

October 15, 1993

Resource Management

COMMITTEE MANAGEMENT PROGRAM

BY ORDER OF THE DIRECTOR



MICHAEL E. KOCH
Colonel, U.S. Army
Chief of Staff

DONALD R. GREIMAN, Major, USAF
Chief, Safety, Security and Administration

AUTHORITY: Defense Commissary Agency Directives Management Program is established in compliance with DoD Directive 5105.55, Defense Commissary Agency (DeCA), November 9, 1990.

MANAGEMENT CONTROL SYSTEM: This directive contains Management Control provisions that are subject to evaluation and testing as required by DeCAD 70-2 and as scheduled in DeCAD 70-3. The Management Control Review Checklist to be used by assessable unit managers to conduct the evaluation and test management controls is at **Appendix D**.

HOW TO SUPPLEMENT: Regions may supplement this directive. Coordination with the applicable HQ DeCA OPR and HQ DeCA/SA must be accomplished prior to final publication of region/service center supplements.

HOW TO ORDER COPIES: Commissaries needing additional copies will submit requirements on DeCA Form 30-21 to Region/IM.

SUMMARY: This directive outlines the policies and procedures for the establishment of the DeCA Committee Management Program.

OFFICE OF PRIMARY RESPONSIBILITY (OPR): HQ DeCA/RM
COORDINATORS: HQ DeCA/CS/LL/AM/DF/DO/DP/PL/PA/PM/IG/IR/GC/IM/Regions/Service
Centers
DISTRIBUTION: E

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1-1. **PURPOSE:** This Directive implements DoD Directive 5105.18, DoD Committee Management Program; establishes policies and procedures for conduct of the Program within the Defense Commissary Agency (DeCA); assigns responsibilities; and outlines administrative and information requirements.

1-2. **REFERENCES:**

- a. DoD Directive 5105.18, "DoD Committee Management Program," January 18, 1990.
- b. DoD Directive 5105.4, "DoD Federal Advisory Committee Management Program," September 5, 1989.
- c. DeCAD 70-2, "Management Control Program," August 27, 1993.
- d. DeCAD 70-3, "Management Control Plan," April 30, 1993.
- e. DeCAD 30-2, "Defense Commissary Agency Filing System," December 18, 1992.

1-3. **APPLICABILITY:**

- a. This Directive applies to all managers of all organizational elements assigned to DeCA. It applies to all committees that fall within the purview of the definitions outlined in Paragraph 1-2a, above, and **Appendix A**.
- b. Contents of this Directive do not apply to membership or affiliation in any form to committees, associations, societies or any organization, regardless of terms used, in the private sector.

1-4. **DEFINITIONS:** Abbreviations and terms used in this Directive are defined in the Glossary at **Appendix A**.

1-5. **POLICY:** The following general policies pertain to the establishment, utilization, operation and termination of all committees which personnel of the Defense Commissary Agency sponsor, establish, or to which they are affiliated by membership:

- a. Committees may be established to perform functions such as fact-finding, research, special studies, audits, reviews and inspections. They will not be established to perform duties, responsibilities, and functions that can be achieved effectively through normal command or staff action. Nor will they be established to perform operational, administrative, or management responsibilities such as administering programs and making determinations or to effect coordination required to fulfill such responsibilities.
- b. Committees may be used only when a given function or assigned task can be performed more effectively, expeditiously, or economically by the committee than by the existing organizational structure.
- c. All committees will be formally established by statute, charter, or directive (regulation, order, letter, memorandum, or similar document). Committee members will be formally appointed either by name or position. This includes all committees appointed or established prior to approval and publication of the policies and procedures contained in this directive.
- d. Committees will be terminated when the purpose for which they were established has been served.
- e. Nothing in this directive shall be construed to limit or restrict free exchange of information,

advice, and ideas between representatives of this Agency, other DoD Components, or other Federal Agencies through ad hoc or occasional meetings or other means.

f. Membership or any other participation, including any service support, in the DoD Federal Advisory Committee Management Program (See Paragraph 1-2b, above) shall be upon the approval of the Agency Director only. Guidance will be provided as necessary on a case-by-case basis. Should a request for personnel to participate in, or provide support for, a Federal Advisory Committee be received from a source external to DeCA, the Agency Chief of Staff will be advised immediately.

g. To ensure uniformity, committees and subcommittees will be titled in accordance with the following guidelines unless otherwise required or authorized by statute or directive.

