

DEPARTMENT OF DEFENSE
HEADQUARTERS, UNITED STATES MILITARY ENTRANCE PROCESSING COMMAND
2834 GREEN BAY ROAD, NORTH CHICAGO, ILLINOIS 60064-3094

Change
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**Information Management: Management of Subdisciplines
MANAGING AUTOMATED DATA PROCESSING (ADP) RESOURCES**

FOR THE COMMANDER:

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DISTRIBUTION:
A

Summary. This is a change 2 to USMEPCOM Reg 25-3, 10 Aug 1992. It supersedes USMEPCOM Circular 20-8 and IMC 1, 9 February 1998, and implements Management Control Evaluation Checklists at appendixes F through J. It identifies the responsibilities of the Communications Division and the Support Services Division and includes them as part of the Information Management Directorate.

Suggested improvements. The proponent of this regulation is Headquarters, United States Military Entrance Processing Command (HQ USMEPCOM), Information Management Directorate. Users will send comments and suggested improvements by memorandum, or DA Form 2028 (Recommended Changes to Publications and Blank Forms), to HQ USMEPCOM, ATTN: MIM, 2834 Green Bay Road, North Chicago, IL 60064-3094.

1. New or changed material is indicated by an asterisk (*).
2. Remove old pages and insert new pages as follows:

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***H.** Management Control Evaluation Checklist - Systems Analysis and Support Division

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Glossary

Chapter 2

ADP Systems Life Cycle Management

2-1. Requirement identification

Planning for ADP resources at all levels concentrates primarily on identifying future requirements, justifying them, and funding them. The Information Mission Elements Need Statement (IMENS) process provides a mechanism to evaluate requested changes to the administrative automation architecture for the Command. Information Management Directorate (MIM) is responsible for maintaining the Command's administrative automation architecture (figure 2-2). The administrative automation architecture describes the ADP hardware and software standards in support of non-MIRS software and hardware for all levels of the Command. In order to request changes to the administrative automation architecture, system administrators must submit each request using USMEPCOM

Form 25-3-1-R-E (Information Mission Elements Need Statement (IMENS)) completed in accordance with instructions found at appendix C and forwarded to MIM for analysis. The IMENS must contain sufficient justification to ensure that the request to change the administrative automation architecture or to automate a function justifies the proposed expenditure of resources. The IMENS must describe the requirement to change the command's administrative automation architecture in terms of the functional need it will satisfy, rather than the specific equipment or products to meet the requirement. System administrators may, of course, recommend solutions in terms of specific equipment or projects, but only after describing the functional requirement. Once the functional requirement stated on the IMENS is analyzed, MIM will either approve or disapprove the IMENS. This approval or disapproval affects the entire Command. MIM will send an e-mail to all the Military Entrance Processing Stations (MEPS), Sector Headquarters and Command Headquarters indicating either approval or disapproval of the IMENS.

If the IMENS is approved, a change will be made to the administrative automation architecture identifying the software (including version) or hardware change. A revised command administrative automation architecture will be published by Information Management Directorate, Systems Analysis and Support Division (MIM-SA) each quarter if any changes occurred to the architecture during the prior quarter.

2-1.1. Configuration Control Sub-Board and Configuration Control Board Interface

MIM may, upon their own initiative, request review by the Configuration Control Sub-Board (CCSB) or Configuration Control Board (CCB) for an IMENS which represents a significant change to the Command's business processes or which requires a major funding initiative. Additionally, if an IMENS has been denied by MIM, the functional proponent which submitted the IMENS may request a review of that decision by the CCSB or CCB.

2-2. Command operating budget requirements

Each system administrator documents future requirements and submits them through the appropriate channels to the Director, Information Management for review, analysis and consolidation into the command budget. This process provides the framework for identifying and managing functional requirements for budgeting in the current and future fiscal years.

2-3. Sharing ADP resources

Wherever possible, system administrators will satisfy requirements with existing ADP resources. The Director, Information Management maintains a central record of the description, quantity, application, and location of all ADP resources to facilitate sharing.

2-4. Acquiring ADP hardware

a. Department of Defense requirements contracts will satisfy requirements for ADP hardware when practical. However, it is the contracting officer's decision what source of supply best meets the Government's needs. The activity may recommend a source but the contracting officer is not obligated to buy from that source.

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*C2, USMEPCOM Reg 25-3

b. All printers, communications devices (hubs, switches, routers, modems, etc.), and non-MIRS PCs will be procured only by MIM-SA to ensure technical network compatibility and the ability to provide technical support, life cycle management, configuration management, and maintenance. The

system administrator will submit any request for procurement of hardware on the administrative automation architecture hardware list in writing (memorandum or e-mail), referencing the approved IMENS number, to MIM-SA for procurement. As long as funding is available, MIM-SA will process that request right away. Acquisition of "free" hardware (e.g., DRMO) by the MEPS or Sector Headquarters is not authorized.

c. All requests for MIRS hardware will be submitted in accordance with instructions outlined in paragraph 2-1, in writing, to Director, Operations (MOP). MOP will analyze the functional requirement supporting the request and, if approved, will submit the request to MIM for processing.

d. The MEPS or Sector Headquarters may locally purchase any hardware devices (i.e., A/B switch boxes, cables, speakers) that are compatible with the operating system of the personal computer (PC) they will be used on and will not adversely affect the performance of the PC. There must be no local procurements which will change the automation architecture or network capabilities of the automation systems in the MEPS or Sector Headquarters. All hardware device procurements for Command Headquarters will be processed by MIM-SA.

e. Existing discretionary funds or supply funds (if appropriate) will be the only funds authorized for the purpose of local procurement of ADP hardware/devices. No additional funds will be authorized.

f. If a MEPS or Sector Headquarters experiences technical difficulties with any non-MIRS PC they must first uninstall any locally purchased hardware devices and remove any associated software drivers from the PC. If the technical problem still exists, a service call may be placed.

g. It is the responsibility of the MEPS Commander to make every effort to ensure that hardware is installed and operational in the location recommended by Command Headquarters. Relocation of equipment will be authorized by the MEPS Commander in emergency situations or when the physical layout of the MEPS does not support the recommended location. Changes to the location of hardware must be noted on USMEPCOM Form 25-3-2-R-E (Automation Equipment Log).

*h. Procurement of desktop CPUs and operating systems will be accomplished only by HQ USMEPCOM. However, discretionary or excess MEPS funds, as approved by the USMEPCOM Commander, can be used to procure these items. MEPS will submit an IMENS to HQ USMEPCOM, ATTN: MIM-SA, for the hardware desired, stating that the purchase will be funded by the MEPS. Depending on fund availability, the hardware will be purchased for shipment to the MEPS. The MEPS funds to cover the purchase will be transferred from the MEPS account to the Information Management Directorate account. All purchases will be shipped directly to the requesting MEPS. The JCC may procure their own desktop automation equipment/software after submitting an IMENS to the Information Management Directorate for their purchases prior to procurement. These IMENS will be reviewed to ensure conformance with established Command automation standards and guidance. Any discrepancies must be coordinated and resolved prior to procurement.

2-5. Acquiring ADP software

a. A two-part administrative automation architecture software list will be maintained by MIM-SA: Part I will list command software that will be purchased and installed on *all* non-MIRS PCs in the command; Part II will list command software that can be purchased and installed on *any* non-MIRS PC (figure 2.3). It will be the responsibility of MIM-SA to request funding and prepare procurement

documentation for software that has been identified on Part I of the list. This software will be purchased as a "commandwide" buy. This includes upgrades to command standard software. Software that is on Part II of the software list can be purchased either by MIM-SA, Sector Headquarters or individual MEPS. A commandwide IMENS will be prepared by MIM-SA for all software that is on both Part I and Part II of

the administrative automation architecture software list. All software procurements for Command Headquarters will be processed by MIM-SA. Strict adherence to procuring only software on the command standard software list, including version level, will be inspected during Inspector General (IG) visits (appendix B).

b. The system administrator may submit any request for procurement of software which is on the administrative automation architecture software list in writing (memorandum or e-mail), referencing the approved IMENS number, to MIM-SA for procurement.

c. The MEPS Commanders and Sector Commanders have the authority to approve the local procurement of any software which is on Part II of the administrative automation architecture software list without prior approval by Command Headquarters. Existing discretionary funds or supply funds (if appropriate) will be the only funds authorized for this purpose. No additional funds will be requested by the MEPS or Sector Headquarters to support the local procurement of ADP software. A file will be established by the MEPS or Sector Headquarters for each local procurement of software which includes the MEPS or Sector Commanders approval in writing referencing the approved IMENS number and a receipt or DD-250 documenting the purchase.

d. Software acquired from any source (e.g., downloaded from the Internet, shareware, freeware and/or from other government agencies), regardless of cost, requires an approved IMENS prior to downloading or installation on any USMEPCOM owned or operated PC. All software, regardless of source, must be checked for viruses before installation on any USMEPCOM PC.

