



DEPARTMENT OF THE NAVY
OFFICE OF THE DIRECTOR
DEPARTMENT OF THE NAVY PROGRAM INFORMATION CENTER
WASHINGTON, DC 20350

IN REPLY REFER TO

5730
SER PIC4C/1U0002
10 May 01

MEMORANDUM FOR DISTRIBUTION

Subj: CONGRESSIONAL HEARING TRANSCRIPT REVIEW, QUESTION AND
INSERT FOR THE RECORD PREPARATION

Ref: (a) Navy Witness Guide (NAVSO 3036, Rev. Jan 95)
(b) OPNAVINST 5510.158A, Security Review Guide

Encl: (1) Insert for the Record (IFR) and Question for the
Record (QFR) Typist Guidelines
(2) Sample IFR
(3) Sample QFR response
(4) Navy Strategic Themes

1. Purpose: This memorandum provides guidance on the proper procedures to edit transcripts and respond to IFRs and QFRs from Congressional testimony. References (a) and (b) provide additional guidance.

2. Cancellation: DoNPIC memo Ser 804C3/7640238 dtd 16 Dec 1997.

3. Background: Each year the Navy provides witnesses to testify before Congress in support of our programs. Transcripts of their testimonies are often forwarded to the Navy as a courtesy to allow for correction of grammar, punctuation, inaccurate data, or errors of fact. Often, additional information is requested in the form of IFRs and QFRs. Responsibility for coordination of Navy QFR and IFR responses and transcript edits rests with the Department of the Navy Program Information Center (DoNPIC). The effectiveness of Navy testimony and Congressional support for our programs depends on the accuracy and timeliness of responses to these taskings. To facilitate the appropriate processing of these documents, DoNPIC will use the Congressional Information Management System (CIMS) to task and track all activities associated with QFR, IFR, and transcript response generation. Considering the importance of both accuracy and timeliness of our responses, it is essential to meet or beat established deadlines. Consequently, notify DoNPIC in advance, if any deadline cannot be met. Enclosures (1) through (3) provide specific procedures and formats. Enclosure (4) provides Navy's Strategic Themes for the 21ST Century and is provided to assist drafters, where appropriate, in structuring their response and conveying Navy's message to Congress.

4. Procedures:

a. General Transcript Review and Edit Guidelines.

(1) Limit editorial changes to corrections of grammar, punctuation, inaccurate data, or errors of fact. Do NOT make any transcript changes that would alter context or meaning.

(2) Print all changes legibly. Make changes with black lead pencil; do not use ink or colored pencil.

(3) Line through material to be deleted only once so that the deleted material remains legible. Pencil in the corrected testimony above the deleted material.

(4) Do not edit the testimony of members of Congress, their staffs or other witnesses. Where there is an obvious inconsistency between words of the Navy witness and Congressional personnel, minor changes may be made to the transcript with the word "recommend" prominently entered to the left of the testimony in question.

(5) Do not use abbreviations or acronyms in spoken transcripts.

(6) Any word or letter desired to be in CAPS should be indicated in the transcript with a double underline. A word underlined once tells the printer to set the word in italics.

(7) Witness review should include identifying any instances where the witness was directed or committed to providing an answer for the record. Ensure complete responses are provided via IFR format.

b. Viewgraphs and Slides. Viewgraphs, photographs and slides may be used as IFR responses. When using them remember to:

(1) Number each slide and viewgraph consecutively.

(2) Reference each slide in the transcript (e.g., Slide #1) and insert a copy behind the transcript page which refers to the slide (do not use printer's quality copies for this purpose).

(3) Photographs - use black and white prints with sharp contrast.

(4) Viewgraphs and Charts - use originals or sharp, clear, black and white prints.

(5) If an identical series of viewgraphs is used in both the full statement and a summary statement, copies of each viewgraph are required only with the summary statement.

(6) Printer's quality copies.

(a) Two printer's quality copies of slides, charts, viewgraphs, etc., are required. Because of the lead time required to prepare printer's quality slides, charts, and viewgraphs, you will need to prepare well in advance.

(b) Photocopies are acceptable in place of the two required printer's quality prints only if they are exceptionally clear and sharp with high contrast.

c. Security Review.

(1) During transcript editorial review, witnesses need to review all testimony related to their program for classified material content. This includes not only their own testimony, but also remarks by members of Congress and their staffs.

(2) Reference (b) provides detailed guidance concerning security review for Congressional information. The N09N Security review specialist is located in 5E826, phone: 695-8280, and may be contacted to answer questions.

