

Military Assistant Handbook

May 2011

Chapter 1: Points of Contacts

1.2 Information on the Web

Defense Department: <http://www.defenselink.mil/osd/topleaders.html>

DoD Executive Secretariat: [to access the MA Handbook] <http://www.dtic.mil/execsec/>

Current News Early Bird: <http://ebird.dtic.mil>

The White House: <http://www.whitehouse.gov>

The U.S. Senate: <http://www.senate.gov>

The U.S. House of Representatives: <http://www.house.gov>

Department of Agriculture: <http://www.usda.gov>

Department of Commerce: <http://www.doc.gov>

Department of Education: <http://www.ed.gov>

Department of Energy: <http://www.doe.gov>

Department of Health and Human Services: <http://www.dhhs.gov>

Department of Homeland Security: <http://www.dhs.gov>

Department of Housing & Urban Development: <http://www.hud.gov>

Department of Interior: <http://www.doi.gov>

Department of Justice: <http://www.usdoj.gov>

Department of Labor: <http://www.dol.gov>

Department of State: <http://www.state.gov>

Department of Transportation: <http://www.dot.gov>

Department of the Treasury: <http://www.ustreas.gov>

Department of Veterans Affairs: <http://www.va.gov>

The Central Intelligence Agency: <http://www.cia.gov>

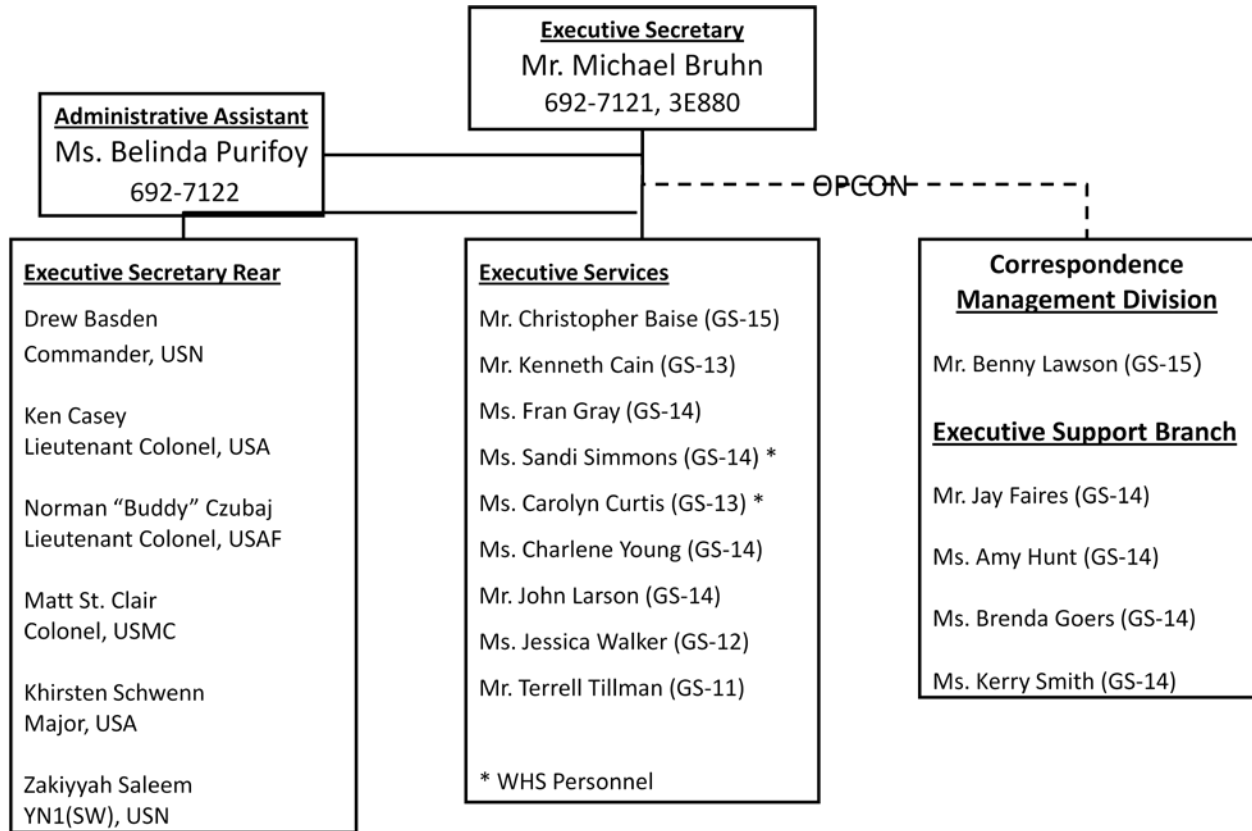
The Office of Personnel Management: <http://www.opm.gov>

The Office of Management and Budget: <http://www.whitehouse.gov/omb/>

The U.S. Trade Representative: <http://www.ustr.gov/>

DoD Issuances (Publications): <http://www.dtic.mil/whs/directives/corres/ins2.html>

1.3 Information on the Web



USN Military Assistant Portfolio 692-7130; 3D914	USMC Military Assistant Portfolio 692-7129; 3D914	USA Military Assistant Portfolio 692-7128; 3D914	USAF Military Assistant Portfolio 692-7127; 3D914
Navy Joint Staff USD (C) / (I) ASD (PA) / (NII) CAPE IO DBB SWT Half-Staffing	Marine Corps USD(P) DoD IG DoD GC JIEDDO SMEB CFIUS Executive Liaison Agents	Army/DOMS USD(P&R) ASD(LA) WLO National Guard USSS Support	Air Force MILAIR USD(AT&L) Dir, A&M Dir, OT&E CMO

Chapter 2: DoD Organization and Functions

2.1 What DoD Does and How It Looks

The *Department of Defense* (DoD) is defined in DOD Directive (DODD) 5100.01: <http://www.dtic.mil/whs/directives/corres/pdf/510001p.pdf>

Additional guidance as well as organizational charts are available at: <http://www.defense.gov/orgchart/> and http://odam.defense.gov/omp/Library/DoD_Organization_Chart_May_2010_Update.pdf

The *Office of the Secretary of Defense* (OSD) <http://www.defense.gov/orgchart/#4> is the principal staff element of the Secretary in the exercise of policy development, planning, resource management, fiscal and program evaluation responsibilities. OSD includes the Immediate Offices of the Secretary and Deputy Secretary as well as the Under Secretaries of Defense; Deputy Chief Management Officer; Assistant Secretaries of Defense; General Counsel; Director, Operational Test and Evaluation; Director, Cost Assessment and Program Evaluation; Inspector General; Assistants to the Secretary of Defense; Director, Administration and Management; and Director, Net Assessment. OSD also performs oversight and management of the Defense Agencies and DoD Field Activities.

The *Secretary of Defense* is the principal defense policy advisor to the President. Under the direction of the President, the Secretary exercises authority, direction, and control over the Department of Defense.

The *Deputy Secretary of Defense*, the second highest ranking official in DoD, is delegated full power and authority to act for the Secretary and to exercise the powers of the Secretary on any and all matters for which the Secretary is authorized to act.

The *Special Assistant to the Secretary and Deputy Secretary of Defense* is the principal immediate office advisor to the Secretary and Deputy Secretary in all matters pertaining to the Department of Defense.

The *Executive Secretary* of the Department of Defense supports the Secretary and Deputy Secretary by executing the following responsibilities:

- Responsible for the management, control, and tasking of all correspondence prepared for the SecDef, DepSecDef, and ExecSec
- Control, task and respond to external requests for DoD support at the federal government level and below
- Validate and approve military airlift transportation requests for senior OSD personnel and non-DoD agencies, including senior cabinet officials
- Oversee the approval process for external DoD detail requests

- Designate the Defense Intelligence Agency as the Executive Liaison Agent to provide administrative and logistic support for visiting senior foreign dignitaries
- Administer the Presidential Support Program (Yankee White); screen, nominate, select and retain the most suitable and qualified DoD military and civilian personnel, and contractor employees for Presidential Support duties
- Draft, approve and promulgate half-staffing of the national flag for all DoD activities
- Review, validate, and authorize release of Secretary and Deputy Secretary of Defense – level correspondence requested under the Freedom of Information Act
- Oversee physical, personnel, and information security programs for the immediate office
- Oversee human resource and performance management functions for the immediate office

The *Special Assistant to the Secretary of Defense for White House Liaison* supports White House and DoD policy, program and personnel efforts and serves as a representative of the Secretary of Defense to the White House and other executive organizations.

The *Director of Protocol* provides direct support and coordination for the Secretary and Deputy Secretary of Defense on all matters pertaining to official visits by senior level cabinet members, Congressional members and foreign dignitaries. The Protocol Office also coordinates all staff ceremonies and special events as directed by the Secretary and/or Deputy Secretary of Defense.

The **Military Departments** are the Departments of the Army, Navy, and Air Force (the Marine Corps is a part of Department of the Navy). Each Military Department is separately organized under its own Secretary and functions under the authority, direction, and control of the Secretary of Defense. The Military Departments are responsible for organizing, training and equipping forces for assignment to Combatant Commands.
<http://www.defense.gov/orgchart/#3>

The *Chairman of the Joint Chiefs of Staff* (DoD Directive 5100.1). The Chairman of the Joint Chiefs of Staff is the principal military adviser to the President, the National Security Council and the Secretary of Defense. The Joint Chiefs of Staff, headed by the Chairman of the Joint Chiefs of Staff, consists of the Chairman, JCS; the Vice Chairman, JCS; the Chief of Staff, U.S. Army; the Chief of Naval Operations; the Chief of Staff, U.S. Air Force; and the Commandant of the Marine Corps, and supported, subject to the authority, direction and control of the Chairman, by the Joint Staff, constitute the immediate military staff of the Secretary of Defense. The Chiefs of Service are the senior military officers of their respective Services and are responsible for keeping the Secretaries of the Military Departments fully informed on matters considered or acted upon by the JCS, and are military advisers to the President, the National Security Council, and the Secretary of Defense. The Vice Chairman of the JCS performs such duties as may be prescribed by the Chairman with the approval of the Secretary of Defense.
<http://www.defense.gov/orgchart/#38>

The ***Combatant Commands*** (DoD Directive 5100.01, Directive refers to Unified Commands) are responsible to the President and the Secretary of Defense, as the National Command Authorities, for accomplishing the military missions assigned to them. Commanders of the Combatant Commands exercise command authority over forces assigned to them as directed by the Secretary of Defense. The operational chain of command runs from the President to the Secretary of Defense to the Commanders of the Combatant Commands. The Chairman of the Joint Chiefs of Staff functions within the chain of command by transmitting to the Commanders of the Combatant Commands the orders of the President or the Secretary of Defense. Combatant Commands include the Africa Command, European Command, Pacific Command, Northern Command, Central Command, Southern Command, Strategic Command, Joint Forces Command, Special Operations Command, and Transportation Command.

<http://www.defense.gov/OrgChart/office.aspx?id=45>
<http://www.defense.gov/specials/unifiedcommand/>

The ***Defense Agencies***, authorized by the Secretary of Defense pursuant to the provisions of Title 10, United States Code, perform selected consolidated support and service functions on a Department-wide basis; Defense Agencies that are assigned wartime support missions are designated as Combat Support Agencies. The Defense Agencies include: Defense Advanced Research Project Agency, Defense Business Transformation Agency, Defense Commissary Agency, Defense Contract Audit Agency, Defense Contract Management Agency, Defense Financial Accounting Service, Defense Information Systems Agency, Defense Intelligence Agency, Defense Legal Services Agency, Defense Logistics Agency, Defense Security Cooperation Agency, Defense Security Service, Defense Threat Reduction Agency, Missile Defense Agency, National Geospatial-Intelligence Agency, National Reconnaissance Office, National Security Agency/Central Security Service, and the Pentagon Force Protection Agency.

http://odam.defense.gov/omp/Library/DoD_Organization_Chart_May_2010_Update.pdf

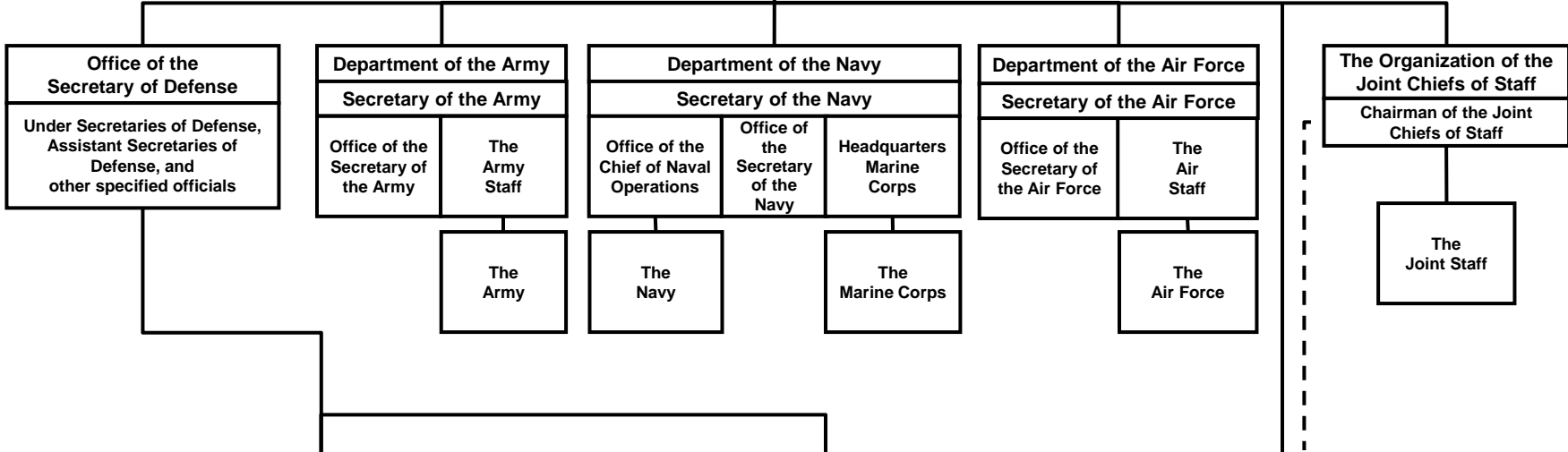
The ***DoD Field Activities*** are established by the Secretary of Defense, under the provisions of Title 10, United States Code, to perform selected consolidated support and service functions of a more limited scope than Defense Agencies. The DoD Field Activities include: Defense Media Activity, Defense Prisoner of War/Missing Personnel Office, Defense Technical Information Center, Defense Technology Security Administration, Department of Defense Education Activity, Department of Defense Human Resources Activity, Department of Defense Test Resource Management Center, TRICARE Management Activity, Office of Economic Adjustment, and Washington Headquarter Services.