*e. At the end of each quarter (December, March, June, and September) the MEPS and Sector Headquarters will provide a list of locally procured software to Information Management Directorate, Communications Division (MIM-CD). HQ USMEPCOM is required to report an inventory of software to the Defense Information Systems Agency (DISA) of all software within the command. DISA maintains a central repository of all Department of Defense software for the purpose of reutilization and disposal purposes. This quarterly report must list the software name, version, number of copies purchased and the price per copy. This report will be mailed to HQ USMEPCOM, ATTN: MIM-CD.

f. The system administrator will receive from the Supply Technician and sign all hand receipts for software (media or manuals) received after 1 Jan 98. The system administrator will maintain a central, secure repository for all software media and user manuals received after 1 Jan 98. The system administrator will conduct non-MIRS PC hard drive audits on a quarterly basis to ensure no copyright violations exists within the MEPS and Sectors. The date and results of the audit will be annotated on USMEPCOM Form 25-3-2-R-E. The system administrator will conduct an annual inventory of all software packages in the MEPS and Sector Headquarters, reporting all discrepancies to MIM-CD, ATTN: Command Software Manager.

*g. Procurement of Part I Office Suite packages will be accomplished only by Headquarters; however, discretionary or excess MEPS funds, as approved by the USMEPCOM Commander, can be used to procure these items. MEPS will submit an IMENS to HQ USMEPCOM, ATTN: MIM-SA, for the software desired stating that the purchase will be funded by the MEPS. Depending on fund availability, the software will be purchased for shipment to the MEPS. The MEPS funds to cover the purchase will be transferred from the MEPS account to the Information Management Directorate account. All

purchases will be shipped directly to the requesting MEPS. The JCC may procure their own desktop automation equipment/software after submitting an IMENS to the Information Management Directorate for their purchases prior to procurement. These IMENS will be reviewed to ensure conformance with established command automation standards and directions. Any discrepancies must be coordinated and resolved prior to procurement.

h. System administrator may submit requests for changes to MIRS software by submitting a MIRS Change Proposal (MCP)(MIRS Form 01-A) or an Engineering Change Proposal (ECP) Request Form through appropriate channels to MOP. MOP or the Medical Directorate (MMD) will analyze the functional requirement documented in the change proposal and, if supported, will submit the request to the CCSB. Change Proposals will be prioritized by the CCSB or CCB for development.

2-6. Maintenance considerations

a. System administrators will promote preventive maintenance practices for microcomputers (e.g., keeping equipment dust-free, removing debris which accumulates inside printers, ensuring that fans are not blocked, etc.) as suggested by the manufacturer. The system administrator will also promote periodic maintenance of the PCs hard drive by deleting unnecessary temporary files and running DOS utilities such as defrag and scan disk (or equivalent utilities) on a quarterly basis. This maintenance will be annotated on USMEPCOM Form 25-3-2-R-E.

b. System administrators will perform minor equipment maintenance (e.g., replace toner cartridges or relocate/hookup equipment) as required.

c. All ADP equipment will be purchased with warranty for repairs whenever possible. The Sector or MEPS Commanders are responsible for planning and budgeting for local maintenance for non-MIRS automation equipment following the warranty period. Maintenance requests will be coordinated in accordance with USMEPCOM Reg. 700-3.

*d. The System Administrator position should have a defined back-up to provide for automation support continuity. At a minimum, the back-up SA needs to know where to find automation documentation and points-of-contact.

2-7. Validating current ADP inventory (Rescinded)

2-8. Excess ADP hardware and software

a. Hardware: Identify and report excess hardware resources in accordance with USMEPCOM Reg 700-3 (related publication DOD 8000.X-M).

b. Software: Identify and report excess software resources in a memorandum or e-mail to MIM-CD, ATTN: Command Software Manager. In order to declare a software package excess, the Sector Headquarters or MEPS must have all the media (disks and/or CD-ROM) and all manuals. The memorandum or e-mail will include the name/description of software, version, and quantity. Sector Headquarters or MEPS planning to donate software to local schools must use this procedure prior to the donation. Upon receipt of the approval memo from Command Headquarters, the Sector Headquarters or MEPS will proceed to draft a memorandum with subject "Certificate of Destruction" prior to the physical destruction of software. The Sector Headquarters and MEPS System administrators will keep a file copy of the approval memo, and the Certificate of Destruction memorandum.

2-9. Automation Equipment Log

USMEPCOM Form 25-3-2-R-E can be electronically kept on the PC hard drive or hard copy printout as near as possible to the USMEPCOM owned PC. Filling in the information is self-explanatory. The system administrator is the only person authorized to perform routing maintenance or apply upgrades to automated data processing equipment (ADPE), and should initial each item entered under block 4, "MAINTENANCE/UPGRADE PERFORMED ON EQUIPMENT." This form is used to audit/track the

history of equipment and authorization of software used on the PC. For a sample of a completed USMEPCOM 25-3-2-R-E see figure 2-1. The form was distributed by e-mail to all users. MEPS will download form from the USMEPCOM electronic library.

***2-10. Network Documentation Folder**

System Administrators are required to maintain a Network Documentation folder which will include, but is not limited to:

- a. Network map showing key network devices (Router, Hubs, Circuits). If desired, the map may contain other devices to provide additional information (PC's, printers, MIRS devices, CATASVAB, etc.)
- b. Internet protocol (IP) addresses used in MEPS (in spreadsheet format). Column 1 is the device name and Column 2 is the fourth set of numbers (octet) in the device's IP address. If desired, other columns may be added to provide additional information.

Example: A PC in Baltimore (BALT_PC01) with IP address 153.102.15.**126**

BALT_PC01	.126
BALT_PC02	.127

- c. Basic troublecall telephone numbers list:

Network/PC Support -
MIRS Help Desk -
Operations -

(other numbers ?)

- d. Information Sheets section: A place where HQ instructions / suggestions relating to network, PC, software, and hardware are stored. Additional categories may be saved here, if desired.

Figure 2-1. Sample of a completed USMEPCOM Form 25-3-2-R-E - continued

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*C2, USMEPCOM Reg 25-3

Administrative Automation Architecture - Hardware			
	Admin PC	Printers	internet/e-mail
CMDR	X LT	LA	x
1SG	X		x
CMO	X		x
Unit Clerk *	X		x
Secretary	X	LC	x
SGS	X	LA	x
Supply Tech	X	LA	x
Budget Asst	X		x
Ops Officer	X	LA	x
Asst Ops Officer*	X		x
Computer Asst	X		x
Processing NCOIC	X		x
Travel Spec	X	LA	x
Lead MPC	X		x
Proc Spec/MPC			
Med NCOIC	X		x
Lab Spec	X		x
Diag Radl Hlth Tech			
Lead Hlth Tech*			
Med Sp/Hlth Tech	X		x
Asst Ops Officer/TCO	X	LA	x
ESS	LT		x
Test NCO	X		x
Test Coordinator	X		x
Proc Spec/MPC			
TOTAL	22	7	21

