

Cy2

SS 4 June 75

AR 600-47
C 1

CHANGE
No. 1

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 9 March 1973

PERSONNEL—GENERAL

**REPORTING PROCEDURES ON DEFENSE RELATED
EMPLOYMENT**

Effective 1 May 1973

This change modifies the review and disposition instructions (para 5) to reflect DOD requirement for three copies of the consolidated report, incorporates the reprinted portions of DOD Directive 7700.15, and changes the proponent agency to DAAG-ZC.

AR 600-47, 28 March 1972, is changed as follows:

1. New or revised material is indicated by a star.
2. Remove old pages and insert revised pages as indicated below:

<i>Remove pages</i>	<i>Insert pages</i>
3 and 4	3
A-1 and A-2	A-1 and A-2
A-5 through A-13	A-5 through A-12
	Authentication

3. File this change sheet in the front of the publication for reference purposes.

The proponent agency of this regulation is The Adjutant General's Office. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications) direct to HQDA (DAAG-ZC), Washington, DC 20310.

By Order of the Secretary of the Army:

CREIGHTON W. ABRAMS
General, United States Army
(2) *of Staff*

Official: *the reporting*
VERNE L. BOWERS
Major General, United States Army
The Adjutant General

DISTRIBUTION:

To be distributed in accordance with DA Form 12-9 requirements for AR, Personnel General.

Active Army: D (Qty Rqr Block No. 437), plus Transfer Points (5); Transfer Stations (5); Civilian Personnel Offices (5)

ARNG: D (Qty Rqr Block No. 437)

USAR: C (Qty Rqr Block No. 436)

**RETURN TO ARMY LIBRARY
ROOM 1 A 513 PENTAGON**

**RETURN TO ARMY LIBRARY
ROOM 1 A 513 PENTAGON**

specified in paragraph 4a, thence to the TJAG or Office of the General Counsel as appropriate. Those offices have responsibility for rendering opinions concerning possible violation of law or directive and recommendations as to the disposition of individual cases.

★c. The offices designated in paragraph 4a to receive reports will prepare the list of persons submitting reports according to the format prescribed in Enclosure 2 to DOD Directive 7700.15 (appendix) and submit to DAAG ZC with four copies of each such report for consolidation not later than 7 November of each year. A copy of a list of persons submitting reports and copies of

such reports will be maintained and disposed of as prescribed by AR 340-18-6.

★d. TAG will prepare a consolidated list for all current and former officers and employees for whom reports have been submitted and will forward the consolidated list, in triplicate, along with three copies of the DD Form 1787, by memorandum through Assistant Secretary of the Army (Manpower & Reserve Affairs) to Assistant Secretary of Defense (Manpower & Reserve Affairs) so as to reach the Office of the Secretary of the Army not later than 28 November of each year.

AS 4 June 75

ARMY REGULATION

No. 600-47

HEADQUARTERS
DEPARTMENT OF THE ARMY
WASHINGTON, DC, 28 March 1972

PERSONNEL—GENERAL
REPORTING PROCEDURES ON DEFENSE RELATED EMPLOYMENT*

Effective 1 May 1972

This regulation incorporates the provisions of DOD Directive 7700.15. Local limited supplementation of this regulation is permitted, but is not required. If supplements are issued, Army Staff agencies and major Army commands will furnish one copy of each to HQDA (DAPE-MPC) WASH DC 20310; other commands will furnish one copy of each to the next higher headquarters.

	Paragraph	Page
Purpose.....	1	1
Applicability	2	1
Responsibilities.....	3	1
Report of DOD and Defense Related Employment, RCS DD-M&RA(A) 1051.....	4	2
Review and disposition.....	5	2
Appendix, Department of Defense Directive 7700.15.....		A-1

1. Purpose. *a.* This regulation establishes responsibilities and procedures for reporting Defense related employment and for administering the reporting program, as required by Sec. 410, Public Law 91-121 (83 Stat 204, 50 USC 1436) and DOD Directive 7700.15, 30 October 1970.

b. DOD Directive 7700.15 is published as an appendix to this regulation for the information, guidance, and compliance of all concerned. Paragraphs III and IV contain explanations of terms, general guidance, and information on categories of persons who must report Defense related employment under PL 91-121 and those who are exempted. Paragraphs V, VI, and VII contain instructions for administering the reporting program.

2. Applicability. This regulation applies to—

a. All present, retired, and former military officers and civilian employees of the Department of the Army, including employees of nonappropriated fund activities, who must report under PL 91-121 as explained in paragraph IV of the appendix.

b. All commands, agencies, activities, and officials of the Department of the Army that are responsible for administering the reporting program (para 3 through 5).

3. Responsibilities. *a. Individuals.* Submission of

the Report of DOD on Defense Related Employment as required by PL 91-121 is the responsibility of the individual. This report is in addition to reports on DD Forms 1357, 1555, and 1555-1 required by AR 600-50, Standards of Conduct for Department of the Army Personnel.

b. Commanders. Commanders will establish procedures to insure that—

(1) Separating/retiring officers in the grade of major or above with 10 or more years' extended active duty are informed of the requirements of Public Law 91-121 and furnished a copy of this regulation during separation/retirement counseling at transfer activities.

(2) Separating/retiring civilian personnel, including nonappropriated fund employees, paid at a rate equal to or greater than the minimum rate for grade GS 13, are informed of the requirements of Public Law 91-121 and furnished a copy of this regulation during separation/retirement counseling by the servicing civilian personnel office.

(3) Civilian personnel who become subject to the reporting requirements set forth in the appendix on initial employment are informed during their entrance orientation of the requirements of Public Law 91-121 and furnished a copy of this regulation by the servicing civilian personnel office.