http://odam.defense.gov/omp/Library/DoD_Organization_Chart_May_2010_Update.pdf



Department of Defense
 Secretary of Defense
 Deputy Secretary of Defense

**Office of the Inspector General
 of the Department of Defense**



The Defense Agencies

- Defense Advanced Research Projects Agency
- Defense Business Transformation Agency
- Defense Commissary Agency
- Defense Contract Audit Agency
- Defense Contract Management Agency
- Defense Finance and Accounting Service
- Defense Information Systems Agency
- Defense Intelligence Agency
- Defense Legal Services Agency
- Defense Logistics Agency
- Defense Security Cooperation Agency
- Defense Security Service
- Defense Threat Reduction Agency
- Missile Defense Agency
- National Geospatial-Intelligence Agency
- National Reconnaissance Office
- National Security Agency/Central Security Service
- Pentagon Force Protection Agency

DoD Field Activities

- Defense Media Activity
- Defense Prisoner of War/Missing Personnel Office
- Defense Technical Information Center
- Defense Technology Security Administration
- DoD Education Activity
- DoD Human Resources Activity
- DoD Test Resource Management Center
- Office of Economic Adjustment
- TRICARE Management Activity
- Washington Headquarters Services

Combatant Commands

- US Africa Command
- US Central Command
- US European Command
- US Joint Forces Command
- US Northern Command
- US Pacific Command
- US Southern Command
- US Special Operations Command
- US Strategic Command
- US Transportation Command

Prepared by: Directorate for Organizational and Management Planning/Office of the Director, Administration and Management/Office of the Secretary of Defense May 2010

Chapter 3: OSD Policy

3.1 Security Awareness

Military Assistants have an important role in upholding standards of physical and information security. This responsibility is an extension of the mission to support the Department of Defense (DoD), its leadership and employees. The challenge of security in the current environment is increasingly complex and magnified exponentially by the sophistication of technological media. In an effort to focus appropriate attention and assets on this critical area, those responsible for designing and implementing security policy for the Pentagon have significantly stepped up protective measures. They include: random entry-exit inspections, security awareness programs and new employee orientations.

The Secretary of Defense and Deputy Secretary of Defense shall be provided with sufficient security protection and services to afford them the ability to serve the President of the United States and their National Command Authority. To provide this, several entities and individuals play an integral role in this protection.

The Pentagon Force Protection Agency serves as the Security and Law Enforcement Agency at the Pentagon and is responsible for protecting the Pentagon, delegated buildings in the National Capital Region, and assigned government personnel.

Each organization appoints a Security Manager to implement the appropriate security policies within their organization. These individual's are delegated responsibility for managing the organization's security program. For security issues or assistance, direct questions to them for resolution.

Military Assistants (MA) have a direct responsibility for upholding security standards and for properly safeguarding classified and sensitive information from unauthorized release or disclosure. Therefore, discretion is provided to a MA which allows the proper coordination of classified and sensitive information on behalf of the Secretary and Deputy Secretary of Defense. This discretion however shall be in strict accordance with applicable security policies and procedures, based on the "need-to-know" and in furtherance of the DoD mission.

3.2 Absences

The Secretary of Defense requires that all Under Secretaries of Defense, Principal Deputy Under Secretaries of Defense, Assistant Secretaries of Defense, Assistants to the Secretary of Defense, the Inspector General, the General Counsel, Directors and Special Assistants to the Secretary and Deputy Secretary of Defense report their absences to the Executive Secretary by memorandum. After review by the Executive Secretary, the Executive Services & Communications Directorate will forward a copy to the National Military Command Center (NMCC) and Cable Division. Components should provide a copy of the travel itinerary (with contact numbers) to OSD Cable Division prior to the absence.

If the principal OSD component head plans to be absent from the Washington area, the principal assistant or deputy should remain. If it is essential for both the principal and the principal assistant or deputy to be absent at the same time, the Deputy Secretary of Defense must be notified through the OSD Executive Secretary before any irrevocable commitments are made. The Service Secretaries, Service Chiefs and OSD component heads and their Vice/Under/Deputy should coordinate their travel so that at least one remains in CONUS and has access to secure communications. The Chairman and Vice Chairman shall not be absent from the Washington, D.C. area at the same time.

Reference: Deputy Secretary of Defense Memorandum, Subject: Dual Absence Policy, dated February 13, 2003.

3.3 Wearing of Uniforms

The duty uniform for all military personnel assigned to the immediate office of the Secretary of Defense and Deputy Secretary of Defense will wear their Service Khaki, Class B, or Service Charlie / Bravo as appropriate.

The duty uniform for all other military personnel assigned to OSD and WHS will be the same as that prescribed by each Service in the Washington, DC, area. Military personnel assigned to OSD and WHS should wear appropriate Service uniforms during normal duty hours. Personnel who perform shift duty beyond normal duty hours or on weekends will also wear the appropriate Service uniform when on duty.

Subject to Service regulations, wear of the blouse or coat is optional year-round when attending meetings of the Secretary and Deputy Secretary of Defense.

The wear of civilian clothing at certain meetings outside DoD is authorized when the military uniform would be inappropriate.

When applicable, changeover dates for wear of the summer and winter uniforms are as prescribed by each Service.

3.4 Funding and Support for Official Guests of the Secretary of Defense

To strengthen internal controls in accounting for Official Representation Funds used to support official guests of the Secretary of Defense, the following procedures are in effect:

The Executive Secretary of the Department of Defense is responsible for appointing an Executive Liaison Agent from one of the military departments and/or Defense Agencies when the trip cannot be supported by the OSD staff.

Executive Liaison Agents, in coordination with the OSD point of contact, will develop an itinerary, to include the official party list, and supporting budget for each trip and forward that information to the Director, Financial Management Directorate (FMD), Washington Headquarters Services (WHS). The submission to WHS/FMD should be made so as to allow approximately 10 working days in which to obtain the approval of the expenditures by the Secretary or Deputy Secretary of Defense. Executive Liaison Agents will nominate a trip officer to act as a Class A Agent to obtain funds from WHS with which to execute the planned and approved trip. Upon completion of the trip, the Class A Agent will submit a complete accounting of the funds to the WHS Financial Management Directorate.

The Financial Management Directorate, WHS, will obtain appropriate approvals for such trips, advise the various DoD components of their anticipated share of the costs, appoint the Class A Agent and provide the necessary funds and guidance, validate the final trip report from the Class A Agent, bill appropriate DoD components and perform other necessary accounting functions. Billings will be in accordance with DoD Instruction 7250.13 found at:

<http://www.dtic.mil/whs/directives/corres/pdf/725013p.pdf>.

3.5 Executive Liaison Agents For Visiting Foreign Dignitaries

Responsibility for assignment of Executive Liaison Agents for visits by foreign dignitaries is vested in the Executive Secretary of the Department of Defense. Executive Liaison Agents are normally assigned for visits at the Minister of Defense (MOD) or Deputy MOD, Chief of Defense or Vice Chief of Defense level and for large, high level groups such as Consultative Groups and Parliamentary Committees. Executive Liaison Agents are authorized use of Official Representation Funds in extending official courtesies to guests of the Department of Defense consistent with maintaining the standing and prestige of the United States as outlined in DoD Directive 7250.13.

Authority to invite foreign dignitaries at the expense of the Department of Defense is limited to the following officials:

- Secretary of Defense
- Deputy Secretary of Defense
- Secretaries of the Military Departments
- Chairman and Vice Chairman of the Joint Chiefs of Staff
- Chiefs of the Military Services
- Director of the Defense Intelligence Agency

(Note: Visits proposed by any official not listed above must be approved by one of the above officials.)

Officials authorized to host foreign dignitaries, in addition to officials listed above are:

- Under Secretaries of Defense
- Assistant Secretaries of Defense
- Commanders of the Unified and Specified Commands
- Directors of the Defense Agencies
- President, Uniformed Services University of the Health Sciences.

Foreign dignitaries and officials visiting the United States at the invitation and expense of the Department of Defense fall into four categories. The first consists of foreign dignitaries and officials visiting the United States at the invitation of the Secretary of Defense (SecDef), Deputy Secretary of Defense (DepSecDef), Chairman of the Joint Chiefs of Staff (CJCS) or Vice Chairman of the Joint Chiefs (VCJCS) of Staff and are designated as counterpart visits. The Director of the Defense Intelligence Agency (DIA) is the Executive Agent responsible for managing all counterpart visits.

The next category for which an Executive Liaison Agent may be requested includes visits linked to significant events such as Bilateral and Military Committee meetings. When the foreign Head of Delegation is the counterpart of the SecDef/DepSecDef/CJCS/VCJCS, DIA will assume Executive Liaison Agent responsibilities.

The third category for which Executive Liaison Agent support may be requested includes events having wide-ranging DoD implications and benefits that do not involve a counterpart of the SecDef/DepSecDef/CJCS/VCJCS. Executive Liaison Agent responsibilities will generally go to the Services, Joint Staff or a DoD Agency other than DIA. Priority for DIA Executive Liaison Agent support will be given to SecDef/DepSecDef/CJCS/VCJCS counterpart missions. Therefore, it is incumbent upon the requester to augment the DIA Executive Liaison Agent and/or be prepared to assume all responsibilities should a counterpart mission arise, precluding continued DIA support.

CJCS Foreign National and International Defense Colleges comprise the final category for which Executive Liaison Agent support may be provided. However, responsibility for providing Executive Liaison Agents will remain with the Services.

The approval authority for all Executive Liaison Agent requests remains with the Department of Defense Executive Secretary. Requests for assignment of Executive Liaison Agents should be addressed to the Executive Secretary at least 60 days in advance with as much information about the proposed visit as possible. Sample requests for Executive Liaison Agent assignment are shown. Requesters should not make pre-arrangements with the Services to act as Executive Liaison Agents.

Additional information concerning the Executive Liaison Agent Program can be found in the following references:

- DoD Directive 5100.88, Subject: DOD Executive Liaison Agent
- DoD Directive 7250.13, dated June 30, 2009, Subject: Official Representation Funds
- DepSecDef Memorandum, dated July 28, 2004, Subject: DoD Senior Foreign Official Visit Program

MEMORANDUM FOR DIRECTOR, DEFENSE INTELLIGENCE AGENCY

SUBJECT: Designation of Executive Liaison Agent

The Secretary of Defense will host (Name), Minister of Defense (Title), (Country) and his delegation for an official, invited counterpart visit in Washington, DC, from (Month & Dates).

The Defense Intelligence Agency (DIA) is designated the Executive Liaison Agent (ELA) for this visit. The ELA will be responsible for coordinating customs and immigration, security, language services, conference/briefing space, meals, social activities, and ground transportation as needed, with a budget not to exceed (\$ amount) without the approval of the Principal Director for Enterprise Services in the Office of the Under Secretary of Defense for Policy (OUSD(P)). Any request for military airlift support will be submitted to the Secretary of Defense via the DoD Executive Secretary for approval. The ELA will also be responsible for billeting as outlined in DoD Instruction 7250.13, "Use of Appropriated Funds for Official Representation Purposes," dated June 30, 2009.

Funding for these requirements will be in accordance with DoD Instruction 7250.13. Requests for waivers of the Instruction should be addressed to the Director, Budget and Finance, Washington Headquarters Services, through the DoD Program Support Manager, DIA. Coordinate all public affairs guidance with the Office of the Assistant Secretary of Defense for Public Affairs (PA-DPL).

Within the Office of the Secretary of Defense, my point of contact is (USMC MA), (703) 692-7129. The point of contact for the OUSD(P) is (Name), (Organization) at (Phone Number) or (E-mail). The point of contact for the OUSD(P) financial matters is (Name), at (Phone Number) or (E-mail).

Michael L. Bruhn
Executive Secretary

cc:
OASD(PA)
DIA/IE-1
OSD Protocol
WHS Director of Budget and Finance
Director, Joint Staff

3.6.1 Official Foreign Travel

The Executive Secretary acts as liaison between the Department and the Assistant to the President for National Security Affairs on all official foreign travel.

Requests for official foreign travel proposals for officials at or above the rank of assistant secretary (or equivalent rank, to include the Service chiefs and vice chiefs) of executive departments and agencies are to be submitted to National Security Affairs through the Executive Secretary. Such notifications are to be coordinated with the Under Secretary of Defense for Policy.

Requests should be forwarded to the Executive Secretary under cover of an ACTION MEMORANDUM requesting signature and forwarding to the National Security Council.

All requests should be forwarded to the Executive Secretary at least 10 days in advance of the intended travel.

An example of a properly prepared request to be signed by the Executive Secretary is shown on following page.

EXAMPLE

MEMORANDUM FOR ASSISTANT TO THE PRESIDENT FOR NATIONAL
SECURITY AFFAIRS

SUBJECT: Request for Official Foreign Travel Approval

Senior Official and Title: Christine Fox; Director, Cost Assessment and Program Evaluation

The purpose of this orientation trip is to accompany senior Army leadership to Afghanistan to gain firsthand knowledge of joint and Army capabilities and limitations in country.

Itinerary:

7 January 2011	Depart Dulles IAP enr to Kuwait City, Kuwait
8 January 2011	Arrive Kuwait City, Kuwait
9 January 2011	Depart Kuwait City, Kuwait enr Kabul, Afghanistan
9 January 2011	Arrive Kabul, Afghanistan
11 January 2011	Depart Kabul, Afghanistan enr Kuwait City, Kuwait
11 January 2011	Arrive Kuwait City, Kuwait
12 January 2011	Depart Kuwait City, Kuwait enr Dulles IAP
12 January 2011	Arrive Dulles IAP

Michael L. Bruhn
Executive Secretary

NSC Approval _____

3.6.2 Official Travel

The Defense Travel System (DTS) is the official mandated travel system for the Department of Defense (DoD). Use DTS for official travel supported by DTS.

