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Information Management: Records Management

RECORDS MANAGEMENT SELF-EVALUATION GUIDE

Summary. This pamphlet establishes procedures for conducting self-evaluations of the records management programs. Internal evaluation checklists are provided. It allows commanders to assess their programs periodically and comply with established internal controls and evaluation taskings from HQ TRADOC. Using this guide will assist organizations in making a preliminary assessment of the status of their records management programs, identifying major problems, and setting priorities for program improvements.

Applicability. This pamphlet applies to HQ TRADOC, TRADOC installations, activities, and organizations within the command jurisdiction of TRADOC.

Suggested improvements. The proponent for this pamphlet is the Deputy Chief of Staff for Information Management (DCSIM). Users should send comments and suggested improvements by electronic mail, in DA Form 2028 format (Recommended Changes to Publications and Blank Forms), through channels to Commander, TRADOC, ATTN: ATIM-I, Fort Monroe, VA 23651-5000. Suggested improvements may also be submitted using DA Form 1045 (Army Ideas for Excellence program (AIEP) Proposal). Electronic mail address: atimi@emh10.monroe.army.mil.

Internal controls. Some records management programs are subject to internal management controls established by AR 11-2. See Department of the Army Management Control Plan. Checklists in this pamphlet may be used for conducting internal control reviews.

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Chapter 1
Introduction

1-1. Purpose. This pamphlet provides guidance and checklists for evaluating records management programs. Objectives are to—

- a. Offer an alternative to the traditional on-site records management program evaluations conducted by the HQ TRADOC staff.
- b. Provide the TRADOC installation level Director of Information Management (DOIM), Information Systems

Officer (ISO), records managers, or disinterested officials, a comprehensive guide for conducting records management program evaluations.

- c. Provide procedures to support periodic records management review taskings, normally conducted every 3 years, from HQ TRADOC, to conduct evaluation of records management program with documentation and corrective actions required where weaknesses are found.

1-2. References. See appendix A for required and related publications.

1-3. Explanation of abbreviations and terms.

- a. Army approved terms, abbreviations, brevity codes, and acronyms are not republished or redefined in this pamphlet. See AR 310-25 and AR 310-50.
- b. Other terms are defined in the body of the pamphlet as they are used.
- c. The term “records manager” is used to identify the individual responsible for records management functions at a headquarters, installation, activity, or office. The term includes the commonly used title of records management coordinator.

1-4. Applicable programs.

- a. Recordkeeping systems (AR 25-400-2). The Army recordkeeping systems are required to organize Army files on all media, make records readily available to decision makers, ensure records are complete, ensure selection and retention of permanent records, and to properly and promptly dispose of non-current records.

(1) The Modern Army Recordkeeping System (MARKS). MARKS provides procedures for systematic identification, maintenance, and disposal of Army information and provides the legal authority for destruction of non-permanent information.

(2) Electronic recordkeeping systems. Provides for life cycle management of information in automated information systems.

(3) Manual recordkeeping systems. Provides for life cycle management of information in manual information systems which includes paper, images, audio, and visual information records.

- b. Correspondence program (AR 25-50). Provides policies, procedures, and standard formats for preparing and processing correspondence.
- c. Rulemaking program (AR 310-4). Provides the legal requirement to publish, in the Federal Register, regulations or other notices which have substantial and continuing impact on the public.
- d. Freedom of Information Act program (AR 25-55). Requires record keeping activities to be conducted in an open manner. Ensures release of nonexempt information to the general public and provides for exempt information to be withheld.
- e. Privacy Act program (AR 340-21). Protects an individual from unwarranted invasion of privacy.
- f. Management information control program (AR 335-15). Provides policies, procedures, and standards for information management (reports) control requirements.
- g. Vital records program (AR 340-26). Provides for the selection and protection of vital records.

(1) Emergency operating records. Records required for emergency preparedness programs.

(2) Rights and interest records. Records essential to the preservation of legal rights and interests of individuals. Included are retirement, personnel, finance and accounting, and valuable research records.

h. Terminology standardization program (ARs 310-25 and 310-50). Provides policies and procedures for standard usage of terms, abbreviations, acronyms, and brevity codes in Army writings.

i. Official mail and distribution management program (AR 25-51). Provides policies and procedures for addressing, handling, and transmitting mail and for the management of internal correspondence distribution operations.

j. Special records. Management of records of defunct Army commands and oversight records administration of joint commands, if required.

Chapter 2 Principles and Concepts

2-1. Overview.

a. An alternate method of conducting the command-wide on-site records management program evaluations has been developed. This self-evaluation guide provides the Installation Director of Information Management (DOIM), or an appropriately appointed disinterested official, a comprehensive guide based on the “GO-NO GO” principle of evaluation. A “NO” reply to a question that is applicable to the activity being evaluated indicates a weakness in the program. Weaknesses require documentation followed by a time line for corrective action. Periodically, normally every 3 years, HQ TRADOC will direct a self-evaluation of select records management programs. Guidance in the tasking directive will be followed for conducting the evaluation, reply, and follow-up action, if any. When corrective action is completed, it will become the MACOM evaluation record.

b. Although this guide is comprehensive, it provides a framework for general evaluation of a records management subprogram. When used for official evaluations, a random sampling of portions of the program checklists will be designated for mandatory review. Organizations that wish to conduct a more in-depth review may add more specific questions based on local directives or other records management publications. Organizations may also modify or add questions to accommodate specialized practices. No guide developed for TRADOC-wide use can replace audit or evaluation activities tailored to the unique operations of each organization.

c. This guide is divided into three broad chapters pertaining to introduction, principles and concept, and evaluations. Organizations may use the entire guide to conduct a comprehensive records management program review or select specific programs. The guide consists of a series of questions to be answered either “yes” or “no.” A “yes” answer indicates compliance with records management programs regulations and recommended practices.

d. An effective records management program requires a clear definition of program objectives, responsibilities, and authorities; sufficient resources to administer the program; continuing training for staff; and regular internal evaluations to monitor compliance and program effectiveness. The benefits derived from such a program include economy and improved efficiency through ready access to complete and accurate information, avoidance of unnecessary costs for records storage, protection of rights, and assurance of continuity of operations.

2-2. Methodologies.

a. Integration. The different program elements must be analyzed in a total system approach to improve overall information flow and paperwork management. Too often elements are considered separate entities. For example, before microfilming files, analysis should be made of manual files use, location, and disposition. Office automation cannot be effective until forms, reports, and correspondence source documents are identified and standardized.

b. Methodology. The methodology is simply reviewing—

- (1) Goals—have goals and objectives been set?
- (2) Responsibilities—are people assigned specific jobs?
- (3) Policy and procedure—is there written guidance of any kind?
- (4) Staffing—are there enough people to do the job and are they organized effectively?
- (5) Analysis—does analysis occur and, if so, how does it get done?
- (6) Training—are people trained to do their jobs properly?
- (7) Program awareness and education—is there a clear understanding of the programs and what functions are required? Do managers and users understand how to ensure compliance with statutory and regulatory program requirements?
- (8) Evaluation or assessment—is there recurring periodic evaluation of the programs? Are improvements made as a result?

c. Operation. The evaluation should be conducted using the following methods:

- (1) Collection and analysis of formal documentation.
- (2) A time/work sampling of work being done by individuals involved in records management services in order to identify trends and to cross-check with other methods.
- (3) Interviews with different groups of personnel (or questionnaires).
- (4) Systematically flowchart the program transactions.

