Department of the Army
Pamphlet 25–403

Information Management

Guide to Recordkeeping in the Army

Headquarters
Department of the Army
Washington, DC
20 December 2006

UNCLASSIFIED

SUMMARY of CHANGE

DA PAM 25–403
Guide to Recordkeeping in the Army

This new Department of the Army pamphlet, dated 20 December 2006--

o Addresses, specifically, those duties performed by the records management
   officials in dealing with the recordkeeping subprogram of the Army records
   management program (para 1-6).

o Explains records disposition, records holding areas, Federal records
   centers, and records management program evaluations (chaps 4, 10, and 11).

o Provides operational procedures for the maintenance and disposition of Army
   information, which encompasses identifying records, managing the various
   types of records media, applying disposition instructions, scheduling
   records, using the Army Records Information Management System software
   application, transferring and retiring records, referencing, and servicing
   procedures (throughout).

**Headquarters
Department of the Army
Washington, DC
20 December 2006**

**Department of the Army
Pamphlet 25–403**

Information Management

Guide to Recordkeeping in the Army

By Order of the Secretary of the Army:

PETER J. SCHOOMAKER
*General, United States Army
Chief of Staff*

Official:

JOYCE E. MORROW
*Administrative Assistant to the
Secretary of the Army*

History. This publication is a new Department of the Army pamphlet.

Summary. This pamphlet provides operational procedures and guidelines for recordkeeping within the Army. It is to be used with AR 25–400–2.

Applicability. This pamphlet applies to the Active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve, unless otherwise stated. During mobilization, procedures in this publication can be modified to support policy changes as necessary.

Proponent and exception authority. The proponent of this pamphlet is the Administrative Assistant to the Secretary of the Army. The proponent has the authority to approve exceptions or waivers to this pamphlet that are consistent with controlling law and regulations. The proponent may delegate this approval authority, in writing, to a division chief within the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this pamphlet by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA, OAASA, Army Records Management and Declassification Agency (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860.

Distribution. This publication is available in electronic media only and is intended for command levels A, B, C, D, and E for the Active Army, the Army National Guard/Army National Guard of the United States, and the U.S. Army Reserve.

Contents (Listed by paragraph and page number)

Contents—Continued

Contents—Continued

Contents—Continued

Chapter 10
Records Holding Areas and Federal Records Centers, *page 60*

Chapter 11
Records Management Program Evaluations, *page 61*

Chapter 12
Contingency Operation Record Collection and Preservation, *page 63*

Appendixes

Table List

Contents—Continued

Figure List

Glossary

Chapter 1
Introduction

1–1. Purpose
This pamphlet provides the procedures for implementing policy contained in AR 25–400–2. It provides operational procedures for the maintenance and disposition of Army information, which encompasses identifying records, managing the various types of records media, applying disposition instructions, scheduling records, using the Army Records Information Management System (ARIMS) software application, transferring and retiring records, and referencing and servicing procedures; this pamphlet also explains records disposition, records holding areas (RHAs), Federal records centers (FRCs), and records management program evaluations. This guide specifically addresses those duties performed by the records management officials in dealing with the recordkeeping subprogram of the Army records management program.

1–2. References
Required and related publications and prescribed and referenced forms are listed in appendix A.

1–3. Explanation of abbreviations and terms
Abbreviations and special terms used in this pamphlet are explained in the glossary.

1–4. Prescribing directive
Army Regulation (AR) 25–400–2 governs the maintenance and disposition of Army information and provides policy on managing information from its creation through final disposition according to Federal laws and Army recordkeeping requirements. The ARIMS Web site at https://www.arims.army.mil provides tools to facilitate carrying out these requirements. A username and password are required to log in to the ARIMS Web site (see para 6–1*c*, below, for login instructions).

1–5. Statutory authority
a. The Federal Records Act of 1950, as amended, contains the statutory authority for the ARIMS program. Government–wide responsibility for Federal recordkeeping is shared by the General Services Administration (GSA) and the National Archives and Records Administration (NARA).

b. Sections 3301 through 3314, Title 44 United States Code (44 USC 3301 through 44 USC 3314), establishes the legal basis for the disposal of records of the U.S. Government.

c. The Paperwork Reduction Act, 44 USC, Chapter 35, establishes the legal basis for minimizing the cost of creation, collection, maintenance, use, dissemination, and disposition of information.

1–6. Functions
This paragraph provides additional information not included in the records official's responsibilities outlined in AR 25–400–2, para 1–4 and AR 25–1, chapters 2 and 8.

a. *Records administrators (RAs)*. Under ARIMS, the RA has the ability to—

(1) Create, modify, and approve Office Records Lists (ORLs) for all units within the Army Command (ACOM), Army Service Component Command (ASCC), or Direct Reporting Unit (DRU) he/she supports.

(2) View all records for every unit within the ACOM, ASCC, or DRU.

(3) Process all requests for hardcopy official records and/or access to electronic records under his/her responsible area when necessary.

b. *Records managers (RMs)*. The RMs may serve at the Headquarters, Department of the Army (HQDA) level, major subordinate command level, field operating agency, DRU, separately authorized activities, tenant organizations, satellite organizations, U.S. Army Installation Management Command (IMCOM) regional levels, and on installation garrison staff with command–wide or organization–wide records management responsibilities. Many of the Army RHAs are also staffed with RMs. RMs—

(1) Approve ORLs for subunits.