Carlson Wagonlit Travel is the Commercial Travel Office (CTO) provider for travel management services for official travel through DTS and outside of DTS. This includes airline/train reservations, hotel/lodging accommodations, and car rentals. Contact information:

Carlson Wagonlit Travel
Pentagon - Crystal City
2350 Crystal Drive, 10th Floor
Arlington VA. 22203

Hours of Operation: 0800-1630 –Monday Through Friday (closed Federal Holidays)

Phone: 800-756-6111
Fax: 866-805-0152

Emergency Assistance - After Normal Duty Hours (1630-0800 EST): 1 800-468-2863
For Travel Assistance While Overseas – Call Collect: 210-877-3255
Office Email: pentagon@cwtsatotravel.com

Reservation and Ticketing Tips When Calling the CTO

Reservations

- Spell client's name phonetically.
- Have client's home phone number available.
- Narrow preferred flight times.
- Advise whether client is a contractor (Contractors are not authorized use of government contracted city pair airfares.)
- Know if client prefers aisle or window seating.
- Record the record locator/confirmation code.
- Provide Transportation Security Administration (TSA) Secure Flight Passenger DATA (SFPD). Traveler's name, to include middle name or initial as it appears on government issued identification, gender and date of birth.

Ticketing

- Approved authorizations in DTS will be issued an electronic ticket (e-ticket) three days in advance of travel. E-ticket and itinerary will be provided via email.
- Fax/Email/Walk-in one copy (no originals) no originals of travel orders with record locator/confirmation code.
- Non-contract carriers must be approved on the order. Premium Class requires appropriate approval on travel orders.

- TDY duty points must appear in Box 11 on DD1610. Leave on travel order does not authorize government city pair rates.
- **Walk-in:** 2530 Crystal Drive, 10th Floor, during office hours, 0800-1600.
- **Will call:** Submit orders at least 24 hours in advance. Note pick-up date and confirmation. Primarily used if paper ticket is requested or if e-ticket is unavailable. Note confirmation code on the orders. This service is primarily used if paper ticket is requested or if e-ticket is not available such as Amtrak tickets. Pick up tickets at 2530 Crystal Drive, 10th Floor at Will Call during normal business hours.
- **Delivery (Pentagon only – Paper/Amtrak Tickets):** Submit orders at least 24 hours in advance. Note delivery date, room number/home address, and confirmation code on the orders. This service is primarily used for paper tickets if requested or if e-tickets are not available. Tickets are Federal Expressed overnight.

Refunds and Cancellations

- If ticket has been issued, either return ticket to the CTO prior to first flight date or call to cancel.

3.6.3 Acceptance of Payment from a Non-Federal Source for Travel Expenses While in Official Capacity

Often, organizations, associations, or businesses, offer to pay the Government for travel, subsistence, and related expenses incurred by Government personnel while in their official capacities to attend meetings, conferences, seminars, symposia, and other similar functions. Offers may be for travel only, accommodations only, meeting expenses only, or any combination. A statute, 31 U.S.C. 1353, allows acceptance of such offers as implemented by the General Services Administration (Federal Travel Regulation, 41 CFR Part 304-1).

Before travel payments are accepted from a non-Federal source, prior approval must be granted from the travel approving authority (official who signs travel orders), who must make the following determinations:

- Payment is for attendance at a meeting, conference, seminar, speaking engagement, symposium, training course, or receipt of an award or honorary degree related to official duties. This authority does not permit acceptance of payments for promotional vendor training or other events in which the primary purpose is marketing the Non-Federal source's products or services, or events required to carry out an agency's statutory and regulatory functions, such as inspections, audits, site visits, or negotiations. In addition, the event need not be a "widely attended gathering."
- Payment is for travel related to the employee's official duties, and the employee must be in a travel status. Payments or benefits offered by a non-Federal source may be limited by qualifying acceptance to attend only a portion of the function that is deemed to be in the Government's interest.
- Payment may be accepted only from a non-Federal source that is not disqualified because of a conflict of interest. A "conflicting source" of payments is a non-Federal organization that "has interests that may be substantially affected by the performance or nonperformance of the employee's duties." The approving authority must consider the circumstances to determine that acceptance would not cause a reasonable person with knowledge of all the relevant facts to question the integrity of the Government's programs or operations.
- Approval of Payment of payments from a Non-Federal source should take into consideration the identity of other expected participants.
- Travel is primarily for the benefit of the Government and not the organization paying for it.

Procedures:

These determinations should normally be in writing. A model memorandum is included as Attachment 1. The acceptance of travel benefits must be approved by the employee's travel approving authority in advance. The travel approving authority (usually the official who authorizes travel of employees) should be as high an administrative level as possible to adequately consider whether it is proper to accept the travel benefits (41 CFR Part 304.1.3 (c)).

Benefits in kind (*e.g.*, plane tickets, prepaid hotel reservations) are preferred. **Cash may not be accepted by DoD employees.** If benefits are provided by reimbursement of expenses, checks must be made payable to the U. S. Treasury or the DoD Component, not to the employee.

Since these travel benefits are provided to the Government, they should not be listed as gifts on the financial disclosure reports (SF 278 or OGE Form 450) of the affected Government employee.

Reports:

After the travel has been completed, a report (Attachment 2) must be forwarded to the ethics counselor for inclusion in the semi-annual report to the Office of Government Ethics. SF 326, "Semiannual Report of Payments Accepted from a Non-Federal Source," and SF 326A, "Semiannual Report of Payments Accepted from a Non-Federal Source-Continuation," can be found at the following web sites:

www.gsa.gov/forms/pdf_files/sf326.pdf and www.gsa.gov/forms/pdf_files/sf326a.pdf, respectively.

Please call the Standards of Conduct Office at (703) 695-3272, if you have any questions.

DATE:

MEMORANDUM FOR RECORD

SUBJECT: Acceptance of Travel Benefits Under 31 U.S.C. 1353

Travel benefits have been offered by non-Federal source_____ to accommodate the participation of DoD employee___ in name of meeting or similar event on date of meeting in place of meeting . The DoD employee will be participating in an official capacity and travel benefits will be provided in kind or by check or similar instrument made payable to the "U.S. Treasury". I make the following determination regarding acceptance of these travel benefits by this DoD Component:

Acceptance of these travel benefits would not cause a reasonable person with knowledge of all the relevant facts to question the integrity of the DoD Component's (such as AT&L's, Policy's, TMA's, PA&E's) programs or operations. I have considered any impact the performance or nonperformance of the DoD employee's official duties might have on the non-Federal source.

The acceptance of these travel benefits is approved. This memorandum has been coordinated with the Standards of Conduct Office.

Travel Approving Authority

Coordination: DoD SOCO (3D941)

Concur _____

Non-concur _____

Date:

MEMORANDUM FOR: STANDARDS OF CONDUCT OFFICE, OFFICE OF
GENERAL COUNSEL, DEPARTMENT OF DEFENSE

SUBJECT: Report of Payments for Travel Expenses from Non-Federal Source
Pursuant to 31 U.S.C. 1353

Name:

Grade or Rank:

Position:

Office Address:

Telephone:

Event:

Sponsor of Event:

Location of Event:

Date of Event:

Travel Dates:

Nature of Participation:

Non-Federal Source of Payment:

Nature of Payment (Check or in-kind payment):

Total Value of Benefits Received:

Lodging:

Transportation:

Meals:

Miscellaneous:

Attachment: Travel Approving Authority Determination

g:\socgc\HANDOUT\1353 Fact Sheet and Memo.doc

Updated: January 15, 2003

3.6.4 Travel Policies

The National Defense Authorization Act for Fiscal Year 2002 (P.L.107-107) permits Federal military or civilian employees to accept promotional items such as frequent flyer miles earned when traveling in an official capacity. Frequent flyer miles earned from official travel before or after 2002 may be combined with miles earned through personal travel and used by the employee for personal purposes.

Personnel on official travel may use frequent flyer miles, because they belong to the individual, to upgrade to first class. However, each Military Department has issued guidance regarding the wearing of uniforms while traveling in first class accommodations.

3.7 Request for Military Aircraft (MILAIR) Transportation

Requests for military aircraft transportation for senior OSD component personnel should be addressed to the Executive Secretary for approval and sent/delivered to the Executive Secretariat (Room 3D914) for processing. No cover ACTION MEMORANDUM is required.

Requests for stateside and overseas travel should be submitted at least 14 business days prior to the travel date to allow for processing and action.

Requests for team travel (nine or more persons) must be submitted a minimum of 21 days in advance of the travel date.

Use of military air transportation will only be approved when it meets the requirements as specified in DoD Directive 4500.56, DoD Policy on the Use of Government Aircraft and Air Travel. All requests for military air transportation *must* be signed by the *senior traveler*, not the military assistant or any other designee, and must clearly indicate the costs (military versus commercial air) involved for comparison purposes. In addition, unless the senior traveler reports directly to the SecDef (i.e. Undersecretary of Defense), the milair request memo must be staffed through one organizational level above the senior traveler (i.e. ASD signs and sends a request through USD for endorsement to ExecSec for decision). As a reminder, in accordance with the directive, military aircraft transportation shall not be used if commercial airline or aircraft (including charter) service is reasonably available. Reasonably available is defined as meeting the itinerary within 24 hrs. Thus, government and DoD policy directs senior travelers to adjust their itinerary, whenever possible, to allow for commercial travel, leaving the day prior and/or departing the day after events.

There are compelling operational considerations that make the use of milair justified even if not cost effective (need for secure communications, delivery constraints, security). Although secure communications are desirable for many senior travelers, it is rare that they are required for a non-tier 2 (required use) traveler, and should be based on the SecDef's need to communicate with the senior traveler enroute. If there is a scheduling conflict preventing the use of commercial air, it should be outside the control of the senior travel and of a nature that deems it appropriate to request SecDef approval for the use of a military aircraft (i.e. meeting with the SecDef, meeting at the White House, Congressional testimony). If there is a security concern, it must be documented formally by an appropriate agency (i.e. DIA). Note: Even in the case that a credible threat exists requiring a security detail, it may not prevent the use of commercial air. Please include details in the body of the memo as justification for a compelling operational consideration. Stating "secure communications are required" or "milair required due to security concerns" will not suffice. The actual details and any supporting documents must be included.

Use of rotary-wing aircraft is costly, and will only be used when use of ground transportation would have a significant adverse impact on the senior traveler's ability to effectively accomplish the official purpose.

After Executive Secretary approval of a travel request:

- All fixed wing and rotary wing outside of the local area requests will be forwarded to Air Force CVAM, AFRICOM, CENTCOM, EUCOM, PACOM, TRANSCOM for tasking (as appropriate). Planners from the airlift cells will contact the POC listed on the milair request memo.
- Requesters will receive a copy of Executive Secretariat approval or disapproval notification when coordination is established with the appropriate Service for support.

Operational Support Airlift (OSA) references:

- DoD Directive 4500.43, Operational Support Airlift (OSA), 28 Oct 96.
- DoD Directive 4500.56, DoD Policy on the Use of Government Aircraft and Air Travel, incorporating CHG 1 dated 11 May 2010.

Sample Milair Request....

(Date)

MEMORANDUM FOR THE EXECUTIVE SECRETARY

THROUGH: (Determined by Requester—at least one org level above Sr traveler)

SUBJECT: Request for Military Transportation

Traveler(s): Senior traveler first followed by other travelers; full name, title, DV Code, SSN

Itinerary: Andrews AFB, MD to Philadelphia, PA (Smith Airport) [Indicate airport/helicopter location. Indicate fixed/required arrival/departure time; 2 hour window preferred.]

Remarks:

[State purpose of the trip.]

[Statement of why commercial travel is inappropriate or more expensive.]

[Cost comparison if appropriate. Contact the travel office for commercial airfare rates and Air Force CVAM (695-3741) for MilAir costs based on flight time and most suitable aircraft type that will support requirement.]

[Always include the following certification: “This travel meets the criteria of DoD Directive 4500.56, DoD Policy on the Use of Government Aircraft and Air Travel.”]

[Include the name of a point of contact (not traveling) with office, home and fax phone numbers. If known, provide a point of contact with office and home phone numbers, DSN, and direct dial, for the planned destination(s). If MilAir is for OCONUS travel, include your e-mail (NIPR & SIPR) to ensure you receive a copy of all message traffic related to the travel request and arrangements.]

/Signed by senior traveling official/

Note: Signature CANNOT be delegated

3.8 Joint Awards

The Department of Defense Military Awards:

In 1963 steps were taken to resolve one major deficiency in the Department of Defense (DoD) Award system. Until that time, no means existed by which Service members assigned to joint activities could be recognized by any decoration other than a Service decoration. Sixteen years after the formation of the Department of Defense, the first Defense decoration -- the Joint Service Commendation Medal -- was authorized by the Secretary of Defense for award to Service members assigned to joint activities. As with Service decorations, Defense decorations have evolved to where today there are a total of five Defense decorations that complement noncombat Service decorations.

Department of Defense Level Awards (in order of precedence):

- Defense Distinguished Service Medal
- Defense Superior Service Medal
- Defense Meritorious Service Medal
- Defense Joint Service Commendation Medal
- Joint Service Achievement Medal

Civilian Awards:

The Department of Defense awards program has six different awards to recognize career DoD employees, employees from other government agencies, and non-career employees (to include political appointees, private citizens and foreign nationals) for contributions to the DoD at large. There are three categories of DoD-level awards: Civilian Career Awards, Public Service Awards and Competitive Awards.

Department of Defense Civilian Level Awards:

- Department of Defense Distinguished Civilian Service Award
- Secretary of Defense Meritorious Civilian Service Award
- David O. Cooke Excellence in Public Administration
- Exceptional Civilian Service Award
- Department of Defense Distinguished Public Service Award
- Secretary of Defense Award for Outstanding Public Service

Preparation of Award Recommendations

Awards preparation requirements/recommendations differ between the separate approval chains for Civilian and Military Awards, where applicable, specific requirements have been annotated.