*This regulation supersedes DA letters AGDA (M) (28 Dec 70) ODCSPER-SARD, 5 January 1971, and AGDA (M) (5 Mar 71) ODCSPER-PSD, 29 March 1971, subjects: Reporting Procedures in Defense Related Employment; and section V and appendixes A through C, CPC 3, 2 February 1972.

**RETURN TO ARMY LIBRARY
ROOM 1 A 518 PENTAGON**

(4) Civilian personnel, who through promotion, step increase, or other pay increase after initial employment become subject to the reporting requirements set forth in the appendix, are informed of the requirements of Public Law 91-121 at the time of such promotion or step increase and furnished a copy of this regulation by the servicing civilian personnel office.

(5) Sufficient stock levels of this regulation are maintained at transfer activities and civilian personnel offices to satisfy specific requests from former or retired officers and civilian employees for individual copies.

(6) Personnel and Staff Judge Advocate offices are familiar with the contents of this regulation and cognizant of their responsibilities as set forth in paragraph 4e.

c. Staff offices. The Staff offices specified in paragraph 4a will—

(1) Receive all reports for the Secretary of the Army.

(2) Review all reports as prescribed by paragraph 5 and paragraph VIIA of the appendix. These actions include an initial review to determine any apparent violations of law or directive, as specified in paragraph VIIA.3 of the appendix.

d. The Judge Advocate General and the General Counsel. The Judge Advocate General of the Army or the General Counsel of the Army as appropriate will provide legal advice regarding questions which may arise under this Public Law. Additionally, the deputy counselors designated in paragraph 1-19b, AR 600-50 will provide advice and assistance within their local areas of responsibility. The General Counsel, Office of the Secretary of the Army, is designated as the counselor for the Department of the Army and is responsible for coordination and final disposition of all problems relating to conflicts of interest and violation of this reporting requirement in accordance with AR 600-50 and this regulation.

4. Report of DOD and Defense Related Employment, RCS DD-M&RA(A) 1051. *a.* DD Form 1787 (Report of DOD and Defense Related Employment as required by Public Law 91-121) will be prepared in accordance with the instructions in inclosure 1 of the appendix. Four copies of the completed DD Form 1787 will be submitted to the address in (1), (2), or (3) below not later than 15 October following the end of each fiscal

year for which the reporting requirements in paragraph IV of the appendix apply.

(1) Former or retired Army officers will address the report to HQDA (DAAG-ZC) Washington, DC 20310.

(2) Present or former civilian employees (excluding nonappropriated fund employees) will submit their reports to their servicing civilian personnel office (most recent servicing office in the case of former employees). Reports will be forwarded by servicing civilian personnel offices to the major Army commander, who will consolidate and forward to HQDA (DAPE-CPR) Washington, DC 20310. When there is no major Army command above the servicing civilian personnel office, that office will consolidate its reports and forward to the above address.

(3) Present or former nonappropriated fund civilian employees will address reports to HQDA (DAPE-NF) Washington, DC 20310.

b. DD Form 1787 (fig. 1) will be reproduced locally on 8 x 10½-inch paper. DD Form 1787 and related instructions also may be obtained from any transfer activity or civilian personnel office, or by writing to the appropriate address in *a* above.

c. Questions concerning the requirements of this law or the implementing instructions should be referred to the personnel office of any Army installation, to any transfer activity, or to one of the above addressees. Current civilian employees should direct their questions to their servicing civilian personnel office. If applicable or necessary, questions involving interpretation of the law or legal opinions may be referred by any of the above installation or activity offices to the appropriate Staff Judge Advocate. Legal questions which arise in the offices listed in paragraph *a* above may be referred to The Judge Advocate General.

5. Review and disposition. *a.* Department of the Army activities designated to receive reports will establish procedures for review of the forms in compliance with paragraph VII of the appendix to determine whether a possible violation of the antiselling statutes as specified in AR 600-50 is indicated.

b. If there is any apparent indication that a law or directive may have been violated, the matter will be promptly reported through the chain of command to the attention of the appropriate office



ASD(M&RA)

Department of Defense Directive

SUBJECT Reporting Procedures on Defense Related Employment

References: (a) Public Law No. 91-121, sec. 410 (Nov. 19, 1969)
(b) DoD Directive 5500.7, "Standards of Conduct,"
August 8, 1967

I. PURPOSE AND SCOPE

This Directive:

- A. Establishes criteria and prescribes the procedures to be followed by certain (1) former and retired military officers and former civilian officers and employees of DoD presently employed by defense contractors, and (2) former civilian officers and employees of Defense contractors presently employed by the DoD in submitting employment reports in compliance with reference (a). Failure to file required reports is punishable by a maximum of six months imprisonment, or a fine of not more than \$1,000 or both.
- B. Assigns responsibilities for monitoring the Program within the Department of Defense.

II. APPLICABILITY

The provisions of this Directive apply to all elements of the Department of Defense, including the Office of the Secretary of Defense, the Military Departments, and the Defense Agencies, and to certain present and former military and civilian personnel of the Department of Defense, including employees of non-appropriated fund activities.

III. TERMS AND GENERAL GUIDANCE

- A. "Employed" or "employment," is used in a broad sense to include services performed as a consultant or otherwise either for a defense contractor or the DoD.

B. Retired military officers, former military officers and former civilian officers and employees of the DoD are included:

1. if they are "employed" by a defense contractor as a consultant or otherwise,
2. if they represented a defense contractor at a hearing, trial, appeal, or other action in which the U.S. was a party and which involved services and materials provided or to be provided to the DoD by such contractor, or
3. if they represented a defense contractor in any transaction with DoD involving services or materials provided or to be provided by such contractor to DoD.

C. "Defense contractor" means any individual, firm, corporation, partnership, association, or other legal entity that enters into a contract directly with the DoD to furnish services or materials to DoD. It thus excludes subcontractors. Also, a subsidiary of a large corporation may be a separate legal entity and contract directly with the DoD in its own name. In such a case the "defense contractor" would be the subsidiary, not the parent corporation. Thus, only the dollar amount of contracts awarded by the DoD to a subsidiary contracting with DoD in its own name during a fiscal year would be considered in determining whether a person employed or formerly employed by it is required to report.

