

## INSTALLATION RECORDS MANAGER EVALUATION GUIDE

**Summary.** The Installation Records Manager (IRM) evaluations allow the Garrison Commander to assess his/her program periodically and comply with established internal controls and evaluation tasking. Using this checklist will assist him/her in making a preliminary assessment of the status of his/her records management programs, identifying major problems, and setting priorities for program improvements.

**Applicability.** This checklist applies to only the IRM.

**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 within each Fort Sill organization. This is extremely important for the statutory programs.

**Internal Controls.** This checklist must be completed biannually on each Fort Sill organization under the records management control of DOIM Administrative Services. The IRM must provide a copy of each completed checklist to the organization evaluated. The IRM must develop an evaluation plan that ensures all organizations 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 (AR 25-51) (appendix F).
- g. Vital Records (AR 25-400-2) (appendix G).

## Appendix A

### RECORDKEEPING SYSTEMS

Question	Yes	No	NA
1. Has the activity/unit formally designated a records coordinator manager with responsibility for carrying out a records management program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are records management responsibilities included in the position description for records coordinators?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Does the records coordinator participate in planning or new electronic information systems and in major modifications to existing systems to ensure incorporation of recordkeeping requirements and records disposition procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the records coordinator periodically evaluate records management practices?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Do these evaluations include automated information systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are written evaluation reports prepared?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are evaluated offices required to respond to the evaluation reports promptly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the records coordinator follow up to determine if offices implement necessary corrective action(s) or recommendations(s) for improvements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Is the Army file plan (AR 25-400-2) maintained at each file station?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Is the office records list approved by the Installation Records Manager?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Are records in organization electronic information systems readily identifiable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Are diskettes avoided as the media for the exclusive long-term storage of permanent or unscheduled records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Does the organization maintain complete and up-to-date technical documentation for each electronic information system that contains Federal records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14. Does the organization safeguard and maintain all software and hardware required to read electronic records throughout their life?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15. 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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
16. Are records disposed only in accordance with approved records schedules contained in AR 25-400-2?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17. 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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### **Appendix B**

#### **CORRESPONDENCE PROGRAM**

<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
1. 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.")?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are organizational documents sent by e-mail prepared in memorandum format?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are incoming and outgoing e-mail messages managed the same as paper correspondence?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### **Appendix C**

#### **FREEDOM OF INFORMATION ACT**

<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
1. Is an individual appointed FOIA responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are records that fall within the purview of exemptions 2 through 9 marked "For Official Use Only" at the time of creation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is DA Label 87 (For Official Use Only Cover Sheet) affixed to "For Official Use Only" documents when removed from a file cabinet?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Do electronically transmitted messages contain the abbreviation "FOUO" before the beginning of the text?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Are "For Official Use Only" records stored properly during nonduty hours?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Appendix D

### PRIVACY ACT PROGRAM

Question	Yes	No	NA
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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are Privacy statements included on forms and questionnaires that seek personal information from an individual?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is only personal information kept that is timely, accurate, complete, and relevant to the purpose for which it was collected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Is personal information properly safeguarded to prevent unauthorized use, access, disclosure, alteration, or destruction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Is the privacy of individuals protected from an unwarranted intrusion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. 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?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Are the same standards and precautions applied to e-mail messages and automated information systems containing personal information protected by the Privacy Act?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Are personnel with access to systems of records aware of the type of personal information that they released?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9. Is Privacy Act data excluded from information posted on the Internet/Intranet?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Is Privacy Act data excluded from shared folders on the public (P) drive?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Is Privacy Act data excluded from shared folders organization's shared drive?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. Is Privacy Act data excluded from shared folders on personal computer hard drives?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Appendix E**  
**Management Information Control Program**  
**(Reports Control)**

<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
1. Is a Management Information Control Liaison Official (MICLO) designated to manage the MICP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are Defense Automated Printing Service (DAPS) forms and DD Forms 67 (Forms Processing Action Request) signed by the organizations MICLO?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Are all requests for information (data) from the public reviewed for an Office of Management and Budget (OMB) approval?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Appendix F**

**Official Mail and Distribution**

<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
1. Is the smallest envelope used?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is Express Mail used only when absolutely necessary for mission accomplishment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Is only official mail sent to metering facility for metering?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Is the office symbol <b>and</b> organization name being placed on Option Forms 65 (shotgun envelopes) prior to being placed in distribution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Are personnel aware they can use Option Forms 65 to send documents to other military installations to include HQ TRADOC and HQ FORSCOM?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Is the person sorting incoming mail aware of suspicious mail handling procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8. Do the persons sorting incoming mail have access to appropriate gloves and masks (respirators)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Appendix G

### Vital Records

<b>Question</b>	<b>Yes</b>	<b>No</b>	<b>NA</b>
1. Has the Activity Records Coordinator created a Vital Records Program for their organization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Has the Activity Records Coordinator identified their organization's emergency operating records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the Activity Records Coordinator included their plan on safeguarding their emergency operating records within the organization's COOP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>