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**Army Programs**

**MANAGEMENT CONTROL**

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For the Commanding General:

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**Summary.**

a. This pamphlet prescribes responsibilities, policies and procedures for the Eighth United States Army (Eighth Army) Management Control (MC) Process in accordance with (IAW) AR 11-2. The Management Control Plan (MCP) at appendix A identifies functions and subtasks requiring management control evaluations.

b. Under the MCP, the Assistant Chief of Staff (ACS), G-8/Resource Management (RM), schedules Eighth Army wide evaluations of key management controls at least once every two years and high risk key management controls at least once every year. These mandatory evaluations satisfy the basic requirements of the Federal Managers' Financial Integrity Act of 1982 (Public Law 97-255). Assessable Unit Managers (AUMs) may decide how to evaluate the key controls, using either the standard checklists or existing management review processes. Evaluations must test key controls and document the results and any corrective actions taken.

**Summary of Change.** This publication has been substantially changed. A full review of its content is required.

**Applicability.** This pamphlet applies to all units, organizations, and activities assigned to Eighth Army and United States Forces, Korea (USFK). It remains in effect during all levels of mobilization. Joint activities for which the Army is executive agent are supported by the Eighth Army management control process IAW DOD Directive 5010.38, Management Control (MC) Program, dated 26 August 1996, certified current as of 21 November 2003 and AR 11-2, Management Control, dated 1 August 1994.

**Supplementation.** Supplementation of this pamphlet and establishment of command and local forms are prohibited unless prior approval is obtained from the Commander, Eighth Army (EAG8-M), Unit #15236, APO AP 96205-5236.

**Forms.** AK forms are available at <http://8tharmy.korea.army.mil/>.

**Records Management.** Records created as a result of processes prescribed by this pamphlet must be identified, maintained, and disposed of according to AR 25-400-2. Record titles and descriptions are available on the Army Records Information Management System (ARIMS) website at <https://www.arims.army.mil>.

**Suggested Improvements.** The proponent of this pamphlet is the Commander, Eighth Army (EAG8-M). Users may suggest improvements to this pamphlet by sending DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the Eighth Army (EAG8-M), Unit #15236, APO AP 96205-5236.

**Distribution.** Electronic Media Only (EMO).

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## **SECTION I GENERAL**

### **1. PURPOSE.**

a. This pamphlet prescribes responsibilities, policies and procedures for the Eighth United States Army (Eighth Army) Management Control (MC) Process in accordance with (IAW) AR 11-2. The Management Control Plan (MCP) at appendix A identifies functions and subtasks requiring management control evaluations.

b. Under the MCP, the Assistant Chief of Staff (ACS), G-8/Resource Management (RM), schedules Eighth Army wide evaluations of key management controls at least once every two years and high risk key management controls at least once every year. These mandatory evaluations satisfy the basic requirements of the Federal Managers' Financial Integrity Act of 1982 (Public Law 97-255). Assessable Unit Managers (AUMs) may decide how to evaluate the key controls, using either the standard checklists or existing management review processes. Evaluations must test key controls and document the results and any corrective actions taken.

**2. REFERENCES.** Publications listed in appendix A are synonymous to the inspection area only and are not listed as required publications. The following are required publications:

a. AR 11-2 (Management Control). Cited in Introduction, paragraphs 1a, 2, 5b, 5c(3), 5c(6) 5d(5), and 5e(6).

b. AR 25-400-2 (The Army Records Information Management System). Cited in paragraph 5-e(4).

c. AR 215-3 (Nonappropriated Funds and Related Activities Personnel Policies and Procedures). Cited in the glossary.

d. DOD Directive 5010.38 (Management Control Program). Cited in paragraph 2.

e. Public Law 97-255 (Federal Managers' Financial Integrity Act of 1982). Cited in paragraph 1b.

**3. EXPLANATION OF ABBREVIATIONS AND TERMS.** Abbreviations and terms used in this pamphlet are explained in the glossary.

### **4. RESPONSIBILITIES.**

a. The Commanding General, Eighth Army, will--

(1) Designate the ACS, G-8, as the proponent office to ensure that the management control process is effectively implemented within Eighth Army and USFK.

(2) Designate the assessable units within the organization.

(3) Sign and submit an annual statement of assurance that accurately describes the status of management controls within Eighth Army, to include any material weaknesses and plans for corrective actions. This statement will be submitted to the Office of the Assistant Secretary of the Army (Financial Management and Comptroller) (OASA (FM&C)).

b. The ACS, G-8, acting through a designated Management Control Administrator (MCA), provides overall direction for administering the MCP IAW AR 11-2 and will--

- (1) Publish and maintain the MCP.
- (2) Serve as the focal point for all management control matters.
- (3) Oversee the preparation of the annual statement of assurance that accurately describes the status of management controls, and disclose any material weaknesses along with the plans for corrective actions. Instructions for the preparation of the annual statement will be issued by the OASA (FM&C).
- (4) Identify management control training requirements and provide annual “train the trainer” training to Eighth Army and USFK Management Control Coordinators (MCCs) at the headquarters and major subordinate command (MSC) levels.
- (5) Monitor material weaknesses on a quarterly basis until corrected and closed. Written status reports are due to the ACS, G-8, quarterly from the date of Annual Assurance Feeder Statement that forwarded the material weaknesses to the ACS, G-8 originally. If the material weakness is not corrected before the next Annual Assurance Feeder Statement is due, then an updated material weakness will have to be forwarded with the Annual Assurance Feeder Statement to the ACS, G-8, indicating that the material weakness is reoccurring.
  - (a) The Department of Defense (DOD) now requires that the last milestone of this plan be a validation that corrective actions have resolved the weaknesses. Material weaknesses may not be closed until this validation milestone has been accomplished.
  - (b) The validation process should include the date of the Command Inspection Program (CIP) review, management follow-up of findings, or command evaluation.
- (6) Annually, identify the Assessable Units (AUs) and AUMs. For Eighth Army, the AUs would be the principal staff elements, MSCs and assigned units. The AUMs are the military or civilian head of an assessable unit, staff section, division or organizational element. The manager must be at least a colonel or GS-15, with the exception of Army garrisons, where an assessable unit may be headed by the senior functional area manager. Exceptions will be sent by the MCA to Headquarters, Department of the Army (HQDA) for approval. All AUMs will have an appointment memorandum. For Eighth Army, the Chief of Staff will appoint AUMs. For USFK, the Deputy Chief of Staff, USFK, or another COL/O-6, or above, in the organization as the AUM may appoint that AUM.
  - c. The AUMs for Eighth Army and USFK staff, MSCs and assigned units will--
    - (1) Provide leadership and support needed to ensure that management controls are in place and operating effectively.
    - (2) Designate in writing, a MCC and provide a copy of the designation to the Eighth Army MCA not later than (NLT) 30 days after appointment. The MCC must be an O-3 or GS-9/KGS-9, or above. This cannot be delegated down. A contractor cannot serve as a MCC, AUM, or functional area manager.
    - (3) Ensure that management control responsibilities will be stated in support forms of AUMs, commanders, MCCs, managers, and other individuals with these responsibilities. Examples of explicit statements are provided in AR 11-2, paragraph 2-10c. Commanders and staff principals will include management control responsibilities in support forms of all officers and functional area managers who conduct management control evaluations within their organizations.