Chapter 3 Evaluations

3-1. Overview. It is important to periodically determine the effectiveness of records management programs. Evaluation is a program management function, which when performed, will provide the opportunity to observe the performance of the program functions in subordinate elements. This is extremely important for the statutory programs. Comparison of the current situation to a set of standards or expectations will lead to beneficial revisions of current operations, standards, and policy.

3-2. Planning.

- a. Develop and publish evaluation plan annually.
- b. Establish frequency at least every 3 years.
- c. Develop budget if travel is required.
- d. Send notification memorandums 30 days prior to visit.

3-3. Preparation.

- a. Gather required material. Collect available organization background information to assure a thorough understanding of the organization's mission, its objectives, and the way it operates. Request target unit/organization provide a point of contact and develop a proposed tentative itinerary.
- b. Review report of last evaluation.
- c. Review internal control checklists.
- d. Make travel arrangements, if required.

3-4. Conduct.

- a. Prepare and conduct entrance briefing. Normally this briefing should be conducted at the Installation or Post Commander level, whichever has responsibility for the records management program on that specific installation, in that activity, place or office.
- b. Review the checklist provided below (supplemented, if required by the locally generated checklist or series of questions to be answered).
- c. Identify problems encountered during the review and/or identify commendable aspects of the program's administration and/or people involved with the program.
- d. Identify recommended corrective actions to be taken on observations.
- e. Prepare and conduct exit briefing.

3-5. Reports. Report format to be determined locally. As a minimum, the program title and program directive, observations (findings), and recommendations for improvement are suggested.

- a. Prepare findings from completed checklist.
- b. Prepare cover memorandum. Assign suspense date for required actions.
- c. Follow-up after 30 days.

Appendix A References

Section I

Required Publications

Joint Publication 1-02

DOD Dictionary of Military and Associated Terms

AR 25-1

The Army Information Resource Management Program

AR 25-50

Preparing and Managing Correspondence

AR 25-51

Official Mail and Distribution Management

AR 25-55

The Department of the Army Freedom of Information Act Program

AR 25-400-2

The Modern Army Recordkeeping System (MARKS)

AR 310-4

Publication in the Federal Register of Rules Affecting the Public

AR 310-25

Dictionary of United States Army Terms

AR 310-50

Authorized Abbreviations, Brevity Codes, and Acronyms

AR 335-15

Management Information Control System

AR 340-21

The Army Privacy Program

AR 340-26

Duplicate Emergency Files Program

DA Pamphlet 25-51

The Army Privacy Program-System Notices and Exemption Rules

Section II

Related Department of Defense (DOD) publications

DOD 4525.6-M (Vols I II)

DOD Postal Manual

DOD 4525.8-M

DOD Official Mail Manual

DODD 5015.2

Records Management Program

DODD 5025.12

Standardization of Military and Associated Terminology

DODD 5040.2

Visual Information (VI)

DODD 5330.2

Specification for DOD Letterhead

DODD 5400.7 and 5400.7-R

DOD Freedom of Information Act Program

DODD 5400.9

Publication of Proposed and Adopted Regulations Affecting the Public

DODD 5400.11 and 5400.11-R

DOD Privacy Program

DODD 7740.1

DOD Information Resources Management (IRM) Program

DODD 7740.3

Information Resources Management (IRM) Review Program

DODD 8000.1

Defense Information Management (IM) Program

DODD 8910.1

Management and Control of Information Requirements

DOD 8910.1-L

Listing of Approved Recurring Information Requirements

DOD 8910.1-M

DOD Procedures for Management of Information Requirements

Section III

Referenced Forms

DA Form 335-R

Application for Approval of Management Information Requirements

DA Form 1045

Army Ideas for Excellence program (AIEP) Proposal

DA Form 2028

Recommended Changes to Publications and Blank Forms

DA Form 4948-R

Freedom of Information Act (FOIA)/Operations Security (OPSEC) Desk Top Guide

DA Label 87

For Official Use Only Cover Sheet

DD Form 67

Form Processing Action Request

DD Form 2086-R

Record of Freedom of Information (FOI) Processing Cost

DD Form 2086-1-R

Record of Freedom of Information (FOI) Processing Costs for Technical Data

SF 83

Request for OMB Review

SF 83A

Instructions for Completion of SF 83

Appendix B Recordkeeping Systems

TASK: Records management

SUBTASK: The Modern Army Recordkeeping System (MARKS), AR 25-400-2

RISK: If the statutory requirements of the Federal Records Act as implemented in the prescribed policies, procedures, and responsibilities of the MARKS are not followed, valuable information contained in both manual and automated systems could be lost or destroyed.

OBJECTIVE: To ensure compliance with prescribed policies and procedures for the systematic identification, maintenance, retirement, and destruction of Army information in records.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program authorization and organization.

1. Has the installation/headquarters/office formally designated a records manager with responsibility for carrying out a records management program? (YES___NO___)
2. Does directive(s) define the role and responsibilities of the records manager and the scope of the records management program and provide authority to the records manager to conduct an effective program? (YES___NO___)
3. Does the records manager provide program direction to a network of subordinate records managers at subordinate organizations? (YES___NO___)
4. Are records management responsibilities included in the position descriptions for records managers? (YES___NO___)
5. Does the records manager routinely communicate with all subordinate records managers? (YES___NO___)
6. Are all employees informed of the identity and role of the records manager serving their office? (YES___NO___)
7. Does the records manager participate in planning for new electronic information systems and in major modifications to existing systems to ensure incorporation of recordkeeping requirements and records disposition procedures? (YES___NO___)
8. Is the records manager involved in the development of micrographic applications and document imaging systems? (YES___NO___)

Section II - Guidance and training.

9. Has the records manager received training in Federal records management regulations, policies, and procedures? (YES___NO___)
10. Do records managers, secretaries, file clerks, and others with regular records duties receive training in records maintenance and filing procedures and records disposition? (YES___NO___)
11. Are users properly trained in the operation, care, and handling of records? (YES___NO___)
12. Does the records manager send to all subordinate records managers records management guidance from DOD, Army, and MACOM? (YES___NO___)
13. Are managers and supervisors trained as to their roles and responsibilities for the management of records? (YES___NO___)

Section III - Internal evaluations.

14. Does the records manager periodically evaluate records management practices? (YES___NO___)
15. Do these evaluations include automated information systems? (YES___NO___)
16. Are written evaluation reports prepared? (YES___NO___)
17. Are evaluated offices required to respond to the evaluation reports promptly? (YES___NO___)
18. Does the records manager follow up to determine if offices implement necessary corrective action(s) or recommendation(s) for improvements? (YES___NO___)

Section IV - Records creation/recordkeeping requirements.

Ensuring adequacy of documentation in any information system depends on the clear articulation of recordkeeping requirements. Recordkeeping requirements specify the creation and maintenance of specific records to document operations and activities; facilitate action by organization officials and their successors; permit continuity and consistency in administration; protect the rights of the Government and those affected by its actions; and document important meetings and the formulation and implementation of basic policy and decisions.

