DIVISION/BRANCH/OFFICE STANDARDIZED RECORD AND INFORMATION PROGRAM EVALUATION FORM

(Please read the Privacy Advisory on the back of this Form BEFORE completing this request.)

Purpose: To assist records management personnel to determine if reporting offices are in compliance with the OSD Records and Information Management policy and identify gaps in applying the procedures and practices established for the maintenance and use of records.

Instructions: This form is to be completed by the Records Management Personnel assigned to each office, division, branch and directorate within an OSD Component.

SECTION I - DIVISION/BRANCH INFORMATION

A. Name of Organizational Unit/Division/Branch

B. FY/CY of Evaluation

C. Name of Office Records Liaison/Custodian

(1) NAME *(Last, First, Middle Initial)*	(2) WORK TELEPHONE	(3) WORK EMAIL ADDRESS

SECTION II - ORGANIZATIONAL UNIT/DIVISION/BRANCH FILING SYSTEM

A. Paper Records
This section is for the review of paper filing systems and records.

Identify how office files are maintained in:

☐ CENTRALIZED FILING SYSTEM, single location for retention of records for the office.

☐ DECENTRALIZED FILING SYSTEM, the files are located throughout the office, generally at individual work stations.

☐ BOTH, official records are maintain both centrally and authorized personnel.

HARD COPY FILING SYSTEM CHECKLIST

1. Is the filing system secure from all unauthorized access (placed in a locked drawer or safe)?	
2. Are official filing stations and drawers labeled per AI-15 and the OSD PRIMER?	
3. Does the filing system use guide cards? (provide example)	
4. Does the office use guide cards?	
5. Are guide cards labeled per AI-15?	
6. Are file folder labels compliant with AI-15 requirements?	
7. Do the file numbers identified on file folder labels correspond with the office file plan?	
8. Are records retained in binders labeled per AI-15?	
9. Are records containing PII stored in secure locations and protected against unauthorized access?	
10. Are records containing classified information (Confidential/Secret/Top Secret) maintained separately from unclassified information?	
11. Are records containing classified information clearly marked per DoD Manual 5200.01 Vol. 1-3?	
12. Are active/current year files retained separately from closed/completed files? (provide example)	
13. How are records assembled with related documents?	
(a) Chronological order	
(b) The latest action on top by date or subject?	
(c) The completed package or final document?	
(d) Enclosures in numerical order?	
(e) Supporting papers to include e-mail (return/read receipts), background documents, and substantive drafts?	
14. Are office records and files identified and segregated from personal and non-record documents?	
15. Are paper records and files complete, accurate, and usable and maintained in accordance with AI-15 and DoD requirements?	
16. Is electronic media (CD/DVD, Hard Drives, and etc...) labeled per AI-15?	

ELECTRONIC RECORDS MANAGEMENT CHECKLIST

B. Network Share Drives
This section is for the review of office electronic file structures.

1. Has the office established electronic file structures on one or each of the following DoD domains, as appropriate? *(Select all that are applicable)*	☐ NIPR	
	☐ SIPR	
	☐ JWICS	
2. Has the office established a standardized naming convention based on how the information is filed and retrieved (i.e., subject and date), taking into consideration version control?		
3. Has the office implemented access controls for records and information containing PII or classified information?		
4. Has the office implemented controls to prevent the unauthorized access, modification or deletion of records (on all DoD domains)?		
5. Are office records stored on the shared drive, maintained in structured format containing the following?		
(a) The appropriate file number(s)?		
(b) Cut off or closure dates?		
(c) Disposition instructions?		

C. Migration to Electronic Records Management
Skip this section if your office is not converting hardcopy records to electronic formats.

1. What stage/status is your office's plan for converting hardcopy to electronic formats? ☐ Initial Conception ☐ Planning ☐ Execution ☐ Performance/Monitoring ☐ Project Closed Skip this section if the office is in initial conception or planning stage and go to section D.	
2. Has office identified all permanent records to the OSD RIM Program via their CRMO or DAFA RM?	
3. Is conversion being conducted in-house or by contract?	
(a) If by contract, does the contract state the Contractor must comply with National Archives and Records Administration (NARA) standards per 36 CFR 1236?	
(b) If not, provide copy of standards the contractor must meet?	
(c) If conversion conducted in-house, are images preserved compliant with 36 CFR 1236?	
4. Do scanned images contain required metadata fields identified in 36 CFR 1236?	
5. Are the scanned images indexed to include the OSD/RDS File Number, File Title, retention and disposition requirements, to provide for the search, retrieval, and use?	
6. Has the office identified access restrictions, including national security considerations, donor restrictions, court orders, and other statutory or regulatory provisions, including Privacy Act and Freedom of Information Act (FOIA) exemptions.	
7. Has the office identified access use restrictions, including but not limited to copyright, trademark, service mark, donor, or statutory provisions, including Privacy Act and FOIA exemptions.	
8. Where are scanned images retained? ☐ Organization Share Drives ☐ Records Management Application ☐ Federal Information System (FIS) ☐ Contractor provided Information System/Database ☐ Other	