D. No person is required to file a report for any fiscal year during which the defense contractor by whom he is or was employed received less than \$10,000,000 in contracts awarded by DoD. For the purpose of this Directive "contracts awarded" means contracts awarded by negotiation only, including the net amount of modifications to or options exercised under such contracts. All transactions under \$10,000 each are excluded. Thus, if a person was employed by a defense contractor during a fiscal year in which the contractor received from the DoD \$8,000,000 in negotiated contract awards and \$2,000,000 in contracts awarded by formal advertising, the person would not have to report his employment for that year.

Oct 30, 70
7700.15

- E. "Services and materials" means either services or materials, or services and materials, and includes construction. Therefore a company that performs construction under contracts with DoD is a "defense contractor" under this section.
- F. "Fiscal year" means a year beginning on July 1, and ending on June 30 of the next succeeding year; it is designated by the year in which it ends. For example, fiscal year 1971 begins on July 1, 1970 and ends on June 30, 1971.
- G. For the purposes of these reporting requirements, a "retired military officer" is any officer entitled to receive military retired pay, even though such pay may be waived. A "former military officer" includes Reserve officers not on active duty.
- H. For the purposes of these reporting requirements, "former DoD civilian officer or employee paid at a rate equal to or greater than the minimum rate (at such time) for a grade GS-13" includes former wage board employees, former employees in the lower General Schedule grades, Public Law 313 categories, consultants, and persons in the executive levels, whose rates of pay equaled or exceeded:

\$16,760 in 1970
\$15,812 in 1969
\$14,409 in 1968
\$13,507 in 1967

IV. REPORTING PROCEDURES

A report prepared and forwarded as prescribed in Enclosure 1 shall be submitted not later than November 15 following the close of each fiscal year, by the following categories of individuals:

- A. Any former or retired military commissioned officer who:
1. At the time of release from active duty or retirement was serving on active duty as a major or lieutenant commander, or above; and
 2. Had served on extended active duty for ten or more years; and
 3. During any part of any fiscal year beginning with fiscal year 1971:

- a. is employed by or performed services for a defense prime contractor, who, during such year, received \$10,000,000 or more in defense contract awards, and
 - b. is employed by the defense prime contractor at a salary rate of \$15,000 or more per year.
- B. Any former DoD civilian officer or employee (including consultants and part time employees) who:
1. at any time during the three-year period immediately preceding the termination of last employment with DoD was paid at a rate equal to or greater than the minimum rate (at such time) for a grade GS-13; and
 2. during any part of any fiscal year beginning with fiscal year 1971:
 - a. is employed by or performed services for a defense prime contractor who, during such year received \$10,000,000 or more in defense contract awards, and
 - b. is employed by the defense prime contractor at a salary rate of \$15,000 or more per year.
- C. Any DoD civilian officer or employee (including consultants and part time employees) who:
1. during any part of any fiscal year beginning with fiscal year 1971 is employed by DoD at a salary rate equal to or greater than the minimum rate for a grade GS-13; and
 2. was previously employed by or performed services, during any fiscal year, for a defense prime contractor who, during such year, received \$10,000,000 or more in defense contract awards; and
 3. was employed by the defense prime contractor at a salary rate of \$15,000 or more per year.
- D. The following categories of persons are exempt from the reporting requirements:

1. Retired military officers, former military officers, and former civilian officers and employees are not required to file a report of employment with a defense contractor for such employment during a fiscal year that begins three years or more after their extended active duty or employment with the DoD terminated.
2. DoD civilian officers and employees are not required to file a report for a fiscal year on account of previous employment with a defense contractor if such employment was terminated three or more years prior to the beginning of such fiscal year.

E. Reports submitted in accordance with this Directive will be forwarded as follows:

1. Retired military officers, and former military officers - to the Secretary of the Military Department of which they are or were a member.
2. Former civilian officers and employees - to the Secretary of Military Department, or the Director of the Defense Agency by which they were employed. In the case of civilian officers or employees of the Office of the Secretary of Defense or the Joint Chiefs of Staff, - to the Deputy Assistant Secretary of Defense (Administration), OASD(C). *
3. DoD civilian officers or employees - to the Secretary of the Military Department, or the Director of the Defense Agency by which employed, or in case of civilian officers or employees of the Office of the Secretary of Defense or the Joint Chiefs of Staff to the Deputy Assistant Secretary of Defense (Administration), OASD(C). *

V. ACTIONS REQUIRED

- A. The Assistant Secretary of Defense (Comptroller) will prepare a listing of the defense contractors who received \$10,000,000 or more in negotiated contracts awarded in each fiscal year and cause that listing to be published in the Federal Register not later than September 15 following the end of the fiscal year; in addition a listing will also be published covering FY's 1968 and 1969.

#First amendment (Ch 1, 10/24/72)

9 March 1973

Oct 30, 70#
7700.15**B. The Assistant Secretary of Defense, Manpower and Reserve Affairs will:**

1. Receive the lists and reports submitted as provided in paragraph VII. B. below. A copy of such reports will be maintained for three years and will be available for public inspection at all times during normal working hours; and
2. Submit not later than December 31, 1971, and each December 31 thereafter a letter transmitting to the President of the Senate and the Speaker of the House of Representatives a list prepared in accordance with the format prescribed in Enclosure 2 of the names of all persons who have filed such reports for the preceding fiscal year in compliance with this Directive, and a copy of each such report.