(4) Ensure that the MCC and all managers with management control responsibilities are trained annually and understand their management control responsibilities.

(5) Ensure that a MCP is maintained. The MCP should detail management control responsibilities, cover key management controls identified by HQDA functional proponents, communicate clearly to subordinate managers what areas are to be evaluated, who will conduct the evaluations and when.

(6) Ensure management control evaluations are conducted according to the requirements specified in reference 1a and this pamphlet.

(7) Ensure required documentation on each completed management control evaluation, subject to audit or inspection, for three years IAW AR 25-400-2.

(8) Sign and certify the results and the procedures used to test each required management control evaluation on DA Form 11-2-R (Management Control Evaluation Certification Statement) (sample at appendix B). The DA Form 11-2-R can be reproduced from AR 11-2 or downloaded from the Army Electronic Library ([www.usapa.army.mil](http://www.usapa.army.mil)). Submit these statements to the ACS, G-8, with the annual statement of assurance.

(9) Sign and submit a statement of assurance that accurately describes the status of management controls within your organization. Include material weaknesses and plans for corrective actions with the statement. Submit this statement to the ACS, G-8.

d. The MCC will--

(1) Advise the AUM on the implementation and status of the organization's management control process.

(2) Serve as the point of contact within the organization for all management control matters.

(3) Keep commanders and managers informed about management control matters.

(4) Identify the organization's management control training requirements. Annual training for AUMs and functional area managers will be provided by the MCCs.

(5) Develop and maintain a MCP for the organization IAW this pamphlet and AR 11-2. To delete an evaluation, approval from the ACS, G-8, is required. Organizations should notify the ACS, G-8, when adding evaluations to their MCP. The procedures for developing your MCP are--

(a) Review the inventory of functions (appendix A) that require evaluation and identify those that are applicable to your organization.

(b) Identify other functions that your organization wants to evaluate and develop test questions to evaluate the function. Ensure that all locally developed alternative evaluation methods are submitted to the ACS, G-8, for approval and integrated into the unit's MCP.

(6) Ensure that required management control evaluations are conducted according to this pamphlet. Evaluations can be completed during that fiscal year (FY) but before submission of the annual assurance statement.

(7) Coordinate the preparation of the organization's annual statement of assurance on management controls. Retain all required documentation in support of the assurance statement and the correction of material weaknesses.

(8) Report through the chain of command any material weaknesses in management controls, establish and implement timely plans to correct those material weaknesses, and monitor the progress in executing those plans until the material weaknesses are corrected. The format for reporting a material weakness is at appendix C.

(9) Maintain a management control process continuity book.

(10) Ensure that any local management control guidance that defines management control responsibilities and required actions are on hand and readily available for use.

(11) Review documentation at each level to ensure that required actions have been accomplished.

(12) Submit the signed management control evaluation certification statements (DA Form 11-2-R) to the ACS, G-8, with the annual statement of assurance.

e. Functional Area Managers will--

(1) Conduct evaluations of key management controls. Key management controls will be evaluated by testing them and documenting the results of the evaluations. Testing may involve one of several approaches; such as direct observation, file or document analysis, sampling or simulation. As a minimum, supporting documentation will indicate who conducted the evaluation, the date the evaluation was conducted, what methods were used to test key management controls, what management control weaknesses (if any) were detected, and what corrective actions were taken.

(2) Identify and report management control weaknesses detected during reviews and evaluations. A milestone plan will be prepared for correcting each weakness.

(3) Prepare a DA Form 11-2-R for each evaluation completed and forward the statement to the MCC.

(4) Retain required documentation on each completed management control evaluation, subject to audit or inspection, for three years IAW AR 25-400-2. This will be an item of interest on CIP inspections.

(5) Ensure that management control evaluations performed by contractors are conducted according to this pamphlet. If a contractor is expected to conduct management control evaluations, this additional responsibility must be included as a contract requirement.

(6) Understand and apply the Comptroller General Standards for Internal Control in the Federal Government. Appendix B of AR 11-2 describes these standards.

f. The Inspector General and Internal Review offices will--

(1) Provide technical advice, assistance and consultation on management controls and the adequacy of evaluations and actions taken to correct material weaknesses.

(2) Evaluate the effectiveness of management control evaluations and actions taken to correct material weaknesses during the normal course of audits.

(3) Identify any weaknesses in management controls that merit reporting as material weaknesses based on a review of internal and external audit reports and provide quarterly statistics to the ACS, G-8.

(4) Review the Eighth Army annual assurance statement and provide an assessment of its thoroughness and validity.

## **SECTION II POLICY AND PROCEDURES**

### **5. THE EIGHTH ARMY TWO-YEAR MCP POLICIES AND PROCEDURES.**

a. All commanders and managers have an inherent responsibility to establish and maintain effective management controls, assess areas of risk, and identify and correct weaknesses in those controls. The chain of command should encourage the prompt and full disclosure of material weaknesses and ensure commanders and managers are not penalized for reporting these weaknesses.

b. Key management controls are those controls that are absolutely essential to ensure that critical processes operate as intended and that resources are safeguarded from fraud, waste, and misuse. The cost of management controls must not exceed the benefit derived. At each operating level, the determination of the materiality of a weakness is a management judgment.

c. The AUMs will ensure that MC evaluations are conducted. The AUMs or subordinate elements may supplement the list and conduct additional MC evaluations or increase the frequency of the evaluations.

d. Managers are allowed to choose how management control evaluations will be conducted. The method used must evaluate the key controls by testing them, and document the results of the evaluation and any corrective actions taken.

e. Instructions for applying the MCP and the descriptions of the column elements are--

(1) **Column 1, TASK/SUBTASK.** The 20 major tasks are listed in uppercase letters. Identified below each major task are the subtask descriptions identified by HQDA and Eighth Army proponents that require evaluations.

(2) **Column 2, RELATED REGULATION.** This number cites the governing Army Regulation (AR) or guidance document related to the subtask.