X=Desktop PC, LT=Laptop PC, LA=Admin Laser, LC=Color Laser

* Position not at all MEPS

Figure 2-2. Sample Administrative Automation Architecture

Administrative Automation Architecture Software List				
Part I - Standard Software for All PCs				
NAME	DESCRIPTION	IMENS NUMBER	LOCATION	QUANTITY
BACKPACK	TAPE BACKUP			
MCAFFEE	VIRUS SCAN		-33	
MS OFFICE 97 PROFESSIONAL	OFFICE AUTOMATION SUITE			
MS-WINDOWS V 3.0/3.1/3.11 *	OPERATING SYSTEM			
MS-WINDOWS 95	OPERATING SYSTEM			
WORDPERFECT V 5.1/6.0A/6.1 (WIN)	WORD PROCESSING SOFTWARE		-262	
* Authorized for current use, but cannot be upgraded or replaced				
Administrative Automation Architecture Software List				
Part II - Standard Software for Any PC				
NAME	DESCRIPTION	IMENS NUMBER	LOCATION	QUANTITY
ACES V 1 or 2	ASVAB CAREER EXPLORATION	41	TESTING	
ACTWARE	SYSTEMIZER SOFTWARE		ANY	
ACROBAT READER V 3.0	TEXT TRANSLATOR	-193	ANY	
AFAST	BATTERY SCORING WORKSHEET	-369	TESTING	
ASO	AUTOMATED SHIPPING ORDERS		OPS	
BUPERS	NAVY EVAL PROGRAM	-362	HQ	
CALENDAR CREATOR V 1.1	CALENDARING SOFTWARE	-347	HQ/TESTING	2
CD#I(USAF-LEGAL)	HQ ONLY - CMD GROUP	-376	CMD HQ ONLY	
COMMIT V 4.24	DCAS		SGS	
CONTRACT HISTORY FILE SYSTEM	HQ ONLY - MRM		CMD HQ ONLY	
DBASE III *	DATABASE 3		ANY	
DBASE IV *	DATABASE 4		ANY	
DBASE V *	DATABASE 5		CMD HQ ONLY	
DESKSCANII V 2.0	SCANNER SOFTWARE		ANY	
PCEDVR	NAVY PERSONNEL LISTING	-324	HQ	
ENABLE V 2.15*	TO RUN ASO PROGRAM		OPS	
FEDLOG	SUPPLY CATALOG		SUPPLY	
FEDERAL EXPRESS	FEDERAL EXPRESS TRACKING	-423	SUPPLY/HQ	
FORMFLOW V 1.1	FORMFLOW DESIGNER&FILLER	-393	HQ/OPS/SGS/FORMS MGR	4
GSA ADVTGE ACCESS	SUPPLY GSA CATALOG	-154	SUPPLY	
GTS6	TRAVEL PROGRAM	-170	OPS	
HGW V 2.0/3.0	HARVARD GRAPHICS		ANY	
KINDEX KEY CONTROL	KEY CONTROL		OPS	
LOTUS APPROACH V 3.0 (WIN)			ANY	
LOTUS 123 V 4.0/5.0 (WIN)	SPREADSHEET SOFTWARE		ANY	
MARINE FITNESS	MARINE FITNESS PRGM	-90	HQ	
MEALS & LODGING DBS V 4.X	MEALS & LODGING DATABASE		SGS	
MED DBS V 1.7X	MEDICAL DATABASE SYSTEM		MEDICAL/SGS	
MEDICAL EPTS REPORTING	HQ ONLY - MMD		CMD HQ ONLY	
MILSTRIP	MILITARY PERS PROGRAM	-89	HQ	
MILITARY CAREERS	MILITARY CAREERS		TESTING	
MS-EXCHANGE	E-MAIL	-280	ANY	
MS-MONEY	USED FOR AVMF	-180	HQ	
NAVY EVALS	EVALUATIONS US NAVY	-221	HQ	
OMNI PAGE V 6.0	TEXT EDITOR	52	ANY w/SCANNER	
LOTUS ORGANIZER V 1/0/1.1 *	ORGANIZER SOFTWARE		ANY	
PCTOOLS V 8.0 *	DOS VERSION PCTOOLS		OPS (SA)	
PIMS	PERSONNEL INFO MGT SYSTEM		HQ	
PKWARE V 2.0	PKZIP/PKUNZIP	-339	ANY	4
PROCOMM PLUS V 2.0/2.11/3.0 *	COMMUNICATION SOFTWARE	92	ANY	
QUIC	QUANTITATIVE INFO COMPARISON		ANY	
SB4W V 2.0 (WIN) *	SUPERBASE		ANY	
SHIPPERS	SHIPPER PROGRAM	-390	OPS	
SIDPERS	ARMY PERSONNEL DBS		HQ	
STARPUBS	PUBS ORDERING SYSTEM		SGS	
STP DATABASE	STUDENT TEST PROGRAM (ADMIN)		TESTING	
TEST MATERIAL INVENTORY	TEST MATERIAL INVENTORY/CONTROL		TESTING	
TIME&ATTENDANCE	CIVILIAN TIMEKEEPING PRM	-130	HQ	
ULLS4	SUPPLY INVENTORY PRGM		SUPPLY	
UPS	UNITED PARCEL SERV TRACK	-378	SUPPLY/HQ	

Figure 2.3. Sample of Administrative Automation Architecture Software List

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*C2, USMEPCOM Reg 25-3

Government agencies that offer training courses. The Office of Personnel Management, General Services Administration, and military installations offer a wide variety of training packages in many major municipalities at reasonable prices.

- b. Local community colleges and universities.
- c. Commercial sources. Only consider this source if the two sources listed above cannot satisfy requirements, since commercial training is frequently more expensive.

If none of the sources listed above are available, contact the Director, Information Management for assistance.

3-6. ADP resources operating environment

Users of ADP resources have the responsibility to safeguard this equipment. Do not allow smoking in rooms housing ADP hardware. Keep food and drinks approximately one yard away from ADP hardware and data storage media.

3-7. Backup and recovery

Since ADP resources are critical to mission accomplishment, system users will, at least weekly, prepare backup media for use in the event of a system failure. Properly label and store backup media. Labels will identify the system involved, date produced, and information contained on the backup media. Retain at least the last three backup versions before reusing backup media for another backup version. Store one of the backup versions, separately from the others, in a secure location.

3-8. Storing software

Store all original product diskettes in a central, secure area. This will ensure protection of these products from inadvertent damage or theft. Central storage also accommodates convenient inventory and quick reinstallation, if machine failure occurs.

3-9. Security and Privacy Act considerations.

Refer to AR 380-19 and AR 340-21.

a. Using ADP resources outside the designated work area, other than Government-owned portable lap top microcomputers, is discouraged. In those rare instances requiring removal of ADP hardware, system manager approval must be obtained and hand receipts issued.

*b. Internal management controls for information systems security are at appendixes F. System managers will establish internal management control procedures to ensure:

- (1) Efficient and effective management of USMEPCOM ADP resources includes:
 - (a) Protection for both hardware and software against theft, damage, and unauthorized use.
 - (b) Proper management of both primary and backup storage media.
 - (c) Control of access to sensitive information.
 - (d) Accountability.
- (2) Adherence to applicable regulations and policies.

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- (3) Use of USMEPCOM ADP resources only for official and authorized Government business.
- (4) Exclusion of classified information from USMEPCOM microcomputer resources.

System administrators must complete applicable portions of the internal management control review checklist annually and forward them to the Director, Information Management, HQ USMEPCOM.

c. Each time a MEPS computer configuration changes, the MEPS Commander submits an updated accreditation package to sector headquarters for approval. The accreditation process addresses risk analysis, risk assessment, and risk management of MEPS automation equipment.

*d. System administrators must review accreditation packages annually to ensure they conform to AR 380-19.

- e. USMEPCOM automated data processing systems will not contain classified information,

3-10. Privately-owned computer equipment

Use of privately-owned computer equipment to support USMEPCOM missions is prohibited. Privately-owned computer equipment will not be used to access USMEPCOM data bases or the Joint Computer Center (JCC) host computer, except as authorized by the director, Information Management. All requests for access to the JCC host computer will be coordinated through the JCC Information Systems Security Manager, before the access is granted.

3-11. Computer games

The only games authorized on USMEPCOM microcomputers are those which came as an integral part of a Government-procured software package. System managers will ensure all other games are removed.

Chapter 5*Support Services/Records Management****5-1. Records Management Program**

The Records Management Program, called Support Services in this Command, is a division of the Information Management Directorate. It is governed by the Federal Records Act of 1950, as amended. Other laws which govern the program are the Freedom of Information Act (Section 552) (Title 5, United States Code), the Privacy Act of 1974 (5 USC 552a), as amended, Paperwork Reduction Act of 1980, and the Computer Matching and Privacy Protection Act of 1988 (Public Law 100-503).