* C. The Deputy Assistant Secretary of Defense (Administration), *
 * OASD(C), the Secretaries of the Military Departments, and the *
 Directors of the Defense Agencies will:

1. Except as provided in 3 below, notify each person in the categories described in paragraph IV, A, B, and C above of the requirements of this Directive and reference (a), and provide to each such person a copy of this Directive or implementing Military Service or Defense Agency regulations together with a supply of the forms prepared in accordance with the reporting format as set out in Enclosure 1. In the case of personnel being separated or retired this notification will be included in the exit interview or separation counselling procedures. Civilian personnel who become subject to the reporting requirement on initial employment will be notified of this reporting requirement during the entrance orientation. Civilian personnel who become subject to the reporting requirement by virtue of a promotion or step increase after initial employment will be notified of the reporting requirement at the time of such promotion or step increase.
2. Review reports as described below and furnish these reports and the list referred to in VII. B. below to the Assistant Secretary of Defense, Manpower and Reserve Affairs, by November 30 of each year, beginning in 1971.

#First amendment (Ch 1, 10/24/72)

3. It is recognized that personal notification of each affected former military officer and civilian employee who was separated before the publication of this Directive is not feasible. However, intensive information efforts will be undertaken, using all appropriate channels with the objective of bringing the requirements of reference (a) and this Directive to the attention of all such former personnel.

In the case of military personnel, the actions prescribed by this paragraph will be taken by the Military Department concerned for all affected military personnel of that department, even though the member's last assignment was with another department or agency.

VI. OTHER REPORTING REQUIREMENTS

The reporting requirements prescribed by this Directive are in addition to the reports required from Retired Regular officers (DD Form 1357) and the statements of employment and financial interests required of certain civilian employees and active duty military officers (DD Forms 1555 and 1555-1) under the provisions of DoD Directive 5500.7.

VII. REVIEW OF AND DISPOSITION OF THE FORMS SUBMITTED BY FORMER AND PRESENT PERSONNEL

- * A. The Deputy Assistant Secretary of Defense (Administration), *
* OASD(C), the Secretaries of the Military Departments and the *
Directors of the Defense Agencies will establish procedures to
review the forms submitted by former and present personnel
in accordance with the terms of this Directive to determine
whether:
1. Each form as submitted is in fact required under the terms of the Directive.
 2. All required information has been furnished.
 3. The information as submitted indicates the possibility of a violation of law or Directive.

If there is any indication that a law or Directive may have been violated, the matter will be referred to the appropriate authority of the office, Department or Agency concerned to determine the action which should be taken.

‡First amendment (Ch 1, 10/24/72)

9 March 1973

Oct 30, 70#
7700.15

- * B. Not later than November 30 of each year, the Deputy Assistant Secretary of Defense (Administration), OASD(C), the Secretaries of the Military Departments, and the Directors of the Defense Agencies will forward to the Assistant Secretary of Defense (Manpower and Reserve Affairs): *
- * 1. A listing of the names of individuals submitting reports, segregated by the defense contractor by whom now or formerly employed, or for whom they performed services. The list will be prepared in accordance with the format prescribed in Enclosure 2, and will be submitted in triplicate. *
- * 2. Three copies of each report, submitted in accordance with Section IV. *
- C. This reporting requirement has been assigned Report Control Symbol DD-M&RA(A)1051.
- D. Not later than December 31, thereafter, the Assistant Secretary of Defense (Manpower and Reserve Affairs), will forward a copy of all such listings and reports to the President of the Senate and the Speaker of the House of Representatives as prescribed in V. B. 2., above.

VIII. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Two copies of implementing instructions shall be forwarded to the Assistant Secretary of Defense (Manpower and Reserve Affairs) within 60 days.



Deputy Secretary of Defense

Enclosures - 2

1. Instructions for Completing DD Form No. 1787
2. Listing of Present and Former Employees

#First amendment (Ch 1, 10/24/72)

INSTRUCTIONS FOR COMPLETING ENCLOSURE 1.

- * Before beginning to complete DD Form No. 1787 read carefully DoD Directive 7700.15. *

The following numbered instructions are keyed to the numbered items on DD Form No. 1787.

1. Self explanatory
2. Self explanatory
3. Self explanatory
4. For the purpose of this reporting requirement:

(a) a "retired officer" is one who is presently entitled to receive military retired pay even though he may have waived such pay;

(b) a Reserve officer, not on active duty who is not a "retired officer" as defined in (a), is a "former officer" for the purpose of this report even though he currently holds a commission in a Reserve component; and

(c) persons formerly in GS-13 and above are subject to the filing requirement. In addition persons formerly in the Civil Service including Wage Board employees, employees in the lower General Schedule grades, P. L. 313 categories, consultants, and persons in the Executive levels whose rates of pay on an annual basis would have equaled or exceeded the amounts set forth in the following years are subject to the filing requirement.

<u>Fiscal Year</u>	<u>Amount</u>
1967	\$13,507
1968	\$14,409
1969	\$15,812
1970	\$16,760

5. The "employer" should be clearly identified. The term "employer" also includes the organization for which the services as a consultant were provided.

#First amendment (Ch 1, 10/24/72)

9 March 1973

Oct 30, 70
7700.15 (Encl 1)

6. If employed by 2 or more defense contractors include date of acceptance of employment (and termination of employment) by each. Use a continuation sheet if necessary.
7. Self explanatory
8. Include sufficient detail to clearly identify employing agency.
9. If more than one position held, give position title and brief description of work performed for each position.
10. Give sufficient detail to permit clear understanding of work actually being performed.
- 11, 12, 13. Self explanatory
14. Give sufficient information to clearly identify the Defense Contractor. If employed by more than one, list each.
15. If employed by, or served as a consultant to more than one defense contractor, give inclusive dates for each.
16. Give sufficient detail to permit clear understanding of work actually performed.
17. Enter signature as usually written.