Award recommendations should be submitted 90 days before the desired presentation date and include the following elements:

- Narrative - Defense Distinguished Service Medal (DDSM) and the Defense Superior Service Medal (DSSM), maximum length three single-spaced pages. The Defense Meritorious Service Medal (DMSM), the Joint Service Commendation Medal (JSCM) and Joint Service Achievement Medal (JSAM) maximum length one single-spaced page.
- Citation - not more than 16 single-spaced typed lines.
 - Defense Agencies close with "Department of Defense".
 - The Immediate Office of the Secretary of Defense, Offices of the Under Secretaries of Defense and Offices of the Assistant Secretaries of Defense, close with "Office of the Secretary of Defense."
 - When using duty title omit "the" or "an"; use "service as Administrative Assistant,..." not "the...".
 - For compound grade titles such as first lieutenant or staff sergeant, spell out the complete grade title in the opening sentence and use the short title thereafter, e.g., lieutenant, sergeant.
 - Omit parentheses in organization titles; e.g., Under Secretary of Defense (Personnel and Readiness); use Under Secretary of Defense for Personnel and Readiness.
 - Numbers one through ten should be written out; 11 and greater are numerical; express dollar amounts as \$200 million.
- Memorandum - addressed to Chief, Military Personnel Division, Washington Headquarters Services. The package must be processed through the organizational chain of command before forwarding to the Awards Section.
- Copies - include the original plus three.
- The approval authority for the DSSM, DMSM, JSCM and JSAM for service members assigned to multilateral and bilateral organizations and other offices within the Executive Branch, Executive Agencies and Departments or independent establishments and Government corporations, is the Director for Administration and Management. The approval authority for the DDSM is the Deputy Secretary of Defense.
- Approval authority for the JSAM for Service members assigned to OSD, the DoD Field Activities or the joint DoD activities for which a Principal Staff Assistant has been designated "Executive Agent for the Secretary of Defense," is delegated to the OSD Principal Staff Assistants.

Two copies of the orders are given to the recipient of the award. Recipients are responsible for ensuring that a copy of the award is placed in personnel records.

Award recommendations will be boarded with three senior officers assigned to OSD. Board books will be distributed to the board members every Monday for review.

Sample Award Recommendation

MEMORANDUM FOR CHIEF, MILITARY PERSONNEL DIVISION, PERSONNEL
AND SECURITY DIRECTORATE, WHS

THROUGH: (if applicable)

SUBJECT: Recommendation for Award of the (as applicable)

Under the provisions of DoD 1348.33-M, the following Service member is recommended for award of the (as applicable):

- a. Grade, name, Service and social security number.
- b. Organization of assignment.
- c. Title and duty assignment at the time of act or service. Include Joint Manpower Program paragraph and/or line number or JDAL number as applicable.
- d. Inclusive dates for which recommended.
- e. Indicate the reason for the submission, e.g., service member is to be reassigned permanent change of station on ____; separated from active duty on ____; or retired from active duty on _____. If award is recommended for meritorious achievement, indicate "Impact Award."
- f. Requested date of presentation. Include telephone number and point of contact.
- g. Previous Defense awards and inclusive dates.
- h. No other award for this service member for this action/service is pending and no previous award has been made for the act or service described herein.

Attached is a narrative description of achievement performed or service rendered.

Signature of Recommending Official

Attachments

1. Narrative
2. Citation
3. Supporting Documentation (if appropriate)

Supporting Narrative

The narrative should be specific and factual, giving concrete examples of exactly what the service member did, how it was done, what benefits or results were realized and why or how such benefits or results significantly exceeded superior performance of duty.

JOHN E. DOE

Colonel John E. Doe, United States Air Force, distinguished himself by exceptionally superior service as Special Assistant to the President, The White House, from January 1998 to December 2000. The outstanding professional skill, leadership and ceaseless efforts of Colonel Doe resulted in major contributions to the effectiveness and success of various nationally critical programs. Applying extensive knowledge and substantial experience, he aggressively pursued and resolved countless political-military issues and led all efforts to reorganize and focus the staff for greater efficiency. He personally directed several key action groups that made sweeping changes, significantly impacting on the Command's mission and resulting in increased staff efficiencies and resource savings. The distinctive accomplishments of Colonel Doe reflect great credit upon himself, the United States Air Force, and the Department of Defense.

Sample Citation

Opening Statement:

Rules of thumb for Military Awards:

- DDSM use exceptionally distinguished service
- DSSM use exceptionally superior service
- DMSM/JSCM/JSAM use exceptionally meritorious service (use exceptionally meritorious achievement for impact awards)

Closing Statement:

- PCS/impact award: The distinctive accomplishments of Colonel Doe reflect great credit upon himself, the United States Air Force and the Department of Defense (Office of the Secretary of Defense). Note: Do not use the word "great" in the closing sentence for the JSAM.
- Retirement Award: The distinctive accomplishments of Colonel Doe culminate a (long and **if member has 30 years of service**) distinguished career in the service of his country and reflect great credit upon himself, the United States Air Force and the Department of Defense (Office of the Secretary of Defense).
- Separation Award: The distinctive accomplishments of Major Doe while serving his country reflect great credit upon himself, the United States Air Force and the Department of Defense (Office of the Secretary of Defense).
- Posthumous Award: The distinctive accomplishments of Colonel Doe in the dedication of his service to his country reflect great credit upon himself, the United States Air

Force and the Department of Defense (Office of the Secretary of Defense).

Note: WHS does not prepare citations for activities outside the Immediate Offices of the Secretary and Deputy Secretary of Defense and the Offices of the Principal Staff Assistants. Activities may prepare citations on bond paper, command letterhead, parchment paper or other suitable paper stock.

Unit Awards

A recommendation for the Joint Meritorious Unit Award will consist of the following:

- (a) Narrative - The narrative justification must contain specific and factual data about what the activity accomplished, how it was done, what the benefits or results were, and why or how the achievement or service significantly exceeded normal unit duty performance. The narrative justification shall not exceed three single-spaced pages.
- (b) Citation - the citation shall be submitted on bond paper, not to exceed 20 typed lines.
- (c) Personnel roster - a roster of all eligible personnel (military and civilian) must be submitted with each JMUA recommendation to be retained by Military Personnel Division
- (d) Eligible subordinate unit roster
- (e) Copies - the original plus three copies
- (f) Endorsing official - the award recommendations must be endorsed by commanders at all levels.

Authority to award the JMUA is delegated to the OSD Director, Administration and Management. Orders are distributed to the originator of the award. The originator is responsible for notifying those eligible to receive the award after it is approved. Only those members of the Armed Forces of the United States who were present at the time and directly participated in the service or achievement for 30 days or more, or for the period cited if less than 30 days, shall be authorized to wear the JMUA ribbon.

References

Military Awards

Additional information may be obtained from the Military Personnel Division, Washington Headquarters Services, 703-697-5271 and in the January 1999 WHS Joint Awards Guide.

Civilian Awards:

DoD 1400.25-M, Subchapter 451, "Awards," and Administrative Instruction #29, "Incentive and Honorary Awards Programs," describe the official source of responsibilities, procedures and requirements pertaining to civilian awards.

3.9 Standards of Conduct

The DoD General Counsel is the Designated Agency Ethics Official (DAEO) for DoD personnel, both civilian and military, who serve in the Office of the Secretary of Defense, DoD Field Activities and the Joint Staff. The Standards of Conduct Office manages the DoD ethics program. Direct your ethics and standards of conduct questions to:

Standards of Conduct Office
Office of the General Counsel
1600 Defense Pentagon (3B652)
Washington, DC 20301-1600
Telephone: 703-695-3422 E-mail: SOCO@osdgc.osd.mil

Most Important Advice

When an issue raises a question of ethics, contact the Standards of Conduct Office for advice. The following guidelines are excerpts from the DoD Employees' Guide to the Standards of Conduct. Copies may be obtained from the above location. The information below is general in nature and does not substitute for advice tailored to your facts and circumstances from Standards of Conduct Office.

Gifts from Outside Sources

Below are the general rules concerning acceptance of gifts from outside sources. Application of these rules is subject to the following:

- **Lobbyist Gift Ban.** If a gift is given/to be given to a non-career official in the Obama Administration, the gift must first be viewed under the Obama Administration Ethics Pledge [see "Gifts from Lobbyists given to Obama Administration Appointees," below]
- **Foreign Gifts and Decorations Act.** If a gift is given to a Federal official by a foreign government, foreign government official, or foreign government entity, the gift should be considered first under those rules [see "Gifts from Foreign Governments," below]
If a gift appears to be covered under either of these authorities, acceptance must first be considered under those authorities.

Don't Ask For Or Accept A Gift given

- Because of your official position (e.g., a gift given to you that would not otherwise be extended but for your Federal position), or
- By a prohibited source (e.g., an entity doing or seeking to do business with DoD, an organization that is regulated by DoD, or one which could be substantially affected by the performance of a DoD employee's duties, or an organization a majority of whose members are prohibited sources)

It is never permissible to:

- Accept a gift in return for being influenced in the performance of an official act (this is a bribe)
- Solicit or coerce the offering of a gift
- Accept gifts from the same or different sources so frequently that a reasonable person would think you're using your office for private gain
- Accept a gift in violation of statute, for example:
 - soliciting or receiving bribes
 - supplementing your salary from non-Federal sources

What's a gift?

- Most anything of monetary value.

What's not a gift?

- Modest items of food and refreshment (like coffee and donuts) when not served as a meal
- Prizes in contests open to the public
- Greeting cards, plaques, certificates and trophies of little monetary value
- Commercial discounts available to the public or to all Government or military personnel
- Anything the Government buys, acquires by contract or legally accepts
- Anything for which the employee pays market value

Otherwise-prohibited gifts that you may keep:

- Gifts valued at \$20 or less, but
 - not cash or investment interests (like stocks)
 - not more than \$50 in total from one source in a year
- Discounts and similar benefits offered to groups that are unrelated to Government employment (such as AARP), or
 - If membership is related to Government employment, you may accept the benefits if they are broadly available to the public through similar organizations
- Gifts motivated by family or personal relationships (if paid for by the family member's or friend's employer, the gift is from the employer)
- Gifts resulting from outside business activities of employees and their spouses
- Travel and entertainment related to bona fide future employment discussions
- Awards for achievement or meritorious public service and honorary degrees
- Travel benefits and free attendance from political organizations for active participation at certain social events
- Food and entertainment (not travel)
 - if the event is free to all attendees, and
 - if the inviter isn't a prohibited source
- Food and entertainment provided during meeting or other event, in which non-U.S. citizens participate, in foreign area if

- provided by person other than a foreign government
- market value does not exceed per diem
- participation is part of employee's official duties
- Free attendance (fee, food, refreshments and entertainment--not travel--furnished to all attendees and integral to the event)
 - on the day you are speaking or presenting information if provided by the sponsor of an event
 - at a widely attended gathering when your supervisor determines that your attendance will further the Department's programs or operations
 - if provided by the sponsor
 - if provided by a person other than the sponsor if more than 100 persons are expected to attend and the market value of attendance is \$335 or less
 - if additional written determinations are made if providers have interests that may be substantially affected by the performance of the employee's duties
- Free attendance provided by a state or local government or civic organization when there is a community relations interest
- Certain educational scholarships and grants (consult a DoD ethics official)
- Gifts accepted under specific statutory authority, such as gifts from a foreign government

Remember, you don't have to accept a gift. It may be prudent, depending on the circumstances, to decline a gift, even when acceptance is permitted under the rules.

If you are offered a gift you cannot accept, you must:

- Decline the gift
- Return the gift, or
- Pay the donor the gift's market value

Subsequent reciprocity is not an option.

Gifts from Lobbyists given to Obama Administration Appointees

Pursuant to Executive Order 13490 (Ethics Pledge), Obama Administration appointees MAY NOT accept gifts, irrespective of value, from registered lobbyists or lobbying organizations (lobbyist gift ban). Excepted from the ban are gifts from 501(c)(3) entities and media organizations. However, even if a gift does not violate the Obama Ethics Pledge, its acceptance still may be prohibited under the Standards of Conduct. If a gift is subject to the lobbyist gift ban, an appointee may pay the fair market value for the gift. However, consideration should always be given to whether the circumstances make purchase of the gift wise. For example, if the entity giving the gift is a major defense contractor currently competing for a contract under the appointee's area of official responsibilities, circumstances may make it prudent to refrain from purchasing an item, or paying the fee to attend an event.

Gifts from Foreign Governments

You may accept FOR YOUR OWN RETENTION an unsolicited gift from a foreign government, foreign government official, or foreign government entity if:

- Of “minimal value” and tendered/received as souvenir or mark of courtesy;
- For costs of: (1) Travel beginning and ending completely outside of the U.S. if consistent with U.S. interests; or (2) of medical care; or
- Educational scholarships. “Minimal value” means current retail value in U.S. at acceptance of up to \$335 and covers the aggregate value of all gifts at single presentation;

If a souvenir/mark of courtesy gift is in excess of \$335, you may accept ON BEHALF OF THE UNITED STATES if it appears that to refuse would likely cause offense or embarrassment or otherwise adversely affect U.S. foreign relations.

- Gifts must be reported to and deposited with the approval authority within 30 days (upon approval, items may be retained for official display); or
- You may purchase at the item’s fair market value in the United States.

Gifts Between Employees

Don’t accept a gift from an employee or military member who receives less pay than you (unless you have a personal relationship with the employee, and there is no subordinate-superior relationship).

Don’t give, donate toward, or solicit a contribution for, a gift for a superior.

Exceptions to the rule:

On occasions when gifts are customarily given, you may give to a superior or receive from a subordinate:

- Non-monetary gifts of up to \$10
- Personal hospitality provided at a residence (or an appropriate host/hostess gift),
- Food or refreshments shared in the office

You may give to a superior or receive from a subordinate an appropriate gift:

- In recognition of a special, infrequent occasion of personal significance, such as marriage, illness, birth of a child, or
- For occasions that terminate the subordinate-official superior relationship, such as retirement, resignation, or transfer.
- You may make a voluntary contribution of up to \$10 toward the purchase of an appropriate gift for an official superior for occasions stated above, or for occasional events like refreshments in the office.
- For occasions stated above, you may accept a gift from a group that includes a subordinate if appropriate for the occasion (“appropriate” gifts are generally those where the aggregate market value is less than \$300).