(3) Upon completion of transcript review and editing, or approval of IFR/QFR by the witness, DoNPIC will provide a copy to N09N for security review. Upon completion of security review, DoNPIC will provide a copy of the edited transcript or IFR/QFR responses with appropriate security stamps, to the Office of Legislative Affairs (OLA) or the Assistant Secretary of the Navy (Financial Management and Comptroller) Appropriations Matters Office (FMBE) for forwarding to the Office of Secretary of Defense (OSD) and Congress.

d. Classified Content Marking.

(1) Classified information in transcripts must be bracketed in black lead pencil. Words, phrases, figures, or sentences that contain classified information must be bracketed. For example: If the information to be protected is that the CONDOR missile is TERMINALLY GUIDED, the word "TERMINALLY", and all other words or phrases that reveal this information should be bracketed. That is to say, if the subject under discussion is the CONDOR missile and on page 49 of the testimony the witness states: "Yes sir, it is "TERMINALLY GUIDED", the word "TERMINALLY" should be bracketed even though the word CONDOR was not mentioned in that particular sentence. (This passage would properly appear as: "Yes sir, it is [TERMINALLY] GUIDED.") The key is to know what information must be protected and to maintain that knowledge throughout the review. It is important to remember that words or phrases may be unclassified standing alone, but may become classified when associated with other words or phrases in the testimony or other information already in the public domain.

(2) Classified testimony should not be presented in open session; therefore, open session testimony normally should not contain bracketed text. See reference (b) for further guidance.

(3) If viewgraphs, slides or charts are classified, the classified information must be bracketed; stamped with the level of classification, source for classification, date for declassification, and any other associated markings. Bracket

only the copy of the slide that is inserted in the transcript. Do not bracket smooth printer's quality copies. Clearly show the classification and associated markings on the border, holder, or frame, and whenever possible, on the image of each transparency or slide. When transparencies or slides are reproduced as part of hard copy text material, ensure markings are included.

e. IFRs/QFRs. Procedures and guidance for development of responses for IFRs/QFRs is provided in enclosure (1). Sample IFR and QFR responses and attending formats are shown within enclosures (2) and (3).

(1) General Information:

(a) IFRs: During a hearing, when a witness volunteers (or is requested to provide) additional information for the record, an insert is required using the IFR format of enclosure (2). If a committee member requests the information during testimony, but the witness does not say anything before the next question is asked, or if the witness responds with a statement similar to "I will provide the information for the record," or the witness responds to the question and wishes to add supplemental material (tables, etc.), then just below the committee member's request or the witness' response, write "(the information follows:)" This insert should be entered and indented as a new paragraph. Do not abbreviate or change the words, and use parentheses (), not brackets []. In most cases, the transcript will indicate where "(the information follows:)" is to be placed in the transcript. Place one copy of each IFR response behind the page on which the material is inserted.

(b) QFRs: Upon completion of a hearing, committee members are afforded an opportunity to request additional information for the record, as QFRs. Answer QFRs using the format of enclosure (3). Type each question and answer on a separate page. Forward individual copies of QFRs and responses as a block at the end of the witness testimony, or at the end of the colloquy between the witness and the individual committee member, or at the end of the transcript as appropriate. QFRs for SECNAV and CNO testimony are tasked separately from the transcript and are to be forwarded as a block to DoNPIC. "Yes" and "No" answers are unacceptable. At least one complete sentence is required.

(c) When crafting a response to an IFR/QFR:

1. Answer the question. Clarity, brevity, and simplicity are essential to providing the reader a direct, concise, and meaningful answer. Write directly, with tightly written background and justification for the answer.

2. Conservation of words and plain language. There is no need to write two or three words where one word will do the job. Do not use jargon; it is often vague even to those who use

it regularly. Be succinct and to the point. A paragraph for most answers should be sufficient.

3. Use hard facts and data to backup answers. Adverbs and adjectives do not constitute an argument or substitute for quantitative fact and analysis. A picture is worth a thousand words, if a data graphic assists in supporting the answer than use it.

4. Should IFR/QFR responses contain classified information, indicate the proper classification with headers/footers and provide the appropriate classification control and declassification information. Do not mark individual paragraphs with paragraph markings. Classified information in the IFR/QFR response will be bracketed at start and end. Additionally, a copy of the IFR/QFR response inserted in the transcript itself must be bracketed. Do not bracket the original or the other copies of the insert.

5. The "as of" date for all responses is the date of the hearing. Ensure that answers do not reflect actions completed after the actual meeting date of the hearing.

6. Do not credit answers to someone who was not present for the hearing and therefore not on the list of witnesses published in the record.