(3) **Column 3, CHECKLIST SECTION.** This section provides the status on what management control checklists are available to evaluate controls.

(a) **PUBLISHED IN.** Reflects the progress of HQDA functional proponents in reviewing the current inventory of checklists. The checklists may be revised, eliminated, or replaced with an alternative evaluation method.

(b) **“AR”.** Indicates checklists that have been or will be converted to the new format and published in the governing AR.

(c) **DATE.** Cites the actual month and year of publication of the revised checklist.

**(4) Column 4, ALTERNATIVE EVALUATION SECTION.**

(a) This section provides alternative evaluation methods identified by the HQDA functional proponent, which may either be suggested (“S”) or required (“R”). When an alternative method is required, it must be the method used to evaluate the key management controls in that area. Unless the HQDA functional proponent requires a specific alternative evaluation method, commanders and managers can decide how they will evaluate their management controls. They may use the most current checklist, the alternative method suggested by HQDA, or alternative methods of their own choosing. All locally developed alternative methods must be submitted to the ACS, G-8, for approval and inclusion in this pamphlet. The alternative method must (1) evaluate the effectiveness of key management controls, (2) accomplish this by actually testing the key management controls, and (3) document what problems were found and what corrective actions will be taken.

**DESCRIPTION.** Provides a brief description of the alternative method(s). Complete information of the method can be found in the referenced guidance.

**PUBLISHED IN.** The guidance that discusses the alternative evaluation method(s).

**S/R.** Indicates whether an alternative evaluation method is suggested (S) or required (R). For any subtask where an alternative is required, there will not be any suggested methods or checklists cited.

(b) This section also identifies the CIP checklists that must be used to conduct Eighth Army required evaluations.

**PROJECTED DATE.** The date the functional proponent expects publication of the revised AR that identifies the key management controls and provides guidance on evaluation methods.

**(5) Column 5, FISCAL YEAR OF SCHEDULED USE.** The number(s) in the column indicates the fiscal year(s) in which the evaluation must be conducted.

**6. MATERIAL WEAKNESSES.** The following are examples of areas where potential material weaknesses may exist. Weaknesses in any of these areas should be reported by all units, organizations, and activities assigned to Eighth Army and USFK in their Annual Assurance Feeder Statements to the ACS, G-8. If there is any doubt, contact the Eighth Army Management Control Administrator for further clarification.

- a. Anti-deficiency violations.
- b. Army purchase card program.
- c. Compensatory time reporting.
- d. Container inventory and management.
- e. Contract administration of service contracts.
- f. Financial reporting of equipment in-transit.
- g. Financial reporting of general equipment.

- h. Financial reporting of real property.
- i. Force readiness.
- j. Funds Control.
- k. Government travel card.
- l. Information systems security
- m. Management of unexploded ordinance and munitions constituents.
- n. Manpower requirements determinations process.
- o. Obsolete regulatory guidance (i.e., regulations, pamphlets, policies, etc.) and/or regulatory guidance not made readily available to employees (include websites that are not updated at least quarterly).
- p. Procurement.
- q. Property management.
- r. Review and validation operational projects.
- s. Split disbursements (travel vouchers).
- t. Time and attendance cards.
- u. USFK Environmental Executive Agent and Environmental Health Program.

**7. MANAGEMENT CONTROL EVALUATIONS.** The following are examples of acceptable management control evaluations within Eighth Army:

- a. Organization Inspection Program using organizational checklists, checklists found in Army in Korea (AK) Pamphlet 1-201, Eighth United States Army Command Inspection Program Checklists, or checklist found in Army Regulations.
- b. Command Inspection Program using checklists found in Army in Korea (AK) Pamphlet 1-201, Eighth United States Army Command Inspection Program Checklists, or checklist found in Army Regulations.
- c. Management Control Checklists found in Army Regulations.

**8. REOCCURRING REQUIREMENTS.**

- a. Assessable Units (AUs) will forward AUM/MCC appointment memorandums annually to the ACS, G-8. The ACS, G-8 will forward out a tasker prior to the due date.
- b. MCCs will attend Management Control Program training annually. This training will be provided by the ACS, G-8, who will forward out a notification prior to the training. Upon completion of training,

MCCs will provide internal Management Control Program training within their organizations. AUMs and functional area managers may also attend the training on space available.

c. AUMs will forward Annual Assurance Feeder Statements to the ACS, G-8. The ACS, G-8 will forward out a tasker prior to the due date.

d. AUMs/MCCs will update Management Control Plan annually and provide a copy to the ACS, G-8. The ACS, G-8 will forward out a tasker prior to the due date.

e. AUMs/MCCs will review Eighth Army Pamphlet 11-1 and provide concurrence/comments every other year to the ACS, G-8. The ACS, G-8 will forward out a tasker prior to the due date.

f. AUMs/MCCs will review Management Control Coordinator Handbook and provide concurrence/comments every other year to the ACS, G-8. The ACS, G-8 will forward out a tasker prior to the due date.

**9. MANAGEMENT CONTROL WEBSITE.** Eighth Army Management Control Information is located at <https://www-eusarm.korea.army.mil/mcp/index.htm>.

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
<b>CIVIL-MILITARY OPERATIONS</b>							
Good Neighbor Program	CFC Good Neighbor Policy Letter		Jan 03	CIP Checklist	AK PAM 1-201 Apr 05	06	07
CA/CMO	FM 3-05.401		Sep 03	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Cultural Awareness	USFK Reg 360-4		Aug 02	CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>COMBAT DEVELOPMENT</b>							
Chemical Surety	AR 50-6	AR App C	Jun 01			06	07
Flight Regulations	AR 95-1	AR App B	Sep 97			06	
<b>FINANCIAL MANAGEMENT</b>							
Defense Regional Interservice Support (DRIS)	AR 5-9	AR App D	Oct 98			06	07
Management Control Process	AR 11-2	AR App C	Aug 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Accounting Activities, Contingency Funds	AR 37-47	AR App B	Mar 04			06	07
Accounting Operations	DFAS-IN R 37-1	DFAS-IN R App C	Jan 00			06	07
Vendor Pay Offices	DFAS-IN R 37-1	DFAS-IN R App G	Jan 00			06	07
Travel Operations	DFAS-IN R 37-1	DFAS-IN R App H	Jan 00			06	07
Prisoner Funds	DFAS-IN R 37-1	DFAS-IN R App R	Jan 00			06	07
Distribution & Execution of Appropriated Funds	DFAS-IN R 37-1	DFAS-IN R App W	Jan 00			06	07
Budget	DFAS-IN 37-1		Jan 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Army Travel Charge Card Program	DOD FMR 7000.14R			CIP Checklist	AK Pam 1-201 Apr 05	06	07