On infrequent occasions of personal significance or that terminate the superior-subordinate relationship, you may give to a superior or receive from a subordinate:

- gifts appropriate to the occasion
- subordinates may solicit voluntary contributions that do not exceed \$10 from other DoD employees for a group gift

Conflicts of Interest

You may not officially participate, personally and substantially, in any particular matter that will directly and predictably affect the financial interests of:

- You
- Your spouse
- Your minor children
- Your general partner
- An organization with which you are negotiating or making arrangements for future employment, or
- Any organization for which you work or serve as: an employee, an officer, a director, a trustee, or a general partner.

You may be criminally liable if you violate this law. If you think you may have a conflicting financial interest, consult a DoD ethics official to determine the appropriate remedy.

Bribery and Graft

Don't seek or accept anything of value for being influenced in your official duties.

Commercial Dealings Between DoD Employees

Don't sell or offer to sell to junior personnel (or their families) insurance, stocks, real estate, cosmetics, household supplies, or other such goods and services.

Representation in Matters Affecting Government

You may not represent anyone other than the Federal Government before a U.S. court or agency if the United States is a party or has a direct and substantial interest in the proceeding.

You may represent yourself in such proceedings, or your parent, spouse, child or any person over whom you have a fiduciary duty, like a guardian.

You may not accept compensation from a non-Federal source that is directly related to anyone else's representation of anyone other than the Federal Government before a U.S. court or agency if the United States is a party or has a direct and substantial interest in the proceeding.

Modified restrictions also apply to part-time experts/consultants. Check with a DoD ethics official if you have questions about these laws.

Supplementation of Federal Salary

You may not accept compensation from any source except the Government for your services as a Government employee. This rule does not apply if:

- you are a “special Government employee,” i.e. a part-time expert/consultant
- you serve without compensation
- your supplementation is a result of a public service award.

Impartiality in Performing Official Duties

Maintain your impartiality. Don’t participate in any particular DoD matter involving specific parties:

- that is likely to directly and predictably affect the financial interest of a member of your household, or in which a person with whom you have a “covered relationship” is involved, and
- a reasonable person with knowledge of the relevant facts could question your impartiality.

What’s a “covered relationship”?

- A member of your household or a relative with whom you are close
- Someone with whom you have or seek to have a business relationship, other than a routine consumer transaction
- An organization (other than a political party) in which you actively participate
- Someone for whom you had, within the last year, a close business relationship, such as a partnership or employment relationship, or
- Someone for whom your spouse, parent, or dependent child has (or seeks to have) a close business relationship, such as a partnership or employment relationship.

Misuse of Position

Don’t use or permit the use of your Government position, title or any authority associated with your office:

- To induce or coerce another person to provide any benefits
- To imply that DoD or the Government endorses non-Governmental activities (regardless of how noble or charitable the cause)
- To endorse any product, service, or enterprise, except as provided by statute or regulation.

Don’t use official stationery to provide an employment recommendation or character reference, or sign such a letter using your official title unless, the recommendation is:

- For Federal employment; or
- Based on knowledge of the person attained in the course of the employee’s Federal employment.

- Use official time in an honest effort to perform official duties and don't ask subordinates to perform tasks outside their official duties.

Be particularly careful about use of Executive, Military, and Personal Assistants, including personal and confidential assistants ("Schedule C" employees), schedulers, secretaries, protocol officers, personal security officers, drivers, and others assigned to a Principal's personal staff.

- Assistants are assigned to enable Principals to perform their official functions more effectively. An Assistant may perform duties on behalf of a Principal that the Principal would otherwise be required to perform in the execution of his or her official duties. As a general rule, Assistants may not plan or coordinate unofficial personal events, or, perform unofficial personal tasks, even if doing so would give the Principal more time to focus on official business.
- Examples of permissible duties:
 - Schedule official appointments.
 - Schedule unofficial appointments if reasonably necessary to ensure coordination with the official schedule and the scheduling process for these events involves minimal effort.
 - Coordinate with family members to obtain information necessary to avoid conflicts between personal and official travel of Principal.
 - Schedule medical appointments for Principal.
 - Act as aide or escort for spouse or family member accompanying Principal in an approved, representational role, while the spouse or family member is actually performing representational duties.
 - Assist family members and friends as necessary to facilitate their attendance at official ceremonies honoring the Principal, e.g., assistance with entry to a facility or escort within the Pentagon to ensure such guests reach the proper location.
 - Maintain and write checks from a checking account, funded by the Principal, for expenses incurred by the Principal that arise from official duties (e.g., paying a restaurant bill while on official travel) or are closely related to official duties (e.g., purchase ball caps or command coins where appropriated funds may not be used.) Assistants should not deposit their own money in such accounts even if the Principal subsequently reimburses the Assistant.
 - Pick up Principal in Government vehicle at airport upon return from official travel for transportation to official place of duty or residence. (Note: Special rules apply to use of Government vehicles at public air terminals in the National Capitol Region.)
 - While on temporary duty outside the area of the permanent duty station, an Assistant may perform certain tasks that would not be permissible at the permanent duty station. Such tasks should relate to the duties, health, or subsistence of the Principal, and take into

account the Principal's schedule. For example, the Assistant may drive the Principal from quarters to work, or to a gym, laundry facility, or restaurant. The Assistant may also go to the drug store to purchase sundries needed by the Principal prior to a morning meeting.

On the other hand, the Assistant should not be sent to purchase items when the Principal has an afternoon free and can walk or drive to the store.

Examples of impermissible duties. Assistants may not provide personal services to Principals or their families, except as provided below under the paragraph "Minor Voluntary Services," which identifies limited occasions when performance of such services is acceptable. Generally, personal services are unofficial and therefore beyond the scope of the Assistant's duties.

- Examples of impermissible personal services include:
 - Pick up or drop off Principal at home while car is being repaired.
 - Provide local transportation for Principal in Assistant's POV, e.g., drive Principal home from office at end of workday.
 - Repair Principal's POV or other personal property.
 - Pick Principal up at airport upon return from unofficial travel.
 - Draft Principal's personal correspondence.
 - Prepare Principal's income taxes.
 - Run personal errands for the Principal while in area of permanent duty station, such as picking up dry cleaning, taking car to service station, bringing his or her lunch from a commercial establishment to the office.
 - Participate in packing or unpacking the Principal's personal property, moving furniture, or supervising movers, pursuant to the Principal's move.
 - Accompany Principal and collect per diem while Principal is taking leave in conjunction with TDY/TAD travel, except when the Assistant is performing official duties (which does not include mere personal services). The Assistant also could take leave.
 - Schedule or coordinate personal events for family members, including medical appointments. Assist Principal's family members with personal business (e.g., pet care, private lessons, childcare, etc.).
 - Plan a party for or on behalf of spouse or family member.
 - Schedule transportation and lodging for unofficial travel of family members unless family members are actually accompanying the Principal and family members' scheduled

flight and lodging reservations are identical to the Principal's official itinerary. Adding family members to the itinerary must be completely incidental.

- Transport or escort Principal's unofficial visitors.
- Do personal shopping for Principal or family.
- **Minor Voluntary Services.** Assistants may perform personal services for the Principal if such services are:

(1) Rare - provided on a one-time-only or *very* infrequent basis; and,

(2) Minor - of short duration and minimal value. (Note: With limited exceptions, the Joint Ethics Regulation forbids seniors from accepting any gift from a subordinate with a fair market value over \$10.00. If an Assistant voluntarily performs a service that could reasonably be said to have a fair market value greater than \$10.00, the Assistant may perform the service if compensated at fair market value by the Principal. An Assistant may not be compensated for voluntary service that takes place during normal duty hours.); and,

(3) Truly voluntary - whether a service is "truly voluntary" depends on the surrounding facts and circumstances. Factors include, but are not limited to: originator of the idea for the service (Principal or Assistant), extent to which the service causes Assistant to modify ordinary routine or plans, whether the service is provided incidental to an activity the Assistant will perform anyway, and the Assistant's perception and description of the service as well as freedom to decline to perform the service.

Acceptable examples of uncompensated services could include, but are not limited to: Principal's car is in the shop, and Assistant offers Principal a ride home, which is on the way to, or very near, the Assistant's home; Assistant goes to the store for himself and offers to get an item for the Principal; or, Assistant prepares single item of simple, personal correspondence for Principal. To be permissible, each of these examples, and all other similar services, must satisfy the three-part test of rare, minor, and truly voluntary. **Caution:** While an offer may meet the criteria of rare, minor, and voluntary, often it is in the Principal's best interest to reject the offer as the criteria are difficult to show after the fact and because the assistance may create the appearance of favoritism.

Activities Outside of Federal Employment

You may raise funds for non-Federal organizations in your personal capacity, but you may not use your official title, position, or authority to fundraise, nor may you solicit subordinates or prohibited sources.

Honoraria

You may accept payment for an appearance, speech or an article that is unrelated to your official duties and that was not prepared on official time. Additional restrictions apply to Executive Level and non-Career SES.

You may not be paid for speaking, writing or teaching (with certain exceptions) if the activity relates to your official activities. This prohibition includes travel expenses.

Political Activities of DoD Employees

Most Federal civilian employees may actively participate in political campaigns and other partisan activities. However, they may not engage in such activities on duty or in any Federal workplace, vehicle, or while in uniform. The Hatch Act loosened restrictions on political activity for most Federal civilian employees, but Federal laws still limit the political activities of military personnel, law enforcement, national security and SES employees. Furthermore, DoD policy severely restricts political activities by non-career SES or Senate-confirmed officials. Questions regarding application of the Hatch Act or political activities should be referred to SOCO. Military members have similar restrictions on partisan political activities.

Ethics-related fiscal and travel issues

Command Coins

The appropriate use of command coins is dictated by the source of funds used to purchase them:

- Appropriated funds. A command may expend appropriated funds to purchase command coins **only** as a means to recognize outstanding performance and as a component of the command's provision of official courtesies.
- Awards. Expenditure of appropriated funds to purchase command coins to award meritorious service is permissible. As a result, the command coins provided in this context should bear the characteristics of other awards provided by the command. Accordingly, the coins should be:
 - Limited in number;
 - Accounted for in a written record; and
 - Not personalized with the commander's name.
- Official Representation Funds. Official Representation Funds may be used to purchase mementos that have a command or official theme. Coins having a command or official theme qualify as appropriate mementos on which to expend. Generally, a command may offer mementos not exceeding \$335 to foreign dignitaries or other prominent citizens (non-DOD personnel). A command also may offer mementos not exceeding \$40 to prominent visiting DoD officials.
- Private Funds. Coins given as gifts, tokens of appreciation, recognition of routine performance of duty, or to instill unit pride are not awards. Coins used this way cannot be purchased with appropriated funds, but rather should be purchased using private funds. There are no restrictions on the use of privately bought coins. In using these funds, a commander is not bound by the restrictions discussed above (other than that of good taste).

Military Air Travel (MILAIR)

MILAIR is the most expensive travel mode – generally more expensive than first class commercial, which is unallowable in all but very limited circumstances.

“Required-use travel”

In April 2009, DoD Directive 4500.56, “DoD Policy on the Use of Government Aircraft and Air Travel,” was revised primarily to withdraw the longstanding “required use” traveler status for all 4 star general/flag officers and create a cascading “tier” designation –

- Tier 1: For both official and unofficial travel: the Secretary, Deputy Secretary, and Chairman of the Joint Chiefs and the Vice Chairman for official travel only unless he is the Acting Chairman.
- Tier 2: For official travel only - the Secretaries of the Military Departments, Chiefs of the Military Services, the Commander ISAF – Afghanistan, Commander US Forces – Iraq, the Commander of US Forces – Korea, the Combatant Commanders, and the Under Secretaries for Policy, Intelligence, and Acquisition, Technology, and Logistics.
- Tier 3: For official travel only and only when commercial air is unavailable or is more costly than milair – The Chief of the National Guard Bureau, Commanders of various Military Services Commands.
- Tier 4: For official travel only and only when commercial is unavailable or is more costly – the Deputy Commanders of the Combatant Commands (Tier 2 when designated in writing as the acting Combatant Commander by the Secretary of Defense), the Under Secretary (Comptroller), and the Under Secretary for Personnel and Readiness.

What’s “official travel”? It is travel to attend or conduct an activity that is necessary to accomplish the DoD mission. An official activity must be the predominant purpose of the travel and not merely incidental. When travel includes official and unofficial activities, auditors like the IG will look at the scheduling sequence in relation to the planning of the unofficial and official functions, the duration and significance of the official function in relation to the entire trip, and the relative formality or informality of the function. As a general matter, relatively short official functions added on to previously scheduled trips for personal purposes do not make a trip “official.”

Family Member Travel (MILAIR or Commercial)

Family travel is always a touchy, gray area. The Government Accountability Office consistently has stated that spouses are not Government employees and cannot represent the Government, and there is scant guidance on children. DoD, however, has had a longstanding policy that:

“Generally, a family member may not accompany his or her DoD sponsor. A family member’s travel may only be approved where there is an unquestionably official function in which the family member is to participate in an official capacity, or such travel is in the U.S. interest because of a diplomatic or public relations benefit to the U.S. Such participation is normally limited to spouses and is representational in nature.”

This travel is on a noninterference basis (no additional cost and no bumping other official passengers) and must be supported by an Individual Travel Authorization (ITA) that generally permits reimbursement of travel costs only. Four-star general/flag officers and certain three-star general/flag officers (listed in Appendix 2 of DoD 4515.13-R, “Air Transportation Eligibility”) may approve transportation for their spouses on a case-by-case basis and must personally sign the ITAs (in advance).

Per diem or other expenses can be authorized only if there is a clear demonstration that the travel is essential to accomplishing the mission and there is strong evidence of benefit to DoD beyond fulfilling a representational role. This is extremely rare. An example might include cases where a spouse has independent basis for attendance, like if DoD invites a doctor –spouse to be a keynote speaker at a Yellow Ribbon event.

There is no set check list for determining whether a spouse may travel at Government expense. Each trip and itinerary must be evaluated on a case-by-case basis on its own merits. As a general rule, however, the fewer sightseeing and shipping tours and the more substantive, meaningful, and interactive activities, the better the case for official travel.