9 March 1973

C 1, AR 600-47
7700.15 (Encl 1)
Oct. 24, 72

REPORT OF DOD AND DEFENSE RELATED EMPLOYMENT AS REQUIRED BY PUBLIC LAW 91-121		OMB Approval No. 22-R0288
1. NAME (Last - First - Middle)	2. CURRENT HOME ADDRESS (Street - City - State - Zip)	3. SOCIAL SECURITY NO.
4. REPORTING CATEGORY (Check appropriate box and enter in space provided the military grade, civilian grade or annual DoD salary).		
A. <input type="checkbox"/> RETIRED MILITARY OFFICER - MAJ/LT. CMDR OR ABOVE _____		
B. <input type="checkbox"/> FORMER MILITARY OFFICER - MAJ/LT. CMDR OR ABOVE _____		
C. <input type="checkbox"/> FORMER CIVILIAN EMPLOYEE WHOSE SALARY WAS EQUAL TO OR ABOVE MINIMUM GS-13 DURING THREE YEARS PRECEDING TERMINATION OF SERVICE WITH DOD. _____		
D. <input type="checkbox"/> FORMER EMPLOYEE OF, OR CONSULTANT TO, DEFENSE CONTRACTOR WHO DURING LAST FISCAL YEAR WAS EMPLOYED BY DOD AT SALARY EQUAL TO OR ABOVE MINIMUM GS-13 SALARY _____		
<i>Items 5 thru 10 apply to reporting categories A, B and C ONLY</i>		
5. NAME AND ADDRESS OF DEFENSE CONTRACTOR EMPLOYER(S):		
6. DATE(S) OF ACCEPTANCE OF EMPLOYMENT WITH DEFENSE CONTRACTOR EMPLOYER(S) (If no longer employed by a defense contractor employer give inclusive date of all such employment)		
7. DATE OF SEPARATION FROM ACTIVE DUTY OR TERMINATION OF DOD EMPLOYMENT		
8. NAME IN DETAIL OF LAST AGENCY OF DOD BY WHICH EMPLOYED		
9. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF WORK PERFORMED DURING LAST THREE YEARS OF YOUR SERVICE WITH DOD.		
10. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF WORK PERFORMED FOR DEFENSE CONTRACTOR EMPLOYER(S)		
<i>Items 11 thru 16 apply to reporting category D ONLY</i>		
11. NAME, IN DETAIL, OF DEPARTMENT OF DEFENSE AGENCY BY WHICH EMPLOYED AT ANY TIME DURING THE LAST FISCAL YEAR.		
12. DATE ACCEPTED DOD EMPLOYMENT		
13. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF DUTIES WITH DEPARTMENT OF DEFENSE EMPLOYER DURING LAST FISCAL YEAR.		
14. NAME(S) OF DEFENSE CONTRACTOR(S) BY WHOM YOU WERE EMPLOYED OR WHOM YOU SERVED AS A CONSULTANT OR OTHERWISE.		
15. INCLUSIVE DATES OF EMPLOYMENT BY, OR SERVICE WITH, DEFENSE CONTRACTOR EMPLOYER(S).		
16. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF WORK PERFORMED FOR DEFENSE CONTRACTOR(S).		
17. I CERTIFY THE ABOVE INFORMATION IS CORRECT TO THE BEST OF MY KNOWLEDGE AND BELIEF.		
SIGNATURE		
<small>(If additional space is required, attach a continuation sheet.)</small>		

DD FORM 1787
1 JAN 71

Oct 30, 70
7700.15 (Encl 2)

(Sample Listing)

Department or Agency

**Listing of Present or Former Employees
of
Defense Contractors for FY _____
Prepared Pursuant to Section 410, Public Law 91-121**

XYZ Corporation
(Name of Contractor)

Reporting Category A

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Last Day of Active Duty</u>
Doen, John A.	LT, Col.	May 31, 1968
Roen, Richard N.	Col.	July 31, 1968

Reporting Category B

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Last Day of Active Duty</u>
Renn, William A.	Major	December 31, 1968

Reporting Category C

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Last Day of Federal Employment</u>
Penn, Donald R.	GS-12 (Step 7)	March 15, 1968

Reporting Category D

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Date Entered Present Employment</u>
Robin, Ronald R.	GS-14	July 1, 1969

- Note: 1. "Reporting Category" - those categories listed in Item 4, DD Form _____
2. Use a separate sheet for each contractor.
3. Arrange names alphabetically within category.

(Sample Listing)

The proponent agency of this regulation is The Adjutant General's Office. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications) direct to HQDA (DAAG-ZC), Washington DC 20310.

By Order of the Secretary of the Army:

CREIGHTON W. ABRAMS
General, United States Army
Chief of Staff

Official:

VERNE L. BOWERS
Major General, United States Army
The Adjutant General

Distribution:

To be distributed in accordance with DA Form 12-9 requirements for AR, Personnel General:

Active Army: D (qty rqr block No. 437).

ARNG: D (qty rqr block No. 437).

USAR: C (qty rqr block No. 436).

S/S C1

28 March 1972

AR 600-17

specified in paragraph 4a, thence to the TJAG or Office of the General Counsel as appropriate. Those offices have responsibility for rendering opinions concerning possible violation of law or directive and recommendations as to the disposition of individual cases.

c. The offices designated in paragraph 4a to receive reports will prepare the list of persons submitting reports according to the format prescribed in Inclosure 2 to the appendix and submit to DAAG-ZC with three copies of each such re-

port for consolidation not later than 7 November of each year. A copy of a list of persons submitting reports and copies of such reports will be maintained and disposed of as prescribed by AR 340-18-6.

d. TAG will prepare a consolidated list for all current and former officers and employees for whom reports have been submitted and will forward the consolidated list through DCSPER, so as to reach the Office of the Secretary of the Army not later than 28 November of each year.