5-2. Support Services functions. The Support Services Division provides support to end-users in the areas of files, forms, copiers, correspondence, publications, office symbols, printing, editing, Freedom of Information Act, Privacy Act, and terminology, abbreviations and brevity code management. The Management Control Evaluation Checklist for Support Services Division is at appendix J.

***Chapter 6**
Communications Division

6-1. Voice and data matters

The Communications Division is a division of the Information Management Directorate and is the Command's single point for voice and data matters. This division will be the hub for all data communications to include electronic mail, Novell Network, Windows NT, MIRS Communications, and Wide Area Network/Local Area Network issues. The Communications Division will also be the center for the security, development, and posting of the USMEPCOM Web Page, voice telecommunications, along with PC hardware and software support. This will also include the monitoring, planning, controlling, integrating, installing and removing, operations and maintenance activities related to the telecommunications area.

6-2. Management Control Evaluation Checklist

The Management Control Evaluation Checklist for the Communications Division is at appendix I.

Appendix A
References

Section I
Required Publications

***AR 25-55**

The Department of the Army Freedom of Information Act Program. Cited in appendix J, paragraph J-4a.

*** AR 25-400-2**

The Modern Army Recordkeeping System (MARKS). Cited in appendix J, paragraph J-4b.

AR 190-13

The Army Physical Security Program. Cited in paragraph 1-4f (3).

AR 190-51

Security of Army Property at Unit and Installation Level. Cited in paragraph 1-4f (3).

AR 340-21

The Army Privacy Program. Cited in paragraphs 1-4f (2), 3-9, and J-4a.

AR 380-19

Automation Security. Cited in chapters 1, 3, and 4.

USMEPCOM Memo 25-1

USMEPCOM Message Network Procedures. Cited in paragraph 4-1b.

USMEPCOM Reg 25-1

Command Information Steering Committee and Information Users Group. Cited in paragraph 2-5.

USMEPCOM Reg 190-2

USMEPCOM Consolidated Physical Security Program. Cited in paragraph 1-4f (3).

USMEPCOM Reg 700-3

Material Management and Supply Operations. Cited in paragraphs 1-4i (9), 1-4f (9) and 2-8.

***USMEPCOM Suppl 1 to AR 340-21**

The Army Privacy Program. Cited in appendix J, paragraph J-4.

Section II
Related Publications

AR 11-2

Internal Control Systems

AR 25-1

The Army Information Management Program

DOD 8000.X-M

Defense Automation Resources Management Manual

FIPS PUB 41

Federal Information Processing Standards Publication - Computer Security Guidelines for Implementing the Privacy Act of 1974.

Section III

Required Forms

DA Form 2028

Recommended Changes to Publications and Blank Forms. Cited in the "Suggested improvements" paragraph.

DD Form 250

Material Inspection and Receiving Report. Cited at appendix C.

Section IV

Prescribed Form

USMEPCOM Form 25-3-1-R

Information Mission Elements Need Statement (IMENS). Prescribed in paragraph 2-1.

***USMEPCOM Form 25-3-2-R-E**

Automation Equipment Log. Prescribed in paragraph 2-4g.

***USMEPCOM Form 340-21**

Privacy Act and Freedom of Information for Desk Top. Prescribed in USMEPCOM Suppl 1 to AR 340-21, page 4, paragraph 2-2b(3).

***Appendix B (Rescinded)**
Internal Management Control Review Checklist

B-1

17 August 1998

*C2, USMEPCOM Reg 25-3

Appendix C
USMEPCOM Form 25-3-1-R-E (Information Mission Elements Need Statement (IMENS))

C-1. Purpose

This appendix explains the process for completing USMEPCOM Form 25-3-1-R-E (IMENS).

C-2. Completing the USMEPCOM Form 25-3-1-R-E (IMENS)

The IMENS provides the vehicle for individuals to submit requests for ADP resources to meet ADP requirements. Requesters submit IMENS to ensure the stated functional requirements are valid and conform to USMEPCOM policy. Requesters must complete USMEPCOM Form 25-3-1-R-E for all hardware and software requirements, regardless of cost or urgency. Procurement actions will not start until the appropriate authority approves the IMENS. A sample of the form is located at figure C-1. An automated copy of the form is also available and will be reproduced on 8 ½-by 11-inch plain white bond paper.

a. The requester must complete section 1.

(1) Item 2 is the name or office symbol of the originating office

(2) Item 3 is the date that the Commander or Director sign the IMENS

(3) Item 4 is a short description of the request

(4) Item 5 describes the functional requirement (not just the hardware or software desired). Be as specific as possible. For example: "We have one Hewlett Packard LaserJet 4 printer in the Headquarters Section of our MEPS. The one printer is responsible for providing clerical support to the Commander, the CMO and unit administrative support. The LaserJet 4 prints 8 pages per minute (ppm) and we are required to print 14 ppm during our peak processing times (attached is a list of the printing requirements during the peak processing times). The output from this printer is distributed outside the MEPS, so laser quality print is required. We require additional printer support in the Headquarters Section."

(5) Item 6 describes the benefits the requesting organization will derive when its requirements are satisfied. Describe this in terms of money saved, man-hours saved, or easier means of accomplishing the mission. Also state the impact if the IMENS is unfulfilled and how this will affect the overall mission.

(6) The full name, phone number, and signature for the system administrator must be included in this section. The System Administrator should have full understanding of the details of the request and supply further details if necessary.

(7) The full name, phone number, and signature of the Commander or Director authorizing the submission of the IMENS must be included in this section.

Figure C-1. Sample of completed USMEPCOM Form 25-3-1-R-E

INFORMATION MISSION ELEMENTS NEED STATEMENT (IMENS)			
For use of this form, see USMEPCOM Reg 25-3			
IMENS NO:	CATEGORY:	Hardware	Software
		Other	
DATE RECEIVED	IMP NO.	EST. VALUE	DATE COMPLETED
SECTION 1 (Originator)			
1. TO: MIM-AD	2. FROM: Jackson MEPS	3. DATE: 01/01/98	
4. SUBJECT: Color Printer			
5. REQUIREMENT(S) (state mission impact):			
We have a requirement to print reports, forms, charts, slides and briefings for (state position/office i.e., AA). Estimated usage XX number per day/week/month of which X percentage requires all or some color capability.			
6. EXPECTED BENEFITS:			
By having our own color printer we would not have to send our reports, forms, charts, etc. out to be printed. Thus, saving XX number of dollars per month. Currently the printer prints XX pages per minutes and we are running XX pages per day/week/month. An additional printer would eliminate the backlog on the current one and allow for expansion of printing capability.			
SYSTEM ADMINISTRATOR/PHONE		COMMANDER/DIRECTOR SIGNATURE	
_____		_____	
SECTION 2 (HQ Proponent)			
Proponent: _____		Recommendation: Approve <input type="checkbox"/> Disapprove <input type="checkbox"/> Date _____	
Name/Office/Phone _____		Signature _____	
SECTION 3 (MIM-AD)			
Recommendation: Approve <input type="checkbox"/> Disapprove <input type="checkbox"/>		Date _____	
Name/Office/Phone _____		Signature _____	
Comments:			

USMEPCOM Form 25-3-1-R-E, 1 Mar 95

Previous editions of this form are obsolete

F-1. Function

The Director and Deputy Director of Information Management oversee the command wide administration of the USMEPCOM Automated Information Systems Security Program, the implementation of Information Technology (IT), compliance with the Army CIO's accountability requirements to include promotion of effective and efficient design and implementation of all IT management processes, the development and maintenance of information architecture requirements. Provide the Commander guidance on all IT issues and ensure that resource funding requirements are submitted in the Program Objective Memorandum (POM).

F-2. Purpose

The purpose of this checklist is to assist all USMEPCOM commanders in evaluating the key management controls listed below. It is not intended to cover all controls.

F-3. Instructions

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

F-4. Test questions

USMEPCOM Automated Information System Security Program (AISSP).