7. Do not refer to a particular page since page numbers often change during the assembly of the hearing record.

8. Do not refer to other IFR/QFR responses as an answer to a question. Each response should stand by itself.

9. Avoid the use of abbreviations or acronyms. If an abbreviation or acronym must be used, spell it out in full the first time it is used in each response, with the abbreviation or acronym following in parentheses. If an abbreviation or acronym is only used once in the response, do not provide the abbreviation or acronym; simply spell it out in full. Dates shall be indicated in proper publication correspondence format. For example: FY01 should be written as fiscal year 2001, \$52M should be written as \$52 million, and 15 Mar 01 should be written as March 15, 2001. Strict adherence to these guidelines is required.

10. If an IFR/QFR response is required but the information is not available at the time the transcript is returned to DoNPIC, insert the statement, "The information will be provided by (date)."

(2) DoNPIC will task and coordinate response developments for all QFRs and IFRs. Responsibility for each question will be assigned as a CIMS task or in the left margin of the QFR document. Each QFR/IFR will be numbered and the number of each question, as well as which Flag Officer/SES has approved the

final draft of the IFR/QFR response, must be identified at the top of the page as depicted in enclosures (2) and (3).

(a) Mark IFRs in the top right corner of the page with the transcript page number and line number as illustrated in enclosure (2).

(b) DoNPIC will task each QFR with a QFR number. Place this number in the top right corner of the page as illustrated in enclosure (3).

(3) For QFRs, the entire question, including lead in paragraphs, must be included as a part of the response. For example, when a committee member prefaces a question with four paragraphs of rhetoric, all four paragraphs must be included.

(4) Upon final review and approval of IFR/QFR responses by the witness, DoNPIC will coordinate a security review with N09N, then forward to OLA/FMBE.

(5) DoNPIC provides both a security stamped copy and an electronic copy of the IFR/QFR responses to OLA/FMBE

f. SECNAV/UNSECNAV and CNO/VCNO IFR/QFR Guidelines.

(1) Because hearings involving the Secretary, Under Secretary, CNO, and VCNO cover a broad range of Navy programs, procedures for handling their IFR/QFR responses differ slightly from those for other hearings. Transcripts and associated IFRs will be tasked and processed separately from QFRs. Formats remain the same as prescribed above and as outlined in enclosures (2) and (3).

(2) The Office of Program Appraisal (OPA) is responsible for editing testimony transcripts for the Secretary and Under Secretary. DoNPIC is responsible for editing testimony transcripts for the CNO and VCNO.

(3) When further technical expertise is required, DoNPIC will task those offices with subject matter expertise to review and edit certain portions of the testimony. Those pages will be clearly identified, as well as any required IFRs.

(4) DoNPIC will task and coordinate response development for all SECNAV, UNSECNAV, CNO, and VCNO QFRs/IFRs. Responsibility for each question is assigned in the left margin and each QFR/IFR will be numbered. The number of each question must be identified at the top of the page as illustrated in enclosures (2) and (3).

(5) Where a QFR/IFR is addressed to both the CNO and SECNAV, DoNPIC shall coordinate the generation of a response, review, and approval up through CNO. The CNO approved response will then be passed to OPA for approval by SECNAV.

g. Final Package Submission. When final response package(s) are ready for submission, send the final post-hearing package to DoNPIC with the following:

(1) One edited (and bracketed if classified) transcript with IFR responses inserted (corrections printed legibly in pencil).

(2) One copy of IFR/QFR responses (unbracketed). If classified, bracket classified information on an additional copy. Include level of classification, "derived from" and "declassify on" remarks.

(3) Two originals (printer's quality) of each viewgraph table and picture.

(4) Electronic copy of the IFR/QFR responses, in Microsoft Office format.

5. If questions arise on any procedure relating to a Congressional response, contact DoNPIC, Program and Congressional Information Branch, Room 4D715 / 703-695-0916.



M. A. PEEK
By direction

Distribution:

A3 CNO (N00N, N1, N2, N3/N5, N4, N6, N7, N74, N75, N76, N77, N78, N79, N8, N80, N81, N82, N83, N89, N091, N093, N095, N096, N097, N09B, N09C, N09J, N09L)

Copy to:

A1 Office of the Secretary (ASN (FM&C) (FMB), ASN (RD&A), ASN (I&E), ASN (M&RA))

A2A Department of the Navy Staff Offices (OLA (LA-5, LA-6), OPA)

FKA1A COMNAVAIRSYSCOM (NAVAIR-07D)
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FKA1F COMNAVSUPSYSCOM (NAVSUP-09L)
FH1 BUMED (MED-83)
FS2 NCIS (Code CS)
41A COMSC (Code N92A)