To determine whether a spouse’s travel met the criteria set out above, the DoD IG has looked at a number of factors:

- Whether the function is officially sponsored or sanctioned,
- Whether a formal schedule or itinerary exists for the function,
- Whether the function includes the active participation of the invited spouse,
- Whether there is media interest in the function,
- The nature of the relationship between the participants in the function,
- The number of participants in the function,
- The timing and duration of the function
- Whether the function was scheduled in advance of the travel, and
- Whether spouses of other dignitaries were present

Some additional indicators that we review to determine whether the criteria set out above have been met:

- Official invitation from the foreign counterpart or host
- Official spouse itinerary, not just shopping and touring
- Office dinners and lunches
- Official visits with sponsor's staff at the location, although this in and of itself may not be sufficient.
- Official visits to schools, hospitals, libraries

Some examples of activities that the DoD Inspector General determined were not official and for which reimbursement for the spouse's travel was required:

- Taking a windshield tour of a base
- Passively participating at a dinner for retired four-star generals
- Attending a social dinner on a barge hosted by the Supreme Allied Commander, Atlantic
- Sitting in the front row at an ROTC commissioning when the predominant purpose of the trip was to attend the daughter's college graduation
- Spending part of one afternoon during a five day trip to CONUS in a car with three officers' wives informally discussing their upcoming reassignments to Europe and taking a tour of the base.

At a minimum, reimbursement is required if the ITA is deemed not proper.

Where spousal travel is not for representational purposes, spouse may still attend as long as there is no additional cost and no other official passengers are bumped, but the ITA's must be for reimbursement by traveler and must still be approved in advance. Finally, the current efficiencies effort suggests that travelers should err on the side of caution.

First-Class or Business Class Air Travel

General Rule for Official Travel:

- DoD officials generally must travel in coach class accommodations on commercial airlines;
- Use of premium class accommodations (business/first class) is authorized only as noted below and, absent extenuating circumstances or emergency situations, should be approved in advance.

Business Class MAY be accepted if:

- Only premium class is offered between origin/destination;
- The travel is so urgent it may not be postponed, and there is no space in coach on a flight in time to accomplish the mission;
- A doctor validates medical necessity of premium class travel to accommodate member's disability/physical impairment;

- Upgrade necessary for security purposes/exceptional circumstances making it essential to successful performance of the mission;
- Accommodations on foreign carriers do not provide adequate sanitation or do not meet health standards;
- Overall Government savings (avoiding extra subsistence costs, overtime, lost productive time, etc.);
- Frequent flyer miles used to obtain flight;
- Non-Federal entity funds as gift of travel; or
- Travel between CONUS and OCONUS en route to TDY where flight time (including stopovers) is greater than 14 hours AND:
 - Either the origin or destination point is OCONUS;
 - TDY purpose/mission is so urgent it cannot be delayed or postponed; and,
 - The scheduled flight time (including stopovers) is in excess of 14 hours.
 - Passenger is not afforded an adequate rest period before commencing duties.
 - The traveler must make every effort to schedule travel to allow a rest period prior to starting work. Premium class travel should be the exception, not the rule, for flights over 14 hours.
 - Scheduled flight time is the time between the scheduled airline departure from the travel origination point until the scheduled airline arrival at the travel destination point.

First Class MAY be accepted ONLY where:

- Lower class accommodations are not reasonably available;
- Exceptional security requirements exist;
- A doctor validates medical necessity of first class travel;
- First class is the only accommodation provided between origin and destination; or,
- Frequent flyer miles used to obtain flight.

NOTE: Given the public appearance to the taxpayer, military officers using premium class generally should not travel in uniform.

Use of Government Passenger Motor Vehicles

General Rule: Government passenger motor vehicles (GOVs) are for official use only.

- Whether a particular use is “official” is a matter of administrative discretion. All factors must be considered including whether the use is:
 - Essential to the successful completion of a DOD function, activity, or operation; and
 - Consistent with the purpose for which the motor vehicle was acquired.
- Presumption shall be resolved in favor of strict compliance with statutory and regulatory provisions.

Guests. A guest of an employee authorized use of GOV may accompany the employee on a space-available, no-increased-cost basis. The vehicle size may be no larger than necessary.

TDY: GOVs may be used between lodging and duty sites if public/commercial transportation is inadequate. Additionally, if public transportation is not available or impractical, GOVs may be used for subsistence, comfort, and health. This authority does not include entertainment or recreation.

Home-to-Work (HTW):

- HTW travel is prohibited unless specifically authorized.
- Overseas: Outside the United States, unified combatant commanders may provide Government transportation, including HTW, for employees and their dependents when public/private transportation is unsafe or is unavailable.

Permissible Uses:

- Official business (e.g., making rounds of area work sites, attending a meeting, officially participating in a ceremony).
- Traveling from place of duty to after-hours official functions. GOV must return to place of duty.
- Transporting the employee's guest with the employee, at no increased cost, to an official function.
- Transporting prospective recruits for interviews/processing/orientation.
- Going to the dry cleaners, barber, drugstore, or a local restaurant while TDY.
- When in doubt, consult counsel.

Impermissible Uses:

- Going to a private social function (e.g., unofficial birthday ball, hail and farewell, private dinner party).
- Transporting employees not authorized HTW from home to an official function, or from the official function to home (impermissible even when the travel distance is less than from work to the official function).
- Doing personal errands/business (e.g., going to the bank or a drive-through).
- Going to the movies or bowling alley while on TDY

Chapter 4: Procedures

4.1 Read Aheads

General Guidance about Read Aheads for the Secretary and the Deputy Secretary of Defense

Military Assistants and Executive Officers will receive read ahead taskings from the Office of the Executive Secretary by e-mail.

- E-mail updates reflecting changes in the SecDef and DepSecDef schedules will be sent as changes occur often.
- Primary offices are responsible for coordinating with secondary offices and consolidating or incorporating material so that there is a single product for each event with no unnecessary duplication of information.
- If you need guidance about specific topics that should be addressed in Read Aheads for the SecDef, please call Ms. Belinda Purifoy at 703-692-7122.
- If you need guidance about specific topics that should be addressed in Read Aheads for the DepSecDef, please call anyone of the NCO's in the Deputy's office at 703-692-7150.
- Submit an original Read Ahead plus seven (7) copies for SecDef meetings.
- Submit an original Read Ahead plus four (4) copies for DepSecDef meetings.
- Read Aheads for the Secretary and Deputy Secretary of Defense should be delivered to the Secretary of Defense's office 3E880 in the Pentagon by 1200 (Noon) two workdays prior to a meeting, briefing, interview or event.

Guidelines for Preparing Read Aheads for the Secretary and the Deputy Secretary of Defense

Format:

- Bullets for the body are preferred with a limit of three lines per bullet.
- No acronyms unless they have been spelled out in the first instance. Using acronyms is discouraged.
- One page/single-sided, with 1.25 inch left/right margins, 1-inch top and bottom margins.
- Font should be 13 point, Times New Roman.
- Double space between items, 1.5 spaces between bullets.
- Attachments are permitted but must be legible and pertinent for the Secretary or Deputy Secretary to review. If the attachment is longer than two pages, a single-page executive summary must be attached. Type attachment number in top right hand corner of attachment.

Style:

- Use short, succinct, and clear language.
- Analyze and distill data so that salient information and the bottom line are arrived at clearly and succinctly.

Additional instructions:

- Paginate all documents longer than one page (e.g., Page 1 of 2).
- Type date and time the read ahead is prepared in the top, right hand corner.
- A read ahead is considered **final** once it is give to the Secretary/Deputy.
- For revised read aheads, note in subject line or background paragraph that the submission is a revision. Include a revision number. Also underline the material that has been changed.

[NOTE: Revisions are highly discouraged, but are handled on case basis if there is a substantive change approved by your Principal.]

- For SecDef read aheads a 5X8 note card is required for all foreign visitors. It will include classification at the top and bottom center, the Foreign Dignitaries name and phonetic pronunciation and 4-5 main key talking points (full sentences not necessary, just bullets with key phrases).
- Read aheads for SecDef and DepSecDef meetings with foreign visitors should address:
 - Precisely what they are doing with respect to Operation Enduring Freedom;
 - any involvement they may have in proliferation;
 - how they vote, with us or against us, in the UN;
 - anything else they are doing to support the U.S.;
 - CIA Factbook information; and
 - Seating charts.
- Do not use room numbers, rather use:
 - SecDef Dining Room (for 3E918).
 - SecDef Conference Room (for 3E863).
 - DepSecDef Conference Room (for 3E928).
- Use 2-inch paperclips to fasten read aheads.
- Use full names, not initials, on read aheads.
- Refer to DoD 5200.1-PH, the DoD Guide to marking Classified Documents, when classifying read aheads.

--SAMPLE TEMPLATE FOR READ AHEADS--

CLASSIFICATION

As of [Civilian Date & Time]

**READ AHEAD FOR SECRETARY GATES/MR. LYNN:
[TOPIC]**

From: [Principal's Name, Title, Organization, &
Telephone Number]

_____ [Initial & Date Here]

[Date, Time, Location]

[Host, lead, or briefer; Organization]

Number of Participants: [Best estimate]

Key Attendees: [List key attendees and their titles; list additional attendees in an attachment.]

Objective: One to four bullets. Short but clear statements of major issues or points. [Answer questions such as: Why are you telling this to the Secretary/Deputy Secretary? What should he know and discuss? What is the objective of the meeting?]

Attachments:

1. Talking Points
2. Biography(ies)
3. Complete List of Attendees
4. Seating (Coordinate with Protocol)

At bottom of page, type: [Prepared by: Name/Organization/ Telephone Number].

CLASSIFICATION

--SAMPLE TEMPLATE FOR TALKING POINTS--

CLASSIFICATION

As of [Civilian Date & Time]

TALKING POINTS

Talking points should be short but clear statements of major issues or points. [Answer the questions: Why are you telling this to the Secretary/Deputy Secretary? What should he know and discuss? What is the objective of the meeting?]

- Succinct, bullet statement format, one page, stand-alone document
- Background:
 - o No more than 2 sub-bullets.
- Key Talking Points for Discussion:
 - o No more than 5 sub-bullets.
- Desired Outcome:
 - o No more than 2 sub-bullets.

At bottom of page, type: [Prepared by: Name/Organization/ Telephone Number].

CLASSIFICATION

4.2 Schedule Requests

All schedule requests for the Secretary and Deputy Secretary should be processed through the Correspondence Control Division, room 3C843, in an original and three copies. Additionally, provide a copy to the Assistant to the Secretary for Protocol (OSD Protocol) once a meeting or event is added to the Secretary or Deputy's calendar.

Once the requests are controlled, they will be forwarded to the Executive Assistant to the Principal concerned for staffing.

Schedule requests will include a thorough justification of why participating in the event would be a good use of the Secretary's time and in the Department's interests.

The format for a schedule request is located in DoDM 5110.4-M-V2, October 26, 2010 DoD Manual for Written Material: Examples and Reference Material, which can be located at: http://www.dtic.mil/whs/directives/corres/pdf/511004m_v2.pdf.

Attach a completed copy of the Scheduling Proposal Checklist to the back of the Scheduling proposal.

Scheduling Proposal Checklist
(Attach to back of Scheduling Proposal – non Tabbed)

1. Has an executive agent been requested?
Yes No
-If yes, provide date of request:
-Specify who (if available):
2. Is the visit at the request of the President, State Department or SecDef?
Yes (specify who:) No
3. Is this the first visit during the current administration?
Yes No
4. If a previous visitor, when:
5. Is the visit at the request of the foreign dignitary? (See Note 1.)
Yes No
-If yes, type of request:
6. Type of meeting: (See Note 2.)
Office call Bi-Lat Not in the Pentagon*
*If meeting is not in the Pentagon, please skip to items 10 and 11 below.
7. Are honors recommended? (See Note 3.)
Yes No
-If yes, specify type:
-Justification:
8. Is lunch or dinner recommended?
Yes No
9. Will the spouse be accompanying the dignitary?
Yes No
10. Recommended DoD participants, including U.S. Embassy representation (specify by name, title and order of precedence for attendance in an attachment if necessary). (See Note 4.)
11. Will the delegation bring a gift? (See Note 5.)
Yes No
12. OSD Protocol coordination after the meeting is approved:
___ Protocol phone number – 692-7160

- Honors
- Interpretation requirements (Protocol does not coordinate or pay for interpreters.)
- Dietary considerations
- Complete itinerary (non-DoD meetings – White House, State Department, NSC, etc.)
- Full names, phonetic spelling and titles of U.S. and foreign delegations

Note 1: A visit request may be in the form of a formal request memo, letter, e-mail or phone call. Indicate request type and attach request documentation (if available) to scheduling proposal.

Note 2: If the meeting is not in the Pentagon, State Department Protocol will facilitate the meeting logistics. SecDef bi-lats occur with counterparts and heads of state and take place in the SecDef Dining Room. Office calls are used for first-time meetings for incoming officials, outcalls for departing officials, and foreign dignitaries accompanied by one or two senior aides. Protocol will determine the best location for the meeting based on the size of the delegation taking into consideration Policy's recommendation. DepSecDef meetings with foreign dignitaries typically take place in the DepSecDef office.

Note 3: Possible honors include an honor cordon, honor cordon with national anthems, Full Honors Arrival, working lunch and SecDef /DepSecDef hosted dinner. Please indicate honors recommended and provide justification. If a 1-on-1 or press availability is encouraged by Policy, this should also be included in the scheduling proposal. All heads of state and Secretary of Defense counterparts rate honor cordon welcomes.

Note 4: The number of U.S. delegation participants should not exceed the number of the visiting delegation. Maximum number of attendees for SecDef bi-lat meeting is 7 on 7. Maximum number of attendees for DepSecDef bi-lat meeting is 4 on 4.

Note 5: No gift exchange is recommended. The Secretary and Deputy do not participate in reciprocal gift exchanges at the Pentagon. If a visiting delegation wishes to present a gift, this occurs behind the scenes. Protocol will accept the gift on behalf of the Secretary and Deputy. Provide Protocol with background/significance of gift.

4.3 Secretary of Defense Communications

SECDEF Communications serves as the focal point for all communications support to the Secretary of Defense, Deputy Secretary of Defense and their principal staff assistants in the immediate office of the Secretary. Communications support consists of all secure and non-secure voice, video, and data used by the staff. Its mission is to: Ensure the Secretary of Defense can perform mission essential functions and execute C2 regardless of location and threat scenario.