- a. Have all administrative personal computers been accredited/reaccredited ?
(AR 380-19, ch. 3 and app. D)
- b. Does the accreditation document provide a list of software running on each individual personal computer, the operating system and version, and facility information ?
(AR 380-19, App. D-6)
- c. Is an initial security and awareness briefing given to each new computer user and documented ?
(AR 380-19, para. 2-15.a.)
- d. Are periodic security training and awareness briefings being accomplished and documented for electronic messaging, internet access, world wide web access and administrative usage ? (AR 380-19, para. 2-15.)
- e. Are unattended personal computers/terminals logged off ? (AR 380-19, para. 2-11)
- f. Are the data entry areas designated and posted as a physical controlled area ?
(AR 380-19, para. 2-10.h.)
- g. Are passwords changed as least semi-annually ? (AR 380-19, para. 2-14.g.)

- h. Are passwords controlled and safeguarded by the ISSO/SA ? (AR 380-19, para. 2-14.b.)
- i. Are security incidents and technical vulnerabilities reported immediately to the HQ USMEPCOM

ISSM ? (AR 380-19, para. 1-6.d.(3)(f) and (h))

j. Is anti-virus software loaded and configured to execute at boot-up on each administrative PC ? (HQDA SAIS-PAC-I msg dtg 180713Z Feb 97, subj: Army Antivirus Program Policy Guidance)

k. Is an emergency contingency plan (ECP)/continuity of operation plan (COOP) in effect in the event of major disruption (i.e.; fire, natural disaster, bomb threat, civil disorder) ? (AR 380-19, para. 2-22 and appendix D-8, para .f.)

F-5. Comments

Help make this a better tool for evaluating management controls. Submit comments to HQ USMEPCOM, 2834 Green Bay Road, North Chicago, IL 60064-3094, ATTN: MIM.

F-6. Use of DA Form 11-2-R

DA Form 11-2-R (Management Control Evaluation Certification Statement) is designed to document any management control evaluation. Evaluations at the MEPS must be documented on this form. To use the form, just fill in the appropriate blocks. The assessment unit is the MEPS section or topic reviewed (e.g., processing, medical, preenlistment interview, drug and alcohol testing, Human Immunodeficiency Virus, temporary duty, etc.). The methodology used to conduct the evaluation(s) could be the management control evaluation checklist(s) (located in an appendix of the prescribing regulation) or whatever method to review the area listed in block 3. The next block lists who completed the evaluation and when it was conducted. The completion of the remarks block is self explanatory. The certification is made by the person in charge of the area evaluated. A sample of a completed DA Form 11-2-R is at figure F-1.

MANAGEMENT CONTROL EVALUATION CERTIFICATION STATEMENT For use of this form, see AR 11-2; the proponent agency is ASA(FM).		1. REGULATION NUMBER USMEPCOM Reg 25-3
		2. DATE OF REGULATION ddmmyy
3. ASSESSABLE UNIT Area being reviewed or evaluated		
4. FUNCTION The specific item(s) being reviewed or evaluated		
5. METHOD OF EVALUATION (<i>Check one</i>)		
<input checked="" type="checkbox"/>	a. CHECKLIST	b. ALTERNATIVE METHOD (<i>Indicate method</i>)
APPENDIX (<i>Enter appropriate letter</i>)		
6. EVALUATION CONDUCTED BY		
a. NAME (<i>Last, First, MI</i>) Doe, Cooper D.		b. DATE OF EVALUATION ddmmyy
7. REMARKS (<i>Continue on reverse or use additional sheets of plain paper</i>)		
<p>a. All evaluations must be supported by specific documentation. At a minimum, supporting documents must clearly indicate:</p> <ul style="list-style-type: none"> - Who conducted the evaluation. - The date of the evaluation. - The methods used to test key management controls (management evaluation control checklists, spot checks, paperwork reviews, etc.). - What management control material weakness, if any, were detected (discrepancies). - What corrective actions were taken. <p>b. Reporting organizations (MEPS, sector, directorate) must maintain copies of their annual statements, along with complete supporting documentation.</p> <p>c. Organizations tracking material weaknesses must maintain documentation on:</p> <ul style="list-style-type: none"> - Status. - Effectiveness of corrective actions. - Validation of corrective actions. <p>d. Retention of documentation must be in accordance with the modern army recordkeeping system:</p> <ul style="list-style-type: none"> - Assemble units (MEPS, sector, directorate) retain most recent management control evaluation. - Reporting organizations (MEPS, sector, directorate) retain annual statements and supporting documents for 2 years. - Reporting organizations (MEPS, sector, directorate) retain material weaknesses for 2 years. 		
8. CERTIFICATION		
I certify that the key management controls in this function have been evaluated in accordance with provisions of AR 11-2, Army Management Control Process. I also certify that corrective action has been initiated to resolve any deficiencies detected. These deficiencies and corrective actions (<i>if any</i>) are described below or in attached documentation. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. ASSESSABLE UNIT MANAGER		b. DATE CERTIFIED
(1) Typed Name and Title John A. Doe, Commander		
(2) Signature John A. Doe		ddmmyy

DA FORM 11-2-R, JUL 94

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Figure F-1. Sample of a completed DA Form 11-2-R

***Appendix G**
Management Control Evaluation Checklist - Software Development

G-1. Function

Software Development Division provides application systems development support to all areas of the Command. Programming function is performed for the development and maintenance of applicant, high school student, and administrative software systems on all platforms, including maintenance of Command databases and data/system interfaces with outside agencies. Major systems are MEPCOM Integrated Resource System (MIRS), Computerized Adaptive ASVAB Testing (CAT-ASVAB), High School Student Testing System (STS), Personnel Information Management System (PIMS), Meals & Lodging Database System, Medical Database System, Student Testing Program, Automated Shipping Orders (ASO).

G-2. Purpose

The purpose of this checklist is to assist all USMEPCOM commanders in evaluating the key management controls listed below. It is not intended to cover all controls.

G-3. Instructions

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

G-4. Test questions

a. Proper MIRS System Shutdown. The control objective is to ensure MIRS system shutdown procedure is followed properly as contained in the USMEPCOM Policy Memorandum 2-1.

Is the MEPS preparing designated personnel to review MIRS system shutdown procedure step by step to ensure a proper shutdown is accomplished in case of necessity? (USMEPCOM Policy Memorandum 2-1, appendix G-1)

b. MIRS Log Off Process. The control objective is to ensure MIRS log off process is performed properly to prevent MIRS system from causing problems.

Is the MEPS ensuring MIRS users follow the log off process properly? (USMEPCOM Policy Memorandum 2-1, appendix G-13)

c. MIRS Backup Procedures. The control objective of MIRS backup procedures is to ensure that prescribed procedures, and responsibilities contained in the USMEPCOM Policy Memorandum 2-1 are followed to ensure a proper backup process is accomplished on a daily basis (Monday through Friday and Saturday opening).

- (1) Is an individual or individuals designated to perform MIRS backup procedures? (USMEPCOM

Policy Memorandum 2-1, appendix G-19)

(2) Is the MEPS ensuring MIRS Backup Procedures are performed on a daily basis by this individual? (USMEPCOM Policy Memorandum 2-1, appendix G-19)

(3) Is the MEPS ensuring that backup tapes are properly labeled? (USMEPCOM Policy Memorandum 2-1, appendix G-19)

(4) Is the MEPS ensuring that MIRSUSER's E-Mail messages are checked every morning to determine whether a good backup was performed the night before? (USMEPCOM Policy Memorandum 2-1, appendix G-19)

d. Backup Procedures for PC Application Software. The control objective is to ensure backup procedures are followed properly by MIRS PC workstation users. It is imperative that a tape backup be completed right after the initial installation and for each upgrade.

Is the MEPS ensuring MIRS PC users accomplish tape backup by following step-by-step backup procedures to its successful completion? (USMEPCOM Policy Memorandum 2-1, appendix G-21)

G-5. Comments

Help make this a better tool for evaluating management controls. Submit comments to HQ USMEPCOM, 2834 Green Bay Road, North Chicago, IL 60064-3094, ATTN: MIM.

G-6. Use of DA Form 11-2-R

DA Form 11-2-R (Management Control Evaluation Certification Statement) is designed to document any management control evaluation. Evaluations at the MEPS must be documented on this form. To use the form, just fill in the appropriate blocks. The assessment unit is the MEPS section or topic reviewed (e.g., Backup procedures for MIRS PC workstation users, processing, security, medical, preenlistment interview, drug and alcohol testing, files management, etc.). The methodology used to conduct the evaluation(s) could be the management control evaluation checklist(s) located in an appendix of the prescribing regulation, or whatever method used to review the area listed in block 3. The next block lists who completed the evaluation and when it was conducted. The completion of the remarks block is self explanatory. The certification is made by the person in charge of the area evaluated. A sample of a completed DA Form 11-2-R is at figure G-1.

