#### Management

# RAND Arroyo Center

Headquarters Department of the Army Washington, DC 25 May 2012

**UNCLASSIFIED** 

## SUMMARY of CHANGE

AR 5-21 RAND Arroyo Center

This major revision, dated 25 May 2012--

- o Changes the title from Army Policies and Responsibilities for the RAND Arroyo Center to RAND Arroyo Center (cover).
- o Identifies new members of the RAND Arroyo Center Policy Committee (para 1-4).
- o Establishes the Director, Program Analysis and Evaluation, as the lead agent for the RAND Arroyo Center Policy Committee (para 1-4b(1)).
- o Defines staff years of technical effort (para 2-2e).
- o Establishes a plan to avoid duplication of study effort (para 2-2i).
- o Describes the RAND Arroyo Center Fellows Program (para 2-4).
- o Makes administrative changes (throughout).

#### \*Army Regulation 5-21

Effective 24 June 2012

#### Management

#### **RAND Arroyo Center**

By Order of the Secretary of the Army:

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

Official:

Joyce E. Morrow Joyce E. Morrow Administrative Assistant to the Secretary of the Army

**History.** This publication is a major revision.

**Summary.** This regulation covers the policies and responsibilities for the management and administration of the RAND Arroyo Center, the U.S. Army's federally funded research and development center for studies and analyses. It describes the RAND Arroyo Center and its mission, establishes the membership of the RAND Arroyo Center Policy Committee, designates the Deputy Chief of Staff, G-8 as the lead agency for the RAND Arroyo Center, describes the RAND Arroyo Center Fellows Program, and explains the relationship between the sponsor and the RAND Arroyo Center in developing and executing the RAND Arroyo Center annual program.

**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 the

U.S. Army National Guard when using Federal funds for study efforts.

Proponent and exception authority. The proponent of this regulation is the Deputy Chief of Staff, G-8. 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 Deputy Chief of Staff, G–8 (DAPR–DPD), 700 Army Pentagon, Washington, DC 20310–0700.

**Suggested improvements.** Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and

Blank Forms) directly to the Headquarters, Department of the Army, Deputy Chief of Staff, G-8 (DAPR-DPD), 700 Army Pentagon, Washington, DC 20310-0700.

Committee management. AR 15-1 requires the proponent to justify establishing/continuing committee(s), coordinate draft publications, and coordinate changes in committee status with the U.S. Army Resources and Program Agency, Department of the Army Committee Management Office (AARP-ZA), 9301 Chapek Road, Building 1458, Fort Belvoir, VA 22060-5527. Further, if it is determined that an established "group" identified within this regulation, later takes on the characteristics of a committee, as found in the AR 15-1, then the proponent will follow all AR 15-1 requirements for establishing and continuing the group as a committee.

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

i

<sup>\*</sup>This regulation supersedes AR 5-21, dated 14 October 1994.

#### Contents (Listed by paragraph and page number)

#### Chapter 1

Introduction, page 1
Purpose • 1–1, page 1
References • 1–2, page 1
Explanation of abbreviations and terms • 1–3, page 1
Responsibilities • 1–4, page 1

#### Chapter 2

#### RAND Arroyo Center, page 3

Overview of the RAND Arroyo Center • 2–1, page 3 Development of the annual program • 2–2, page 4 Dissemination of RAND Arroyo Center reports • 2–3, page 4 RAND Arroyo Center Fellows Program • 2–4, page 5

#### **Appendixes**

- A. References, page 6
- **B.** Internal Control Evaluation, page 7

#### **Glossary**

### Chapter 1 Introduction

#### 1-1. Purpose

This regulation defines Army policies and responsibilities for the RAND Arroyo Center. It describes the development of its annual research agenda and establishes the framework for managing and directing RAND Arroyo Center efforts. It also describes the RAND Arroyo Center Fellows Program.