A. Creation of records/adequacy of documentation.

19. Is there evidence that employees understand the definition of records and nonrecord materials, including those created using office automation, and the ways in which they must be managed? (YES___NO___)
20. Does each office have written Army guidance on what records, including electronic records, are to be created and maintained? (YES___NO___)

21. Is guidance and instructions issued for documenting policies and decisions, especially those arrived at orally? (YES__NO__)

22. Does the organization comply with Army guidance on the record status of working papers/files and drafts? (YES__NO__)

23. Does the organization issue guidance on personal papers? (YES__NO__)

24. Are lists of selected files created as a finding aid to facilitate access to individual files or record items, when appropriate? (YES__NO__)

B. Contractor records.

25. Do contracts identify which contractor-created records are Federal records? (YES__NO__)

26. Particularly when electronic records are involved, do contracts specify the delivery of background data that may have further value to the organization in addition to the final records? (YES__NO__)

27. Do contracts involving development of electronic systems specify the delivery of systems documentation along with the final product? (YES__NO__)

28. Are deferred ordering and delivery of data clauses included in contracts when it is impractical to identify in advance all electronic data that should be delivered to the Government? (YES__NO__)

29. Are contractors provided the regulations and procedures governing Federal records? (YES__NO__)

30. Are procedures in place to ensure return of all hardware, software, data files, documentation, and storage media from contractors upon termination of a contract? (YES__NO__)

Section V - Records Maintenance (General).

Proper management of records ensures that complete records are maintained; records can be located when needed; records, nonrecord materials, and personal papers are maintained separately; and the identification and retention of permanent records are facilitated. Proper records maintenance also contributes to economy of operations by facilitating records disposition. This section covers general records maintenance policies and practices, regardless of media, and several aspects of records maintenance that apply to paper-based records. The next section specifies additional requirements for special records, i.e., records other than traditional paper text.

A. General.

31. Are the Army's and organization's regulations and procedures for classifying, indexing, filing, storing, and retrieving records available to all employees? (YES__NO__)

32. Is access to all records, regardless of media, limited to authorized personnel? (YES__NO__)

33. Are cutoffs clearly defined and implemented for each records series? (YES__NO__)

B. Paper records.

34. Has each office designated official file locations (file stations)? (YES__NO__)

35. Is the Army file plan (AR 25-400-2) maintained at each file station? (YES__NO__)

36. Does each office have procedures for filing, charging out, and refiling its records? (YES__NO__)

37. Are file drawers and folders labeled correctly? (YES__NO__)

SECTION VI - Maintenance of multimedia records.

Multimedia records are those in formats other than traditional paper text files, i.e., electronic, audiovisual, micrographic, cartographic, and architectural records. The physical properties of the materials used to create microfilm and multimedia records require additional standards for their maintenance.

A. Electronic records. The following questions apply to all electronic information systems that contain Federal records, regardless of media or application:

38. Are records in organization electronic information systems readily identifiable? (YES__NO__)

39. Do electronic recordkeeping systems that maintain the official copy of text documents on electronic media provide indexing or text search capabilities? (YES__NO__)

40. Do electronic recordkeeping systems require user identification codes or passwords to control access and ensure integrity of the documents? (YES__NO__)

41. Are electronic records regularly backed-up to safeguard against loss of information due to equipment malfunction or human error? (YES__NO__)

42. Are diskettes avoided as the media for the exclusive long-term storage of permanent or unscheduled records? (YES__NO__)

43. Do electronic recordkeeping systems provide a standard interchange format, when necessary, to permit the exchange of electronic documents between organizational components using different software/operating systems and the conversion or migration of documents from one system to another? (YES__NO__)

44. Does the organization maintain complete and up-to-date technical documentation for each electronic information system that contains Federal records? (YES__NO__)

45. Does the organization safeguard and maintain all software and hardware required to read electronic records throughout their life? (YES__NO__)

46. Are procedural controls in place for all electronic recordkeeping systems (magnetic and imaging) to protect the integrity of the Federal records and their legal admissibility under the rules of evidence? (YES__NO__)

B. Magnetic media. In addition to applying the questions under A above, Electronic Records, the following questions should be applied to ensure the proper maintenance of records on magnetic media:

47. Has the organization implemented a standard procedure for external labeling of the contents of diskettes, disks, magnetic tape reels or cartridges? (YES__NO__)

48. Are tapes used for permanent and unscheduled records tested within 6 months prior to use to verify that they are free of permanent errors? (YES__NO__)

49. Are tapes used for permanent and unscheduled records rewound under controlled tension every 3 years? (YES__NO__)

50. Is an annual statistical sample of tapes used for permanent and unscheduled records read to identify any loss of data and to discover and correct the causes of data loss? (YES__NO__)

51. Are tapes used for permanent and unscheduled records copied before they are 10 years old onto tested and verified new tapes? (YES__NO__)

52. Are magnetic media containing permanent or unscheduled records stored under recommended temperature and humidity conditions (between 62 and 68 degrees Fahrenheit and constant relative humidity between 35 and 45 percent), and is the media protected from potential exposure to magnetic fields? (YES__NO__)

C. Office automation applications. In addition to applying the questions of A above, Electronic Records, special consideration should be given to electronic records created using personal computers (electronic mail, word processing documents, databases, and spreadsheets).

53. Have all employees using personal computers received training and guidance in determining record status of documents that they create with office automation applications? (YES__NO__)

54. Has the organization implemented procedures for maintaining Federal records created using personal computers in an official file (hard copy or electronic recordkeeping system)? (YES__NO__)

55. Are all organization staff who use computers trained in procedures to avoid the unintentional loss of records, including techniques for backing up files and for handling diskettes? (YES__NO__)

D. Optical Imaging Systems. In addition to applying the questions of A above, Electronic Records, the following questions should be used in evaluating compliance with recordkeeping requirements for optical imaging systems:

56. Do CD-ROM disks used to store permanent records meet NARA transfer requirements? (YES__NO__)

57. Do optical imaging systems conform to NARA policy requiring the disposition of original records when converting to an optical digital data disk storage system? (YES__NO__)

E. Audiovisual Records.

58. Are original and use copies of audiovisual records maintained separately? (YES__NO__)

59. Are finding aids such as indexes, captions, lists of captions, data sheets, shot lists, continuities, review sheets, and catalogs (published or unpublished) maintained for all audiovisual records? (YES__NO__)

60. Are cross-references to closely related textual records maintained with audiovisual records? (YES__NO__)

61. Has the organization instituted procedures to ensure that information on permanent or unscheduled magnetic sound or video media is not erased or overwritten? (YES__NO__)

62. Does the organization retain original photographic images created electronically (digital photography)? (YES__NO__)

63. Does the organization maintain originals of permanent or unscheduled photographs scanned into computer programs? (YES__NO__)

64. Does the organization store permanent audiovisual records, particularly color films and photographs, in environmentally controlled space (72 degrees Fahrenheit or less and the relative humidity between 30 and 40 percent)? (YES__NO__)

F. Cartographic and Architectural Records.

65. Are maps and drawings stored flat in shallow-drawer map cases rather than folded or rolled? (YES__NO__)

66. Are permanent maps and drawings stored in acid-free folders? (YES__NO__)

67. Are large, heavy atlases and other bound volumes of maps or drawings stored flat, preferably on roller shelves to facilitate moving them without damage? (YES__NO__)

68. Do adequate finding aids such as indexes exist for cartographic and architectural records? (YES__NO__)

69. Are cross-references to closely related textual records maintained with cartographic and architectural records? (YES__NO__)

G. Micrographic Records.

- 70. Are records on microform arranged and indexed to permit ready retrieval of individual documents? (YES__NO__)
- 71. Do microforms contain a title header or initial target page that identifies the records? (YES__NO__)
- 72. Are boxes containing microforms individually labeled with the records series title and date span of the records, and are they sequentially numbered? (YES__NO__)
- 73. Are permanent and temporary records filmed separately? (YES__NO__)
- 74. Are silver gelatin and nonsilver microforms filed separately? (YES__NO__)
- 75. Are silver gelatin master microforms of permanent and unscheduled records inspected every 2 years while these records are in storage? (YES__NO__)

Section VII - Records Disposition.