MANAGEMENT CONTROL EVALUATION CERTIFICATION STATEMENT		1. REGULATION NUMBER USMEPCOM Reg 25-3
For use of this form, see AR 11-2; the proponent agency is ASA(FM).		2. DATE OF REGULATION ddmmyy
3. ASSESSABLE UNIT Area being reviewed or evaluated		
4. FUNCTION The specific item(s) being reviewed or evaluated		
5. METHOD OF EVALUATION (Check one)		
<input checked="" type="checkbox"/>	a. CHECKLIST	b. ALTERNATIVE METHOD (Indicate method)
APPENDIX (Enter appropriate letter)		
6. EVALUATION CONDUCTED BY		
a. NAME (Last, First, MI) Doe, Cooper D.		b. DATE OF EVALUATION ddmmyy
7. REMARKS (Continue on reverse or use additional sheets of plain paper)		
<p>a. All evaluations must be supported by specific documentation. At a minimum, supporting documents must clearly indicate:</p> <ul style="list-style-type: none"> - Who conducted the evaluation. - The date of the evaluation. - The methods used to test key management controls (management evaluation control checklists, spot checks, paperwork reviews, etc.). - What management control material weakness, if any, were detected (discrepancies). - What corrective actions were taken. <p>b. Reporting organizations (MEPS), sector, directorate) must maintain copies of their annual statements, along with complete supporting documentation.</p> <p>c. Organizations tracking material weaknesses must maintain documentation on:</p> <ul style="list-style-type: none"> - Status. - Effectiveness of corrective actions. - Validation of corrective actions. <p>d. Retention of documentation must be in accordance with the modern army recordkeeping system:</p> <ul style="list-style-type: none"> - Assemble units (MEPS, sector, directorate) retain most recent management control evaluation. - Reporting organizations (MEPS, sector, directorate) retain annual statements and supporting documents for 2 years. - Reporting organizations (MEPS, sector, directorate) retain material weaknesses for 2 years. 		
8. CERTIFICATION		
I certify that the key management controls in this function have been evaluated in accordance with provisions of AR 11-2, Army Management Control Process. I also certify that corrective action has been initiated to resolve any deficiencies detected. These deficiencies and corrective actions (if any) are described below or in attached documentation. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. ASSESSABLE UNIT MANAGER		
(1) Typed Name and Title John A. Doe, Commander		b. DATE CERTIFIED dmyy
(2) Signature John A. Doe		

DA FORM 11-2-R, JUL 94

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Figure G-1. Sample of a completed DA Form 11-2-R

***Appendix H**

Management Control Evaluation Checklist – Systems Analysis and Support Division

H-1. Function

Systems Analysis and Support provides systems support to all areas of the Command. Systems support includes the analysis of functions to determine if the function is capable of being automated, the design and redesign of automated systems and the allocation and accountability of automation resources.

H-2. Purpose

The purpose of this checklist is to assist all USMEPCOM commanders in evaluating the key management controls listed below. It is not intended to cover all controls.

H-3. Instructions

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

H-4. Test questions

a. Automation Resource Control and Accountability. The purpose of this objective is to ensure that prescribed policies, procedures, and responsibilities contained in Regulations are followed to protect and account for Government property.

**(1) Is an inventory maintained that lists all MIRS components by serial number?
(USMEPCOM Reg 700-3, par. 2-10)**

**(2) Is an inventory maintained that lists all CAT-ASVAB components by serial number?
(USMEPCOM Reg 700-3, par. 2-10)**

(3) Is an inventory maintained that lists all telecommunications components by serial number? (USMEPCOM Reg 700-3, par. 2-10)

(4) Is an inventory maintained that lists all administrative computing components by serial number? (USMEPCOM Reg 700-3, par. 2-10)

**(5) Are all MIRS components listed on the property book properly hand receipted?
(USMEPCOM Reg 700-3, par. 2-10 and DA Pam 710-2-1, ch. 4)**

**(6) Are all CAT-ASVAB components listed on the property book properly hand receipted?
(USMEPCOM Reg 700-3, par. 2-10 and DA Pam 710-2-1, ch. 4)**

(7) Are all telecommunications components listed on the property book properly hand receipted? (USMEPCOM Reg 700-3, par. 2-10 and DA Pam 710-2-1, ch. 4)

(8) Are all administrative computing components listed on the property book properly hand receipted? (USMEPCOM Reg 700-3, par. 2-10 and DA Pam 710-2-1, ch. 4)

b. Data Processing Resources. The purpose of this objective is to ensure that hardware and software obtained beyond the command standard is properly requested and authorized.

(1) Does each software package have an approved USMEPCOM Form 25-3-1-R-E (Information Mission Element Need Statement (IMENS))? (USMEPCOM Reg 25-3, para. 4h(2))

(2) Does each piece of accountable ADP hardware have an approved IMENS? USMEPCOM Reg 25-3, para 4h(2)

(3) Are requests for additional microcomputer assets documented by an IMENS and approved by HQ, USMEPCOM? (USMEPCOM Reg 25-3, par. 2-4)

(4) Is a USMEPCOM Form 25-3-2-R-E (Automation Equipment Log) completed and stored with each Personal Computer (PC) system? (USMEPCOM Reg 25-3 par. 2-9)

H-5. Comments

Help make this a better tool for evaluating management controls. Submit comments to HQ USMEPCOM, 2834 Green Bay Road, North Chicago, IL 60064-3094, ATTN: MIM.

H-6 Use of DA Form 11-2-R

DA Form 11-2-R (Management Control Evaluation Certification Statement) is designed to document any management control evaluation. Evaluations at the MEPS must be documented on this form. To use the form, just fill in the appropriate blocks. The assessment unit is the MEPS section or topic reviewed (e.g., Backup procedures for MIRS PC workstation users, security, processing, medical, preenlistment interview, drug and alcohol testing, files management, etc.). The methodology used to conduct the evaluation(s) could be the management control evaluation checklist(s) located in an appendix of the prescribing regulation, or whatever method used to review the area listed in block 3. The next block lists who completed the evaluation and when it was conducted. The completion of the remarks block is self explanatory. The certification is made by the person in charge of the area evaluated. A sample of a completed DA Form 11-2-R is at figure H-1.

MANAGEMENT CONTROL EVALUATION CERTIFICATION STATEMENT		1. REGULATION NUMBER USMEPCOM Reg 25-3
For use of this form, see AR 11-2; the proponent agency is ASA(FM).		2. DATE OF REGULATION ddmmyy
3. ASSESSABLE UNIT Area being reviewed or evaluated		
4. FUNCTION The specific item(s) being reviewed or evaluated		
5. METHOD OF EVALUATION (<i>Check one</i>)		
<input checked="" type="checkbox"/>	a. CHECKLIST	b. ALTERNATIVE METHOD (<i>Indicate method</i>)
APPENDIX (<i>Enter appropriate letter</i>)		
6. EVALUATION CONDUCTED BY		
a. NAME (<i>Last, First, MI</i>) Doe, Cooper D.		b. DATE OF EVALUATION ddmmyy
7. REMARKS (<i>Continue on reverse or use additional sheets of plain paper</i>)		
<p>a. All evaluations must be supported by specific documentation. At a minimum, supporting documents must clearly indicate:</p> <ul style="list-style-type: none"> - Who conducted the evaluation. - The date of the evaluation. - The methods used to test key management controls (management evaluation control checklists, spot checks, paperwork reviews, etc.). - What management control material weakness, if any, were detected (discrepancies). - What corrective actions were taken. <p>b. Reporting organizations (MEPS, sector, directorate) must maintain copies of their annual statements, along with complete supporting documentation.</p> <p>c. Organizations tracking material weaknesses must maintain documentation on:</p> <ul style="list-style-type: none"> - Status. - Effectiveness of corrective actions. - Validation of corrective actions. <p>d. Retention of documentation must be in accordance with the modern army recordkeeping system:</p> <ul style="list-style-type: none"> - Assemble units (MEPS, sector, directorate) retain most recent management control evaluation. - Reporting organizations (MEPS, sector, directorate) retain annual statements and supporting documents for 2 years. - Reporting organizations (MEPS, sector, directorate) retain material weaknesses for 2 years. 		
8. CERTIFICATION		
I certify that the key management controls in this function have been evaluated in accordance with provisions of AR 11-2, Army Management Control Process. I also certify that corrective action has been initiated to resolve any deficiencies detected. These deficiencies and corrective actions (<i>if any</i>) are described below or in attached documentation. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. ASSESSABLE UNIT MANAGER		b. DATE CERTIFIED
(1) Typed Name and Title John A. Doe, Commander		
(2) Signature John A. Doe		ddmmyy