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<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>
<b>HEALTH CARE</b>						
Army Organ Transplant and Organ/Tissue Donation Program	AR 40-3	AR App D-4, sec a	Nov 02			06
Medical Laboratory Mgmt	AR 40-3	AR App D-4, sec b	Nov 02			06
Army Blood Program	AR 40-3	AR App D-4, sec c	Nov 02			06
Pharmacy Management	AR 40-3	AR App D-4, sec d	Nov 02			06
Army Aviation Medicine Program	AR 40-3	AR App D-4, sec e	Nov 02			06
Army Medical Department Medical Libraries and Information Centers	AR 40-3	AR App D-4, sec f	Nov 02			06
Preventative Medicine	AR 40-5	AR App B	Jul 05			06 07
Dental Readiness and Community Oral Health Protection	AR 40-35	AR App B	Aug 04			06 07
Medical Logistics Policies	AR 40-61	AR App B	Jan 05			06 07
Medical Records Administration & Health Care Documentation	AR 40-66	AR App C	Jul 04			06
Clinical Quality Management	AR 40-68	AR App J	Feb 04			06 07
Third Party Collection Program	AR 40-400	AR App C-1	Mar 01			07
Medical Affirmative Claims (MAC) Program	AR 40-400	AR App C-2	Mar 01			07
Medical Services Account (MSA)	AR 40-400	AR App C-3	Mar 01			07
Care from Civilian Sources Army Personnel	AR 40-400	AR App C-4	Mar 01			07

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<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
Patient Eligibility for Care in Army Treatment Facilities	AR 40-400	AR App C-5	Mar 01				07
Veterinary/Medical Food Safety Quality Assurance & Laboratory Service	AR 40-657	AR App C	Jan 05				07
Veterinary Health Services	AR 40-905	AR App B	Aug 94				07
Use of Laboratory Animals in DOD Prgms 91w Certification Statement/Sustainment	AR 70-18						06
Anthrax Vaccination Immunization				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Combat Lifesaver				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Field Sanitation				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Dental Readiness				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Decentralized Storage of Medical Biological Material				CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>INFORMATION MANAGEMENT</b>							
Frequency Management	AR 5-12		Oct 97	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Awareness for Radio Frequency Spectrum Allocation-to-Equipment Assessment	AR 5-12	AR App D	Oct 97				06
Responsibilities of Commanders for Radio Frequency Spectrum Mgmt	AR 5-12	AR App E	Oct 97				06
Frequency Supportability for Equipment or System R&D	AR 5-12	AR App F	Oct 97				06
Frequency Supportability in the Experimental Phase	AR 5-12	AR App G	Oct 97				06
Frequency Supportability Modifications in the Developmental Stage	AR 5-12	AR App H	Oct 97				06

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<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
Validate Frequency Supportability Prior to Procurement of Equipment, Systems or Facilities	AR 5-12	AR App I	Oct 97			06	
Army Information Management	AR 25-1	AR App C	Jul 05				07
Automation, General	AR 25-1		Jul 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Records Management	AR 25-1 AR 25-400-2		Jul 05 Nov 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Policy	AR 25-1 EUSA Pam 25-50		Jul 05 Oct 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Software Management	AR 25-1 EUSA Pam 25-50		Jul 05 Oct 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Information Assurance	AR 25-2	AR App C					
Publications Management The Army Publishing Program	AR 25-30	AR App B-4 a	Jun 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Forms Management	AR 25-30	AR App B-4 b	Jun 04			06	07
Print and Reproduction Control	AR 25-30	AR App B-4 c	Jun 04			06	07
Distribution & Account Management &Control	AR 25-30	AR App B-4 d	Jun 04			06	07
Official Mail & Distribution	AR 25-51	AR App C	Jul 05			06	07
DA Freedom of Information Act Program	AR 25-55	AR App H	Nov 97			06	
Official Copier Program	EUSA Pam 25-1		Nov 01	CIP Checklist		06	07
Resources Management System	EUSA Pam 25-50		Oct 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07

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Telecommunications	EUSA Pam 25-60		Nov 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>INSPECTIONS AND AUDITS</b>							
Inspections\ General Activities and Procedures	AR 20-1	AR App B	Mar 02				07
<b>INTELLIGENCE ACTIVITIES</b>							
Information Security	AR 380-5	AR App F	Sep 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Communications Security	AR 25-2	AR App C	Nov 03			06	07
Information Systems Security	AR 25-2	AR App C	Nov 03			06	07
Network Security	AR 25-2	AR App C	Nov 03			06	07
Telecommunications Security	AR 25-2	AR App C	Nov 03			06	07
Personnel Security	AR 380-67		Sep 88	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Intelligence Oversight	AR 381-10		Jul 84	CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>LEGAL SERVICES</b>							
Judge advocate Legal Services Library	AR 27-1	AR App C	Sep 96				07
Claims	AR 27-20	AR App B	Jul 03				07
Maneuver Damage	EUSA Reg 27-20		May 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>MAINTENANCE ACTIVITIES</b>							
Integrated Logistics Support	AR 700-127	AR App C	Nov 99			06	