Records disposition is a critical element of records management. The records disposition program enables organizations to dispose of records that are no longer needed so only those active records needed for current business are maintained in costly office space.

Under records schedule provisions, organizations may destroy records or transfer them to records holding areas or records centers. The records disposition program contributes to economical and efficient organization operations.

Clearly written, up-to-date, and properly implemented comprehensive records schedules form the basis for a sound records disposition program.

NARA issues General Records Schedules (GRS) for temporary records common to most organizations.

The GRS include records relating to civilian personnel, fiscal accounting, procurement, communications, printing, and other common functions and certain nontextual records.

Because these schedules provide disposition authority, organizations do not have to schedule those records individually, unless a deviation from the GRS disposition standard is needed.

Organizations may request authority to apply a disposition standard different from the GRS by submitting an SF 115, Request for Records Disposition Authority, along with a justification for the deviation. However, organizations must schedule all other Federal records they create or receive.

Records schedules for Federal records must be approved by NARA before implementation, and once approved, they are mandatory. Organizations must also request NARA approval for transferring records to any other Federal organization or donating them to an individual or non-Federal institution.

Permanent electronic, audiovisual, cartographic, and architectural records should be scheduled for transfer to

the National Archives as soon as possible because of their fragility and special preservation needs.

A. Records disposition schedule development.

- 76. Do proposed records schedules contain a clear and complete description of records series that reflects the content and arrangement of the files? (YES__NO__)
- 77. Do proposed schedules contain a clear and concise description of electronic recordkeeping systems that reflects the purpose, content, sources of information, and outputs? (YES__NO__)
- 78. When the same information is in both electronic and paper formats, other than records covered by the General Records Schedules, are both formats separately scheduled? (YES__NO__)
- 79. Do proposed disposition instructions include provisions for cutoff (file break), instructions for retiring appropriate hard copy records to records storage facilities, transfer of all records proposed for permanent retention to the National Archives, and specific retention periods before final disposition of all records? (YES__NO__)
- 80. Do program officials review proposed records schedules relating to their office or function? (YES__NO__)
- 81. Are proposed schedules for records with legal rights implications reviewed by the Staff Judge Advocate? (YES__NO__)
- 82. Are records disposition reviews periodically conducted to identify new records series and information systems that should be scheduled and changes in recordkeeping practices that require records schedule revision? (YES__NO__)

B. Records disposition schedule implementation.

- 83. Does the records manager monitor implementation of the records schedule, both in headquarters and subordinate organizations? (YES__NO__)
- 84. Are records disposed only in accordance with approved records schedules contained in AR 25-400-2? (YES__NO__)
- 85. Do file custodians take prompt action to cut off files, destroy records whose retention periods have expired, and retire eligible records to a records holding area (RHA) or a Federal records center (FRC) in accordance with schedule provisions? (YES__NO__)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

Appendix C

Correspondence Program

TASK: Army correspondence management

SUBTASK: Preparing and Managing Correspondence, AR 25-50

RISK: If the policies, procedures, and standard formats for preparing and managing correspondence are not followed, the Army's standard of excellence for written communications will not be met, training time and cost of preparing correspondence will increase, and the preparation and distribution of correspondence will not be standardized.

OBJECTIVE: To ensure compliance with prescribed policies, procedures, and standard formats for preparing and processing Army correspondence.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program management.

1. Does the organization follow the guidance in AR 25-50? (YES__NO__)
2. Has the organization issued supplemental guidance? (YES__NO__)
3. Is correspondence training conducted? (YES__NO__)

Section II - Preparing correspondence.

4. Are formula distribution lists (e.g., A, B1, etc.) used for addressees of memoranda? (YES__NO__)
5. If formula distribution lists are used for addressees of memoranda, is each version of the lists retained as a permanent document? (YES__NO__)
6. Do offices of primary interest and addressees understand the formula distribution lists? (YES__NO__)
7. Is signature authority delegated to the lowest level possible in accordance with AR 25-50? (YES__NO__)
8. Is the average number of reviews per typed correspondence 2 or less? (YES__NO__)
9. Is the amount of copies prepared for routine correspondence three or less and top level correspondence five or less? (YES__NO__)
10. Do sentences average less than 22 words? (YES__NO__)

11. Do paragraphs average seven lines? (YES__NO__)
12. Is the amount of correspondence returned for rewriting because of violations of plain letter writing less than 10 percent? (YES__NO__)
13. Are most of the letters less than a page long? (YES__NO__)
14. Is the beginning of a letter with "Reference is made" or "This office is in receipt of your letter" avoided? (YES__NO__)
15. As a rule do writers paraphrase directives and regulations instead of quoting them? YES__NO__
16. Are phrases like "makes provision for; held a meeting; gave consideration to; with approval" avoided?
17. Are correspondence free of pat phrases like "the records of this organization indicate and this office has no jurisdiction over?" (YES__NO__)
18. Are correspondence prepared in the first person (I appreciate) rather than the third person (this office will appreciate)? (YES__NO__)
19. Whenever possible are people referred to by name (Mr. Jones, Miss Smith) rather than categorically (the veteran, the applicant)? (YES__NO__)

Section III - Electronic mail.

20. Are organizational documents sent by e-mail prepared in memorandum format? (YES__NO__)
21. Do organizational documents which reflect the will of the commander include authority line FOR THE COMMANDER? (YES__NO__)
22. Is authentication shown over the signature block with the word "signed" or words "signed (NAME and TITLE) for"? (YES__NO__)
23. If an organizational document is embedded or attached to an e-mail message, is coordination (name, rank/title, office, and telephone number, and the date final coordination occurred) included in the message? (YES__NO__)
24. Are incoming and outgoing e-mail messages managed the same as paper correspondence? (YES__NO__)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

Appendix D Rulemaking Program

TASK: Rulemaking management

SUBTASK: Publishing in the Federal Register, AR 310-4

RISK: If the policies, procedures, and responsibilities for publishing regulations and other notices which have substantial and continuing impact on the public are not followed, the organization will be in noncompliance with public law. If a person has not had actual and timely notice of the terms of issuance, that person may not in any manner be required to comply with or be adversely affected by an issuance not so published.

OBJECTIVE: To ensure compliance with statutes of the Administrative Procedures Act as amended by the Freedom of Information Act and policies and procedures affecting the public.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program management.

1. Are writers/editors of official policies and procedures aware of the statute to publish in the Federal Register when policies and procedures are applicable to the public? (YES__NO__)
2. Does the records manager provide program direction to a network of rulemaking coordinators at internal organizations? (YES__NO__)
3. Are rulemaking responsibilities included in the position descriptions for records managers and records management coordinators? (YES__NO__)

Section II - Implementation.