REPORT OF DOD AND DEFENSE RELATED EMPLOYMENT AS REQUIRED BY PUBLIC LAW 91-121		OMB Approval No. 22-R0288
1. NAME (Last - First - Middle)	2. CURRENT HOME ADDRESS (Street - City - State - Zip)	3. SOCIAL SECURITY NO.
4. REPORTING CATEGORY (Check appropriate box and enter in space provided the military grade, civilian grade or annual DoD salary).		
A. <input type="checkbox"/> RETIRED MILITARY OFFICER - MAJ/LT. CMDR OR ABOVE _____		
B. <input type="checkbox"/> FORMER MILITARY OFFICER - MAJ/LT. CMDR OR ABOVE _____		
C. <input type="checkbox"/> FORMER CIVILIAN EMPLOYEE WHOSE SALARY WAS EQUAL TO OR ABOVE MINIMUM GS-13 DURING THREE YEARS PRECEDING TERMINATION OF SERVICE WITH DOD. _____		
D. <input type="checkbox"/> FORMER EMPLOYEE OF, OR CONSULTANT TO, DEFENSE CONTRACTOR WHO DURING LAST FISCAL YEAR WAS EMPLOYED BY DOD AT SALARY EQUAL TO OR ABOVE MINIMUM GS-13 SALARY _____		
<i>Items 5 thru 10 apply to reporting categories A, B and C ONLY</i>		
5. NAME AND ADDRESS OF DEFENSE CONTRACTOR EMPLOYER(S)		
6. DATE(S) OF ACCEPTANCE OF EMPLOYMENT WITH DEFENSE CONTRACTOR EMPLOYER(S) (If no longer employed by a defense contractor employer give inclusive date of all such employment)		
7. DATE OF SEPARATION FROM ACTIVE DUTY OR TERMINATION OF DOD EMPLOYMENT		
8. NAME, IN DETAIL, OF LAST AGENCY OF DOD BY WHICH EMPLOYED		
9. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF WORK PERFORMED DURING LAST THREE YEARS OF YOUR SERVICE WITH DOD.		
10. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF WORK PERFORMED FOR DEFENSE CONTRACTOR EMPLOYER(S)		
<i>Items 11 thru 16 apply to reporting category D ONLY</i>		
11. NAME, IN DETAIL, OF DEPARTMENT OF DEFENSE AGENCY BY WHICH EMPLOYED AT ANY TIME DURING THE LAST FISCAL YEAR.		
12. DATE ACCEPTED DOD EMPLOYMENT		
13. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF DUTIES WITH DEPARTMENT OF DEFENSE EMPLOYER DURING LAST FISCAL YEAR.		
14. NAME(S) OF DEFENSE CONTRACTOR(S) BY WHOM YOU WERE EMPLOYED OR WHOM YOU SERVED AS A CONSULTANT OR OTHERWISE.		
15. INCLUSIVE DATES OF EMPLOYMENT BY, OR SERVICE WITH, DEFENSE CONTRACTOR EMPLOYER(S)		
16. POSITION TITLE(S) AND BRIEF DESCRIPTION(S) OF WORK PERFORMED FOR DEFENSE CONTRACTOR(S).		
17. I CERTIFY THE ABOVE INFORMATION IS CORRECT TO THE BEST OF MY KNOWLEDGE AND BELIEF.		
_____ SIGNATURE		
<i>(If additional space is required, attach a continuation sheet.)</i>		

DD FORM 1787
1 JAN 71

Figure 1.

APPENDIX

October 30, 1970
NUMBER 7700.15



ASD(M&RA)

Department of Defense Directive

SUBJECT Reporting Procedures on Defense Related Employment

References: (a) Public Law No. 91-121, sec. 410 (Nov. 19, 1969)
(b) DoD Directive 5500.7, "Standards of Conduct,"
August 8, 1967

I. PURPOSE AND SCOPE

This Directive:

- A. Establishes criteria and prescribes the procedures to be followed by certain (1) former and retired military officers and former civilian officers and employees of DoD presently employed by defense contractors, and (2) former civilian officers and employees of Defense contractors presently employed by the DoD in submitting employment reports in compliance with reference (a). Failure to file required reports is punishable by a maximum of six months imprisonment, or a fine of not more than \$1,000 or both.
- B. Assigns responsibilities for monitoring the Program within the Department of Defense.

II. APPLICABILITY

The provisions of this Directive apply to all elements of the Department of Defense, including the Office of the Secretary of Defense, the Military Departments, and the Defense Agencies, and to certain present and former military and civilian personnel of the Department of Defense, including employees of non-appropriated fund activities.

III. TERMS AND GENERAL GUIDANCE

- A. "Employed" or "employment," is used in a broad sense to include services performed as a consultant or otherwise either for a defense contractor or the DoD.

B. Retired military officers, former military officers and former civilian officers and employees of the DoD are included:

1. if they are "employed" by a defense contractor as a consultant or otherwise,
2. if they represented a defense contractor at a hearing, trial, appeal, or other action in which the U.S. was a party and which involved services and materials provided or to be provided to the DoD by such contractor, or
3. if they represented a defense contractor in any transaction with DoD involving services or materials provided or to be provided by such contractor to DoD.

C. "Defense contractor" means any individual, firm, corporation, partnership, association, or other legal entity that enters into a contract directly with the DoD to furnish services or materials to DoD. It thus excludes subcontractors. Also, a subsidiary of a large corporation may be a separate legal entity and contract directly with the DoD in its own name. In such a case the "defense contractor" would be the subsidiary, not the parent corporation. Thus, only the dollar amount of contracts awarded by the DoD to a subsidiary contracting with DoD in its own name during a fiscal year would be considered in determining whether a person employed or formerly employed by it is required to report.