One branch within SECDEF Communications is Cables. Cables resides within the Executive Support Center. They maintain direct communications with key members of the personal staff of the Secretary, Deputy Secretary, Special Assistants, the Chairman of the Joint Chiefs of Staff, the Executive Secretariat, the Operations Center of the Department of State and the White House Situation Room. The Branch operates 24x7 and is responsible for ensuring expeditious notification when urgent communications are received through its sources. In time-sensitive situations, the Cables Watch Team determines whom should be notified of information received, e.g. other members of the OSD Staff, Secretaries of the Military Departments or other agencies of the federal government.

The Watch is responsible for the expeditious:

- Review and analysis of all electronic messages received for the Secretary of Defense and the immediate office staff.

- Administrative processing of outgoing messages (including ALDODACT messages) for the Secretary, Deputy Secretary and Special Assistants.

- Receipt, distribution and control of all NODIS (No Distribution), Roger Channel (State Department Intelligence Traffic) and Privacy Channel (Personal for the Secretary) messages provided to DoD by the Department of State.

- Dissemination and transmission of documents received over the WASHFAX (Washington Facsimile System) from the White House, State Department, CIA and other terminals.

Often, a USD, ASD or DASD finds it necessary to forward documents to the Secretary or Deputy while they are traveling. The Cables Branch is the focal point for this communication. Before any traffic can be sent to either the Secretary or Deputy Secretary, approval must first be obtained from one of their Military Assistants. In the event that an MA is unavailable, the Executive Secretary or Acting Executive Secretary may be contacted.

In addition, the Cables Branch provides VTC support to the senior DoD staff.

They can be reached 24x7 at 703-692-7000 or DSN 222-7000.

4.4 Secretary of Defense Travel

The Travel Operations Office is responsible for executing the travel missions of the Secretary of Defense and Deputy Secretary of Defense. The office is manned by a director, three military assistants/trip coordinators, four advance staff, the Personal Security Office and two enlisted administrative aides. The office is responsible for planning and coordinating all aspects of travel by the Secretary and Deputy Secretary to domestic venues in and out the metropolitan Washington area and overseas. The staff interfaces with the Secretary's immediate office, the OSD Staff, the Joint Staff, Service staffs, U.S. embassies, major U.S. military commands and host nations. They are responsible for producing the delegation roster and a detailed itinerary, as well as coordinating and synchronizing the security, communications, protocol, policy, public affairs and transportation aspects of the travel. The trip coordinator briefs the Secretary/Deputy Secretary on the travel plan prior to departure.

Trip Guidance

A successful SecDef trip requires the cooperation of each member of the Secretary's delegation and adherence to the following guidelines:

- Take aboard the aircraft cabin only those items required in flight or immediately upon arrival. On multiple stop trips, take only those items needed for the next stop.
- On arrival, exit the aircraft expeditiously. Unless you are participating in the welcoming ceremonies, move immediately to your assigned motorcade vehicle. On departure, board the aircraft well ahead of the Secretary.
- At the hotel, complete check-out and move to the motorcade departure area at least 10 minutes before the scheduled departure. Members of the delegation should be off the floor before the Secretary leaves his room. Only the advance officer, the Senior Military Assistant, and security should accompany the Secretary in the elevator.
- Identify your motorcade vehicle early. Load carry-on baggage and board the motorcade before the Secretary enters his vehicle.
- Comply with the baggage notice instructions provided at each RON location. Direct any baggage questions to the advance staff or the trip coordinator.
- On overnight trips, the communications control room will have computers (NIPR and SIPR) and phone communications (secure and non-secure).
- Maintain control of classified material. The security control room provides space for secure storage, however, within the control room, classified should be stored in appropriate briefcases, "bricks," or footlockers. Do not leave loose classified material in the room.
- Notify the trip coordinator if you will miss any motorcades or otherwise separate from the body of the delegation.
- Direct any questions about the trip to the advance staff or the trip coordinator.

112TH CONGRESS, 1st SESSION (2011)
SELECTED CONGRESSIONAL LEADERSHIP ADDRESSES

U.S. HOUSE OF REPRESENTATIVES

The Honorable John A. Boehner
Speaker of the House
U.S. House of Representatives
***Room H204 Capitol**
Washington, DC 20515

Dear Mr. Speaker:

The Honorable Eric Cantor
Majority Leader
U.S. House of Representatives
***Room H107 Capitol**
Washington, DC 20515

Dear Mr. Majority Leader:

The Honorable Nancy Pelosi
Minority Leader
U.S. House of Representatives
***Room H204 Capitol**
Washington, DC 20515

Dear Madam Minority Leader:

UNITED STATES SENATE

The Honorable Harry Reid
Majority Leader
United States Senate
***Room S-221 Capitol**
Washington, DC 20510

Dear Mr. Majority Leader:

The Honorable Mitch McConnell
Minority Leader
United States Senate
***Room S-230 Capitol**
Washington, DC 20510

Dear Mr. Minority Leader:

SENATE OFFICER ADDRESS

The Honorable Joseph R. Biden, Jr.
President of the Senate
United States Senate
***Room S-212 Capitol**
Washington, DC 20510

Dear Mr. President:

NOTES regarding room and building data:

- Never list in correspondence.
- Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.
- May list on envelopes or address labels for other DoD officials' correspondence mailed or couriered to Congress.

112th CONGRESS, 1st SESSION (2011)

**“BIG 12” + Selected Committees With DoD Interests
Addresses for Chairmen & Ranking Members**

“BIG 8” (DEFENSE) = SASC, HASC, SAC(D) and HAC(D)

SASC

The Honorable Carl Levin
Chairman
Committee on Armed Services
United States Senate
**Room SR-228 Russell Senate Office Building*
Washington, DC 20510

Dear Mr. Chairman:

cc:
The Honorable John McCain
Ranking Member

HASC

The Honorable Howard P. “Buck” McKeon
Chairman
Committee on Armed Services
U.S. House of Representatives
**Room 2120 Rayburn House Office Building*
Washington, DC 20515

Dear Mr. Chairman:

cc:
The Honorable Adam Smith
Ranking Member

- * NOTES regarding room and building data:*
- Never list in correspondence.
 - Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.
 - May list on envelopes or address labels for other DoD officials' correspondence mailed or couriered to Congress.

112th CONGRESS, 1st SESSION (2011)

SAC(D)

The Honorable Daniel K. Inouye
Chairman
Subcommittee on Defense
Committee on Appropriations
United States Senate
*Room SD-122 Dirksen Senate Office Building
Washington, DC 20510

Dear Mr. Chairman:

cc:

The Honorable Thad Cochran
Vice Chairman

HAC(D)

The Honorable C. W. Bill Young
Chairman
Subcommittee on Defense
Committee on Appropriations
U.S. House of Representatives
*Room H405 Capitol
Washington, DC 20515

Dear Mr. Chairman:

cc:

The Honorable Norman D. Dicks
Ranking Member

cc same address except: *1016 Longworth House Office Building

* NOTES regarding room and building data:

- Never list in correspondence.
- Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.
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112th CONGRESS, 1st SESSION (2011)

Note: “Big 12” = the “Big 8” + Chrm. & Rkg. Members of full SAC & HAC:

SAC

The Honorable Daniel K. Inouye
Chairman
Committee on Appropriations
United States Senate
*Room S-128 Capitol
Washington, DC 20510

Dear Mr. Chairman:

cc:
The Honorable Thad Cochran
Vice Chairman

HAC

The Honorable Harold Rogers
Chairman
Committee on Appropriations
U.S. House of Representatives
*Room H307 Capitol
Washington, DC 20515

Dear Mr. Chairman:

cc:
The Honorable Norman D. Dicks
Ranking Member

cc same address except: *Room 1016 Longworth House Office Building

* NOTES regarding room and building data:

- Never list in correspondence.
- Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.
- May list on envelopes or address labels for other DoD officials' correspondence mailed or couriered to Congress.

112th CONGRESS, 1st SESSION (2011)

Selected Committees with DoD Interests:

SAC (MilCon/VA/RA)

The Honorable Tim Johnson
Chairman
Subcommittee on Military Construction and
Veterans Affairs, and Related Agencies
Committee on Appropriations
United States Senate
*Room SD-125 Dirksen Senate Office Building
Washington, DC 20510

Dear Mr. Chairman:

cc:
The Honorable Mark Kirk
Ranking Member

cc same address except: *Room SH-123 Hart Senate Office Building

HAC (MilCon/VA/RA)

The Honorable John Culberson
Chairman
Subcommittee on Military Construction,
Veterans Affairs, and Related Agencies
Committee on Appropriations
U.S. House of Representatives
*Room HVC227 Capitol
Washington, DC 20515

Dear Mr. Chairman:

cc:
The Honorable Sanford D. Bishop, Jr.
Ranking Member

cc same address except: *Room 1016 Longworth House Office Building

- * NOTES regarding room and building data:
- Never list in correspondence.
 - Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.
 - May list on envelopes or address labels for other DoD officials' correspondence mailed or couriered to Congress.

112th CONGRESS, 1st SESSION (2011)

SVAC

The Honorable Patty Murray
Chairman
Committee on Veterans' Affairs
United States Senate
*Room SR-412 Russell Senate Office Building
Washington, DC 20510

Dear Madam Chairman:

cc:
The Honorable Richard Burr
Ranking Member

cc same address except: *Room SH-825A Hart Senate Office Building

HVAC

The Honorable Jeff Miller
Chairman
Committee on Veterans' Affairs
U.S. House of Representatives
*Room 335 Cannon House Office Building
Washington, DC 20515

Dear Mr. Chairman:

cc:
The Honorable Bob Filner
Ranking Democratic Member

cc same address except: *Room 333 Cannon House Office Building

* NOTES regarding room and building data:

- Never list in correspondence.
- Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.
- May list on envelopes or address labels for other DoD officials' correspondence mailed or couriered to Congress.

112th CONGRESS, 1st SESSION (2011)

SSCI

The Honorable Dianne Feinstein
Chairman
Select Committee on Intelligence
United States Senate
*Room SH-211 Hart Senate Office Building
Washington, DC 20510

Dear Madam Chairman:

cc:
The Honorable Saxby Chambliss
Vice Chairman

HPSCI

The Honorable Mike Rogers
Chairman
Permanent Select Committee on Intelligence
U.S. House of Representatives
*Room HVC304 Capitol
Washington, DC 20515

Dear Mr. Chairman:

cc:
The Honorable C. A. Dutch Ruppertsberger
Ranking Member

- * NOTES regarding room and building data:
- Never list in correspondence.
 - Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.
 - May list on envelopes or address labels for other DoD officials' correspondence mailed or couriered to Congress.

112th CONGRESS, 1st SESSION (2011)

SFRC

The Honorable John F. Kerry
Chairman
Committee on Foreign Relations
United States Senate
**Room SD-446 Dirksen Senate Office Building*
Washington, DC 20510

Dear Mr. Chairman:

cc:
The Honorable Richard G. Lugar
Ranking Member

cc same address except: **Room SD-447 Dirksen Senate Office Building*

HFAC

The Honorable Ileana Ros-Lehtinen
Chairman
Committee on Foreign Affairs
U.S. House of Representatives
**Room 2170 Rayburn House Office Building*
Washington, DC 20515

Dear Madam Chairman:

cc:
The Honorable Howard L. Berman
Ranking Member

cc same address except: **Room B360 Rayburn House Office Building*

** NOTES regarding room and building data:*

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112th CONGRESS, 1st SESSION (2011)

SHSGAC

The Honorable Joseph I. Lieberman
Chairman
Committee on Homeland Security and
Governmental Affairs
United States Senate
*Room SD-340 Dirksen Senate Office Building
Washington, DC 20510

Dear Mr. Chairman:

cc:
The Honorable Susan M. Collins
Ranking Member

cc same address except: *Room SD-350 Dirksen Senate Office Building

HHSC

The Honorable Peter T. King
Chairman
Committee on Homeland Security
U.S. House of Representatives
*Room H2-176 Ford House Office Building
Washington, DC 20515

Dear Mr. Chairman:

cc:
The Honorable Bennie G. Thompson
Ranking Member

cc same address except: *Room H2-117 Ford House Office Building

* NOTES regarding room and building data:

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112th CONGRESS, 1st SESSION (2011)

HOGRC

The Honorable Darrell E. Issa
Chairman
Committee on Oversight and Government Reform
U.S. House of Representatives
**Room 2157 Rayburn House Office Building*
Washington, DC 20515

Dear Mr. Chairman:

cc:
The Honorable Elijah E. Cummings
Ranking Member

cc same address except: **Room 2471 Rayburn*

** NOTES regarding room and building data:*

- Never list in correspondence.*
- Do not list on envelopes or address labels for SECDEF and DEPSEC signature material.*
- May list on envelopes or address labels for other DoD officials' correspondence mailed or couriered to Congress.*

Chapter 5: OSD Correspondence

The next few sections are highlighted excerpts from the Manual for Written Material (5110.04-M-VI). A link to view the entire document is posted on the web page and should be consulted as the final ruling where the following guidance may seem ambiguous or conflicting. Recognize that the Manual is intended for Secretary or Deputy Secretary level issuances and documents and style requirements for individual components may vary.

5.1 SecDef and DepSecDef Correspondence

The Correspondence Management Division (CMD) has overall responsibility for establishing correspondence management policy and publishing guidance for the Office of the Secretary of Defense.

CMD is the proponent for the *Manual for Written Material*, 5110.04-M-VI and V2, (AI-7). This Manual is applicable to the Offices of the Secretary of Defense (OSD) and activities receiving administrative support from the Washington Headquarters Services. AI -7 establishes correspondence management policy, administrative processes and procedures as well as approved methods for preparing and submitting OSD correspondence. In addition, AI-7 provides guidance on style, punctuation and abbreviations generally accepted in federal government correspondence and writing.

Incoming and outgoing, classified and unclassified material directed to the Secretary and Deputy Secretary of Defense, except as noted below, must be processed through the Correspondence Control Division (Room 3A948). OSD Components should establish procedures to comply with this **requirement**. OSD Components are defined as the Offices of the Secretary of Defense, the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Defense Agencies, and activities receiving administrative support from the OSD.