4. Are there regulations, memorandums, and other policy and procedure notices which have substantial and direct impact on the public or significant portion of the public; and haven't been published in the Federal Register? (YES__NO__)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

Appendix E Freedom of Information Act Program

TASK: Freedom of Information Act Program

SUBTASK: Management of the Freedom of Information Act, AR 25-55

RISK: If the prescribed policies, procedures, and responsibilities for the Freedom of Information Act Program are not followed, the public would not have access nor the ability to obtain release of Army information from Army information systems, manual and automated. Failure to process FOIA requests correctly and release nonexempt information to the public could subject Department of the Army or individuals to criminal penalties and civil remedies. Failure to maintain proper records would cause valuable information needed for court actions to be lost or not located. The organization would be in noncompliance with public law.

OBJECTIVE: To ensure prescribed policies and procedures are followed and compliance with statutes of the Freedom of Information Act, records containing "FOR OFFICIAL USE ONLY" information are correctly marked, and FOIA requests are properly maintained throughout their life cycle.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program management.

1. Is a FOIA Program established and implemented? (YES__NO__)
2. Is an individual appointed FOIA responsibilities? (YES__NO__)
3. Is an individual appointed FOIA/OPSEC responsibilities? (YES__NO__)
4. Is DA Form 4948-R, (Freedom of Information Act (FOIA)/Operations Security (OPSEC) Desk Top Guide) used? (YES__NO__)
5. Is an education and training program established to familiarize personnel with the requirements of FOIA? (YES__NO__)
6. Are provisions of AR 25-55 concerning the protection of OPSEC sensitive information regularly brought to the attention of managers responsible for responding to FOIA requests and those responsible for control of Army records? YES__NO__
7. Are rules governing "For Official Use Only" information understood and properly applied by functional proponents? (YES__NO__)

8. Are names and duty addresses of Army personnel (civilian and military) assigned to units that are sensitive or stationed in foreign territories being denied or forwarded to the proper initial denial authority (IDA) for denial? (YES__NO__)

Section II - Processing FOIA Requests.

9. Are FOIA requests logged into a formal control system? (YES__NO__)

10. Are all FOIA requests date and time stamped upon receipt? (YES__NO__)

11. Is the 10 working day time limit (20 working days after 2 Oct 97) met when replying to FOIA requests? (YES__NO__)

12. When more than 10 working days (20 working days after 2 Oct 97) are required to respond, is the FOIA requester informed, explaining the circumstance requiring the delay and provided an approximate date for completion? (YES__NO__)

13. Are Army records withheld only when they fall under one or more of the nine FOIA exemptions? (YES__NO__)

14. Is the FOIA requester informed when a FOIA request is referred to another organization? (YES__NO__)

15. Is the Chief of Legislative Liaison notified of all releases of information to members of Congress or staffs of congressional committees? (YES__NO__)

16. Are FOIA requests denied only by properly delegated (designated) IDAs? (YES__NO__)

17. Is the servicing judge advocate consulted prior to forwarding a FOIA request to an IDA for action? (YES__NO__)

18. Are the following items included when forwarding a FOIA request to an IDA for a determination of releasability?

a. A copy of the legal review provided by the local legal advisor? (YES__NO__)

b. The original copy of the FOIA request? (YES__NO__)

c. Copies of the requested information indicating portions recommended for withholding? (YES__NO__)

d. A copy of the response to the requester? (YES__NO__)

e. A telephone point of contact? (YES__NO__)

f. The recommended FOIA exemption? (YES__NO__)

g. Any recommendation to deny a request in whole or in part? (YES__NO__)

19. Is DD Form 2086-R (Record of Freedom of Information (FOI) Processing Cost), used to record costs associated with the processing of a FOIA request? (YES__NO__)

20. Is DD Form 2086-1-R (Record of Freedom of Information (FOI) Processing Costs for Technical Data), used to record costs associated with the processing of a FOIA request for technical data? (YES__NO__)

21. Are FOIA fees collected for technical data retained by the organization providing the technical data? (YES__NO__)

22. Is the FOIA requester notified when charges will exceed \$250.00? (YES__NO__)

23. Are fees collected at the time the requester is provided the records? (YES__NO__)

24. Are commercial requesters charged for all search, review, and duplication costs? (YES__NO__)

25. Are educational institutions, noncommercial scientific institutions, or news media charged for duplication only, in excess of 100 pages, if more than 100 pages of records are requested? (YES__NO__)

26. Are the first 2 hours of search time, and the first 100 pages of duplication provided without charge to all "other" category requesters? (YES__NO__)

27. Are FOIA fees collected and delivered to the servicing finance and accounting office within 30 calendar days after receipt? (YES__NO__)

28. Are list of requesters who have not paid being maintained and denied processing additional requests until their debt has been satisfied? (YES__NO__)

Section III - Records maintenance.

29. Are records that fall within the purview of exemptions 2 through 9 marked "For Official Use Only" at the time of creation? (YES__NO__)

30. Are unclassified documents containing "For Official Use Only" information marked "For Official Use Only" in bold letters at least 3/16 of an inch high at the bottom of the outside of the front cover (if any), on the first page, and on the outside of the back cover (is any)? (YES__NO__)

31. Are individual pages containing both "For Official Use Only" and classified information marked at the top and bottom with the highest security classification of information appearing on the page? (YES__NO__)

32. Are photographs, films, tapes, slides, and microforms containing "For Official Use Only" information so marked "For Official Use Only" to ensure recipient or viewer is aware of the information therein? (YES__NO__)

33. Is "For Official Use Only" material transmitted outside the Department of the Army properly marked "This document contains information EXEMPT FROM MANDATORY DISCLOSURE under the FOIA. Exemption..... applies?" (YES__NO__)

34. Are permanently bound volumes of "For Official Use Only" information so marked on the outside of the front and back covers, title page, and first and last pages? (YES__NO__)

35. Is DA Label 87 (For Official Use Only Cover Sheet) affixed to "For Official Use Only" documents when removed from a file cabinet? (YES__NO__)

36. Do electrically transmitted messages contain the abbreviation "FOUO" before the beginning of the text? (YES__NO__)

37. Are "For Official Use Only" records stored properly during nonduty hours? (YES__NO__)

38. Are FOIA records maintained and disposed of in accordance with AR 25-400-2? (YES__NO__)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

Appendix F Privacy Act Program

TASK: Privacy Act Program

SUBTASK: Management of the Privacy Act, AR 340-21

RISK: If the prescribed policies, procedures, and responsibilities for the Privacy Act Program are not followed, the personal information kept by organizational elements about an individual that is intimate or private to the individual will be compromised.

OBJECTIVE: To ensure prescribed policies and procedures are followed and compliance with the statutes of the Privacy Act.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program management.

1. Is a Privacy Act Program (PA) established in the organization? (YES__NO__)
2. Is a Privacy Act Officer designated to supervise and execute the program? (YES__NO__)
3. Are Privacy Act coordinators required? and if required, so designated in subordinate organizations to support the program? (YES__NO__)
4. Are all personnel, including Government contractors or their employees who are involved in the design, development, operation, maintenance, or control of any system of records, informed of all requirements to protect the privacy of individuals who are subjects of the records? (YES__NO__)
5. Are individuals made aware of what records are kept on them and let them review or get copies of the records, subject to exemptions authorized by law? (YES__NO__)

6. Are individuals permitted to amend records about themselves contained in a system of records, which they can prove are factually in error, not up-to-date, not complete, or not relevant? (YES__NO__)

7. Are individuals allowed to seek administrative review of decisions that deny them access to or the right to amend their records? (YES__NO__)

8. Are all requests promptly, accurately, and fairly acted on? (YES__NO__)

9. Are records subject to the Privacy Act described properly in a published system notice? (YES__NO__)

10. Are Privacy statements included on forms and questionnaires that seek personal information from an individual? (YES__NO__)

11. Are procedures in place to meet reporting requirements? (YES__NO__)

Section II - Personal information.