DA FORM 11-2-R, JUL 94

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Figure H-1. Sample of a completed DA Form 11-2-R

***Appendix I**
Management Control Evaluation Checklist - Communication Division

I-1. Function

The Communication Division provides USMEPCOM with the single point of contact for voice and data communication services and technology, PC hardware and software support. The division is the manager for the command's Electronic Mail, Networking Command and Control, MIRS Communications, Local Area Network (LAN) and Wide Area Network (WAN) issues and provides security assistance for these operations. The Communication Division is the developer and publisher of the USMEPCOM Web Pages on the Intranet Server and the advisor to the command on the Web technologies. The division provides the management of the USMEPCOM telephone systems.

I-2. Purpose

The purpose of this checklist is to assist all USMEPCOM commanders in evaluating the key management controls listed below. It is not intended to cover all controls.

I-3. Instructions

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

I-4. Test questions

a. Network Management. The objective of the Network Management branch is to provide USMEPCOM personnel automation applications and network related services and capabilities.

- (1) Is there an up-to-date Network Documentation folder? (USMEPCOM Reg 25-3, para 2-10).
- (2) Has a back-up for the System Administrator been assigned? (US MEPCOM Reg 25-3, para 2-6).
- (3) Are all network connected devices authorized for use on a USMEPCOM network?
(USMEPCOM Reg 25-3, para 2-4).

b. Software Management. The objective of the Software Management Program is to comply with the federal mandate to efficiently manage the Federal Government's information technology resources. The Information Technology Management Reform Act (ITMRA) mandates all Federal Agencies inventory their computer equipment, hardware and software and maintain an inventory of excess and surplus assets.

- (1) Is all Commercial-Off-The-Shelf (COTS) software accounted for by a signed hand receipt?
(USMEPCOM Reg 25-3, para 2-5f) and (USMEPCOM Reg. 700-3, para 2-10).
- (2) Are the original media (CD-ROM and/or diskettes) and manuals secured by the systems administrator? (C2, USMEPCOM Reg 25-3, para 2-5f).

(3) Has the systems administrator conducted the quarterly audit of the non-MIRS PC hard drives to ensure no copyright violations exist? (C2, USMEPCOM Reg 25-3, para 2-5f).

(4) Does the system administrator keep a current copy of the USMEPCOM Approved COTS List along with the approved IMENS? (C2, USMEPCOM Reg 25-3, para 2-5).

(5) Does the system administrator have the correct number of COTS packages in possession to correspond to the approved IMENS? (C2, USMEPCOM Reg 25-3, para 2-5f).

(6) Is the Automation Equipment Log, USMEPCOM Form 25-3-2-RE, updated when COTS software is installed or upgraded? (IMC 1 to USMEPCOM Reg 25-3, para 2-9.)

c. Telecommunications Management. The objective of telecommunications management is to provide communications capability to accomplish the mission, while utilizing limited budgetary resources in an intelligent manner.

(1) Is a Telecommunications Control Officer (TCCO) appointed by an informal memorandum (USMEPCOM Reg 25-10, par. 5c)

(2) Is the TCCO aware of his or her duties and responsibilities? (USMEPCOM Reg 25-10, par. 4d)

(3) Are the telephone lines and instruments in accordance with the basis of issue authorization? (USMEPCOM Reg 25-10, par. C-2)

(4) Are personnel aware of the priority of usage for long distance calls where multiple facilities are available (e.g., DSN, WATS, DDD)? (USMEPCOM Reg 25-10, Par. 5m)

(5) Are personnel aware of the restrictions regarding making personal telephone calls using government telephones? (USMEPCOM Reg 25-10, Pars. 6b(1), (2), and (3))

(6) Are persons making unauthorized long distance calls paying for them? (USMEPCOM Reg 25-10, pars. 11d(1), (2), and (3))

(7) Are copies of each certified telephone bill and related correspondence retained for a minimum of a year by the TCCO? (USMEPCOM Reg 25-10, par. 11d(5))

I-5. Comments

Help make this a better tool for evaluating management controls. Submit comments to HQ USMEPCOM, 2834 Green Bay Road, North Chicago, IL 60064-3094, ATTN: MIM.

I-6 Use of DA Form 11-2-R

DA Form 11-2-R (Management Control Evaluation Certification Statement) is designed to document any management control evaluation. Evaluations at the MEPS must be documented on this form. To use the form, just fill in the appropriate blocks. The assessment unit is the MEPS section or topic reviewed (e.g., Backup procedures for MIRS PC workstation users, security, processing, medical, preenlistment interview, drug and alcohol testing, files management, etc.). The methodology used to conduct the evaluation(s) could be the management control evaluation checklist(s) located in an appendix of the

prescribing regulation, or whatever method used to review the area listed in block 3. The next block lists who completed the evaluation and when it was conducted. The completion of the remarks block is self explanatory. The certification is made by the person in charge of the area evaluated. A sample of a completed DA Form 11-2-R is at figure I-1.

Figure I-1. Sample of a completed DA Form 11-2-R

MANAGEMENT CONTROL EVALUATION CERTIFICATION STATEMENT For use of this form, see AR 11-2; the proponent agency is ASA(FM).		1. REGULATION NUMBER USMEPCOM Reg 25-3
		2. DATE OF REGULATION ddmmyy
3. ASSESSABLE UNIT Area being reviewed or evaluated		
4. FUNCTION The specific item(s) being reviewed or evaluated		
5. METHOD OF EVALUATION (<i>Check one</i>)		
<input checked="" type="checkbox"/> a. CHECKLIST	<input type="checkbox"/> b. ALTERNATIVE METHOD (<i>Indicate method</i>)	
APPENDIX (<i>Enter appropriate letter</i>)		
6. EVALUATION CONDUCTED BY		
a. NAME (<i>Last, First, MI</i>) Doe, Cooper D.		b. DATE OF EVALUATION ddmmyy
7. REMARKS (<i>Continue on reverse or use additional sheets of plain paper</i>) a. All evaluations must be supported by specific documentation. At a minimum, supporting documents must clearly indicate: <ul style="list-style-type: none"> - Who conducted the evaluation. - The date of the evaluation. - The methods used to test key management controls (management evaluation control checklists, spot checks, paperwork reviews, etc.). - What management control material weakness, if any, were detected (discrepancies). - What corrective actions were taken. b. Reporting organizations (MEPS, sector, directorate) must maintain copies of their annual statements, along with complete supporting documentation. c. Organizations tracking material weaknesses must maintain documentation on: <ul style="list-style-type: none"> - Status. - Effectiveness of corrective actions. - Validation of corrective actions. d. Retention of documentation must be in accordance with the modern army recordkeeping system: <ul style="list-style-type: none"> - Assemble units (MEPS, sector, directorate) retain most recent management control evaluation. - Reporting organizations (MEPS, sector, directorate) retain annual statements and supporting documents for 2 years. - Reporting organizations (MEPS, sector, directorate) retain material weaknesses for 2 years. 		
8. CERTIFICATION		
I certify that the key management controls in this function have been evaluated in accordance with provisions of AR 11-2, Army Management Control Process. I also certify that corrective action has been initiated to resolve any deficiencies detected. These deficiencies and corrective actions (<i>if any</i>) are described below or in attached documentation. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. ASSESSABLE UNIT MANAGER		b. DATE CERTIFIED dmmmyy
(1) Typed Name and Title John A. Doe, Commander		
(2) Signature John A. Doe		

DA FORM 11-2-R, JUL 94

EDITION OF JAN 94 IS OBSOLETE

USAPPC V2.00

J-1. Function

Support Services provides administrative support to all areas of the Command. Support Services include management of the Privacy Act, Freedom of Information Act, copier program, forms management, files management, editorial service, correspondence management, printing and distribution of USMEPCOM forms and publications.