#### 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. The Deputy Chief of Staff, G-8. The DCS, G-8 will-
- (1) Oversee all responsibilities for the RAND Arroyo Center, its annual program, and the RAND Arroyo Center Fellows Program.
  - (2) Serve as lead agency for the RAND Arroyo Center.
- (3) Delegate all lead agent responsibilities of the RAND Arroyo Center to the Director, Program Analysis and Evaluation (PA&E), DCS, G-8.
  - b. Director, Program Analysis and Evaluation. The Director, PA&E will-
- (1) Serve as the lead agent for the RAND Arroyo Center Policy Committee (ACPC) and will ensure the committee—
- (a) Consists of general officers or senior executive service representatives from Headquarters, Department of the Army (HQDA), Army commands, and select Army service component commands, and direct reporting units.
  - (b) Establishes overall objectives for the RAND Arroyo Center.
  - (c) Provides broad supervisory and policy guidance to the RAND Arroyo Center management.
- (d) Meets at least semi-annually with the RAND Arroyo Center management to review and evaluate the current and planned annual research programs.
  - (e) Provides guidance to the RAND Arroyo Center management on Army needs, interests, and priorities.
- (f) Provides the RAND Arroyo Center with access to Army and other agency information and other support needed to conduct research.
  - (g) Reviews and approves the annual RAND Arroyo Center research agenda.
  - (h) Provides annual program evaluation guidance to the RAND ACPC lead agent.
  - (i) Confirms selections of Army officers to participate in the RAND Arroyo Center Fellows Program.
  - (2) Serve as the Army point of contact for the RAND Arroyo Center.
- (3) Oversee and monitor the performance of the RAND Arroyo Center and recommend changes to RAND Arroyo Center policy guidelines to the RAND ACPC.
- (4) Evaluate and present to the RAND ACPC information provided by sponsors and the RAND Arroyo Center management on individual projects and the RAND Arroyo Center research agenda as a whole.
  - (5) Conduct an annual evaluation of the program. For each study, ensure individual sponsors—
  - (a) Conduct initial, interim, and final reviews with the RAND Arroyo Center.
  - (b) Complete a final evaluation for the lead agent.
- (6) Develop, coordinate, and justify the Army requirements for the RAND Arroyo Center during the planning, programming, budgeting, and execution process.
- (7) Develop statements of work and fund obligation instruments for the continuous operation of the RAND Arroyo Center.
- (8) Appoint a contracting officer's representative (COR) to act as the liaison between the Army and the contracting officer for the contract with the RAND Corporation. The COR is the primary representative of the lead agent and is responsible for ensuring the RAND Arroyo Center and the Army meet all contractual requirements, follow regulatory guidance, and operate according to the directives of the RAND ACPC.
  - (9) Serve at their discretion as a member of study advisory groups formed for RAND Arroyo Center efforts.
- (10) Implement program management procedures to ensure full coordination of project proposals and the annual RAND Arroyo Center research agenda.
  - (11) Ensure appropriate Army officials review RAND Arroyo Center reports in a timely manner.
- (12) Provide information on the RAND Arroyo Center to Army, Department of Defense, and other Government agencies. Review requests for information on the RAND Arroyo Center and release information to non-Government individuals or organizations, as appropriate.