12. Is only personal information kept that is timely, accurate, complete, and relevant to the purpose for which it was collected? (YES__NO__)

13. Is personal information properly safeguarded to prevent unauthorized use, access, disclosure, alteration, or destruction? (YES__NO__)

14. Is the privacy of individuals protected from an unwarranted intrusion? (YES__NO__)

15. Is legally authorized personal information about an individual collected and only when necessary to support Army operations? (YES__NO__)

16. Is each DD Form 67 (Form Processing Action Request) for new and revised forms involving Privacy Act data reviewed and signed by the command's Privacy Act Officer? (YES__NO__)

17. Are the same standards and precautions applied to e-mail messages and automated information systems containing personal information protected by the Privacy Act? (YES__NO__)

18. Are personnel with access to systems of records aware of the type of personal information which may be released? (YES__NO__)

Section III - Privacy Act reviews.

19. Is a random sample of installation contracts that provide for the maintenance of a system of records reviewed biennially to ensure that the wording of each contract makes the provisions of the Act binding on the contractor and his or her employees? (YES__NO__)

20. Are recordkeeping practices and disposal policies reviewed biennially to assure compliance with the Act, paying particular attention to the maintenance of automated records? (YES__NO__)

21. Are routine use disclosures associated with each system of records reviewed every 4 years to ensure that the recipient's use of such records continues to be compatible with the purpose for which the disclosing agency collected the information? (YES__NO__)

22. Is each system of records for which the installation has promulgated exemption rules pursuant to Section (j) or (k) of the Act reviewed every 4 years to determine whether such exemption is still needed? (YES__NO__)

23. Is each ongoing matching program in which the installation has participated during the year, either as a source or as a matching agency, reviewed annually, to ensure that the requirements of the Act, the OMB guidance, and any installation regulations, operating instructions, or guidelines have been met? (YES__NO__)

24. Are installation training practices reviewed biennially to ensure that all agency personnel are familiar with the requirements of the Act, with the installation implementing regulation, and with any special requirements of their specific jobs? (YES__NO__)

25. Are the actions of installation personnel that have resulted either in the installation being found civilly liable under Section (g) of the Act, or an employee being found criminally liable under the provisions of Section (i) of the Act, reviewed biennially, to determine the extent of the problem and to find the most effective way to prevent recurrence of the problem? (YES__NO__)

26. Is each system of records notice published by the installation reviewed biennially to ensure that it accurately describes the system of records? (YES__NO__)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

Appendix G Management Information Control Program

TASK: Management Information Control Program,
AR 335-15

SUBTASK: Reports control

RISK: If the prescribed policies, procedures, and responsibilities for the Management Information Control Program are not followed, mission essential management information requirements may be overlooked and not approved. This would result in duplication, redundancy, and waste because sharing and managing information will become difficult. The Army would be in noncompliance with public law and would be placing an undue burden of the public with management information collection requirements.

OBJECTIVE: To ensure prescribed policies, procedures, and responsibilities are followed to foster maximum efficiencies in information usage and compliance with public law. To minimize and control the burden placed on the public for the collection of information. (The public is defined as individuals, businesses, private institutions, and state and local governments.)

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program management.

1. Is a Management Information Control Program (MICP) established in the organization? (YES__NO__)
2. Is a Management Information Control Officer (MICO) designated to manage the MICP? (YES__NO__)
3. Are Management Information Control Liaison Officers (MICLO) required and so designated in subordinate organizations to support the program? (YES__NO__)
4. Is a list of recurring management information requirements for which the command (organization) is the proponent or preparing organization (office) maintained and updated periodically in the format similar to DA Pam 25-69? (YES__NO__)

Section II - Reporting requirements.

5. Are DA Forms 335-R (Application for Approval of Management Information Requirements) properly completed for each nonexempt request before the assignment of a Reports Control Symbol (RCS)? (YES__NO__)
6. Are new, revised, or updated directives reviewed to ensure that management information collection requirements are controlled and properly cited in the directive? (YES__NO__)
7. Are Defense Automated Printing Service (DAPS) forms and DD Forms 67 (Forms Processing Action Request) signed by the organization's MICO? (YES__NO__)
8. Is there a central file and register for each ADP report? (YES__NO__)
9. Are assignments of Product Control Numbers (PCN) monitored? (YES__NO__)
10. Are periodic reviews of controlled information collection requirements and ADP reports performed periodically? (YES__NO__)
11. Are organizational MICP files maintained in accordance with AR 25-400-2? (YES__NO__)

Section III - Public requirements.

12. Are all requests for information (data) from the public reviewed for an Office of Management and Budget (OMB) approval? (YES__NO__)
13. Are SF 83 (Request for OMB Review) and other items required by SF 83A (Instructions for Completion of SF 83) completed for collection requirements? (YES__NO__)
14. Are approved OMB management information collection requirements reviewed periodically and before expiration? (YES__NO__)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

**Appendix H
Vital Records Program**

TASK: Vital Records Program, AR 340-26

SUBTASK: Management of emergency operating and rights and interest records.

RISK: If the prescribed policies, procedures, and responsibilities for the Vital Records Program are not followed, mission essential vital records required for Army emergency preparedness programs mission essential records will not be identified and available in time of emergencies. Also, rights and interest records essential to the legal rights of individuals and the Army will not be preserved.

OBJECTIVE: To ensure prescribed policies, procedures, and responsibilities are followed. To select and protect vital records for organization emergency preparedness and preservation of records vital to the rights and interests of individuals and the Army.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Emergency operating records.

1. Is the records manager knowledgeable of the organization's emergency missions? (YES__NO__)
2. Has the organization assessed potential risks to their records? (YES__NO__)
3. If answer to question 2 is YES, does the organization need a vital records program? (YES__NO__)
4. If answer to question 3 is YES, has the organization issued a directive, or a comparable issuance, authorizing the vital records program and specifying the responsibilities of various organization officials? (YES__NO__)

IF THE ANSWER TO QUESTION 4 IS YES, COMPLETE FOLLOWING QUESTIONS

5. Has the organization identified its vital records, i.e., its emergency operating records and legal rights records? (YES__NO__)
6. Has an Emergency Operating Records Program been established to create and maintain current duplicate files at designated sites to support emergency missions? (YES__NO__)

Section II - Planning for the program.