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Loan and Lease of Army Material	AR 700-131	AR App C	Aug 04				07
Equipment Readiness	AR 700-138	AR App C	Feb 04				07
Army Warranty Program	AR 700-139	AR App B	Feb 04			06	07
Shop Supply (Maintenance Operations)	AR 710-2	AR App B	Jul 05				07
Army Oil Analysis Program (Division ADCS/MACOM G-4)	AR 750-1	AR App H	Jul 05			06	
Army Oil Analysis Program (DCS, G-4 (AMC))	AR 750-1	AR App H	Jul 05			06	07
Equipment Maintenance	AR 750-1	AR App H	Jul 05			06	
Maintenance Expenditure Limits	AR 750-1	AR App H	Jul 05			06	
Maintenance Management	AR 750-1	AR App H	Jul 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Operational Readiness Floats (Division ADCS/MACOM G-4)	AR 750-1	AR App H	Jul 05			06	
Operational Readiness Float (Material Developer and DCS, G-4 (AMC))	AR 750-1	AR App H	Jul 05			06	07
Specialized Repair Activities (DCS, G-4 (AMC))	AR 750-1	AR App H	Jul 05			06	07
Special Repair Activities ((Division ADCS/Overseas MACOM DCS, G-4)	AR 750-1	AR App H	Jul 05			06	07
Specialized Repair Activities (AMC MSC Commander/Maintenance Inspector)	AR 750-1	AR App H	Jul 05			06	07
Army Modification Program	AR 750-10	AR App E	Aug 00			06	07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION PUBLISHED IN</b>		<b>FISCAL YEAR OF SCHEDULED USE</b>	
Test Measurement and Diagnostic Equipment (TMDE)	AR 750-43	AR App C	Dec 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Battery Management				CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>MANAGEMENT AND COMMAND ACTIVITIES</b>							
Army Radiation Safety Program Radiation Safety	AR 11-9	AR App C	May 99	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Public Affairs Organization & Operations				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Community Relations				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Audience Research				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Command Information				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Command Information Assistance Visits				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Command Newsletter or Newspaper				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Commander's Call				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Electronic Media				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Publications other than Newspapers				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Special Access Programs	AR 380-381	AR App C	Apr 04			06	
Accident Prevention Program Plan	AR 385-10	AR App B	Feb 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Army Safety Program	AR 385-10	AR App B	Feb 00			06	07
Command Factors	AR 385-10	AR App B	Feb 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Explosive and Range Safety	AR 385-10	AR App B	Feb 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Organizational Structure and Training	AR 385-10	AR App B	Feb 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Accident Reporting and Investigation	AR 385-40		Nov 94	CIP Checklist	AK Pam 1-201 Apr 05	06	07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION PUBLISHED IN</b>		<b>FISCAL YEAR OF SCHEDULED USE</b>	
Safety-Chemical Agents	AR 385-61		Oct 01	Army Safety Program Evaluation		06	
Range Safety	AR 385-63	AR App B	Mar 03			06	07
Safety-Management of Explosives Safety Program	AR 385-64		Feb 00	Army Safety Program Evaluation			07
Army Aviation Accident Prevention	AR 385-95	AR App D	Dec 99			06	07
Driver Training	AR 600-55		Dec 93	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Hometown News Release Program	DA Pam 360-3		Aug 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Public Affairs Planning				CIP Checklist	AK Pam 1-201 Apr 05	06	07
DoD Web Site Administration, Policy and Procedures (25 Nov 98)				CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>PERSONNEL ACTIVITIES</b>							
Military Pay	AR 37-104-4		Jul 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Enlisted Administration Separations	AR 135-178	AR App B	Jul 05			06	07
Officer Candidate School, Army	AR 140-50	AR App D	Nov 99			06	07
Soldier Programs-Senior ROTC Program	AR 145-1		Jul 96	MILPER Message 1 Oct 03			06
Soldier Programs-Junior ROTC Program	AR 145-2	AR App H	Feb 00			06	
US Non-Appropriated Funds (NAF)	AR 215-3	AR App D	Aug 03	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Monitoring-Active Duty Service Obligations	AR 350-100	AR App B	Apr 05				07
Manpower Management Functions	AR 570-4	AR App B	May 00			06	
Remission or Cancellation of Indebtedness of Enlisted Members	AR 600-4	AR App B	Apr 98			06	

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
Meal Card Management	AR 600-38		Mar 88	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Suspension of Favorable Personnel Actions	AR 600-8-2		Dec 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Personnel Register	AR 600-8-6	AR App B	Sep 98				07
Strength Reports	AR 600-8-6	AR App C	Sep 98				07
Personnel Asset Inventory	AR 600-8-6	AR App D	Sep 98				07
Sponsorship	AR 600-8-8	AR App B	Nov 04			06	07
Personnel Mobilization	AR 600-87-6	AR App E	Sep 98			06	07
Retirement - Survivor Benefit Plan	AR 600-8-7	AR App C	Jun 00				07
Emergency Leave	AR 600-8-10		Jul 03	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Leave Control	AR 600-8-10		Jul 03	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Reassignment Processing	AR 600-8-11		Nov 90	CIP Checklist	AK Pam 1-201 Apr 05	06	07
E-1/E-4 Advancements	AR 600-8-19		Jan 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
SGT/SSG Promotion	AR 600-8-19		Jan 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Awards Recognition Program	AR 600-8-22		Feb 95	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Officer Promotions	AR 600-8-29		Feb 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Personnel Processing (In, Out Soldier Readiness, Mobilization & Deployment Processing)	AR 600-8-101	AR App B	Jul 03				07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
Army Substance Abuse Program Alcohol and Drug Abuse Prevention and Control Program	AR 600-85	AR App C	Oct 01	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Soldier Programs-Aviation Service of Rated Army Officers	AR 600-105		Dec 94	MILPER Message NR 02-133, Apr 04			07
Soldier Programs-Nonrated Army Aviation Personnel	AR 600-106	AR App B	Dec 98				07
Military Personnel Functions- Accession Vocational Testing	AR 601-222	AR App C	Oct 94			06	
Voting Assistance	AR 608-20		Nov 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Military Personnel Functions- Army Personnel Testing Program	AR 611-5		Jun 02	Message 051000Z, Sep 97			07
Intelligence Linguist Management	AR 611-6	AR App E	Feb 96			06	
Management of Army Divers	AR 611-75	AR App B	Oct 02			06	
Assignments, Details, and Transfers	AR 614-30	AR App F	Nov 04			06	07
Special Duty Assignment Pay Education Incentives and Entitlements-PERSCOM	AR 614-200 AR 621-202	AR App C AR App C	Aug 05 Feb 92			06	07
Education Incentives and Entitlements-Army Cont Ed Svcs	AR 621-202	AR App D	Feb 92				07
Education Incentives and Entitlements - USAREC	AR 621-202	AR App E	Feb 92				07
Education Incentives and Entitlements-Reception Stations	AR 621-202	AR App F	Feb 92				07
Officer Evaluation Reports	AR 623-105		Dec 04	CIP Checklist	AK Pam 1-201 Apr 05	06	07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
Evaluation Reports	AR 623-205		May 02	CIP Checklist	AK Pam 1-201 Apr 05	06	07
AWOL and DFR Control	AR 630-10		Apr 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Transition Processing- Personnel Separation Documents	AR 635-5	AR App B	Sep 00				07
Deceased Personnel: Case & Disp of Remains & Pers Effects	AR 638-2	AR App B	Dec 00				07
U.S. Recruitment and Benefits	AR 690-335-1		Apr 97	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Employee Relations	AR 690-400		Oct 98	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Civilian Training	AR 690-400		Oct 98	CIP Checklist	AK Pam 1-201 Apr 05	06	07
EMILPO (PERSTEMPO)	DA Pam 600-8-23		Mar 92	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Temporary Duty Travel (TDY)	AR 600-8-105		Oct 94	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Korean National Recruitment and Benefits	USFK Reg 690-1		Jul 00	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Labor Relations	USFK Reg 690-711		May 98	CIP Checklist	AK Pam 1-201 Apr 05	06	07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