D. Federal Information Systems Checklist

1. Has the office initiated the purchase or began updating a Federal Information System (FIS), database(s) or application(s) (including moving records to Cloud Computing Services)? If Yes, proceed to question 1a. Select N/A if no new systems were initiated or updated this CY/FY.	
a. Is the CRMO, DAFA RM or RL/RC included in the acquisition, development, update and implementation of the FIS, application or software?	
2. Does the FIS, application or software have a records disposition schedule?	
3. Are records management controls designed into the requirement documents per 36 CFR 1236, OMB A-130 and DoD Instruction 5000.82, (See NARA Universal ERM requirements)?	
4. Has the office planned and budgeted for the migration of records and their associated metadata maintained in FIS system or database to new storage media/formats to avoid loss of record data due to media decay or technology obsolescence for the lifespan of the approved disposition?	

SECTION III – ORGANIZATIONAL UNIT/DIVISION/BRANCH
RECORDKEEPING

A. File Plans
This section covers office file plans.

1. Does each office file plan contain the following elements?	
(a) Reflect current year files?	
(b) Identify office?	
(c) Identify CRMO and RL/RC?	
(d) Identify calendar or fiscal year of records?	
(e) Identify all locations on the file plan (including safes, centralized locations, decentralized locations, URLs, classification etc.)?	
(f) Are the records identified on the file plan subject to the Privacy Act?	
(g) Do the records identified on the file plan contain controlled unclassified information (CUI)?	
(h) Are office file plans up-to-date, reflecting correct file numbers and dispositions?	
2. Are file plans reviewed by RL/RC prior to submission to Component Records Management Officer/DAFA RM for approval?	
(a) Are file number(s) that are no longer applicable, removed from file plan?	
(b) Have new file number(s) been added, as applicable?	
(c) Is the file plan complete (i.e., does it reflect all of the administrative, mission/ operational, human resource and/or financial records created and received by the office)?	
3. Are file plans readily accessible to all office staff (military, civilian, and contractor)?	
4. Is the file plan(s) approved by Component Records Management Officer?	

SECTION IV – DISPOSITION OF
ORGANIZATIONAL UNIT/DIVISION/BRANCH RECORDS

A. Employee Records Management Responsibilities (Military, Civilians and Contractors)

1. Are employees ensuring that records created and received under their cognizance, including relevant enclosures, attachments, working files/papers, and/or related audio and video records, complete and accounted for in either a paper or electronic filing system(s)?	
2. Are employees ensuring that record emails and attachments documenting work related activities are preserved outside of the email system?	
3. Are employees ensuring personal files, non-record material, and work-related records and information are maintained separately?	
4. Are employees moving completed final products and other related documents to the proper folder(s) within the approved folder/file structure once task/projects are completed?	
5. Are employees properly implementing regulations or procedures for the storage of classified, Privacy Act, and other restricted records?	

B. Records Liaisons/Custodian (RL/RC) Responsibilities
Skip this section if briefings are conducted by CRMO/DAFA RM or office had no incoming and departing personnel.

	Inbound	Departing
1. Is the RL/RC conducting RIM briefings to incoming and departing employees, including contractors and Senior Officials? Skip Question 2 if briefings are conducted by CRMO/DAFA RM or office had no incoming and departing personnel.		
2. Are briefings to incoming and exit personnel documented? (Select N/A if office had no incoming and departing personnel)		
(a) OSD Employees?		
(b) Contractors?		
(c) Senior Officials (SES/O6 and Above)?		
3. Are RL/RC notifying the Component Records Management Officer of the unauthorized destruction, damage, alienation, or removal of official records? (Select N/A for no incidents reported)		
4. Are RL/RC the Component Records Management Officer of Departing Senior Officials? (Select N/A if office had no departing Senior Officials)		