- (13) Periodically inform potential Army users of the capabilities of the RAND Arroyo Center.
- (14) Provide proper guidance to agencies outside HQDA when they request or sponsor RAND Arroyo Center projects.
  - (15) Design, implement, and maintain internal controls for the Army for the oversight of the RAND Arroyo Center.
  - (16) Approve additional add-on work outside of HQDA RAND Arroyo Center core funding.
  - (17) Set schedule and agenda and provide all administrative support for ACPC meetings.
- (18) Ensure all provisional and approved RAND Arroyo Center projects have a sponsor. Sponsors must be HQDA or Army command general officers or senior executive service civilians under whose authority a particular analytical effort is formulated and administered. Sponsors may be a member of the RAND ACPC. Each sponsor will—
- (a) Designate an action officer to be a point of contact to work with RAND Arroyo Center personnel and the lead agent to ensure complete and continuous project coordination. The action officer will staff research products to appropriate internal agencies or offices for classification review.
- (b) Designate a study coordinator to provide advice on all matters related to studies and analyses. The study coordinator may also be the appointed action officer.
- (c) Directly commission projects outside the annual core research agenda approved by the RAND ACPC. Sponsors will provide funding for such add-on projects and log them in the Army Study Program Database. The RAND ACPC lead agent approves add-on projects for addition to the annual research agenda.
  - (d) Advise and assist the lead agent in all technical and administrative matters related to the effort.
- (e) Ensure adequate participation of their staff during the project development phase of RAND Arroyo Center efforts. RAND Arroyo Center researchers will identify subject matter experts and the sponsor will identify points of contact within the Army. Informal meetings will be scheduled between RAND Arroyo Center project personnel and Army points of contact to exchange information and affect project coordination and performance.
- (f) Confirm to Army activities the RAND Arroyo Center's authorization to have access to information (including classified material) required to complete provisional and approved projects. Following sponsor or COR authorization, Army activities will release required classified, privileged, proprietary, or sensitive material directly to the RAND Arroyo Center.
- (g) Conduct appropriate project evaluations within 90 days of project completion and in support of the annual program evaluation led by the RAND ACPC lead agent.
  - (h) Coordinate feedback on RAND Arroyo Center studies with co-sponsors.
  - (19) In coordination with the Director, RAND Arroyo Center, will—
  - (a) Establish and apply policies for initiating annual program development.
  - (b) Approve all modifications to the annual program between RAND ACPC meetings.

Note. Major changes will be coordinated with the RAND ACPC.

- (c) Provide written notification to the lead agent within 30 days after initiation of any provisional effort. This written notification will identify the sponsor, the action officer, and the RAND Arroyo Center point of contact and will provide a preliminary description of the project.
  - (d) Appoint a project director for each provisional and approved project.
- (e) Ensure close and continuous coordination with each sponsor or appointed Army action officer throughout the lifetime of the approved research effort.
  - (f) Coordinate changes in the nature or scope of the provisional and approved projects with the sponsor.
- c. The Vice Chief of Staff of the Army. The VCSA will chair the RAND ACPC with the Assistant Secretary of the Army (Acquisition, Logistics and Technology) (ASA (ALT)).
- d. Assistant Secretary of the Army (Acquisition, Logistics and Technology). The ASA (ALT) will chair the RAND ACPC with the VCSA.
- e. The Assistant Secretary of the Army (Manpower and Reserve Affairs). The ASA (M&RA) will serve as a member of the RAND ACPC.
- f. The Assistant Secretary of the Army (Financial Management and Comptroller). The ASA (FM&C) will serve as a member of the RAND ACPC.
- g. The Assistant Secretary of the Army for Civil Works. The ASA (CW) will serve as a member of the RAND ACPC.
- h. The Assistant Secretary of the Army (Installations, Energy and Environment). The ASA (IE&E) will serve as a member of the RAND ACPC.
  - i. The Deputy Chief of Staff, G-1. The DCS, G-1 will serve as a member of the RAND ACPC.
  - j. The Deputy Chief of Staff, G-2. The DCS, G-2 will serve as a member of the RAND ACPC.
  - k. The Deputy Chief of Staff, G-3/5/7. The DCS, G-3/5/7 will serve as a member of the RAND ACPC.
  - l. The Deputy Chief of Staff, G-4. The DCS, G-4 will serve as a member of the RAND ACPC.
  - m. The Surgeon General. TSG will serve as a member of the RAND ACPC.
  - n. The Assistant Chief of Staff for Installation Management. ACSIM will serve as a member of the RAND ACPC.