Insert and Question For the Record (IFR/QFR) Responses
Typing Guidance

- Use Courier font, 12-pitch type for consistency.
- Following information must be provided with each IFR/QFR response in the top right corner:

IFR Response

- 1) Hearing/Date, (e.g. SAC (D), 9 Apr 01, FY02 Budget Overview)
- 2) Line No., Page No.
- 3) Approving Flag officer/SES
- 4) Double space and indent one-half inch before beginning (The information follows:)
- 5) Header does not need to be centered and no lines should appear across top of page

SAC (D), 9 Apr 01
FY02 Budget
P 35 L 208
Approved by:
N41-RDML Bird

(The information follows:)
The recurring flyaway cost
for an 11 aircraft buy ...

QFR Response

- 1) Name of person asking question (e.g. SEN Domenici)
- 2) Name of person responding (e.g. CNO- ADM Clark)
- 3) Hearing/Date (e.g. SAC (D), 9 APR 01, FY02 Budget Overview)
- 4) Question number (e.g. Q. 1)
- 5) Approving Flag officer/SES
- 6) Double space, type subject, if applicable, and lead-in paragraph (in its entirety) if applicable

SEN Domenici
CNO- ADM Clark
SAC (D), 9 APR 01
FY 02 Budget
Q. 1
Approved by:
N41-RAML Bird

BUDGET ISSUES

Type lead-in paragraph if
applicable.

Question and Answer should be indented one-half inch and typed in upper and lower case followed by a period and two (2) spaces.

Single space between Question and Answer and double space after Answer and before next Question as shown in sample.

If there is more than one question (i.e. sub questions) after a subject header, more than one question/answer can be continued on a page.

BUDGET ISSUES

Question. _____?
Answer. _____.

Question. _____?
Answer. _____.

Question. _____?
Answer. _____.

Any classification information must always be placed at the bottom of the page. This allows the classified material to be "CUT OUT" of the original. Use black lead pencil to bracket the classified information on one copy, not the original. Please provide, under separate cover, a copy of the classified bracketed page.

Classified by:
Declassify on:

Sample Insert for the Record (IFR) Response

SAC (D), 9 APR 01
FY 02 Navy Budget
P44 L14
Approved by:
N78-RADM McCabe

(The information follows:)

The recurring flyaway cost for an 11 aircraft buy in Fiscal Year 2002 is \$23.4 million; the recurring flyaway cost for a 12 aircraft buy would be \$23.1 million. Therefore, AV-8B remanufacture unit cost will increase by \$0.3 million with an 11 aircraft buy.

Enclosure (2)

Sample Question For The Record (QFR) Response

SEN Domenici
CNO-ADM Clark
SAC (D), 9 APR 01
FY02 Navy Budget
Q. 1
Approved by:
N78-RADM McCabe

Resources to Perform the Mission

At the February 25, 2000 Air Warfare Symposium, General Anthony Zinni, then Commander of U.S. Central Command, stated that, "We don't have the resources to meet the strategy. It's plain and simple. I don't know how to put it anyway else. We don't have enough people, we don't have enough force structure, and we don't have the right kinds of things we need to meet this strategy." Furthermore, on August 24, 2000, Vice Admiral Nathman, Commander of Naval [Air] Forces in the Pacific stated, "the fact is that we have reached such a low level of funding it will soon be impossible to meet expectations of this nation in executing our operational tasks and completing the mission."

Question. Do you agree with the statements of General Zinni and Admiral Nathman and, if so, what additional resources do you believe are necessary to fully support your assigned missions under the National Military Strategy?

Answer. Yes, I agree. Shipbuilding and aircraft procurement rates have been too low in recent years to sustain the fleet size called for in the Quadrennial Defense Review (QDR) 1997 with modern ships and aircraft. Navy needs to build 9 ships and 180-200 aircraft per year to maintain the current force structure. Current build rates are 6.5 ships and 150 aircraft per year. With lowered procurement and fixed fleet size, older units must be retained longer in order to maintain inventory levels specified in the QDR. The impact of older units on near-term readiness is threefold: a rising fleet age over the next 5-10 years, older units provide less unit capability, and they are also more difficult and costly to maintain. As a result, Navy readiness declines. Eventually units reach their end of service life, which will result in a steady decrease in the number of operational ships and aircraft.

NOTE: If there were more than one question under the same subject, double space, list the next question, and provide the answer.

Enclosure (3)

Strategic Themes: America's Investment in the 21st Century Navy

Frame the answer, where appropriate, by stating how it ties to one (or more) of the four investment issues below and why your recommended action is important to maximize the full return on the nation's long-term investment in the Navy.