Exceptions to C&D Processing Requirements

The following materials for the SecDef or DepSecDef will not be processed by CMD:

- Read Ahead materials
- Intelligence Daily Summaries
- J-3 Operational Summaries (Daily and Weekly)
- Notification to White House of service member deaths
- Time sensitive communications requiring SecDef or DepSecDef attention (within two hours). The Executive Secretariat will identify these items and take them directly to the SecDef or DepSecDef.

CMD will control these actions after SecDef /DepSecDef action. Read ahead materials and other actions listed should be delivered to the Executive Secretariat in Room 3E880.

The memorandum is the basic form of correspondence used to request a decision from or transmit information to the Secretary and Deputy Secretary of Defense. Samples of memoranda with multiple OSD addressees as well as guidelines and formats for Action and Information Memoranda are provided in the Manual with an additional reference for Executive Secretary memorandum for special authorities delegated to that position.

GENERAL GUIDELINES FOR ACTION AND INFO MEMOS

Format

Submit on Component letterhead.

- Limit to 1 page, unless issue is complex and requires greater explanation.
- Provide the essential elements of information in bullet statements.
- Use short, concise and clear bullet statements (black dot bullet preferred).
- Be brief and to the point, but not overly cryptic, in conveying what the Secretary or Deputy is being asked to do or know. If action is required, explain why it is OK for him to take that action.
- An acronym may be used after it is spelled out. If there are more than two pages and or an enclosure with background information, a glossary is required.
- Font: Times New Roman, 12 or 13 point.
- Page Layout: 1 inch margins, top and bottom, right and left.
- Double space between headings.
- Use 1.5 spaces between bullets.
- Number pages bottom center if more than 1.
- If the document is classified, annotate the appropriate security classification markings at the top and bottom of the document, with classification/declassification instructions and named authority.
- Do not staple or use clam clips to assemble. Paperclips or flex clips for larger documents only.
- Address memos to either the Secretary or Deputy Secretary; do not route through the Deputy to the Secretary. If an ACTION MEMO is addressed to the Secretary, the Executive Secretary will determine whether it will be provided to the Deputy Secretary.
- CMD provides the Deputy Secretary copies of INFO MEMOs addressed to the Secretary.

Package memos as follows:

- ACTION or INFO MEMO will be the cover/forwarding document.
- TAB A: for an ACTION MEMO, the action item (e.g. item for signature or approval). If a similar letter is going to multiple addressees, all letters can go at TAB A. If there are different items for signature or approval, they should be separated at TAB A-1, A-2, etc.
- TAB B: Incoming correspondence (if applicable).
- TAB C: Background material. If more than one tab needed, tab accordingly.
If substantive or lengthy background information is forwarded, provide an executive summary of the information. (Glossary may be needed)
- TAB D (or last tab in package): list of coordinating offices/activities will be listed on one page. Include name, organization, position and date coordinated. Concurrences must be obtained from heads of the OSD components involved, or, in their absence, the Principal Deputy.

- List "non-concurs" and include non-concurrence comments at the coordination tab.
- If coordination was attempted but not accomplished, that should be stated on the coordination sheet; include the amount of time allotted.
- If the memo does not require coordination, state "none" on the cover memo.
- Do not provide documentation with the actual signatures of each coordinating official. It is the responsibility of the originating office to maintain documentation as part of the file for the action. The originating office will retain and dispose of the file in accordance with applicable records management disposition instructions.

Processing

ACTION and INFO MEMOs are to be submitted to the Correspondence Control Division (CCD), Room 3A948, for control and forwarding through the Executive Secretary to the Secretary or Deputy Secretary as follows:

For ACTION MEMOs:

- Provide an original plus one complete copy (copy held in CCD until decision by the Secretary or Deputy Secretary has been made).
- If items are to be mailed after approval, provide the appropriate number of copies of enclosures as well as the mailing envelopes (if unclassified) or address labels (if classified).
- If the action includes a message and letter (usually applicable when item is going to an official of a foreign government), provide a hard copy and the disk for the message and the letter.
- Once action is completed and returned to CCD for disposition, CCD will provide a copy of the completed action to the originating office and all coordinating offices/ activities. Disks will be returned to the originating office once the letter and message are approved and dispatched.

For INFO MEMOs:

- Provide an original plus two complete copies (one copy filed in CCD and the other copy either furnished to the Deputy (if addressed to the Secretary) or to the Executive Secretary (if addressed to the Deputy Secretary).)

Extensions or Changes in tasking (downgrades, action complete, etc)

Submit a form 391 properly filled out with solid justification explaining the request. It is the responsibility of the tasked component to submit and track the progress of the requested action until the tasking is complete or action rendered.

5.2 Correspondence and Suspense Management

It is the Secretary's intent that correspondence be replied to in a timely manner. The Executive Secretary has overall responsibility for management of the Secretary and Deputy Secretary's correspondence. The Executive Secretary Military Assistants (MA) are responsible for quality control of items prepared for the Secretary and Deputy's action or information, and for the timeliness of submission. Correspondence Management Division (CMD) is responsible for the receipt, control, tasking, tracking, archiving and retrieval of items addressed to the Secretary, the Deputy Secretary, and the Executive Secretary. CMD assigns a DoD component to respond to correspondence addressed to the Secretary and Deputy Secretary. The tasking, with the incoming correspondence, is forwarded via "Secretary of Defense Correspondence Routing Slip." The routing slip identifies the action's control number, component being tasked, type of tasking, suspense date, coordination and any special requirements. The routing slip also identifies which organizations received an information copy. If there is a subsequent change to the tasking, CMD amends the tasking and provides the necessary notification.

When it is not possible to meet the suspense, the tasked DoD component, may submit a request for extension. Signed and dated copies of interim as well as final replies to tasked/controlled correspondence are to be provided to CMD for processing and review through the Executive Secretary.

The SD Form 391, "Secretary of Defense Correspondence Action Report," is used to advise CMD of actions and requests pertaining to a tasking. A copy of the form is provided for information. An action office may use it to:

- Request extension if a suspense cannot be met.
- Request transfer or cancellation of a tasking.
- Request downgrade of the signature level of a tasking.
- Complete and close out a tasking.

The following apply to submission of SD Form 391 :

- Submit to CMD; when appropriate, it will be forwarded to the Executive Secretary for decision.
- If used to request an extension, provide justification with sufficient detail on which to base a decision, as well as the expected date of completion. The form must be submitted to CMD prior to the suspense date.

Signature/approval items prepared in response to tasked actions are forwarded via an ACTION MEMO and submitted to CMD for review, control and forwarding to the Executive Secretary. Packages that do not have the required and appropriate level coordination(s), are not prepared in the correct format, or are prepared on the wrong letterhead, will be returned by CMD for correction. If the action agency is unable to effect the necessary coordination, the Executive Secretariat may provide assistance, but it is not responsible for effecting coordination or resolving staff conflicts. If an action is time sensitive and requires expeditious handling, i.e. "Red Tag" or "Green Tag," but does not have the required coordination, the Executive Secretary will determine whether the package will be accepted without required coordination.

CMD publishes the "Secretary and Deputy Secretary of Defense Correspondence Report." This weekly report provides the status of taskings assigned to DoD components, distributed by email on Tuesdays with a follow-up meeting Wednesday with the Executive Secretary MA's and the Component Correspondence Managers. Military Executive Assistants should review this report and take appropriate action to get overdue actions completed or close actions that have been completed. A tasking is reflected as being open and charged against the component until one of the following is submitted to CMD:

- The signature/approval package (for a PRS/PRD/PRE tasking).
- The SD Form 391 indicating action taken, e.g. cancelled, or, if completed, accompanied by a copy of signed response (for RDC/RD/FAA).

5.3 Electronic Communications

The Correspondence Management Division (CMD) has overall responsibility for processing and dispatching communications signed or released by the Secretary, Deputy Secretary, and Executive Secretary, except for operational orders. The actual transmission of such correspondence is performed by OSD Cables after review by the Executive Secretary.

The originating office must use standard formatting in MS Word to prepare communications requiring electronic transmission. A hard copy of the proposed message along with a signed release statement of the message/cable should be included in the signature package at the time of submission for signature/release. A digital version of the message should be sent to the Executive Support Branch editors as well.

Normally SECDEF and DEPSECDEF communications with foreign counterparts require both a letter and a cable. The letter version will be processed by CMD to the addressee(s) via State Department Pouch System, *APO/FPO*, or facsimile, as appropriate. CMD will ensure the contents of the message and paper copy are identical prior to dispatch and will make changes to the message as appropriate.

The plain language address (PLA) "FM SECDEF" will be used only on outgoing messages that are personally from the Secretary of Defense. Messages with the indicator "FM SECDEF" may only be released by the Secretary of Defense, the Deputy Secretary of Defense, The Special Assistants to the Secretary and Deputy Secretary of Defense, the Department of Defense Executive Secretary, or the Military Assistants to the Secretary and Deputy Secretary of Defense.

Messages from other officials or offices will add the OSD office or office of origin to the "FM SECDEF" indicator. This is not intended to affect the substance or frequency of outgoing messages. It is intended to ensure that the identity of the originating official or office is immediately clear to the recipients of messages. For example, a message from the Assistant Secretary of Defense for International Security Policy will begin with the following:

"FM SECDEF WASHDC//USDP/ISP/"

ALDODACT (All DoD Activities) messages are for the exclusive use of the Secretary of Defense to disseminate information to all DoD installations and activities. Examples are holiday greetings, safety messages and directives, notifications to display the national flag at half-staff, etc.

5.4 Classified Correspondence

All classified Secretary and Deputy Secretary of Defense signature items must be marked with the highest level of classification for the material on that page (Confidential, Secret, or Top Secret with all appropriate caveats) at the top and bottom of each page. Mark the first page of the document with the highest overall classification of the contents of the total document. Paragraph markings, classification authority, and declassification instructions must be applied to classified material as described in E.O. 12958.

The following is basic classification/declassification guidance:

Originally Classified Information

Classified by: Name/Personal Identifier and Position Title

Reason: (Cite Category from E.O. 12958, para 1.5)

Declassify on:

- A date/event less than 10 years,
- 10 years from original classification decision, or
- Exemption category from E.O. 12958, para 1.6(d)

Derivatively Classified Information

Derived from: Cite identity of source document or Classification Guide, or "Multiple Sources" Declassify on: Carry forward instructions from source document, from Classification Guide, or More than one source, enter the longest duration of any of its sources, or If source document(s) declassification instructions are OADR, enter: "Source Marked OADR, Date of Source " (use date of most recent source).

DoD 5200. I-PH, A Guide to Marking Classified Documents, provides illustrated guidance on the application of security markings to documents prepared by the Department of Defense.

Items containing NATO materials should be marked in accordance with the U.S. Security Authority for NATO Affairs (US SAN) Instruction 1-69, dated April 21, 1982.

Signature packages not in compliance with the foregoing guidance will be returned to the originating office for correction.

Questions regarding this requirement should be directed to CMD, Classified Control Branch, (703)697-6131.

White House Correspondence, Congressional Correspondence, and other helpful information and guidelines can be found in the Manual for Written Material and is updated to reflect current names, addresses, and courtesies IAW protocol.

Select the link on the webpage to view the entire manual

http://www.dtic.mil/whs/directives/corres/pdf/511004m_v1.pdf

*DoD Manual for Written Material: Examples and Reference Material:

http://www.dtic.mil/whs/directives/corres/pdf/511004m_v2.pdf

SACCP, DoD Coordination Business Rules

Applicability: Applies to all DoD Components Heads or organizations that directly report to the Secretary of Defense (SecDef) or Deputy Secretary of Defense (DepSecDef) (e.g. ASD(Public Affairs), hereinafter referred to as ‘Components’) that are using SACCP. Components are required to utilize these Business Rules for coordination of all SecDef; DepSecDef; and DoD Executive Secretary correspondence.

Coordination Standards: To achieve a known process to facilitate tracking of coordination

1. Components will submit coordination actions through SACCP to the appropriate Correspondence Management Office (CMO) and will respond using SACCP. This does not preclude the use of email and other collaborative methods for work effort, but does keep coordination efforts transparent with specific accountability.
2. Coordination levels should reflect guidance provided in DoD 5110.4-M, Manual for Written Material.
3. Component requests for coordination should be in-line with the specific tasking and suspense.
4. Classified coordination may be completed using these same instructions and transmitting the classified document using classified email system (SIPRNET).
5. Follow-ups for overdue coordination requests should come through the requesting Component CMO to the Coordinating CMO. The intent is to have each CMO manage their action officers and not have action officers requesting coordination or status from front offices and vice versa. AO to AO work effort should not be dissuaded by these rules but awareness of unified effort is the key enabler in the objective.
6. Attachments should include all relevant documents including PDF format, Word, PowerPoint, etc. Digital signatures are authorized, accepted, and encouraged.
7. Notes or Comments should include additional information such as “Coordination requested by...”; “Level of coordination”; and “Function Point of Contact”.
8. The following specific actions are needed for coordinating actions through SACCP:

Assign Task

Recipients: Search for

Route: For Action To Action Officer For Coordination Info Copy

Suspense Date:

Instructions:

Signature Required: Is signature required when completing task?

Coordinating in SACCP is accomplished by assigning a Task either within a new or existing action:

- a. Recipients: Submit coordination tasks to the appropriate Correspondence Management Office (CMO) by inserting the component name in the box. Multiple components can be addressed in a single task by clicking the + sign adding an additional box.
(AO to AO communication and work effort should not be dissuaded by these rules.)
- b. Route: Click the 3rd circle “For Coordination.”
- c. Suspense Date: Component requests for coordination suspense should be in-line with and enable meeting the specific action suspense.
- d. Instructions: Coordination tasking shall comply with DoD 5110.4-M, Manual for Written Material and clearly identify:
 1. Level of coordination request, ensuring Principal level coordination signatures for correspondence to be signed by SecDef, DepSecDef and ExecSec.
 2. Appropriate attachments for review and ensure all relevant documents are uploaded in the attachments section of the SACCP action. e.g PDF format, Word, PowerPoint, etc. (Classified documents shall be uploaded on SIPR SACCP)
 3. Action Officer or Point of contact information for submitting coordinations.
 4. Any additional information relevant to successful coordination of the action.
- e. Signature Required: Click the box if signature is required. Digital signatures are authorized, accepted, and encouraged.