(1) Groups established in accordance with this directive shall be designed as "committees" and their subordinate units shall be designated as "subcommittees" unless specified otherwise by legislation.

(2) Since the terms "commission," "council," and "board" may be confused with the names of independent agencies of the Government, they will be avoided when possible. Use these terms only for those committees that are designated as such by legislation or by long-standing custom or tradition.

(3) An ad hoc committee shall be identified as such by including the term "ad hoc" in its title or, in parentheses at the end of the title.

(4) The term "advisory" in the committee title will be used only when the committee is actually an advisory committee (See Paragraph 1-2b, above).

h. All DeCA Directives or other publications proposing or directing the establishment of a committee, as defined herein, will be coordinated with the Agency Committee Management Program Manager (See Paragraph 1-7b, below).

i. In consonance with the DoD equal opportunity program, all Agency Activity Commanders/Directors and Managers will ensure that all qualified and available personnel are given equal consideration for membership on DeCA committees, or when nominating persons for other committees when tasked to do so by external sources, regardless of race, color, religion, sex, national origin, or age.

1-6. **OBJECTIVES:** The objectives of the DeCA Committee Management Program are to ensure:

- a. The Federal Advisory Committee Act (Public Law 92-463) is not violated.
- b. Maximum conservation of resources (personnel, time, money, equipment, material, facilities, etc.).
- c. Standardization of committee establishment and utilization to comply with program requirements imposed by higher authority.
- d. Committee business is conducted in a cost-effective manner and properly recorded to provide an audit trail.

1-7. **RESPONSIBILITIES:** The following responsibilities are assigned within DeCA:

- a. The Director, Directorate of Resource Management, is responsible for the committee management program within the Defense Commissary Agency and will:

- (1) Establish and implement an Agency Committee Management Program.
- (2) Appoint a senior analyst to serve as the DeCA Committee Management Program Manager to formulate and develop Agency program policies and procedures.

b. Committee Management Program Manager (CMPM) will:

- (1) Formulate Agency Committee Management Program policies and procedures.
- (2) Gather, research and determine program needs and develop, write, coordinate, and issue the guidance to implement an efficient, cost effective Agency Committee Management Program that meets DoD requirements and best serves Agency needs.
- (3) Serve as the Agency subject matter expert, technical advisor, sole source for program guidance and focal point for DeCA on all Committee Management related matters, except legal reviews and interpretations of legal applications.
- (4) Administer the Agency program to include: processing proposals for the establishment, revision, continuation, or termination of committees under DeCA jurisdiction; assist OPRs in the development of pertinent operating documents such as charters, membership lists, terms of reference, memoranda of understanding, and international agreements; and, the maintenance and disposition of reports, records, and minutes of meetings.
- (5) Process and provide recommendations to Agency Director on proposals for participation of DeCA personnel on committees chaired by another DoD component, Government Agency, or foreign government.
- (6) Maintain information about the program, objectives, and activities of each committee established within DeCA and provide such information to DoD (DA&M), when required.
- (7) Exercise control over, and monitor program implementation within the Agency. Gather input and compile reports as required to meet requirements from higher authority.
- (8) Conduct periodic reviews of existing committees, and evaluate recommendations for their revision, consolidation, or termination.
- (9) Ensure the provisions of the Federal Advisory Committee Act (See Paragraph 1-2b, above) are coordinated with the DeCA General Counsel, rigidly enforced and a central file on program involvement is maintained.

c. Directors, Chiefs and Managers of the Agency Staff, Region Commanders/Directors and Directors of Service Centers shall:

- (1) Ensure that each committee formed, that falls within the definition in **Appendix A**, fully meets the instructional guidance in this directive and, when applicable the Federal Advisory Committee Act (See Paragraph 1-2b, above).
- (2) Provide required financial support to a given committee from within current authorized resources. Exceptions will be identified prior to establishing a committee, justified, and submitted through DeCA/RM to the Command Group for consideration.
- (3) Forward all requests for establishment of committees recommending a

membership that would include persons, acting in any capacity, that are not full-time employees of the Federal Government to the DeCA General Counsel for legal review and recommendation to the Agency Director.

