.acq.osd.mil/dpap/dars/dfarspgi/current/index.html>.)

OMB Circular No. A–19

Legislative Coordination and Clearance (Cited in para 3–1*b*.) (Available at <http://www.whitehouse.gov/omb/circulars>.)

5 USC 552

Public information; agency rules, opinions, orders, records, and proceedings (Cited in paras 7–1*e*, 7–2*b*.) (Available at <http://uscode.house.gov/>.)

5 USC 552a

Records maintained on individuals (Cited in paras 7–1*e*, 7–2*b*.) (Available at <http://uscode.house.gov/>.)

5 USC 7321 et seq.

Political Activities (Cited in para 2–6*c*.) (Available at <http://uscode.house.gov/>.)

10 USC 1034

Protected communications; prohibition of retaliatory personnel actions (Cited in para 6–1*b*.) (Available at <http://uscode.house.gov/>.)

18 USC 1913

Lobbying with appropriated moneys (Cited in para 2–4*b*.) (Available at <http://uscode.house.gov/>.)

PL 104–191

Health Insurance Portability and Accountability Act of 1996 (Cited in paras 7–1*e*, 7–2*b*.) (Available at <http://www.archives.gov/federal-register/laws/>.)

Section II

Related Publications

A related publication is a source of additional information. The reader does not have to read a related publication to understand this regulation.

AR 11–2

Managers' Internal Control Program

AR 25–30

The Army Publishing Program

Section III

Prescribed Forms

This section contains no entries.

Section IV

Referenced Forms

Unless otherwise indicated, DA forms are available on the APD Web site (<http://www.apd.army.mil/>).

DA Form 11–2

Internal Control Evaluation Certification

DA Form 2028

Recommended Changes to Publications and Blank Forms

Appendix B

Internal Control Evaluation

B–1. Function

The function covered by this evaluation is legislative liaison.

B–2. Purpose

The purpose of the evaluation is to assist office managers in evaluating key internal controls. It is not intended to cover all controls.

B–3. Instructions

Answers must be based on actual testing of the key internal controls such as analysis, direct observation, or interviewing. Answers that indicate deficiencies must be explained and the corrective action indicated in supporting documentation. These internal controls must be evaluated at least once every five years. Certification that the evaluation has been conducted must be accomplished on DA Form 11–2 (Internal Control Evaluation Certification).

B–4. Test questions

- a.* Are key internal controls identified in the governing Army regulation? (HQDA functional proponent only.)
- b.* Are required publications, as shown in AR 1–20, appendix A, available to legislative liaison personnel? (They do not have to be maintained on hand.)
- c.* Have discrepancies noted in the most recent audit or inspection been corrected?
- d.* Are records created and managed in accordance with AR 25–400–2?

e. Are procedures in place to ensure all personnel, including contractors, are aware of the provisions of this publication?

f. Have all personnel involved in the conduct of legislative liaison received appropriate HQDA and internal OCLL training?

g. Have appropriate security personnel (for example, information assurance security officers) been appointed?

h. Are incidents and violations reported properly?

B-5. Supersession

Not applicable.

B-6. Comments

Help make this a better tool for evaluating internal controls. Submit comments to Headquarters, Department of the Army, Office of the Chief of Legislative Liaison, 1600 Army Pentagon, Washington, DC 20310-1600.

Glossary

Section I Abbreviations

ACFP

Army Congressional Fellowship Program

ACOM

Army command

AR

Army regulation

ASA (CW)

Assistant Secretary of the Army for Civil Works

ASA (FM&C)

Assistant Secretary of the Army (Financial Management and Comptroller)

CBA

cost benefit analysis

CBO

Congressional Budget Office

CLL

Chief of Legislative Liaison

CRT

Congressional Response Team

CSA

Chief of Staff, Army

DA

Department of the Army

DCS

Deputy Chief of Staff

DFARS

Defense Federal Acquisition Regulation Supplement

DOD

Department of Defense

DODD

Department of Defense directive

DODI

Department of Defense instruction

GAO

Government Accountability Office

HAC

House Appropriations Committee

HQDA

Headquarters, Department of the Army

OCLL

Office of the Chief of Legislative Liaison

OMB

Office of Management and Budget

OSD

Office of the Secretary of Defense

PL

Public Law

SA

Secretary of the Army

SMA

Sergeant Major of the Army

USA

Under Secretary of the Army

USC

United States Code

VCSA

Vice Chief of Staff of the Army

Section II**Terms**

This section contains no entries.

Section III**Special Abbreviations and Terms**

This section contains no entries.

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