# RECORDS MANAGEMENT INTERNAL EVALUATION GUIDE

**Summary.** Internal evaluations allow commanders/directors to assess their program periodically and comply with established internal controls and evaluation taskings from HQ, USAFACFS. Using this checklist 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 checklist applies to all Fort Sill organizations that are under the jurisdiction of DOIM Records Management.

**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.

**Internal Controls.** This checklist must be completed biannually on each division level/battalion level organization within each organization. Activity/organization records manager must provide a copy of each completed internal checklist to DOIM Records Management. Activity records managers must develop and submit an evaluation plan annually to DOIM Records Management that ensure all divisions and battalion level units are evaluated every 2 years.

**Applicable Programs.**

a. Recordkeeping Systems (AR 25-400-2) (appendix A).

b. Correspondence Program (AR 25-50) (appendix B).

c. Freedom of Information Act Program (AR 25-55) (appendix C).

d. Privacy Act Program (AR 340-21) (appendix D).

e. Management Information Control Program (AR 335-15) (appendix E).

f. Official Mail and Distribution Management (AR 25-51) (appendix F.

## Appendix A

## RECORDKEEPING SYSTEMS

| Question | Yes | No |
|---|---|---|
| 1. Has the activity/unit formally designated a records manager with responsibility for carrying out the records management program? | ☐ | ☐ |
| 2. Are records management responsibilities included in the position description for records managers? | ☐ | ☐ |
| 3. Are all employees informed of the identity and role of the records manager serving their office? | ☐ | ☐ |
| 4. 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? | ☐ | ☐ |
| 5. Is the records manager involved in the development of micrographic applications and document imaging systems? | ☐ | ☐ |
| 6. Do records managers, secretaries, file clerks, and others with regular records duties receive training in records maintenance and filing procedures and records disposition? | ☐ | ☐ |
| 7. Are users properly trained in the operation, care, and handling of records? | ☐ | ☐ |
| 8. Does the records manager periodically evaluate records management practices? | ☐ | ☐ |
| 9. Do these evaluations include automated information systems? | ☐ | ☐ |
| 10. Are written evaluation reports prepared? | ☐ | ☐ |
| 11. Are evaluated offices required to respond to the evaluation reports promptly? | ☐ | ☐ |
| 12. Does the records manager follow up to determine if offices implement necessary corrective action(s) or recommendations(s) for improvements? | ☐ | ☐ |
| 13. 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? | ☐ | ☐ |
| 14. Does each office have written Army guidance on what records, including electronic records, are to be created and maintained? | ☐ | ☐ |
| 15. Is guidance and instructions issued for documenting policies and decisions, especially those arrived at orally? | ☐ | ☐ |
| 16. Does the organization comply with Army guidance on the record status of working papers/files and drafts? | ☐ | ☐ |

| Question | Yes | No |
|---|---|---|
| 17. Does the organization issue guidance on personal papers? | ☐ | ☐ |
| 18. Are lists of selected files created as a finding aid to facilitate access to individual files or record items, when appropriate? | ☐ | ☐ |
| 19. Do contracts identify which contractor-created records are Federal records? | ☐ | ☐ |
| 20. 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? | ☐ | ☐ |
| 21. Do contracts involving development of electronic systems specify the delivery of systems documentation along with the final product? | ☐ | ☐ |
| 22. 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? | ☐ | ☐ |
| 23. Are contractors provided the regulations and procedures governing Federal records? | ☐ | ☐ |
| 24. Are procedures in place to ensure return of all hardware, software, data files, documentation, and storage media from contractors upon termination of a contract? | ☐ | ☐ |
| 25. Are the Army's and organization's regulations and procedures for classifying, indexing, filing, storing, and retrieving records available to all employees? | ☐ | ☐ |
| 26. Is access to all records, regardless of media, limited to authorized personnel? | ☐ | ☐ |
| 27. Has each office designated official file locations (file stations)? | ☐ | ☐ |
| 28. Is the Army file plan (AR 25-400-2) maintained at each file station? | ☐ | ☐ |
| 29. Is the Army file plan approved by the Installation Records Manager? | ☐ | ☐ |
| 30. Does each office have procedures for filing, charging out, and refiling its records? | ☐ | ☐ |
| 31. Are file drawers and folders labeled correctly? | ☐ | ☐ |
| 32. Are records in organization electronic information systems readily identifiable? | ☐ | ☐ |
| 33. Are diskettes avoided as the media for the exclusive long-term storage of permanent or unscheduled records? | ☐ | ☐ |
| 34. Does the organization maintain complete and up-to-date technical documentation for each electronic information system that contains Federal records? | ☐ | ☐ |
| 35. Does the organization safeguard and maintain all software and hardware required to read electronic records throughout their life? | ☐ | ☐ |