(4) Issue written notification to formally appoint each committee within their functional or operational areas outlining the purpose, composition, designation of the senior person (by name or position) responsible for chairing and administering the committee, reporting requirements and include any special instructions that may be appropriate. DeCA Committees (See **Appendix A**) may be proposed by the responsible Agency Staff Director or Office Chief and forwarded to the Agency Command Group for approval. Region and Service Center Commanders/Directors may only establish and approve ad hoc committees (See **Appendix A**) for internal purposes and for periods not exceeding 1 year.

(5) Ensure no unnecessary committees are established.

(6) Exercise control and supervision over the establishment and operation of committees for which they are responsible and ensure minutes of meetings are recorded.

(7) Ensure the numbers of members appointed to comprise the committee are held to the absolute minimum needed to meet committee objectives.

(8) On occasions when an appointment of a committee is verbally directed by competent authority, confirmation of the direction will be published by the Staff Director or Office Chief having functional responsibility in the charter/terms of reference.

(9) Periodically inspect and review committee actions to ensure effective implementation and the goals and objectives are being achieved.

(10) Assemble and maintain a separate file for each committee which will include the reports, records, and other papers of the committee (See **Appendix C** and Paragraph 1-2e, above) during its existence. These files will be readily available and provided to auditors and the DeCA Program Manager upon request.

(11) Ensure that committees are formally terminated when the mission has been completed or the purpose for which appointed has been achieved or no longer valid.

(12) Appoint a Focal Point for the committee management program to serve as the administrator and maintain records.

d. Office of the General Counsel: The DeCA General Counsel shall review all DeCA requests for establishment of, or participation in, committees under the provisions of the Federal Advisory Committee Act (See Paragraph 1-2b, above) for applicability and legal sufficiency.

1-8. **PROCEDURES:** Upon determination that appointment of a committee is needed to meet an authorized requirement, the following actions must be taken:

a. The Staff Director or Office Chief having functional responsibility must develop a proposed Committee Charter/Terms of Reference (See **Appendix B**), conduct necessary coordination and obtain approval from the appropriate approving authority. Committees requiring members not assigned to DeCA or, are not full-time Federal Government employees must be forwarded to DeCA /RM for processing.

b. Functioning of the committee will be monitored by the OPR to ensure regulatory

compliance and parameters of the charter/terms of reference are observed.

c. Provide a copy of the synopsis or minutes of meetings containing findings, conclusions, and recommendations with possible application to other Agency organizations to the Agency Director (DeCA/RM) for consideration of expanded implementation.

d. Report any committee findings or conclusions which have actual, or potential, adverse impact on the DeCA mission, at any organizational level, immediately to the Agency Director. If the initial notification is made by verbal means, it will be confirmed in writing within 72 hours.

e. Ensure the efficiency and effectiveness of the committee by appointing members that are subject matter experts or, if not available, the best qualified persons available and requiring their supervisors to fully support their committee efforts.

f. When practicable, direct the person determining the need for the committee and requiring the development of the charter/terms of reference, if not a committee member, to attend the first meeting and brief the membership on the committee's mission and objectives. The person directing the formulation of a committee, if also a member, will personally fulfill this requirement.

1-9. MANAGEMENT CONTROL SYSTEM:

a. The Management Control Review Checklist (MCRC) at **Appendix D**, will be completed during the fiscal year specified by the Management Control Plan (MCP) (See Paragraph 1-2d, above).

b. Assessable Unit Managers designated in the MCRC and the MCP are responsible for completing the applicable portions of the checklist and personally signing the statement of the assessable unit manager on the space provided for that purpose on the last page of the checklist.

c. Completion of this checklist will be reflected in the annual statement of assurance for the appropriate fiscal year. Weaknesses detected during the fiscal year will be addressed in the annual statement of assurance regardless whether they have been corrected.

