

**Management Control Evaluation Checklist
Intelligence - Information Security**

REGULATION NUMBER:	AR 380-5
DATE OF REGULATION:	25 Feb 88

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Assessable Unit : (Mailing address and phone number)

Function. The function covered by this checklist is the information security.

Purpose. The purpose of this checklist is to assist assessable unit managers and Army activities in their monitor-ship responsibilities under the Information Security Program. This is not an all-inclusive checklist, but can form the basis for locally developed inspection checklists or self-evaluation guides.

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

Evaluation conducted by: (Name, Grade, Title, Office Branch, Telephone Number)	<u>Date of Evaluation</u>
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Evaluation Results: (Document the evaluation results on DA Form 11-2-R, in item 7)

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	RESPONSE			TESTING APPROACH			
	Y E S	N O	N / A	Document Analysis	Direct Observation	Sampling	Simulation
 <p>(Negative answers indicate a management control weakness.)</p>							
(3) Limited to hand carrying to the destination whenever possible, material mailed back?	<input type="checkbox"/>						
j. Are couriers for classified information:							
(1) Cleared to the level of material to be hand-carried?	<input type="checkbox"/>						
(2) Briefed by the security manager concerning their duties and procedures to be followed?	<input type="checkbox"/>						
(3) Designated in writing by the security manager?	<input type="checkbox"/>						
k. Is the courier designation limited to a specific event or period?	<input type="checkbox"/>						
l. Are all term courier designations reviewed and re-certified annually to ensure that a bona fide need?	<input type="checkbox"/>						
m. Is the hand-carried material reconciled with office records to ensure all information has been returned?	<input type="checkbox"/>						
n. Have arrangements been made for authorized storage for classified material upon arrival at the destination?	<input type="checkbox"/>						
o. Is classified information transmitted to a foreign government:							

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	RESPONSE			TESTING APPROACH			
	Y E S	N O	N / A	Document Analysis	Direct Observation	Sampling	Simulation
 <p>(Negative answers indicate a management control weakness.)</p>							
j. Are special in-depth briefings given to personnel who must:							
(1) Act as couriers for classified material?							
(2) Hand-carry classified material outside the U.S. on commercial aircraft?							
(3) Have access to SCI or SAP materials?							
(4) Act as Original Classification Authorities (OCAs)?							
12. Monitor and manage information security program							
a. Have all Army activity commanders and agency heads-							
(1) Designated a properly cleared professional commissioned officer (O-3), warrant officer or DA civilian (GS-080-9 or above) as the MACOM or ARSTAF security manager? (Note: Subordinate element security managers may be of lesser rank/grade than above.)							
(2) Established security policy and procedures which comply with this regulation?							
(3) Allocated resources to manage information security program requirements?							
(4) Integrated the security program with mission requirements of the activity?							