D. No person is required to file a report for any fiscal year during which the defense contractor by whom he is or was employed received less than \$10,000,000 in contracts awarded by DoD. For the purpose of this Directive "contracts awarded" means contracts awarded by negotiation only, including the net amount of modifications to or options exercised under such contracts. All transactions under \$10,000 each are excluded. Thus, if a person was employed by a defense contractor during a fiscal year in which the contractor received from the DoD \$8,000,000 in negotiated contract awards and \$2,000,000 in contracts awarded by formal advertising, the person would not have to report his employment for that year.

Oct 30, 70
7700.15

1. Retired military officers, former military officers, and former civilian officers and employees are not required to file a report of employment with a defense contractor for such employment during a fiscal year that begins three years or more after their extended active duty or employment with the DoD terminated.
 2. DoD civilian officers and employees are not required to file a report for a fiscal year on account of previous employment with a defense contractor if such employment was terminated three or more years prior to the beginning of such fiscal year.
- E. Reports submitted in accordance with this Directive will be forwarded as follows:
1. Retired military officers, and former military officers - to the Secretary of the Military Department of which they are or were a member.
 2. Former civilian officers and employees - to the Secretary of Military Department, or the Director of the Defense Agency by which they were employed. In the case of civilian officers or employees of the Office of the Secretary of Defense or the Joint Chiefs of Staff, - to the Assistant Secretary of Defense (Administration).
 3. DoD civilian officers or employees - to the Secretary of the Military Department, or the Director of the Defense Agency by which employed, or in case of civilian officers or employees of the Office of the Secretary of Defense or the Joint Chiefs of Staff to the Assistant Secretary of Defense (Administration).

V. ACTIONS REQUIRED

- A. The Assistant Secretary of Defense (Comptroller) will prepare a listing of the defense contractors who received \$10,000,000 or more in negotiated contracts awarded in each fiscal year and cause that listing to be published in the Federal Register not later than September 15 following the end of the fiscal year; in addition a listing will also be published covering FY's 1968 and 1969.

B. The Assistant Secretary of Defense, Manpower and Reserve Affairs will:

1. Receive the lists and reports submitted as provided in paragraph VII B. below. A copy of such reports will be maintained for three years and will be available for public inspection at all times during normal working hours; and
2. Submit not later than December 31, 1971, and each December 31 thereafter a letter transmitting to the President of the Senate and the Speaker of the House of Representatives a list prepared in accordance with the format prescribed in Enclosure 2 of the names of all persons who have filed such reports for the preceding fiscal year in compliance with this Directive, and a copy of each such report:

C. The Assistant Secretary of Defense (Administration), the Secretaries of the Military Departments, and the Directors of the Defense Agencies will:

1. Except as provided in 3 below, notify each person in the categories described in paragraph IV, A, B, and C above of the requirements of this Directive and reference (a), and provide to each such person a copy of this Directive or implementing Military Service or Defense Agency regulations together with a supply of the forms prepared in accordance with the reporting format as set out in Enclosure 1. In the case of personnel being separated or retired this notification will be included in the exit interview or separation counselling procedures. Civilian personnel who become subject to the reporting requirement on initial employment will be notified of this reporting requirement during the entrance orientation. Civilian personnel who become subject to the reporting requirement by virtue of a promotion or step increase after initial employment will be notified of the reporting requirement at the time of such promotion or step increase.
2. Review reports as described below and furnish these reports and the list referred to in VII B. below to the Assistant Secretary of Defense, Manpower and Reserve Affairs, by November 30 of each year, beginning in 1971.

Oct 30, 70
7700.15

3. It is recognized that personal notification of each affected former military officer and civilian employee who was separated before the publication of this Directive is not feasible. However, intensive information efforts will be undertaken, using all appropriate channels with the objective of bringing the requirements of reference (a) and this Directive to the attention of all such former personnel.

In the case of military personnel, the actions prescribed by this paragraph will be taken by the Military Department concerned for all affected military personnel of that department, even though the member's last assignment was with another department or agency.

VI. OTHER REPORTING REQUIREMENTS

The reporting requirements prescribed by this Directive are in addition to the reports required from Retired Regular officers (DD Form 1357) and the statements of employment and financial interests required of certain civilian employees and active duty military officers (DD Forms 1555 and 1555-1) under the provisions of DoD Directive 5500.7.

VII. REVIEW OF AND DISPOSITION OF THE FORMS SUBMITTED BY FORMER AND PRESENT PERSONNEL

A. The Assistant Secretary of Defense (Administration), the Secretaries of the Military Departments and the Directors of the Defense Agencies will establish procedures to review the forms submitted by former and present personnel in accordance with the terms of this Directive to determine whether:

1. Each form as submitted is in fact required under the terms of the Directive.
2. All required information has been furnished.
3. The information as submitted indicates the possibility of a violation of law or Directive.

If there is any indication that a law or Directive may have been violated, the matter will be referred to the appropriate authority of the office, Department or Agency concerned to determine the action which should be taken.

28 March 1972

B. Not later than November 30 of each year, the Assistant Secretary of Defense (Administration), the Secretaries of the Military Departments, and the Directors of the Defense Agencies will forward to the Assistant Secretary of Defense (Manpower and Reserve Affairs):

1. A listing of the names of individuals submitting reports, segregated by the defense contractor by whom now or formerly employed, or for whom they performed services. The list will be prepared in accordance with the format prescribed in Enclosure 2.
2. Two copies of each report. Submitted in accordance with paragraph IV.

This reporting requirement has been assigned Report Control Symbol DD-M&RA(A)1051.

Not later than December 31, thereafter, the Assistant Secretary of Defense (Manpower and Reserve Affairs) will forward a copy of all such listings and reports to the President of the Senate and the Speaker of the House of Representatives as prescribed in V. B. 2. above.

VIII. EFFECTIVE DATE AND IMPLEMENTATION

This Directive is effective immediately. Two (2) copies of implementing instructions shall be forwarded to the Assistant Secretary of Defense (Manpower and Reserve Affairs) within sixty (60) days.

