

Army Regulation 381–10

Management Control Evaluation Checklist

B–1. Function

The function of this checklist is to ensure effective implementation of the Army’s intelligence oversight program.

B–2. Purpose

The purpose of this checklist is to assist commanders and intelligence oversight officials in evaluating the key management controls outlined below. It does not cover all controls, but focuses upon those that are essential for ensuring effective implementation of the intelligence oversight program.

B–3. Instructions

Answers must be based upon actual testing of key management controls such as document analysis, direct observation, interviewing, sampling, and simulation. Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation. These management controls *must* be evaluated at least once every 5 years.

Certification that this evaluation has been conducted must be accomplished on DA Form 11–2–R (Management Control Evaluation Certification Statement). All Army elements subject to the intelligence oversight program will develop and implement an intelligence oversight inspection program. This appendix may serve as a base for inspections, with additional questions as determined by the agency or command performing the inspection.

B–4. Test questions

a. Deputy Chief of Staff for Intelligence (DCS, G–2). Does the DCS, G–2—

- (1) Promulgate policy, procedures, and programs necessary for implementing EO 12333, as amended by EOs 13285 and 13355, DODD 5240.1, and DOD 5240.1–R?
- (2) Monitor, evaluate, and report on the administration of the intelligence oversight program?
- (3) Ensure ACOM, ASCC, and DRUs and other agencies establish and maintain an ongoing self-inspection program, including periodic reviews and assessments of files and data bases containing U.S. person information?

b. Intelligence component commanders and staff as outlined in the applicability paragraph of this regulation. Has each commander—

- (1) Established written local intelligence oversight policies and procedures?
- (2) Initiated and supervised measures or instructions necessary to ensure U.S. person information is properly collected, retained and disseminated?
- (3) Included intelligence oversight in the organizational inspection program?
- (4) Ensured intelligence files are reviewed annually per paragraph 3–2?

c. Inspectors general.

- (1) Has each IG identified all intelligence components subject to intelligence oversight inspection by the command?
- (2) Is intelligence oversight included as part of the command’s organizational inspection program?
30 AR 381–10 • 3 May 2007
- (3) Are there procedures for determining if intelligence and supporting Staff Judge Advocate personnel of organizations understand and comply with the procedures in this regulation?
- (4) Are procedures in place for determining if all intelligence personnel are trained in intelligence oversight upon initial assignment and periodically thereafter?
- (5) Are procedures in place for determining if intelligence files are reviewed annually, per paragraph 3–2?
- (6) Are questionable activities and Federal crimes committed by intelligence personnel reported as required?
- (7) Are procedures in place to ensure that followup is conducted?