- o. The Chief Information Officer/G-6. The CIO/G-6 will serve as a member of the RAND ACPC.
- p. The Provost Marshall General. The PMG will serve as a member of the RAND ACPC.
- q. The Chief, Army Reserve. The CAR will serve as a member of the RAND ACPC.
- r. The Chief, National Guard Bureau. The CNGB will serve as a member of the RAND ACPC.
- s. The Commanding General, U.S. Army Forces Command. The CG, FORSCOM will serve as a member of the RAND ACPC.
- t. The Commanding General, U.S. Army Training and Doctrine Command. The CG, TRADOC will serve as a member of the RAND ACPC.
- u. The Commanding General, U.S. Army Materiel Command. The CG, AMC will serve as a member of the RAND ACPC.
- v. The Commanding General, U.S. Army Special Operations Command. The CG, USASOC will serve as a member of the RAND ACPC.
- w. The Commanding General, U.S. Army Accessions Command. The CG, USAAC will serve as a member of the RAND ACPC.
- x. The Commanding General, U.S. Army Medical Command. The CG, MEDCOM will serve as a member of the RAND ACPC.
- y. The Commanding General, U.S. Army Space and Missile Defense Command. The CG, USASMDC will serve as a member of the RAND ACPC.

#### Chapter 2 RAND Arroyo Center

#### 2-1. Overview of the RAND Arroyo Center

- a. The RAND Arroyo Center is the Department of the Army's (DA) Federally Funded Research and Development Center (FFRDC) for studies and analyses. It is a division of the RAND Corporation dedicated to supporting the U.S. Army. RAND Corporation is a nonprofit, tax-exempt corporation performing research and analysis in the interest of national security and the welfare of the United States. RAND research is funded primarily by contracts, grants, and contributions. In addition, RAND conducts programs that provide graduate training. The RAND Arroyo Center—
- (1) Furnishes the Army with information and findings derived from analyses of Army technical and policy issues. Its efforts are generally focused on policy-oriented issues and are designed to assist the Army in improving its efficiency and effectiveness. A special quick-response capability is maintained to provide rapid analysis on key Army issues as they emerge.
- (2) Maintains both a technical and nontechnical capability in a broad range of matters of concern to the Army. This includes the ability to address, through formal studies and analyses, a variety of problems potentially affecting Army missions and organizations, including threats, strategy, doctrine, operations, technology, logistics, manpower, health, and resource management.
- (3) Represents one of the Army's major investments for analysis of Army policy issues. To foster innovative and objective work, the RAND Arroyo Center management is encouraged to recommend new studies for inclusion in the annual program approved by the RAND ACPC.
- (4) Is entitled to broad access to Army information not generally accorded to commercial contractors. Accordingly, all Army organizations, agencies, and units will provide the RAND Arroyo Center with prompt support and systematic access to pertinent documents, data, and briefings consistent with security provisions and need-to-know, to be used in analytical efforts. The Army will provide relevant materials so that the RAND Arroyo Center can maintain current knowledge of Army goals, objectives, and ongoing study efforts.
- (5) Promotes a board distribution of study results to achieve maximum benefit, to permit widespread peer review, and to increase awareness of issues identified by Army leadership.
- (6) Undertakes projects for which it has special competence, when the required capabilities do not exist in the Army's internal analytical organizations, when it would be inappropriate for organic Army or other contractor organizations to perform the project, when a conflict of interest exists, when sponsors deem a second analysis of a subject important to the decisionmaking process, or when the Army would benefit from an independent outside analysis.
- (7) Maintains analytic expertise across the full range of the Army's policy issues. General characteristics for work assigned to the RAND Arroyo Center include the following:
- (a) Unique expertise. Tasks that require competence in specific fields, close working relationships with other Government agencies, or interdisciplinary policy analyses.
- (b) Long-term analyses. The RAND Arroyo Center provides the capability to sustain a multiyear research and analysis program.
  - (c) Proprietary and restricted information. The RAND Arroyo Center is an independent, nonprofit source of

objective studies for the Army. RAND Arroyo Center researchers have access to proprietary data, competition-sensitive data, or restricted data as authorized by applicable Federal statutes and regulations, such as the Federal Acquisition Regulations applicable to FFRDC institutions.