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CSB/REDUX				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Personnel Service Support				CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>CHAPLAIN ACTIVITIES</b>							
Religious Programs	AR 165-1	AR App B & C	Mar 04	CIP Checklist	AK Pam 1-201 Apr -5	06	07
<b>SECURITY ACTIVITIES</b>							
General				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Security and Accountability of Arms, Ammunition, and Explosives (AA&E)	AR 190-11		Feb 98	CIP Checklist	AK Pam 1-201 Apr 05	06	07
AA & E Training Program	AR 190-11		Feb 98	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Crime Prevention	AR 190-13		Sep 93	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Physical Security Inspection, Surveys, and Audits	AR 190-13		Sep 93	CIP Checklist	AK Pam 1-201 Apr 05		07
Physical Security Plan	AR 190-13		Sep 93	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Correction of Military Offenders	AR 190-47	AR App C	Apr 04				07
Key Control	AR 190-51		Sep 93	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Security of Unclassified Army Property (Sensitive and Nonsensitive)	AR 190-51		Sep 93	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Foreign Disclosure and Contacts	AR 380-10	AR App L	Jun 05			06	07
Policy for Safeguarding and Controlling	AR 380-40	AR App G	Jun 00			06	07
Department of the Army, Information	AR 380-05	AR App F	Sep 00			06	07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
Anti-Terrorism	AR 525-13	AR App C	Jan 02			06	07
<b>SUPPLY ACTIVITIES</b>							
Food Service	AR 30-22		May 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Petroleum, Oils & Lubricants (POL)	AR 70-12		May 97	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Ammunition Management	AR 75-1 AR 190-11		Apr 01 Feb 88	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Small Arms Repair Parts Management	AR 190-11 AR 710-2	AR App B	Feb 88 Jul 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Joint Operating Procedures Management Standardization of Mobile Electric Power Generating Sources	AR 700-101	AR App D	Sep 03			06	07
Loan, Lease, Donation of Army Materiel	AR 700-131	AR App D				06	07
Army Logistics Readiness and Sustainability	AR 700-138	AR App C	Feb 04			06	07
Hazardous Material Information Resource System	AR 700-141	AR App D	May 04				07
Demilitarization and Trade Security Controls	AR 700-144	AR App F	Mar 00			06	07
Logistics Planning Factors And Data Management	AR 700-8	AR App C	May 00			06	07
Logistics Management Data and Cataloging of Supplies and Equipment (Wholesale)	AR 708-1	AR App B	Jul 004				07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION PUBLISHED IN</b>		<b>FISCAL YEAR OF SCHEDULED USE</b>	
Centralized Inventory Management Of the Army Supply System (Wholesale)	AR 710-1	AR App B	Sep 95				07
Ammunition Accountability	AR 710-2	AR App B	Jul 05				07
Coal and Petroleum Products	AR 710-2	AR App B	Jul 05				07
Operation of Storage Facilities	AR 710-2	AR App B	Jul 05				07
Retail Supply Operations- Property Book	AR 710-2	AR App B	Jul 05				07
Retail Supply Operations- Supply Management	AR 710-2	AR App B	Jul 05				07
Supply Management	AR 710-2	AR App B	Jul 05	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Special Authorization & Procedures for Issues, Sales & Loans	AR 725-1	AR App B	Nov 03			06	07
Policies and Procedures for Property Accountability	AR 735-5		Feb 05	Use AR 710-2 (Table B-1 thru B-6)			
Storage and Supply Activity Operations	AR 740-1	AR App B	Sep 02			06	07
Physical Inventory Control Transportation Unit Movement	AR 740-26	AR App B	Mar 03	CIP Checklist	AK Pam 1-201 Apr 05	06 06	07 07
Wartime Host Nation Support (WHNS)	USFK Reg 550-52		Jul 99	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Water Supply				CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>TRAINING AND EDUCATION</b>							
Opposing Force (OPFOR) Program	AR 350-2	AR App B	Apr 04			06	07
Tactical Intelligence Readiness Training Program	AR 350-3	AR App B	Aug 95				07
Total Army Language Program	AR 350-16	AR App F	Mar 98			06	07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

<b>TASK SUBTASK</b>	<b>RELATED REGULATION</b>	<b>CHECKLIST PUBLISHED IN</b>	<b>DATE</b>	<b>ALTERNATIVE METHOD DESCRIPTION</b>	<b>PUBLISHED IN</b>	<b>FISCAL YEAR OF SCHEDULED USE</b>	
Army Exercises	AR 350-28	AR App C	Dec 97				
Combat Training Center Program	AR 350-50	AR App B	Jan 03			06	
Nuclear, Biological, and Chemical (NBC)				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Training Management				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Collective Training	EUSA Reg 350-41		Oct 96	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Mandatory Training	EUSA Reg 350-41		Oct 96	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Training Ammunition Management	EUSA Reg 350-41 AK Reg 700-3		Oct 96	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Non-combatant Evacuation Operations (NEO)	USFK Pam 600-300-1		Apr 94	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Mandatory Training (Weapons Training)				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Mandatory Training (Physical Fitness Training)				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Mandatory Training (NCODP/Code of Conduct/SERE/CTT)				CIP Checklist	AK Pam 1-201 Apr 05	06	07
OPSEC				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Force Protection/Anti-Terrorism				CIP Checklist	AK Pam 1-201 Apr 05	06	07

**EIGHTH UNITED STATES ARMY 2-YEAR MANAGEMENT CONTROL PLAN  
MANAGEMENT CONTROL EVALUATIONS**

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Manpower				CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>TRANSPORTATION</b>							
Malfunction Officer On-Site Investigations	AR 59-4	AR App B	May 98				07
Personnel Parachute Malfunction Investigations	AR 59-4	AR App C	May 98				07
Airdrop Load Malfunction Investigations	AR 59-4	AR App D	May 98				07
<b>EQUAL EMPLOYMENT PROGRAM</b>							
Command Responsibilities	AR 690-12		Mar 88	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Affirmative Employment Program	AR 690-12		Mar 88	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Special Emphasis Program (SEP)	AR 690-12		Mar 88	CIP Checklist	AK Pam 1-201 Apr 05	06	07
Training	AR 690-12		Mar 88	CIP Checklist	AK Pam 1-201 Apr 05	06	07
<b>EQUAL OPPORTUNITY</b>							
Equal Opportunity Program Administration	AR 600-20		Mar 02	CIP Checklist	AK Pam 1-201 Apr 05	06	07
EO/POSH/CO2 Training				CIP Checklist	AK Pam 1-201 Apr 05	06	07
Sexual Assault Prevention and Response Program				CIP Checklist	AK PAM 1-201 Apr 05	06	07