1-10. INFORMATION REQUIREMENTS:

a. Files and records required by this directive will be maintained and disposed of, as outlined in DeCAD 30-2 (See Paragraph 1-2e, above).

b. Reports Control Symbols (RCS), or exemptions therefrom, will be determined and provided by this Agency on an as needed basis. Reports related to the DeCA Management Control System (See Paragraph 1-9, above) will use RCS DD-COMP (AR) 1618.

COMMITTEE MANAGEMENT PROGRAM

Glossary

a. **Abbreviations:**

CMPM	Committee Management Program Manager
DA&M	Director, Administration and Management
DeCA	Defense Commissary Agency
DeCAD	Defense Commissary Agency Directive
DoD	Department of Defense
MCP	Management Control Plan
MCRC	Management Control Review Checklist
OPR	Office Having Primary Responsibility
RCS	Reports Control Symbol
RM	Resource Management

b. **Definitions:**

Committee - A group of persons with a collective responsibility appointed to consider, investigate, advise, take action, and report on specific problems or subject areas. The primary characteristics of committees are their corporate and collective responsibility, and their permanent or ongoing (versus ad hoc) nature. The term "committee" applies to any committee, board, commission, council, conference, panel, task force, or any similar group or any subcommittee or subgroup thereof that is composed of officials of the United States or a foreign government, and is established by the direction of the Director, Defense Commissary Agency or higher authority.

a. **Federal Advisory Committee.** Any committee, board, commission, council, conference, panel, task force, or other similar group, or any subcommittee or subgroup (that is not composed wholly of full-time employees of the Federal Government), that is established by statute, or established or utilized by the President of the United States or any Agency official for obtaining advice or recommendations. (This directive is not applicable to establishment or participation in the Federal Advisory Committee Program)

b. **Operational Committee.** One whose primary functions and responsibilities are operational, rather than advisory.

c. **Interagency Committee.** Any committee composed wholly of representatives from two or more United States Government Agencies.

d. **International Committee.** Any committee established by formal agreement between the United States and the government of another country or countries or by an international body in which the United States participates.

e. **Intra-Component Committee.** Any committee composed wholly of representatives from one DoD Component.

f. **Joint DoD Committee.** Any committee composed wholly of DoD representatives from two or more DoD Components.

g. **DeCA Committee.** Any committee established by direction of and reporting to the Director, Defense Commissary Agency or any designated representative. A DeCA Committee normally

will have a mission that is Agencywide in scope. The members of such committees may be drawn entirely from the Agency Staff or from subordinate organizations or any combination of the two.

Committee Sponsor - The organization to which a committee reports.

Committee Types:

a. Continuing Committee. A committee established with a general assignment for an unspecified period of time not to exceed 2 years.

b. Ad hoc Committee. A committee with a specified life of 1 year or less whose purpose is limited to problems of limited impact and is nonrecurring.

Corporate or Collective Responsibility - Corporate or collective responsibility means that persons who come together as a "committee" temporarily give up their individual work identities when actually serving as a member of the committee, and take on a single, unified group identity and responsibility.

Membership - That status in which an individual is formally designated by the appropriate authority as a member of a committee. Participation on a regular or occasional basis by individuals not designated as members should be carefully scrutinized to assure that individuals do not become de facto members.

Subcommittee - Any subelement of a committee consisting of more than one person and having a specific responsibility.

a. Formal Subcommittee. Has the characteristics of a committee, such as fixed membership or regular meetings.

b. Informal Subcommittee. Formed for a very short duration, usually operating only during a meeting in order to facilitate the meeting itself, such as permitting the simultaneous discussion of several topics.