- (d) Objectivity. Advice on alternative programs and courses of action only where the nonprofit analytical organization has no organizational conflict of interest in accordance with the Federal Acquisition Regulations.
- (e) Special, quick-response support. Ability to deliver short notice products derived from sustained research on a wide range of issues of concern to the Army.
- b. All Army work for the RAND Arroyo Center will be ordered through a single contract between the Army and the RAND Corporation. Individual Army organizations will not execute separate contracts with the RAND Corporation for RAND Arroyo Center studies and analyses.

#### 2-2. Development of the annual program

- a. The annual program is an evolving agenda. It specifies thematic thrusts, ongoing projects, proposed projects, and potential projects. The annual program will be developed through a continuing process involving top Army leaders, Secretariat and Army Staff sponsors, the RAND ACPC lead agent, study coordinators of Army sponsor agencies, and RAND Arroyo Center management. This process will identify and clarify policy issues seen as critical by the Army leadership. The program will be prepared annually by the RAND Arroyo Center for lead agent and RAND ACPC approval.
- b. Army activities as well as RAND Arroyo Center management may recommend projects for inclusion in the RAND Arroyo Center annual program.
- c. During the preparation of proposed projects, RAND Arroyo Center personnel, members of the requesting agency, the Army Study Program Management Office (ASPMO), and other interested individuals work together to ensure that the RAND Arroyo Center research agenda is aligned with the Army Study Program.
  - d. Projects are categorized according to three stages of development—
  - (1) Exploratory. Efforts in this stage have been selected by the RAND Arroyo Center for preliminary analysis.
- (2) *Provisional*. This stage contains more mature research activities. Efforts have been formulated as projects and have identified sponsors and objectives, but have not yet been submitted to the RAND ACPC for review and approval.
- (3) Approved. Efforts in this stage are mature projects that have been formally reviewed and approved by the RAND ACPC (core projects) or by the lead agent (add-on projects).
- e. Prior to submitting provisional projects for approval, the sponsor and the RAND Arroyo Center management will develop mutually acceptable work summaries that define the research efforts. This will include a description of the analytical techniques, supporting analyses, anticipated benefits and impacts, an estimate of the required level of effort (staff years of technical effort), and research milestones against which progress will be measured.
- f. The sponsor and the RAND Arroyo Center Director will finalize and sign project descriptions for core projects within 90 days of RAND ACPC approval of the annual research agenda.
- g. The RAND Arroyo Center may devote up to 25 percent of its annual budget for exploratory and supporting analytical efforts. The RAND ACPC lead agent may serve as the sponsor for these efforts if required.
- h. An Army activity may, at any time, discuss policy issues and potential projects or seek information concerning completed or ongoing RAND Arroyo Center projects.
- i. Prior to the lead agent review, the RAND Arroyo Center Director or a designated representative will review the proposed annual research agenda for the upcoming fiscal year (FY) with the ASPMO to prevent unnecessary duplication of study efforts with other research efforts.
- j. Prior to the lead agent review of proposed add-on projects that emerge throughout the FY, the RAND Arroyo Center Director or a designated representative will coordinate the proposed projects with the ASPMO. The ASPMO will confirm the proposed project is not redundant with previously conducted studies or with ongoing efforts performed by the Army's major internal study activities. If redundancy is identified, they will verify with the lead agent that the study sponsor desires an independent evaluation.