| Question | Yes | No |
|---|---|---|
| 36. Have all employees using personal computers received training and guidance in determining record status of documents that they create with office automation applications? | ☐ | ☐ |
| 37. Has the organization implemented procedures for maintaining Federal records created using personal computers in an official file (hard copy or electronic recordkeeping systems)? | ☐ | ☐ |
| 38. Are all organization staff that use computers trained in procedures to avoid the unintentional loss of records, including techniques for backing up files and for handling diskettes? | ☐ | ☐ |
| 39. Are original and use copies of audiovisual records maintained separately? | ☐ | ☐ |
| 40. 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? | ☐ | ☐ |
| 41. Are cross-references to closely related textual records maintained with audiovisual records? | ☐ | ☐ |
| 42. Has the organization instituted procedures to ensure that information on permanent or unscheduled magnetic sound or video media is not erased or overwritten? | ☐ | ☐ |
| 43. Does the organization retain original photographic images created electronically (digital photograph)? | ☐ | ☐ |
| 44. Does the organization maintain originals of permanent or unscheduled photographs scanned into computer programs? | ☐ | ☐ |
| 45. 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)? | ☐ | ☐ |
| 46. Are maps and drawings stored flat in shallow-drawer map cases rather than folded or rolled? | ☐ | ☐ |
| 47. Are permanent maps and drawings stored in acid-free folders? | ☐ | ☐ |
| 48. Are large, heavy atlases and other bound volumes of maps or drawings stored flat, preferably on roller shelves to facilitate moving them without damage? | ☐ | ☐ |
| 49. Do adequate finding aids such as indexes exist for cartographic and architectural records? | ☐ | ☐ |
| 50. Are cross-references to closely related textual records maintained with cartographic and architectural records? | ☐ | ☐ |
| 51. Are records disposed only in accordance with approved records schedules contained in AR 25-400-2? | ☐ | ☐ |

| Question | Yes | No |
|---|---|---|
| 52. 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? | ☐ | ☐ |

## Appendix B

## CORRESPONDENCE PROGRAM

| Question | Yes | No |
|---|---|---|
| 1. Do the divisions/units follow the guidance in AR 25-50? | ☐ | ☐ |
| 2. Are personnel attending correspondence training offered by DOIM? | ☐ | ☐ |
| 3. Is signature authority delegated to the lowest level possible in accordance with AR 25-50? | ☐ | ☐ |
| 4. Is correspondence prepared in active voice rather than passive voice (i.e., “Submit the form to DOIM” instead of “The form will be submitted to DOIM.)? | ☐ | ☐ |
| 5. Are organizational documents sent by e-mail prepared in memorandum format? | ☐ | ☐ |
| 6. Do organizational documents, which reflect the will of the commander, include authority line FOR THE COMMANDER? | ☐ | ☐ |
| 7. Is authentication shown over the signature block with the word “signed” or words “signed (Name and Title) for? | ☐ | ☐ |
| 8. Are incoming and outgoing e-mail messages managed the same as paper correspondence? | ☐ | ☐ |