COMMITTEE CHARTER/TERMS OF REFERENCE

1. Name of Committee. Full name or title of committee exactly as established. If a subcommittee, include name of parent committee.
2. Date Established. Date the committee was formally established. (If the committee has replaced an identical or similar committee that was established under another name, show the name of the former committee and the date of its establishment, if known, or show the name of the superseded committee in parentheses following the name of the present committee under Item 1, above.)
3. Date to be terminated. The date through which a committee is authorized or proposed to be continued.
4. Category and Type of Committee. Determine category of committee based on definitions in this directive, including group classification, when applicable.
5. Mission or Purpose. Brief description of the mission or purpose and functions of the committee.
6. Direction and Control. Title of officer and name of organization to whom the committee reports and from whom it receives its direction.
7. Authority. List directives authorizing or suggesting committee, if applicable, or if no written directive document, verbal authority.
8. Administrative Support and Staff Arrangements. Name(s) of the Executive Secretary, Staff Director, and/or Recorder, if any; the numbers of full-time and part-time officers and clerical personnel engaged in providing administrative support, if any; and the funding arrangements for office services and facilities, transportation, pay and other related expense, including the name of the responsible office.
9. Composition. The Chairperson and Vice Chairperson (or equivalent) by name, official title, and office; the members and other representatives by organization and office of assignment within the Defense Commissary Agency.
10. Committee Level and Other Data. Independent committee, subcommittee, working group, or task force reporting to or assisting another committee; names of committee organizations operating above and below the committee, when such exist. Any other information that may be pertinent to the operations of the committee, such as rotation of chairpersonship, when applicable; existence of similar committee operations under another name; any special reporting requirements.
11. Correspondence. Explain the correspondence or communications channel to and from the committee.

COMMITTEE INVENTORY DATA

(Basic Information To Be Maintained In Committee Management Files)

1. **Name of Committee.** Full name or title of committee exactly as established. If a subcommittee, include name of parent committee.
2. **Date Established.** Date the committee was formally established. If the committee has replaced an identical or similar committee that was established under another name, show the name of the former committee and the date of its establishment, if known, or show the name of the superseded committee in parentheses following the name of the present committee under Item 1, above.)
3. **Date to be terminated.** The date through which a committee is authorized or proposed to be continued.
4. **Category and Type of Committee.** Determine category of committee based on definitions in this directive, including group subclassification, where applicable.
5. **Mission and Purpose.** Brief description of the mission or purpose and functions of the committee.
6. **Terms of Reference.** Identify charter or terms of reference and maintain a copy of the authorizing directive which established the committee and prescribed its functions, composition, and methods of operation.
7. **Direction and Control.** Title of officer and name of organization to whom the committee reports and from whom it receives its direction.
8. **Administrative Support and Staff Arrangements.** Name(s) of the Executive Secretary, Secretary, Staff Director, and/or Recorder, if any; the numbers of full-time and part-time officers and clerical personnel providing administrative support, if any; and the funding arrangements for office services and facilities, transportation, pay and other related expense, including the name of the responsible organization and office.
9. **Composition.** The Chairperson and Vice Chairperson (or equivalent) by name, official title, and office; the members and other representatives by organization and office.
10. **Committee Level and Other Data.** Independent committee subcommittee, working group, or task force reporting to or assisting another committee; names of committee organizations operating above and below the committee, when such exist. Any other information that may be pertinent to the operation of the committee, such as rotation of chairpersonship, when applicable; existence of similar committee operations under another name; any special reporting requirements, etc.
11. **Committee Activities, Meetings, Etc.** A record of the date of meetings per calendar year and a summary of the accomplishments will be maintained. Committee records and files will be available for inspection/audit upon request by competent authority.

NOTE: The retention of a charter regulation, directive, or similar document containing all of the above information will satisfy the corresponding portions of this requirement.

**Management Control Review
Checklist (Page 1 of 9 Pages)**

TASK: Comptroller/Resource Management

SUBTASK: Committee Management

THIS CHECKLIST: DeCA Committee Management Program

ORGANIZATION:

ACTION OFFICER:

REVIEWER:

DATE COMPLETED:

ASSESSABLE UNIT: The Assessable Units are HQ DeCA, Commissary Regions and Service Centers. Each test question is annotated to indicate which organization (s) is (are) responsible for responding to the question(s). Assessable unit managers responsible for completing this checklist are shown in the DeCA MCP.