7. Is planning an emergency operating records program regarded as an important part of the overall contingency planning effort? (YES__NO__)

8. Does the organization periodically review its vital records plan and update it as necessary? (YES__NO__)

9. If special media records (such as electronic or microform records) are designated as vital records, have provisions been made for access to the equipment needed to use the records in case of emergency? (YES__NO__)

10. Have the potential threats to the emergency operating records been assessed and protection methods considered? (YES__NO__)

11. Is there a current agency directive authorizing a emergency operating records program and outlining the policy, objectives, and responsibilities for its management? (YES__NO__)

12. Does this directive contain guidelines and procedures for selecting, collecting, inventorying, transferring, protecting, updating, and otherwise maintaining the records? (YES__NO__)

13. Are these guidelines and procedures easy to understand and follow? (YES__NO__)

14. Has responsibility for the emergency operating records program been delegated to an official? (YES__NO__)

15. Have liaison officers been delegated responsibility for implementing the program? (YES__NO__)

16. Are these assignments of responsibility reflected in the position descriptions of the designated officials? (YES__NO__)

17. Is there sufficient staff to carry out the program effectively? (YES__NO__)

Section III - Identifying emergency operating records.

18. Does periodic inventory of all files include an effort to identify emergency operating records? (YES__NO__)

19. Are emergency operating files duplicates, or extra copies, rather than transferring official files? (YES__NO__)

20. Are the types of information needed by the organization during an emergency identified? (YES__NO__)

21. Is the value of the records in meeting this need considered? (YES__NO__)

22. Is the information available elsewhere? (YES__NO__)

23. Is the minimum volume of emergency operating records identified consistent with the program's objectives? (YES__NO__)

Section IV - Establishing operating procedures.

24. Has an inventory been prepared for each agency component responsible for emergency operating records? (YES__NO__)

25. Is a complete and up-to-date set of inventories for both emergency operating records maintained? (YES__NO__)

26. Are the emergency operating records properly arranged and indexed? (YES__NO__)

27. Are their storage containers properly labeled? (YES__NO__)

28. Are the records routed to storage frequently enough to be kept current? (YES__NO__)

29. Are those records already in storage kept current by the prompt replacement and disposal of superseded copies (provided they are not official files requiring longer retention)? (YES__NO__)

30. Are the records stored at or near its emergency, or alternate headquarters? (YES__NO__)

31. Are statements of emergency mission, delegations of authority, drafted emergency missions, and a list of key personnel all available at the alternate headquarters? (YES__NO__)

32. In considering the storage of emergency operating records, is the requirement of special equipment to use those records avoided, whenever possible? (YES__NO__)

33. If special equipment is necessary to use the emergency operating records, is it available at the storage site and is its power source reliable in time of emergency? (YES__NO__)

34. If the records are in digital format, are they accompanied by textual documentation and, if necessary, by essential software? (YES__NO__)

35. If official files serving as emergency operating records are damaged but not destroyed, are there established procedures for salvaging these files? (YES__NO__)

Section V - Reviewing the program.

36. Is the emergency operating records program reviewed on an annual basis? (YES__NO__)

37. Does this review include determining whether or not component offices are complying with the program instructions? (YES__NO__)

38. Does the emergency operating records program have procedures that are simple, concise, and economical rather than complex, difficult, and costly? (YES__NO__)

39. Are the program's records kept current? (YES__NO__)

40. Are they complete? (YES__NO__)

41. Are they adequately protected? (YES__NO__)

42. Are they accessible to those who will need to use them? (YES__NO__)

43. Are they immediately usable? (YES__NO__)

- 44. Are plans for protecting emergency operating records complete? (YES__NO__)
- 45. Have all emergency operating records been relocated? (YES__NO__)
- 46. If the annual review reveals weaknesses in the program, does it also produce recommendations for improvement? (YES__NO__)
- 47. Is there a requirement to ensure that the recommendations, whenever appropriate, are implemented? (YES__NO__)

Section VI - Rights and interest records.

- 48. Is the records manager familiar with the rights and interests records for which the organization is responsible for protecting and what records are necessary to protect them? (YES__NO__)
- 49. Have appropriate rights and interests records of organization employees been protected? (YES__NO__)
- 50. Have appropriate rights and interests records of the public (citizenry) been protected? (YES__NO__)
- 51. Have appropriate rights and interests records of the organization been identified and protected? (YES__NO__)
- 52. Do these rights and interests records include records of debts owed to the Government but not of those owed by the Government? (YES__NO__)

53. Do they exclude records supporting legal rights that can be reestablished through affidavit and are well known to those involved? (YES__NO__)

54. Do they exclude records that are duplicated, as a matter of standard practice, by local governments? (YES__NO__)

55. Has an inventory been prepared for each agency component responsible for rights and interests records? (YES__NO__)

56. Are records maintained solely for rights and interests purposes kept separate from emergency operating records, especially if the combined volume would create a space problem at or near the alternate headquarters? (YES__NO__)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

**Appendix I
Terminology Standardization Program**

TASK: Terminology Standardization Program

SUBTASK: Management of terms, abbreviations, acronyms, and brevity codes, ARs 310-25 and 310-50

RISK: If the prescribed policies, procedures, and responsibilities for the use of Army terms, abbreviations, acronyms, and brevity codes throughout the Department of the Army and in correspondence with other Department of Defense services are not followed, uniformity and common understanding of the meaning of terminology and definitions between DOD elements and NATO member countries will not be clear.

OBJECTIVE: To ensure prescribed policies, procedures and responsibilities are followed. To ensure terminology and abbreviations are understood, approved, and appropriately used in Army publications and writings.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program management.

- 1. Is a Terminology Standardization Program established in the organization? (YES__NO__)
- 2. Is an individual designated to manage the program? (YES__NO__)
- 3. Are the prescribed policies, procedures, and responsibilities for initiation and use of terms, definitions, abbreviations, acronyms, and brevity codes followed? (YES__NO__)

Section II - Terms.

- 4. Are local command publications reviewed to ensure Army designated terms are not republished nor redefined? (YES__NO__)
- 5. Are separate glossaries or lists of explained terms proposed for Armywide use coordinated and approved by HQDA? (YES__NO__)

Section III - Abbreviations and brevity codes.

6. Are abbreviations (shortened words) and brevity codes properly used in official correspondence and publications? (YES__NO__)
7. Are abbreviations listed in lower case letters? (YES__NO__)
8. Are brevity codes listed in capital letters? (YES__NO__)
9. When forming and using abbreviations and brevity codes, are existing words avoided? (YES__NO__)
10. Are plurals of brevity codes shown with a lower case "s"? (YES__NO__)

Section IV - Acronyms.

11. Are acronyms properly used in correspondence and publications? (YES__NO__)
 12. Are acronyms formed as words and listed in capital letters? (YES__NO__)
- I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

Appendix J

Official Mail and Distribution Management Program

TASK: Official Mail and Distribution Management Program

SUBTASK: Management of the Official Mail and Distribution, AR 25-51RISK: If the prescribed policies, procedures, and responsibilities for the Official Mail and Distribution Management Program are not followed, valuable information, and postage resources could be lost or destroyed.

OBJECTIVE: To ensure the prescribed policies, procedures and responsibilities are followed to allow for the transmission of official mail and distribution through United States Postal Service, private carrier, and installation distribution systems.

CHECKLIST USE: The designated official mail manager responsible for internal evaluation will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES or NO" and provide supporting documentation when weaknesses are found in the program.

Section I - Program management.

1. Is an Official Mail and Distribution Management Program established and implemented? (YES__NO__)
2. Is an individual appointed Official Mail and Distribution Management responsibilities? (YES__NO__)
3. Is the Official Mail Manager appointment in writing and on file? (YES __ NO __)
4. Has formal training been conducted by the Official Mail Manager for subordinate activity mailers? (YES __ NO __)
5. Are Official Mail and Distribution Center operations inspected annually? (YES __ NO __)

Section II - Required publications.