## Appendix C

## FREEDOM OF INFORMATION ACT

| Question | Yes | No |
|---|---|---|
| 1. Are rules governing “For Official Use Only” information understood and properly applied for functional proponents? | ☐ | ☐ |
| 2. Are records that fall within the purview of exemptions 2 through 9 marked “For Official Use Only” at the time of creation? | ☐ | ☐ |
| 3. 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 (if any)? | ☐ | ☐ |

| Question | Yes | No |
|---|---|---|
| 4. 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? | ☐ | ☐ |
| 5. 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? | ☐ | ☐ |
| 6. Is “For Official Use Only” material transmitted outside of the Department of the Army properly marked “This document contains information EXEMPT FROM MANDATORY DISCLOSURE under the FOIA. Exemption ……. applies? | ☐ | ☐ |
| 7. 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? | ☐ | ☐ |
| 8. Is DA Label 87 (For Official Use Only Cover Sheet) affixed to “For Official Use Only” documents when removed from a file cabinet? | ☐ | ☐ |
| 9. Do electronically transmitted messages contain the abbreviation “FOUO” before the beginning of the text? | ☐ | ☐ |
| 10. Are “For Official Use Only” records stored properly during nonduty hours? | ☐ | ☐ |

## Appendix D

## PRIVACY ACT PROGRAM

| Question | Yes | No |
|---|---|---|
| 1. 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? | ☐ | ☐ |
| 2. 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? | ☐ | ☐ |
| 3. 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? | ☐ | ☐ |
| 4. Are individuals allowed to seek administrative review of decisions that deny them access to or the right to amend their records? | ☐ | ☐ |
| 5. Are all requests promptly, accurately, and fairly acted on? | ☐ | ☐ |

| Question | Yes | No |
|---|---|---|
| 6. Are Privacy statements included on forms and questionnaires that seek personal information from an individual? | ☐ | ☐ |
| 7. Is only personal information kept that is timely, accurate, complete, and relevant to the purpose for which it was collected? | ☐ | ☐ |
| 8. Is personal information properly safeguarded to prevent unauthorized use, access, disclosure, alteration, or destruction? | ☐ | ☐ |
| 9. Is the privacy of individuals protected from an unwarranted intrusion? | ☐ | ☐ |
| 10. Is legally authorized personal information about an individual collected only when necessary to support Army operations? | ☐ | ☐ |
| 11. 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? | ☐ | ☐ |
| 12. Are the same standards and precautions applied to e-mail messages and automated information systems containing personal information protected by the Privacy Act? | ☐ | ☐ |
| 13. Are personnel with access to systems of records aware of the type of personal information, which may be released? | ☐ | ☐ |
| 14. Is Privacy Act data posted to the Internet? | ☐ | ☐ |
| 15. Is Privacy Act data posted to the organization's Shared Drive? | ☐ | ☐ |
| 16. Is Privacy Act data shared by sharing folders on personal computer hard drives? | ☐ | ☐ |

## Appendix E

## MANAGEMENT INFORMATION CONTROL PROGRAM (REPORTS CONTROL)

| Question | Yes | No |
|---|---|---|
| 1. Are Defense Automated Printing Service (DAPS) forms and DD Forms 67 (Forms Processing Action Request) signed by the organizations MICLO? | ☐ | ☐ |
| 2. Are all requests for information (data) from the public reviewed for an Office of Management and Budget (OMB) approval? | ☐ | ☐ |

## Appendix F

## Official Mail and Distribution

| Question | Yes | No |
|---|---|---|
| 1. Is the smallest envelope used? | ☐ | ☐ |
| 2. Is Express Mail used only when absolutely necessary for mission accomplishment? | ☐ | ☐ |
| 3. Is only official mail sent to metering facility for metering? | ☐ | ☐ |
| 4. Are only proper return addresses used on the return section of the envelopes (i.e., Cdr, USAFACFS, ATTN: appropriate office symbol, Fort Sill, OK 73503-5000)? | ☐ | ☐ |
| 5. Is the office symbol **and** organization name being placed on Option Forms 65 (shotgun envelopes) prior to being placed in distribution? | ☐ | ☐ |
| 6. Are personnel aware they can use Option Forms 65 to send documents to other military installations to include HQ TRADOC and HQ FORSCOM? | ☐ | ☐ |
| 7. Is the person sorting incoming mail aware of suspicious mail handling procedures? | ☐ | ☐ |
| 8. Do the persons sorting incoming mail have access to appropriate gloves and masks (respirators)? | ☐ | ☐ |