EVENT CYCLE 1: Committee Management Administration

Step 1: Organize the Program.

RISK:

1. Responsibilities will not be known.
2. Program objectives, policies and procedures will not be standardized resulting in committee management not being implemented.

Control Objective:

1. Specifically assign Program responsibilities.
2. Establish objectives, policies and procedures that will standardize the program Agencywide.

Control Technique:

1. Designate a Senior Responsible Official, Program Manager and require Focal Points at Hq Staff, Region and Service Center levels.
2. Develop and publish a directive to govern the management of the Agency Committee Management Program.

**Management Control Review
Checklist (Page 2 of 9 Pages)**

Test Question:

1.a. Has a Senior Responsible Official been designated? **(HQ DeCA/RM)**

Response: YES___ NO___ NA___

Remarks:*

b. Has a Committee Management Program Manager been appointed? **(HQ DeCA/RM)**

Response: YES___ NO___ NA___

Remarks:*

c. Has a Focal Point been established within the organization to monitor and administer program implementation? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

2.a. (1) Has a directive or other guidance document been published and distributed? **(HQ DeCA/RM)**

Response: YES___ NO___ NA___

Remarks:*

(2) Does the document include responsibilities for establishment and implementation of the Program? **(HQ DeCA/RM)**

Response: YES___ NO___ NA___

Remarks:*

(3) Does the Document include Program objectives, policies and procedures? **(HQ DeCA/RM)**

Response: YES___ NO___ NA___

**Management Control Review
Checklist (Page 3 of 9 Pages)**

Remarks:*

b. Is Program guidance/information distributed to applicable organizations to keep them abreast of committee management? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

Step 2: Establishing Committees

RISK:1. Unauthorized committees will be established.

2. Resources will be expended for unauthorized purposes.

Control Objective: Establish committees only for authorized purposes and expend minimal resources to achieve committee objectives.

Control Technique:

1. Limit authority to establish committees to designated Senior Management Officials.

2. Expend only minimal resources needed to achieve objective.

3. Restrict reasons for appointing committees to those explicitly meeting DoD Guidelines.

4. Require all committees to be issued a charter terms of reference by the approving authority.

Test Question:

1. Are committees established only by those persons specifically authorized to do so? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

2. Are resources expended to support the committee kept to the absolute minimum needed to achieve the objective? **(HQ Staff, Regions and Service Centers)**

**Management Control Review
Checklist (Page 4 of 9 Pages)**

Response: YES___ NO___ NA___

Remarks:*

3. Are committees established only for reasons that meet DoD Guidelines? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

4. Does the authority establishing a committee prepare and issue a charter/terms of reference? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

EVENT CYCLE 2: Committee Operations

Step 1: Committee Membership and Guidance.

Risk: Committees will not function efficiently or timely and will not be staffed by technically qualified members.

Control Objective: Committees are staffed with subject matter experts and/or best qualified personnel available and function according to the charter/terms of reference.

Control Technique:

1. Select only functionally qualified persons to serve as committee members.
2. Committee appointing authority (or committee chairperson, if appointing authority is not reasonably available) brief the assembled committee on mission and purpose.
3. Provide each committee member a copy of the charter/terms of reference.
4. Appoint a recorder to coordinate committee activities, prepare minutes or synopsis of discussions during meetings and maintain records and files applicable to the committee.

Test Question:

1. Are persons selected as committee members functionally qualified to favorably contribute to the mission and purpose of the committee? **(HQ Staff, Regions and Service Centers)**

**Management Control Review
Checklist (Page 5 of 9 Pages)**

Response: YES___ NO___ NA___

Remarks:*

2. Are members briefed by the appointing authority (or chairperson) on the mission and purpose of the committee? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

3. Are all committee members provided a copy of the charter/terms of reference? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

4. Was a member appointed as recorder to coordinate activities, prepare minutes of meetings and maintain records and files? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

Step 2: Committee administration

Risk: Committee management program will not be administered uniformly resulting in expenditure of resources needlessly.

Control Objective:

1. Committee administration is standardized, reports are provided to designated authorities and records and files are available for audit.

