

## STAFF INSPECTION PROGRAM STANDARDS - RECORDS MANAGEMENT

POC: Ms. Barefield, Administrative Services, DHR, 545-5356

1. **PURPOSE.** To establish unit inspection criteria for Records Management.
2. **APPLICABILITY.** These standards are applicable to all TDA and TOE units assigned or attached to Fort Benning.
3. **GENERAL.** The inspection consists of verifying regulatory compliance with Records Management policies and procedure for identification, maintenance, protection and deposition of recorded information. The enclosed checklist will be used during Initial Staff Inspection I and the Staff Inspection II.
4. **RATING CRITERIA.** The overall rating will be **FULLY MET** if items 2, 4, 8, 15, 16 and 22 are fully met.
5. **EVALUATION CRITERIA.** The following definitions apply to the Records Management Evaluation Criteria:
  - a. **NOT MET.** Any 4 of the following item 2, 4, 8, 15, 16 and 22 not rated as fully met.
  - b. **PARTIALLY MET.** Any three areas not rated as Fully Met.
6. **REFERENCES:**
  - a. AR 25-1, (Dec 08)
  - b. AR 25-400-2, (Oct 07)
  - c. AR 340-21, (Jul 85)
  - d. DoD 5200.1-R, (Jan 97)
  - e. DoD 5400.7-R (Sep 98)
  - f. DoD 5400.11-R, (May 07)
  - g. DA Pam 25-403, (Aug 08)
  - h. Fort Benning Policy Memo, 25-54-3, (Sep 10)

CHECKLIST: RECORDS MANAGEMENT

POC: Administrative Services Division, DHR, 545-5356

UNIT INSPECTED: \_\_\_\_\_ DATE: \_\_\_\_\_ SI \_\_\_\_\_ SI II \_\_\_\_\_

INSPECTOR: \_\_\_\_\_ SIGNATURE: \_\_\_\_\_

UNIT POC: \_\_\_\_\_ SIGNATURE: \_\_\_\_\_

	<u>FM</u>	<u>PM</u>	<u>NM</u>
1. Unit has inspection results from MSC/BN OIP.	_____	_____	_____

\_\_\_\_\_

*2. Records Management is included in the Unit Command Inspection Program, and is sufficient to render an accurate assessment of the overall program within the unit. IAW DA Pam 25-403, Chap 1 Para 1-6.c.(5), pgs 1-2; Chap 11, Para 11-6a.(3), pg 62	_____	_____	_____
---	-------	-------	-------

\_\_\_\_\_

3. Required ARIMS reference publications are available either in hardcopy or demonstrate ability to view on line. IAW AR 25-400-2, Chap 1, Para 1-2, pg 1 , App A. pg 21 and DA Pam 25-403, Chap 1, Para 1-2, Pg 1, App A, pg 68	_____	_____	_____
--	-------	-------	-------

\_\_\_\_\_

*4. Activity has appointed a Records Coordinator who is registered in ARIMS. IAW AR 25-1, Chap 8, Para 8-2.e.(7)(f) 9. pg 72	_____	_____	_____
--	-------	-------	-------

\_\_\_\_\_

FOR OFFICIAL USE ONLY

RECORDS MANAGEMENT  
ADMIN SERVICES, DHR

	<u>FM</u>	<u>PM</u>	<u>NM</u>
5. The Records Coordinator is aware of available ARIMS training for records management personnel. IAW AR 25-1, Chap 8, Para 8-2.c.(7)(f).6. pg 72	_____	_____	_____
<hr/>			
6. Classified documents through secret are filed IAW AR 25-400-2, Chap 5, Para 5-6. pg 9	_____	_____	_____
<hr/>			
7. Folders or guide cards and labels are being used IAW AR 25-400-2, Chap 5, Para 5-4 pg 9 & Chap 6, Para 6-2c., pg 13	_____	_____	_____
<hr/>			
*8. Organization has an approved Office Records List (ORL). ORL shows disposition of all records to include long-term“T” records eligible for transfer to the RHA/AEA? IAW AR 25-400-2, Chap 5, Para 5-10(a). pg 10	_____	_____	_____
<hr/>			
9. A copy of the approved Office Record Lists for all subordinate recordkeepers down to the Company level is available. IAW AR 25-400-2, Chap 5, Para 5.-10. pg 10	_____	_____	_____
<hr/>			

FOR OFFICIAL USE ONLY

RECORDS MANAGEMENT  
ADMIN SERVICES, DHR

	<u>FM</u>	<u>PM</u>	<u>NM</u>
10. ARIMS disposition codes are used and records are destroyed IAW Table 7-1, AR 25-400-2. IAW AR 25-400-2, Para 7-1, pgs 13-15.	_____	_____	_____
<hr/>			
<hr/>			