Deputy Secretary of Defense

Enclosures - 2

1. Instructions for Completing DD Form No. (Under development.)
2. Listing of Present and Former Employees

Oct 30, 70
7700.15 (Encl 1)

INSTRUCTIONS FOR COMPLETING ENCLOSURE 1.

Before beginning to complete DD Form * read carefully DoD
Directive 7700.15.

The following numbered instructions are keyed to the numbered items
on DD Form

1. Self explanatory
2. Self explanatory
3. Self explanatory
4. For the purpose of this reporting requirement:
 - (a) a "retired officer" is one who is presently entitled to receive military retired pay even though he may have waived such pay;
 - (b) a Reserve officer, not on active duty who is not a "retired officer" as defined in (a), is a "former officer" for the purpose of this report even though he currently holds a commission in a Reserve component; and
 - (c) persons formerly in GS-13 and above are subject to the filing requirement. In addition persons formerly in the Civil Service including Wage Board employees, employees in the lower General Schedule grades, P. L. 313 categories, consultants, and persons in the Executive levels whose rates of pay on an annual basis would have equaled or exceeded the amounts set forth in the following years are subject to the filing requirement.

<u>Fiscal Year</u>	<u>Amount</u>
1967	\$13,507
1968	\$14,409
1969	\$15,812
1970	\$16,760

5. The "employer" should be clearly identified. The term "employer" also includes the organization for which the services as a consultant were provided.

*Under development.

Oct 30, 70
7700.15 (Encl 1)

6. If employed by 2 or more defense contractors include date of acceptance of employment (and termination of employment) by each. Use a continuation sheet if necessary.
7. Self explanatory
8. Include sufficient detail to clearly identify employing agency.
9. If more than one position held, give position title and brief description of work performed for each position.
10. Give sufficient detail to permit clear understanding of work actually being performed.
- 11, 12, 13. Self explanatory
14. Give sufficient information to clearly identify the Defense Contractor. If employed by more than one, list each.
15. If employed by, or served as a consultant to more than one defense contractor, give inclusive dates for each.
16. Give sufficient detail to permit clear understanding of work actually performed.
17. Enter signature as usually written.

Oct 30, 70
7700.15 (Encl 1)

**Report of DoD and Defense Related Employment
as Required by
Public Law 91-121**

OMB Approval
No. 22-R0288

1. Name _____
Last First Middle

2. Current Home Address: _____
Street
_____ City State Zip

3. Social Security No. _____

4. REPORTING CATEGORY. Check appropriate box and enter in space provided the military grade, civilian grade or annual DoD salary.

- A [] Retired military officer - Maj/Lt. Cmdr or above _____
- B [] Former military officer - Maj/Lt. Cmdr or above _____
- C [] Former civilian employee whose salary was equal to or above minimum GS-13 during three years preceding termination of service with DoD. _____
- D [] Former employee of, or consultant to, defense contractor who during last fiscal year was employed by DoD at salary equal to or above minimum GS-13 salary _____

Items 5 thru 10 apply to reporting categories A, B and C ONLY

5. Name and address of defense contractor employer(s) _____

6. Date(s) of acceptance of employment with defense contractor employer(s) (if no longer employed by a defense contractor employer give inclusive date of all such employment) _____

7. Date of separation from active duty or termination of DoD employment _____

8. Name, in detail, of last agency of DoD by which employed _____

9. Position title(s) and brief description(s) of work performed during last three years of your service with DoD. _____

Oct 30, 70
7700.15 (Encl 1)

10. Position title(s) and brief description(s) of work performed for defense contractor employer(s).

Items 11 thru 16 apply to reporting category D ONLY

11. Name, in detail, of Department of Defense agency by which employed at any time during the last fiscal year.

12. Date accepted DoD employment _____

13. Position title(s) and brief description(s) of duties with Department of Defense employer during last fiscal year.

14. Name(s) of defense contractor(s) by whom you were employed or whom you served as a consultant or otherwise

15. Inclusive dates of employment by, or service with, Defense contractor employer(s).

16. Position title(s) and brief description(s) of work performed for Defense contractor(s).

17. I certify the above information is correct to the best of my knowledge and belief.

Signature



Oct 30, 70
7700.15 (Encl 2)

(Sample Listing)

Department or Agency

**Listing of Present or Former Employees
of
Defense Contractors for FY _____
Prepared Pursuant to Section 410, Public Law 91-121**

XYZ Corporation
(Name of Contractor)

Reporting Category A

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Last Day of Active Duty</u>
Doen, John A.	Lt. Col.	May 31, 1968
Roen, Richard N.	Col.	July 31, 1968

Reporting Category B

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Last Day of Active Duty</u>
Renn, William A.	Major	December 31, 1968

Reporting Category C

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Last Day of Federal Employment</u>
Penn, Donald R.	GS-12 (Step 7)	March 15, 1968

Reporting Category D

<u>Last Name, First, Middle Initial</u>	<u>Grade</u>	<u>Date Entered Present Employment</u>
Robin, Ronald R.	GS-14	July 1, 1969

- Note:**
1. "Reporting Category" - those categories listed in Item 4, DD Form _____
 2. Use a separate sheet for each contractor.
 3. Arrange names alphabetically within category.

(Sample Listing)

The proponent agency of this regulation is the Office of the Deputy Chief of Staff for Personnel. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications) direct to HQDA (DAPE-MPC), Washington, DC 20310.

By Order of the Secretary of the Army:

W. C. WESTMORELAND,
*General, United States Army,
Chief of Staff.*

Official:

VERNE L. BOWERS,
*Major General, United States Army,
The Adjutant General.*

Distribution:

To be distributed in accordance with DA Form 12 9 requirements for AR, Personnel General:

Active Army: D (qty rqr block No. 437).

ARNG: D (qty rqr block No. 437).

USAR: C (qty rqr block No. 436).