J-2. Purpose

The purpose of this checklist is to assist all USMEPCOM commanders in evaluating the key management controls listed below. It is not intended to cover all controls.

J-3. Instructions

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

J-4. Test questions

a. Privacy Act and Freedom of Information Act (FOIA) Programs. The control objective of the Privacy Act is to ensure that prescribed policies, procedures, and responsibilities contained in the Privacy Act of 1974 are followed to protect the privacy rights of individuals from unwarranted intrusion. FOIA controls must be followed in to collect only personal information that is legally authorized and necessary and to disclose this information only as authorized by the Privacy Act and the Freedom of Information Act.

(1) Is the Privacy Act Program established and implemented in your organization (sector, MEPS, HQ USMEPCOM)? (USMEPCOM Suppl 1 to AR 340-21, para 1-4)

(2) Is an individual designated to implement Privacy Act and FOIA responsibilities? (USMEPCOM Suppl 1 to AR 340-21, para 1-9)

(3) Are rules governing "For Official Use Only" information understood and properly applied by functional proponents? (AR 340-21, para 4-4 c)

(4) Are requests promptly acknowledged to ensure time limits are met? (USMEPCOM Suppl 1 to AR 340-21, para 2-2)

(5) Is a completed USMEPCOM Form 340-21 (Privacy Act and Freedom of Information for Desk Top) on all desk tops of assigned personnel? (USMEPCOM Suppl 1 to AR 340-21, para 2-2)

J-1

17 August 1998

C2, USMEPCOM Reg 25-3

(6) Are FOIA and Privacy Act requests logged into a formal control system?

b. MEPS files management. The objective is to review the previous inspection report, as necessary, to prevent repeated findings. Ensure MEPS administrative personnel are properly maintaining,

transferring and retiring files/records in accordance with AR 25-400-2, The Modern Army Record Keeping System (MARKS).

- (1) Are record folders and containers labeled? (AR 25-400-2, para 6-2a and b)
- (2) Do file labels include file number, title, disposition instructions, and where applicable, the year of accumulation? (AR 25-400-2, para 6-2b)
- (3) Are guides to divide files and to identify subdivisions used? (AR 25-400-2, para 5-7a)
- (4) Is a copy of copy of file numbers used in each office maintained at the MEPS? (AR 25-400-2, para 5-13b)
- (5) Do MEPS utilized the files listing furnished by HQ USMEPCOM (MIM-SS Memo, 17 Oct. 97, subject: MEPS Files List)?
- (6) Is DA Form 543-R (Request for Records) or Optional Form (OF) 23 (Charge Out records) used for material removed from the immediate files area? (AR 25-400-2, para 8-3a)
- (7) Are files either destroyed in current files area, transferred to records holding area, or transferred to the appropriate Federal records center? (AR 25-400-2, table 7-1)
- (8) Are records inspected for completeness and elimination of unnecessary material before being sent out of the current files area for transfer or retirement? (AR 25-400-2, para 9-1c)
- (9) Are personnel-type orders retired under file number 310-10a, and are permanent order record sets retire under file number 310-10c? (AR 25-400-2, table B-53)
- (10) Are personnel responsible for filing familiar with electronic record keeping policies and procedures? (AR 25-400-2, paras 3-5 and 3-6)
- (11) Are standard record shipping containers used when records are transferred to RHAs or retired to a Federal Records Center? (AR 25-400-2, para 9-13b)
- (12) Do MEPS obtain prior approval to transfer records to a RHA or to retire records to a Federal records center? (AR 25-400-2, para 9-8b)
- (13) Does MEPS maintain under file number 25-400-2a copies of SF Forms 135 indicating receipt of records by the records holding area of the Federal records center. (AR 25-400-2, para 9-5 e)

c. Copier management program. The objective is to review the previous inspection report, as necessary, to prevent repeated findings. Ensure MEPS administrative personnel are properly managing their self service copier program in accordance with AR 25-30, The Army Integrated Publishing and Printing Program.

J-2

17 August 1998

C2, USMEPCOM Reg 25-3

- (1) Are copier controls established to limit reproduction to 25 or less copies per original? (AR 25-30, para 11-49c)
- (2) Is written approval from HQ USMEPCOM obtained prior to the acquisition of any copier (purchased or cost-per-copy)? (MCR-SS Memo 30 Jul 93, Subj: Centralized Procurement of Self-Service Copiers)

I-5. Comments

Help make this a better tool for evaluating management controls. Submit comments to HQ USMEPCOM, ATTN: MIM-SS, 2834 Green Bay Road, North Chicago, IL 60064-3094.

I-6. Use of DA Form 11-2-R

DA Form 11-2-R (Management Control Evaluation Certification Statement) is designed to document any management control evaluation. Evaluations at the MEPS must be documented on this form. To use the form, just fill in the appropriate blocks. The assessment unit is the MEPS section or topic reviewed (e.g., processing, medical, preenlistment interview, drug and alcohol testing, Human Immunodeficiency Virus, temporary duty, etc.). The methodology used to conduct the evaluation(s) could be the management control evaluation checklist(s) located in an appendix of the prescribing regulation) or whatever method used to review the area listed in block 3. The next block lists who completed the evaluation and when it was conducted. The completion of the remarks block is self explanatory. The certification is made by the person in charge of the area evaluated. A sample of a completed DA Form 11-2-R is at figure J-1.

Figure J-1. Sample of a completed DA Form 11-2-R

MANAGEMENT CONTROL EVALUATION CERTIFICATION STATEMENT		1. REGULATION NUMBER USMEPCOM Reg 25-3
For use of this form, see AR 11-2; the proponent agency is ASA(FM).		2. DATE OF REGULATION ddmmyy
3. ASSESSABLE UNIT Area being reviewed or evaluated		
4. FUNCTION The specific item(s) being reviewed or evaluated		
5. METHOD OF EVALUATION (<i>Check one</i>)		
<input checked="" type="checkbox"/>	a. CHECKLIST	b. ALTERNATIVE METHOD (<i>Indicate method</i>)
APPENDIX (<i>Enter appropriate letter</i>)		
6. EVALUATION CONDUCTED BY		
a. NAME (<i>Last, First, MI</i>) Doe, Cooper D.		b. DATE OF EVALUATION ddmmyy
7. REMARKS (<i>Continue on reverse or use additional sheets of plain paper</i>)		
<p>a. All evaluations must be supported by specific documentation. At a minimum, supporting documents must clearly indicate:</p> <ul style="list-style-type: none"> - Who conducted the evaluation. - The date of the evaluation. - The methods used to test key management controls (management evaluation control checklists, spot checks, paperwork reviews, etc.). - What management control material weakness, if any, were detected (discrepancies). - What corrective actions were taken. <p>b. Reporting organizations (MEPS, sector, directorate) must maintain copies of their annual statements, along with complete supporting documentation.</p> <p>c. Organizations tracking material weaknesses must maintain documentation on:</p> <ul style="list-style-type: none"> - Status. - Effectiveness of corrective actions. - Validation of corrective actions. <p>d. Retention of documentation must be in accordance with the modern army recordkeeping system:</p> <ul style="list-style-type: none"> - Assemble units (MEPS, sector, directorate) retain most recent management control evaluation. - Reporting organizations (MEPS, sector, directorate) retain annual statements and supporting documents for 2 years. - Reporting organizations (MEPS, sector, directorate) retain material weaknesses for 2 years. 		
8. CERTIFICATION		
I certify that the key management controls in this function have been evaluated in accordance with provisions of AR 11-2, Army Management Control Process. I also certify that corrective action has been initiated to resolve any deficiencies detected. These deficiencies and corrective actions (<i>if any</i>) are described below or in attached documentation. This certification statement and any supporting documentation will be retained on file subject to audit/inspection until superseded by a subsequent management control evaluation.		
a. ASSESSABLE UNIT MANAGER		b. DATE CERTIFIED
(1) Typed Name and Title John A. Doe, Commander		
(2) Signature John A. Doe		ddmmyy