2. Minimize workhours needed to achieve objectives.

Control Technique:

1. Issue procedural guidance standardizing committee operations and administration.

**Management Control Review
Checklist (Page 6 of 9 Pages)**

2. Preplan meetings and provide an agenda to membership prior to assembly to allow for preparation, assignment and completion of tasks.
3. Provide periodic written progress reports to designated officials.
4. Provide copy of committee reports, findings, conclusions and/or recommendations that may apply to other DeCA elements to the appropriate DeCA Staff Office for action.
5. Advise DeCA Director and appropriate Staff Office of any adverse information detected during the committee processes.
6. Assemble, prepare, centrally locate and maintain all committee inventory data and other records and files pertaining to each committee.
7. Committee Management Focal Point maintains a complete committee inventory data file for each committee established.

Test Question:

1. Does the procedural guidance issued to govern committee administration adequately standardize the process? **(HQ Staff, Regions and Service Centers)**

Response: YES ___ NO ___ NA ___

Remarks:*

2. Are meetings preplanned and agenda provided to members sufficiently in advance of meetings to allow for task assignment and completion prior to assembly? **(HQ Staff, Regions and Service Centers)**

Response: YES ___ NO ___ NA ___

Remarks:*

3. Are written committee progress reports provided to the officials designated in the charter/terms of reference? **(HQ Staff, Regions and Service Centers)**

Response: YES ___ NO ___ NA ___

Remarks:*

4. Are copies of committee reports, findings, conclusions and/or recommendations that may have application to other DeCA elements provided to DeCA for action? **(HQ Staff, Regions and Service Centers)**

**Management Control Review
Checklist (Page 7 of 9 Pages)**

Response: YES___ NO___ NA___

Remarks:*

5. Does the committee appointing authority or chairperson immediately advise the DeCA Director and the appropriate staff office of any information detected by the committee that could adversely affect the Agency mission or operations? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

6. Does the committee recorder assemble, prepare, centrally locate and maintain committee inventory data and other pertinent records and files? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

7. Does the Committee Management Focal Point maintain a committee inventory data file on each committee established? **(HQ Staff, Regions and Service Centers)**

Response: YES___ NO___ NA___

Remarks:*

EVENT CYCLE 3: Termination of Committee

Step 1: Terminate Committee

RISK: Committee responsibilities will not be formally terminated when the mission is complete and the purpose served.

Control Objective: Committees are officially terminated to allow for complete records to be assembled and maintained to provide a history for audit and reporting purposes, when required.

Control Technique:

1. Include termination date in charter/terms of reference.
2. Include termination information in final committee report to appointing authority.

**Management Control Review
Checklist (Page 8 of 9 Pages)**

Test Question:

1.a. Does the charter/terms of reference include a termination date? **(HQ Staff, Regions and Service Centers)**

Response: YES ___ NO ___ NA ___

Remarks:*

b. Was the committee terminated on or before the date specified in the charter/terms of reference? **(HQ Staff, Regions and Service Centers)**

Response: YES ___ NO ___ NA ___

Remarks:*

2. Was committee termination information included in the final committee report provided to the appointing authority? **(HQ Staff, Regions and Service Centers)**

Response: YES ___ NO ___ NA ___

Remarks:*

* Explain rationale for **YES** responses or provide cross-references where rationale can be found. For **NO** responses, cross-reference to where corrective action plans can be found. If response is **NA**, explain rationale.

I attest that the above-listed management controls provide reasonable assurance that DeCA resources are adequately safeguarded. I am satisfied that if the above controls are fully operational, the management controls for this subtask throughout DeCA are adequate.

Director, Resource Management
FUNCTIONAL PROPONENT

**Management Control Review
Checklist (Page 9 of 9 Pages)**

I have reviewed this subtask within my organization and have supplemented the prescribed management control review checklist when warranted by unique environmental circumstances. The controls prescribed in this checklist, as amended, are in place and operational for my organization (except for the weaknesses described in the attached plan, which includes schedules for correcting the weaknesses).

ASSESSABLE UNIT MANAGER
(Signature)