#### 2-3. Dissemination of RAND Arroyo Center reports

- a. The RAND Arroyo Center will provide Army project sponsors with written reports and/or other products as specified in project descriptions for completed projects. Project sponsors will review reports to confirm their classification and factual accuracy within 30 calendar days of receiving a completed document accompanied by a request to publish.
  - b. A master distribution list will be maintained by the RAND ACPC lead agent and the RAND Arroyo Center.
- c. With appropriate authorization, the RAND Arroyo Center is encouraged to make presentations to military operations research symposia and to publish reports and articles in Department of Defense official publications.
- d. Sponsors will review RAND Arroyo Center documents to identify classified, proprietary, or sensitive information not authorized for release. Project sponsors will ensure that the RAND Arroyo Center has properly addressed the overall classification of the report. Unclassified reports that do not contain proprietary or sensitive information may be made available to the general public subsequent to receipt of release authority. Sponsors will not preclude public

release of a RAND Arroyo Center publication because the publication contains material critical of the Army or because it contains findings and recommendations that are not in agreement with those advocated by the sponsor or Army leadership. Sponsors will approve RAND Arroyo Center publications for public release unless:

- (1) The publication contains classified, proprietary, or sensitive information not authorized for public release.
- (2) The project sponsor identifies uncorrected factual errors in the publication.
- e. RAND Arroyo Center analysts are encouraged to write unclassified articles based on Army research for publication in professional journals. These articles will not contain classified, proprietary, or sensitive information and will be submitted for publication only after the Army sponsor and the Office of the Chief of Public Affairs have conducted appropriate security reviews. Disclaimers will be used to indicate the articles do not represent Army policy or Army viewpoints.
- f. Army organizational security managers will clear any classified material for release. Clearance for release of any industry, or other privately-owned, privileged, or proprietary materials will be obtained from the source of the data by the RAND Arroyo Center. Army data released to the RAND Arroyo Center as described herein must contain appropriate protective markings and nondisclosure warnings. Such data generally will not be released outside the RAND Arroyo Center.
- g. Once cleared by the Office of the Chief of Public Affairs (subject to the conditions specified above), final reports resulting from research projects will be submitted by RAND Arroyo Center to the Defense Technical Information Center and/or other appropriate reporting archives as determined by the sponsor.
- h. Army organizations receiving RAND Arroyo Center publications are encouraged to review them and send constructive comments to Headquarters, Department of the Army, Deputy Chief of Staff, G–8 (DAPR–DPD), 700 Army Pentagon, Washington, DC 20310–0700.

#### 2-4. RAND Arroyo Center Fellows Program

- a. A research and study fellowship is established at the RAND Arroyo Center. This program—
- (1) Provides DA officers the opportunity to study and work on critical policy issues being addressed in the annual RAND Arroyo Center research agenda.
- (2) Enhances the center's understanding of current Army policies and doctrine through the assignment of highly qualified DA officers to RAND Arroyo Center projects.
  - (3) Promotes understanding of the RAND Arroyo Center in the Army community.
  - (4) Provides career enhancing development of analytical and operations research skills and techniques.
- b. The RAND ACPC lead agent will coordinate the annual nomination and selection of all active component Fellows for RAND ACPC confirmation in the fall. Volunteer Army officers (grades O-4 and O-5) will be screened and selected annually by the RAND ACPC lead agent. The RAND ACPC lead agent may coordinate separate selection boards for specialty branches or functional areas.
- c. Criteria for selection will be developed annually by the RAND ACPC lead agent. The program will be announced in the second quarter and the selection process will begin in August for the next FY participants.
- d. The normal tour of duty at the RAND Arroyo Center will be 1-year with a 3-year utilization tour on a senior-level Army or Joint staff.
- e. The RAND ACPC lead agent will coordinate the Fellows' administrative actions and follow-on assignments to ensure maximum benefit to the RAND Arroyo Center and the Army.

## Appendix A References

#### Section I

#### **Required Publications**

This section contains no entries.

#### Section II

#### **Related Publications**

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

#### AR 5-5

Army Studies and Analyses

#### AR 5-14

Management of Contracted Advisory and Assistance Services

#### AR 380-5

Department of the Army Information Security Program

#### **DA Pam 5-5**

Guidance for Army Study Sponsors, Sponsor's Study Directors, Study and Advisory Groups, and Contracting Officers Representatives

#### FAR 35.017

Federally Funded Research and Development Centers (Available at http://ecfr.gpoaccess.gov.)