<b>MANAGEMENT CONTROL EVALUATION CERTIFICATION STATEMENT</b>		1. REGULATION NUMBER EUSA PAM 11-1
For use of this form, see AR 11-2; the proponent agency is ASA(FM).		2. DATE OF REGULATION 30 Jan 2004
3. ASSESSABLE UNIT Assessable Unit being evaluated		
4. FUNCTION Function being evaluated		
5. METHOD OF EVALUATION ( <i>Check one</i> )		
<input checked="" type="checkbox"/> a. CHECKLIST	<input type="checkbox"/> b. ALTERNATIVE METHOD ( <i>Indicate method</i> )	
APPENDIX ( <i>Enter appropriate letter</i> )		
6. EVALUATION CONDUCTED BY		
a. NAME ( <i>Last, First, MI</i> ) Name, rank, title of person conducting evaluation		b. DATE OF EVALUATION Date evaluation conducted
7. REMARKS ( <i>Continue on reverse or use additional sheets of plain paper</i> )		
<p>1. Certify all evaluations using DA Form 11-2-R (Management Control Evaluation Certification Statement)</p> <p>2. Commanders, managers, assessable unit managers must evaluate all tasks, as applicable in their area of responsibility.</p> <p>3. Choose the method of review:</p> <ul style="list-style-type: none"> <li>-- Management Control Evaluation Checklist</li> <li>-- Existing or other review process (e.g., Command Inspection Program, Internal Review audit, IG inspection).</li> </ul> <p>4. A management control evaluation must:</p> <ul style="list-style-type: none"> <li>-- be detailed, systematic, and comprehensive</li> <li>-- determine whether key management controls are: in place, being used as intended, and are effective in achieving their purpose.</li> <li>-- be based on actual testing of the management controls, using one of several approaches: <ul style="list-style-type: none"> <li>-- direct observation</li> <li>-- file/document analysis</li> <li>-- sampling or</li> <li>-- simulation</li> </ul> </li> </ul> <p>5. All evaluations must be supported by documentation that clearly states:</p> <ul style="list-style-type: none"> <li>-- who documented the evaluation</li> <li>-- when the evaluation was conducted - the date</li> <li>-- what methods were used to test key management controls</li> <li>-- what management control Material Weaknesses (MW), if any, were detected and</li> <li>-- what corrective actions were taken.</li> </ul> <p>6. Reporting organizations (USFK Staff, 8th Army Staff, and Major Subordinate Commands) must maintain copies of their annual statements, along with complete supporting documentation.</p> <p>7. Organizations tracking MWs must maintain documentation on:</p> <ul style="list-style-type: none"> <li>-- Status of corrective action(s)</li> </ul>		
8. CERTIFICATION		
I certify that the key management controls in this function have been evaluated in accordance with provisions of AR 11-2, Management Control. I also certify that corrective action has been initiated to resolve any deficiencies detected. These deficiencies and corrective actions ( <i>if any</i> ) are described above or in attached documentation. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. ASSESSABLE UNIT MANAGER		
(1) TYPED NAME AND TITLE Name of COL/GS-15 certifying the evaluation		b. DATE CERTIFIED Date of certification
(2) SIGNATURE		

7. REMARKS (*Continued*)

- Effectiveness of corrective actions(s)
- Validation of corrective actions(s)

8. Retention of documentation must be IAW AR 25-400-2, The Army Records Information Management System (ARIMS).

- Assessable units retain most recent management control evaluations.
- Reporting organizations (USFK Staff, 8<sup>th</sup> Army Staff, and MSCs) retain annual assurance statements for 2 years.
- Reporting organizations (USFK Staff, 8<sup>th</sup> Army Staff, and MSCs) retain MWs for 2 years after validation.

## APPENDIX C

### CORRECTED/UNCORRECTED MATERIAL WEAKNESS FORMAT WITH INSTRUCTIONS FOR COMPLETION

Local ID#. Your organization's identification # for the MW \_\_\_\_\_

**Title and Description of Material Weakness:** The title should be short. The description should permit a full understanding of the problem, its cause and impact by a member of Congress or the general public. (If a material weakness was previously reported as corrected and must be reopened, it should not be reported as a new weakness. The material weakness should retain its earlier title and identification number with a parenthetical notation in the description that it was previously reported as closed in the FY XX annual assurance statement.)

**Functional Category:** Cite one of the broad DOD functional categories.

**Pace of Corrective Action:**

**Year Identified:** The FY the weakness was first reported in your assurance statement.

**Original Targeted Correction Date:** The FY that correction was targeted for when the weakness was first reported.

**Targeted Correction Date in Last Year's Report:** The FY that correction was targeted for in last year's report. If this is a new weakness, enter "N/A".

**Current Target Date:** The FY that correction is now targeted for. If this is a new weakness, enter "N/A".

**Reason for Change in Date(s):** If the "Current Target Date" is later than the "Targeted Correction Date in Last Year's Report", explain what caused this change. If these two items are the same date or "N/A", enter "N/A".

**Component/Appropriation/Account Number:** Component is "Army". Identify the appropriation(s) and account number(s) associated with this correction (Example: Army/Other Procurement, Army/Acct #).

**Validation Process:** Indicate the method to be used to validate the effectiveness of the corrective actions and the date that will take place. Indicate if the United States Army Audit Agency (USAAA) or Department of Army (DA) Inspector General has a role in this validation. Material weakness is closed when this process is completed.

**Results Indicators:** Describe the beneficial results that have been or will be achieved for the Army by the corrective actions, using quantitative and/or qualitative measures.

**Source(s) Identifying Weakness:** List all sources, to include: management control evaluations; GAO, DODIG, USAAA or DA Inspector General findings (cite the title, number and date of the audit/inspection report); local inspector general or internal review findings; or other management evaluations.

**Major Milestones in Corrective Action:** Indicate the major milestones (primary corrective actions) required to correct the weakness. Milestones should be directly related to correction of the weakness and should be stated in the present tense.

**The DOD policy requires that validation occur before material weaknesses are reported as closed and that each material weakness includes a validation milestone as the last corrective action.**

Milestones may be added or deleted for previously reported material weaknesses, but an audit trail must be provided. When adding a milestone, enter “(added)” under the new milestone’s date. When deleting a milestone, enter “(deleted)” under the date and provide a short explanation of why it was deleted at the end of the milestone description.

**A. Completed Milestones:**

<u>Date:</u>	<u>Milestone:</u>
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**B. Planned Milestones: (Current Fiscal Year):**

<u>Date:</u>	<u>Milestone:</u>
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**C. Planned Milestones: (Beyond Current Fiscal Year):**

<u>Date:</u>	<u>Milestone:</u>
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**Point of Contact:** The name, office symbol, and telephone number of the individual who is most knowledgeable about and can respond to specific inquiries about the material weakness.