11. All records (paper, microfiche, electronic, etc.) are labeled IAW ARIMS. Labels contain the correct record type, i.e. “K, KE, KN, KEN, U or “T, TE, TEP or TP” correct disposition instructions, title and year of creation and, if applicable, the Privacy Act system notice number and records number. IAW AR 25-400-2, Chap 6, Para 6-2pg 11	_____	_____	_____
<hr/>			
<hr/>			

12.. Official E-mail messages (definition, DA Pam 25-403, para 3-15.a.(1) (a-h) are identified, managed, protected and retained as long as necessary. IAW DA Pam 25-403, Chap 3, Para 3-15.b.-d., pg 27	_____	_____	_____
<hr/>			
<hr/>			

13. Files eligible for destruction have been destroyed IAW destruction instructions in AR 25-400-2, Chap 7, Para 7-4.a., b., c., d., e. (1) & (2), pg 14	_____	_____	_____
<hr/>			
<hr/>			

14. Records subject to the Privacy Act are properly safeguarded to preclude unauthorized disclose of personal information contained in those records IAW AR 340-21, Chap 4, Para 4-4,, pg 5 and DoD 5400.11-R, Chap 1, Para c.1.4.1.- c.1.4.2., pg 15 and DoD 5200.1-R, App 3.2.4.1, pg 142	_____	_____	_____
<hr/>			
<hr/>			

FOR OFFICIAL USE ONLY

RECORDS MANAGEMENT  
ADMIN SERVICES, DHR

	<u>FM</u>	<u>PM</u>	<u>NM</u>
*15. Signed SF's 135 (Records, Transmittal and Receipt) are maintained reflecting eligible records have been transferred. IAW AR 25-400-2, Chap 9, Para 9-3.a., pg17	_____	_____	_____

---

---

*16. Records coordinator knows what to do in case of accidental loss or willful and unlawful destruction, damage, removal or alienation of federal records IAW AR 25-400-2, Chap 1, Para 1-8 (a)., pg 3-4	_____	_____	_____
--	-------	-------	-------

---

---

17. File cabinets and reference binders are labeled IAW Figure 3-12, DA Pam 25-403. IAW DA Pam 25-403, Chap 3, Para 3-8.(f), pg 21 and figure 3-12., pg 24	_____	_____	_____
---	-------	-------	-------

---

---

18. Documents with disposition based on an event "KE" or "TE" are in an open "active" status file until the event occurs. After the event, files that are needed to be kept are put in an "inactive" file. IAW AR 25-400-2, Chap 7, Para 7-1.b., pg 13	_____	_____	_____
---	-------	-------	-------

---

---

19. Unit is aware of procedures for disclosures of Privacy Act Records to third party requestors under FOIA. IAW DoD 5400.11.R, Chap 4, para 4.1.1 and 4.2.2., pg, 37 and DoD 5400.7-R, Chap 3, Para 3.2.1.6., pgs 37-39	_____	_____	_____
--	-------	-------	-------

---

---

FOR OFFICIAL USE ONLY

RECORDS MANAGEMENT  
ADMIN SERVICES, DHR

FM      PM      NM

20. Unit is familiar with and implementing procedures for safeguarding and protecting Personally Identifiable Information (PII) as outlined in "Fort Benning Policy for Safeguarding and Reporting Personally Identifiable Information (PII). IAW Policy Memo 25-54-3, entire memo \_\_\_\_\_

---

---

21. Unit is aware of, and implementing, responsibilities for purging copiers, printers, FAX machine hard drives prior to disposal. IAW Policy Memo 25-54-3, Para 3.g., pgs 2-3 \_\_\_\_\_

---

---

\*22. A signed roster is provided acknowledging all personnel, down to the Company level, with authorized access to PII have completed annual training located on the G1 sharepoint at <https://benna0shrpt2/sites/ag/ASD/Forms/AllItems.aspx> IAW Policy Memo 25-54-3, Para 3.h., pg 3 \_\_\_\_\_

---

---

23. Unit is aware of, and practices, procedures for reporting lost, stolen or compromised PII, IAW DoD 5400.11-R, Chap 1, Para c.1.5., pgs 16-17, and Policy Memo 25-54-3, Para 3.f., pg 2 & Encls 2&3 \_\_\_\_\_

---

---

OVERALL EVALUATION: FULLY MET \_\_\_\_\_ PARTIALLY MET \_\_\_\_\_ NOT MET \_\_\_\_\_

NOTES: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

FOR OFFICIAL USE ONLY