For example, if additional funding is required, tell why the investment is important, framed in the broader context of the return the nation receives from its investment in the Navy as outlined below.

You should focus on your program or issue (it is the subject of the QFR/IFR), but the response is more powerful when you show the reader the bigger picture (i.e., why the nation invests in a Navy) rather than just one "pixel" of the picture and expect the reader to put all of the pixels together for himself.

Introduction

- Four investment issues:
 - First, the value of our nation's investment...to command the seas;
 - Second, the benefits that stem from that investment...in maintaining U.S. sovereign power, overseas;
 - Third, the access provided by this U.S. military power deployed forward;
 - Fourth, the additional return from this investment in helping enable transformation of the Joint Forces.

#1: Power and Influence from Command of the Seas

- *The nation's investment in a Navy to ensure the freedom of the seas in peacetime yields a tremendous return by guaranteeing the free flow of maritime trade required for our continued economic prosperity.*
- Historic and continuing mission -- America is a maritime nation:
 - Nation's prosperity directly tied to global economic stability
 - Freedom of the seas critical to sustaining maritime trade -- the "engine" of the global economy
 - A "given" to some -- stems directly from our forward-deployed Navy

#2: Sustaining Sovereign Power Overseas (Forward Naval Presence)

- *There are additional returns on that investment to command the seas that stem from the value of sustaining sovereign combat power overseas in regions of U.S. interest: our forces provide the capability for timely crisis response -- which provides the power to shape.*
- The same force that maintains freedom of the seas provides additional investment benefits:
 - Timely crisis response:
 - Sovereign (independence from host nation support means freedom of action)
 - "Scalable" for full range of contingencies
 - Immediately employable (not just deployable)
 - Interoperable or independent combat force
 - Operating where we will fight builds knowledge base
 - Institutional sustainability
 - Sustain with active forces
 - Self-contained naval logistics for freedom of action
 - Builds a "knowledge base" for future operations
 - Understanding of potential adversary operating patterns supports "change management"
 - Familiarity with environment -- ready to fight and win
 - Denies littorals as sanctuary for adversary
 - Counter homeland defense threat forward -- we "pick the playing field"
- Credibility of potential response provides power to shape
 - Promotion of a framework of security and stability to reassure allies, deter potential adversaries

#3: Assured Access, the 21st Century Challenge for the Joint Forces

- *The third return on the nation's investment is evident if crisis becomes war. The naval forces that have sustained sovereign power forward take on a new role -- assuring access for the Joint force as they flow forward to the conflict.*
- We must maintain the access for our own forces, so they can assure access for the Joint force:
 - Navy is the "critical enabler" for Joint forces -- creating the conditions that "ease entry"
- Key competencies: Sea Control and Power Projection
 - Sea Control to maintain free passage required for resupply of forces

- Projection of offensive and -- soon -- defensive power ashore
 - Offense:
 - Deep land attack from carrier air wing, TLAM-firing SSN/surface combatants
 - "Artillery from the sea" from platforms such as DD 21.
 - Defense:
 - TBMD to protect key ports, airfields and amphibious lodgments

#4: Enabling the Transformation of the Joint Force to Fight and Win

- *The fourth return on our nation's investment to command the seas is the way that the capabilities of our forward deployed forces are enabling the transformation of the Joint force. Navy capabilities to project both offense and defense ashore support Service (USA/USAF) transformation effort to become lighter, more expeditionary forces -- combat power that comes forward faster and transitions more quickly to offensive operations.*
- Navy's ability to assure access for the Joint force will enable Service transformation
 - Navy TBMD -- projecting defense ashore to provide a protective "umbrella" for the Aerospace Expeditionary Force (AEF) and the Brigade Combat Team - is critical to the success of Air Force and Army transformation efforts,
 - Platforms like DD 21 and -- possibly -- SSGN will become their "artillery from the sea".
 - Improved platforms like LPD 17 will support continuing USMC evolution in Expeditionary Maneuver Warfare
- USN Transformation = changes in force posture -- not just force structure.
 - Evolution from platform-centric to network-centric operations...with an emphasis on effects-based warfare.
 - Distributing stealth and strike capability
 - Open systems architectures to allow easier incorporation of technological advances

Summary: Key Contributions of the Navy of the Future

- Mastery of the seas
- Sustaining a combat credible presence in regions of interest - there to respond - power to shape
- Ready to assure access for the Joint force, and then fight as a part of the Joint team
- Enabling transformation of the Services to lighter, more expeditionary force