## **DOD FUNCTIONAL CATEGORIES**

Research, Development, Test, and Evaluation

Major Systems Acquisition

Procurement

Contract Administration

Force Readiness

Manufacturing, Maintenance, and Repair

Supply Operations

Property Management

Communications and/or Intelligence and/or Security

Information Technology

Personnel and/or Organization Management

Comptroller and/or Resource Management

Support Services

Security Assistance

Other (Primarily Transportation)

## GLOSSARY

### Section I.

#### ABBREVIATIONS

ACS	Assistant Chief of Staff
AR	Army Regulation
AU	Assessable Unit
AUM	Assessable Unit Manager
CIP	Command Inspection Program
DA	Department of the Army
DOD	Department of Defense
EUSA	Eighth United States Army
FY	fiscal year
G-8	Resource Management
HQDA	Headquarters, Department of the Army
IAW	in accordance with
MC(s)	management control(s)
MCA	Management Control Administrator
MCC	Management Control Coordinator
MCP	Management Control Plan
MSC	Major Subordinate Command
NLT	not later than
OASA (FM&C)	Office of the Assistant Secretary of the Army (Financial Management and Comptroller)
TBD	to be determined
USAAA	United States Army Audit Agency
USFK	United States Forces, Korea

### Section II.

#### TERMS

**Alternative management control evaluation.** Any existing management review process that meets the basic requirements of a management control evaluation (i.e., it assesses the key management control, it evaluates the control by testing it, and it provides the required documentation). The existing management review process may be unique to a specific functional area (e.g., Command Supply Discipline Program) or they may be generic (e.g., the CIP or audits by the Internal Review auditors).

**Annual Statement of Assurance.** An annual report that provides a broad assessment of management controls within the command or agency and identifies any material weaknesses with management controls.

**Assessable unit (AU).** A subordinate organization of the reporting organization. For Eighth Army, these would be the principal staff elements, MSCs and assigned units.

**Assessable Unit Manager (AUM).** The military or civilian head of an assessable unit, staff section, division or organizational element. The manager must be at least a colonel or GS-15, with the exception of Army garrisons, where an assessable unit may be headed by the senior functional area manager. Exceptions must be approved by HQDA. The AUM certifies the results of required management control evaluations.

**Comptroller General Standards.** The five standards issued by the Comptroller General to be applied by all managers in the Federal government to develop, establish and maintain management controls.

**Feeder Statement.** An annual report that provides an assessment of management controls within an organization and identifies any material weaknesses in the management controls.

**Functional Area Manager.** The manager or supervisor who evaluates key management controls and identifies weaknesses within an organization.

**Joint Staff.** The staff of a commander of a unified or specified command, subordinate unified command, joint task force, or subordinate functional component that includes members from more than one military department.

**Key management controls.** Essential management controls that must be implemented and sustained in daily operations to ensure organizational effectiveness and compliance with legal requirements. Key management controls are identified by HQDA functional proponents in their governing ARs and establish the baseline requirement for conducting management control evaluations.

**Management controls (MCs).** The rules, procedures, techniques and devices employed by managers to ensure that what should occur in their daily operations do occur on a continuing basis. Included are the organizational structure itself (e.g., designating specific responsibilities and accountability), formally defined procedures (e.g., required certifications and reconciliations), checks and balances (e.g., separation of duties), recurring reports and management reviews, supervisory monitoring, physical devices (e.g., locks and fences), and measures used by managers to provide reasonable assurance that their subordinates are performing as intended.

**Management Control Administrator (MCA).** The individual designated by the senior responsible official to administer the management control process for a reporting organization. The administrator provides management control guidance and information to commanders and managers throughout the command.

**Management Control Coordinator (MCC).** The individual designated by the AUM to administer the management control process within their organization.

**Management control evaluation.** A periodic, detailed assessment of a key management control to determine whether it is operating as intended. This assessment must be based on the actual testing of the key management control and must be supported by documentation (i.e., who conducted the evaluation, the date the evaluation was conducted, the methods used to test the controls, any deficiencies detected and the corrective actions taken).

**Management Control Evaluation Certification Statement.** A statement that acknowledges that a required management control evaluation has been conducted. This statement will be documented on DA Form 11-2-R.

**Management control evaluation checklist.** A set of test questions developed by a HQDA functional proponent to evaluate the effectiveness of a key management control.

**Management Control Plan (MCP).** The written plan for conducting required management control evaluations within an organization. Included are the key management controls identified by HQDA functional proponents, what areas are to be evaluated, and when to conduct the evaluations.

**Management control weakness.** The absence or ineffectiveness of management controls (e.g., management controls are not in place, or are in place but are not being used, or are in place and being used but are not effective).

**Material Weakness.** A management control weakness that warrants reporting to the next level of command, either for their action or for their awareness. To determine whether a weakness is material, the following factors should be considered: actual or potential loss of resources; sensitivity of the resources involved; magnitude of funds, property or other resources involved; actual or potential frequency of loss; current or probable media or Congressional interest (adverse publicity); unreliable information causing unsound management decisions; diminished credibility or reputation of management; impaired fulfillment of essential mission; violation of statutory or regulatory requirements; information security risk; and public deprivation of needed Government services.

**Reasonable assurance.** An acceptable degree of confidence in the general adequacy of management controls to deter or detect material failures in complying with the objectives of the Integrity Act. The determination of reasonable assurance is a management judgment based on the effectiveness of management controls and the extent of management control deficiencies and material weaknesses.

**Reporting organization.** The organization that submits an annual statement directly to the Secretary of the Army.

**Risk.** The probable or potential adverse effects from inadequate management controls that may result in the loss of Government resources through fraud, error or mismanagement.

**Senior management council.** A committee or board of senior functional officials convened to advise the head of an organization on management control matters, to include the identification of management control weaknesses that merit reporting as material weaknesses.

**Senior responsible official.** The senior official, designated by the head of the reporting organization, with overall responsibility for ensuring the implementation of the management control process within the organization.

**Support forms/evaluations.** Refers to the DA Form 67-9-1 (Officer Evaluation Report Support Form), for military officers and the DA Form 7222-1 (Senior System Civilian Evaluation Report Support Form), for "Senior System" civilian employees. (For nonappropriated fund personnel, the guidance on support forms is provided in AR 215-3).

**Test question.** A question in a management control evaluation checklist designed to help an AUM determine whether a key management control is in place and operating as intended.

**Unified Command.** A command with a broad continuing mission under a single commander with assigned components of two or more military departments.