6. Are current copies of AR 25-51, DOD 4525.8-M, DOD 4525.6-M Vol I, and DOD 4525.6-M Vol II on hand? (YES __ NO __)
7. Are current copies of all required postal publications onhand (USPS Domestic Mail Manual, USPS International Mail Manual, Postal Bulletins (1 Year), USPS Poster 103, and a Postal Zone Chart)? (YES __ NO __)

Section III - Official mail funds.

8. Do the official mail manager and resource manager verify/coordinate current and projected official postage funds for operating the official mail program in an efficient and cost savings manner? (YES __ NO __)
9. Is there a clear audit trail from the Official Mail Manager's initial request for official mail funds and the purchase of official mail services from the USPS? (YES __ NO __)
10. Are official mail funds reviewed quarterly to ensure amounts in the Advance Deposit Trust Account and left on meters do not exceed the average quarterly usage for the past fiscal year?(YES __ NO __)
11. Is the use of Advance Deposit Trust Account to replenish postage meters restricted? (YES __ NO __)
12. Do the carry over funds for postage meters and Advance Deposit Trust Account exceed 30 days at the end of the fiscal year? (YES __ NO __)
13. Are postage stamps and prestamped envelopes limited to amounts authorized? (YES __ NO __)
14. Are postage stamps ordered, monitored, and documented? (YES __ NO __)
15. Is the record of postage used being analyzed? (YES __ NO __)

16. Is spoiled or incorrect meter postage managed?
(YES __ NO __)

17. Is a copy of the Positive Accountability Postage Administrative System report provided to the resource manager for their information and use? (YES __ NO __)

Section IV - Official mail preparation.

18. Is unauthorized use of official mail reported?
(YES __ NO __)

19. Is official mail being sent at the lowest cost to the Army? (YES __ NO __)

20. Is official mail being marked with correct class of mail? (YES __ NO __)

21. Is maximum use being made of consolidated mailing?
(YES __ NO __)

22. Do permit imprint formats and contents comply with regulation? (YES __ NO __)

23. Does selection of special mail services comply with regulation? (YES __ NO __)

24. Are all business reply items and merchandise return service prepared as prescribed in regulation?
(YES __ NO __)

25. Is express mail being followed as prescribed in regulation? (YES __ NO __)

26. Does the installation mail distribution center have a distribution scheme for publications? (YES __ NO __)

27. Does distribution scheme include library publications? (YES __ NO __)

Section V - Postage meter equipment.

28. Does each metering location have a valid USPS postage meter license? (YES __ NO __)

29. Have USPS meter licenses been canceled for meters no longer used? (YES __ NO __)

30. Is postage metering equipment accounted for as prescribed in regulation? (YES __ NO __)

31. Are postage meters and keys secured? (YES __ NO __)

Section VI - Postage records.

32. Are all supporting documents for official postage transactions on file for the past fiscal year and current quarters of current fiscal year? (YES __ NO __)

33. Is the receipt for postage meter setting, USPS Form 3603, on file? (YES __ NO __)

34. Is the Daily Record of Meter Register Readings, USPS Form 3602-A, maintained correctly? (YES __ NO __)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

**Appendix K
Special Records**

TASK: Special Records

SUBTASK: Management of records of defunct Army commands and oversight records administration of joint commands, if required.

RISK: If responsibility for the records of defunct Army commands and organizations and joint commands which the Army has been designated by DOD as executive agent, is not assumed by an active Army organization, the records will not be retrievable.

OBJECTIVE: To ensure adequate control of records of defunct Army commands and organizations and joint commands.

CHECKLIST USE: The designated records manager responsible for internal evaluations will use this checklist. The mandatory schedule for using this checklist will be shown in the annual update to the evaluation plan.

DOCUMENTATION REQUIRED: Answer each question "YES" or "NO" and provide supporting documentation when weaknesses are found in the program.

1. When an organization is discontinued with or without a transfer of functions, are the SF 135s, Records Transmittal and Receipt for inactive records in the Federal Records Centers sent to the gaining organization and/or the records manager at the next higher headquarters? (YES __ NO __)

2. Does the records manager maintain record locator and disposition files for documents and information listing records retired to the Federal Records Centers by defunct Army organizations? (YES __ NO __)

I have reviewed this subtask within my organization and have supplemented the prescribed records management evaluation checklist, when warranted. The controls established by the questions in this checklist, as marked in the affirmative, are in place and operational for my organization. Weaknesses, as marked in the negative, are addressed in my evaluation report, which also includes milestones for correcting the weaknesses.

Director, Information Management:

_____ (Signature and Date)

Appendix L Management Control

FUNCTION: The administration of the Army Information Resources Management Program, Records Management (AR 25-1, chapter 8).

PURPOSE: To assist HQDA, FOAs, MACOMs, and installations in evaluating the key management controls outlined below. It is not intended to cover all controls.

INSTRUCTIONS: Answers must be based on the actual testing of management controls (e.g., document analysis, direct observation, sampling, simulation). Answers that indicate deficiencies must be explained and corrective action indicated in supporting documentation. These key management controls must be formally evaluated at least once every 5 years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2-R (Management Control Evaluation Certification Statement).

TEST QUESTIONS:

1. Is a Records Management Program established in your organization in accordance with AR 25-1, chapter 1, paragraph 1-5; chapter 4, paragraph 4-3; and chapter 8, paragraphs 8-1 and 8-3)? (All) (YES___NO___)
2. Are records managers included in the planning process for new or replacement automated systems? (All) (YES___NO___)
3. Are records management reviews conducted at least a minimum of every 2 years? (All) (YES___NO___)
4. Have instructions been issued specifying the degree of protection to be afforded records stored and used electronically in accordance with classification, sensitivity, Freedom of Information Act, and Privacy Act? (All) (YES___NO___)

5. Are procedures in place to ensure software and equipment will be available to read electronic records throughout their life? (All) (YES___NO___)
6. Does the DCSIM/DOIM ensure carry-over funds for postage meters and Advance Deposit Trust Account (ADTA) do not exceed 30 days at the end of the fiscal year? (MACOM and installation) (YES___NO___)
7. Are all DCSIM/DOIM Official Mail Managers (OMMs) appointed in writing? (MACOM and installation) (YES___NO___)
8. Do all requests for information from the public (10 or more) have Office of Management and Budget approval? (All) (YES___NO___)
9. Are records being retired as required by AR 25-400-2? (YES___NO___)
10. Is records management training being conducted? (YES___NO___)
11. Is training required for all levels of personnel? (YES___NO___)
12. Has the management of electronic records been integrated? (YES___NO___)
13. Are automated information systems periodically reviewed for conformance with established records management procedures and policies? (YES___NO___)
14. Are procedures in place to ensure return of all data files, documentation, and storage media from contractors upon termination of a contract? (YES___NO___)

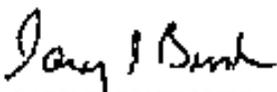
ASSESSABLE UNIT MANAGER:

_____ DATE: _____

FOR THE COMMANDER:

OFFICIAL:

JAMES J. CRAVENS, JR.
Major General, GS
Chief of Staff



GARY E. BUSHOVER
Colonel, GS
Deputy Chief of Staff
for Information Management

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