5. Are RL/RC ensuring employees are aware of OSD Records and Information Management (RIM) policy concerning the:	
(a) Removal of OSD records and information, including work related emails?	
(b) Prohibition against use of personal e-mail, instant messenger and social media for work-related actions?	
(c) Retaining emails and attachment(s) external to the email system in official filing stations or locations?	
6. Are the RC/RL tracking and ensuring completion of annual records and information management training?	
(a) At the time of this assessment, identify the number of employees that have completed annual training:	
(b) Does the RL/RC provide recurring internal records management training based on agency policies and directives?	
7. Does the RL/RC conduct record searches, implementing preservation orders, and ensuring component offices are aware of the responsibilities to safeguard records and information identified in existing preservation orders? (Select N/A/ if no preservation orders, received this calendar year)	
8. Have the RL/RC reviewed applicable mission/operational file numbers to ensure titles, descriptions, and dispositions are up-to-date and relevant to the organization within this CY/FY?	
9. Are the RL/RC submitting requests for new or to revise mission/operational file numbers?	
10. Are RL/RC conducting annual RIM evaluations?	
(a) Is a written report prepared on the findings and recommendations and presented to senior management?	
(b) Are recommendations following evaluations acted upon, and are after-action plans put into effect and evaluated to ensure compliance?	
C. Maintenance of Records **This section covers the transferring of paper and digital records (including Federal Information Systems).**	
HARD COPY RECORDS	
1. Is the office sending inactive paper to NARA's Federal Records Center (FRC), or to a commercial records storage facility?	
2. Has the office requested records from a FRC or commercial?	
(a) Has the office requested records remain segregated from office records?	
(b) Has the office contacted RDD to schedule return of these records to the FRC after their use is complete?	
3. Are the RL/RC retaining copies of office SF-135s and related documents?	
4. Prior to preparing records for transfer, are employees or RL/RC conducting a review and destroying all duplicate or extraneous materials?	
5. Prior to preparing records for transfer, is the office validating the classification level of the records?	
6. Does the office have permanent records eligible to be directly transferred to NARA?	
(a) If yes, has the office contacted the OSD RIM Program to transfer these records to NARA custody?	
(b) If the office has eligible records and has not contacted the OSD RIM program, has the CRMO submitted a request to retain beyond disposition per 36 CFR 1236?	
ELECTRONIC RECORDS	
1. Does the office have any electronic permanent records eligible for transfer to NARA this CY/FY? (Select N/A if the office does not have any permanent records).	
2. Has the office transferred any eligible electronic records to NARA this CY/FY? (Select N/A if the office does not have any permanent records).	
3. Does the office have permanent electronic records eligible to be directly transferred to NARA?	
(a) If yes, has the office contacted the OSD RIM Program to transfer these records to NARA custody?	
(b) If the office has eligible records and has not contacted the OSD RIM program, has the CRMO submitted a request to retain beyond disposition per 36 CFR 1236?	
FEDERAL INFORMATION SYSTEMS (FIS)	
1. Did the office establish or acquire any new FIS this CY/FY?	
(a) Were records management personnel included in the development of system requirements?	
(b) Did records management personnel or OPR ensure RIM requirements were included in the system requirements?	

(c) Is the FIS capable of implementing and executing RIM requirements defined in 36 CFR 1236?	
2. Has a Request for Record Disposition Authority (SF-115) for this FIS been submitted to the OSD RIM Program?	
3. Has the OSD RIM program submitted a SF-115 to NARA or provided MFR identifying the applicable disposition authority for this FIS?	
4. Does the office have records in existing FIS eligible for transfer this CY/FY?	

SECTION V – DEPARTING PERSONNEL

1. Are departing employees, contractors, and service personnel completing an SD-822 prior to departing the office or component?	
2. Are Senior Officials completing an SD-821/SD-822 prior to departing the office or component?	
(a) Did the senior official(s) request to remove personal papers and/or non-record copies of OSD records and information, including (including copies of email)?	
(b) If yes, did the official sign the OSD provided Non-Disclosure Agreement?	
(c) Were records and information reviewed and authorized for release in accordance with DoDI 5200.48 controlled unclassified information (CUI), DoD 5200.01 Vol 1- 3 and DoD 5230.09 Clearance of DoD Information for Public Release?	
3. Did the CRMO, DAFA RM, RL/RC authorize the transfer of records and information (including email accounts) to another DoD component? (Select N/A if no transfers for this CY/FY)	
(a) Are these authorizations documented using the SD-833?	
(b) If no, how were these authorizations documented?	

Person conducting evaluation

☐ CRMO, ☐ DAFA RM, ☐ Office RL/RC

Printed Name *(Last, First, Middle Initial)*	**Title**

Signature	**Date** *(YYYYMMDD)*

SECTION VI – ACKNOWLEDGEMENT OF RECEIPT

Division/Branch/Office Head or Authorized Signature Authority of Office Evaluated

Printed Name *(Last, First, Middle Initial)*	**Title**

Signature	**Date** *(YYYYMMDD)*

PRIVACY ADVISORY: When completed, this form contains personally identifiable information and is protected in accordance with the Privacy Act of 1974, as amended and DoD 5400.11-R , DoD Privacy Program.