#### Section III

#### **Prescribed Forms**

This section contains no entries.

#### Section IV

#### **Referenced Forms**

Unless otherwise indicated, DA Forms are available on the Army Publishing Directorate 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 functions covered by this regulation are the management and administration of the RAND Arroyo Center.

#### B-2. Purpose

The purpose of this regulation is to assist Army leadership and study personnel in evaluating the key internal controls outlined below. The regulation contains internal control provisions and identifies key internal controls.

#### B-3. Instructions

Answers should be based on the actual testing of key internal controls (for example, document analysis, direct observation, sampling, and simulation). Answers that indicate deficiencies should be explained and corrective action indicated in supporting documentation. Certification that this evaluation has been conducted should be accomplished on DA Form 11–2 (Internal Control Evaluation Certification).

#### B-4. Test questions

- a. Is an annual research program established and implemented?
- b. Has the study program undergone an annual review by the RAND ACPC?
- c. Are research agendas and/or project descriptions sufficiently detailed to describe study requirements to include deliverables?
- d. Are final study evaluations submitted to the COR or retained on file with local command when studies deemed sensitive?

#### B-5. Supersession

Not applicable.

#### B-6. Comments

Help to make this a better tool for evaluating internal controls. Submit comments to Headquarters, Department of the Army, Deputy Chief of Staff, G-8 (DAPR-DPD), 700 Army Pentagon, Washington, DC 20310-0700.

#### **Glossary**

#### Section I

#### **Abbreviations**

#### ACPC

Arroyo Center Policy Committee

#### AMC

U.S. Army Materiel Command

#### ASA (ALT)

Assistant Secretary of the Army (Acquisition, Logistics and Technology)

#### ASA (CW)

Assistant Secretary of the Army for Civil Works

#### ASA (FM&C)

Assistant Secretary of the Army (Financial Management and Comptroller)

#### ASA (IE&E)

Assistant Secretary of the Army (Installations, Energy and Environment)

#### ASA (M&RA)

Assistant Secretary of the Army (Manpower and Reserve Affairs)

#### **ACSIM**

Assistant Chief of Staff for Installation Management

#### **ASPMO**

Army Study Program Management Office

#### CAR

Chief, Army Reserve

#### $\mathbf{C}\mathbf{G}$

Commanding General

#### **CNGB**

Chief, National Guard Bureau

#### CIO/G-6

Chief Information Officer, G-6

#### COR

contracting officer's representative

#### DA

Department of the Army

#### DCS, G-1

Deputy Chief of Staff, G-1

#### DCS, G-2

Deputy Chief of Staff, G-2

#### DCS, G-3/5/7

Deputy Chief of Staff, G-3/5/7

#### DCS, G-4

Deputy Chief of Staff, G-4

#### DCS, G-8

Deputy Chief of Staff, G-8

#### **FORSCOM**

U.S. Army Forces Command

#### FFRDC

Federally Funded Research and Development Center

#### FY

fiscal year

#### **HQDA**

Headquarters, Department of the Army

#### **MEDCOM**

U.S. Army Medical Command

#### PA&E

program analysis and evaluation

#### **PMG**

Provost Marshall General

#### **TRADOC**

U.S. Army Training and Doctrine Command

#### TSG

The Surgeon General

#### **USAAC**

U.S. Army Accessions Command

#### **USASMDC**

U.S. Army Space and Missile Defense Command

#### **USASOC**

U.S. Army Special Operations Command

#### **VCSA**

Vice Chief of Staff of the Army

#### Section II

**Terms** 

#### Staff years of technical effort

Direct professional and consultant labor, performed by researchers, mathematicians, programmers, analysts, economists, scientists, engineers, and others who perform professional-level technical work primarily in the fields of studies and analyses, systems engineering and integration, systems planning, program and policy planning, program and policy analysis, and basic and applied research.

#### Section III

#### Special Abbreviations and Terms

This section contains no entries.