(2) Serve as local authority for recordkeeping subprogram procedures/issues.

(3) Manage, oversee, and direct the command, agency, or installation recordkeeping subprogram.

(4) Survey and appraise the agency, command, or installation recordkeeping subprogram at least once every 3 years.

(5) Prescribe and ensure necessary corrective action is taken as part of the complete records management program.

(6) Manage and provide staff direction for the operation of the RHA.

(7) Ensure records are properly arranged and packed prior to movement from the RHA to an FRC.

(8) Maintain liaison and coordinate records transfer, retirement, and retrieval with the FRCs and local NARA offices.

c. *Records coordinators (RCs)*. The RCs are designated at sub–elements as necessary for program execution. They may—

(1) Develop ORLs for their unit.

(2) Coordinate retirement of transfer (T) records to the RHA.

(3) Serve as the subject matter expert for the unit's records.

(4) Resolve indexing problems with the RHA.

(5) Ensure implementation of recordkeeping procedures throughout their unit.

d. Action officers (AOs) at all levels of command. An AO is any individual who creates official records on behalf of the Army. The AO has the capability to—

(1) Search the Army's office record instructions to help determine if a document is an official record.

(2) Create a draft ORL to be maintained for each office symbol within a unit or organization.

(3) Submit records to the Army electronic archives (AEA) or designated records holding facility.

(4) Search for and request records in ARIMS.

(5) View all records submitted to ARIMS internal to the unit.

(6) Identify records as keep (K) (short–term) or T.

(7) Register in ARIMS and submit e–records via the electronic capture and store (ECS) module.

e. NARA. The NARA is the oversight agency responsible for appraising all Federal records, approving their disposition, providing program assistance and FRC storage, evaluating records management programs, and serving as the final custodian of permanent records. The NARA operates 2 different types of records facilities.

(1) *FRCs.* These centers provide temporary storage and reference service for records that are needed infrequently by the creating agency, but are not yet eligible for disposal or transfer to The National Archives. Army records stored in an FRC remain in the legal custody of the Army.

(2) *The National Archives.* The National Archives store the Federal Government's permanent records, which are also known as The National Archives of the United States. When transferring permanent records to The National Archives, agencies also transfer legal and physical custody of the records. The National Archives takes conservation measures needed to preserve the records and also provides reference service, including service to the creating agency.

f. Service providers. To achieve efficiency and to maximize use of Army resources, the functions described in this pamphlet may be performed by a contractor or other agency through memorandum of agreement, memorandum of understanding, and so on. However, the organization maintains responsibility for its records.

1–7. Application of the Army Records Information Management System Program

a. The ARIMS applies to—

(1) All unclassified Army record information, including For Official Use Only (FOUO), regardless of format or medium (paper, electronic ((electronic mail (e–mail), information system data files/databases, word processing, bit–mapped)), microfilm, and so on).

(2) All classified Army record information through secret. Records that are top secret may be set up under ARIMS or in any other manner that will make accountability and control easier. Regardless of the arrangement used, however, the disposition instructions in the ARIMS Records Retention Schedule–Army (RRS–A) will be applied to top secret records. The security classification of a record does not change its retention value.

b. The ARIMS does not apply to—

(1) Record copies of international agreements covered under AR 550–51 (except those maintained by the Office of The Judge Advocate General).

(2) Publications and blank forms stocked for filling requisitions.

(3) Reference materials and books in formally organized and officially designated libraries.

(4) Personal or private records maintained in the workplace.

(5) Duplicate copies of documents maintained in the same file.

1–8. Principles and concept of the Army Records Information Management System

a. Under the ARIMS, records are identified according to the primary directive that prescribes those records be created, maintained, and used. One only needs to know what the prescribing directive is for a specific program to locate the record/file numbers that should be applied to records created to support that program. For example, records created to support the ARIMS program would have their numbers based on AR 25–400–2 because that is the prescribing directive for the ARIMS program. For the most part, the record numbers (RNs) are based on an Army regulation number; however, in the absence of an AR, the number may be based on a Department of the Army (DA) pamphlet, engineering regulation, or some other directive. If no directive can be pinpointed, the number is based on the functional category number under which the program falls (for example, 25 for information management, 40 for medical, and so on). See table 1–1, below, for the prescribing directive functional categories and figure 1–1, below, for the relationship between file numbers and prescribing directives. Only RNs listed in the ARIMS RRS–A are authorized for use.

Table 1–1.
Prescribing Directive Functional Categories

Series	Functional category	Series	Functional category
		381	Military Intelligence
1	Administration	385	Safety
5	Management	405	Real Estate
10	Organization and Functions	415	Construction
11	Army Programs	420	Facilities Engineering
12	Security Assistance and International Logistics	500	Emergency Employment of Army and Other Resources
15	Boards, Commissions, and Committees	525	Military Operations
18	Army Automation	530	Operations and Signal Security
20	Assistance, Inspections, Investigations and Follow up	550	Foreign Countries and Nationals
25	Information Management	570	Manpower and Equipment Control
27	Legal Services	600	Personnel—General
28	Welfare, Recreation, and Morale	601	Personnel Procurement
30	Food Program	602	Soldier–Materiel Systems
32	Clothing and Textile Material	604	Personnel Security Clearance
34	Standardization	608	Personal Affairs
36	Audit	611	Personnel Selection and Classification
37	Financial Administration	612	Personnel Processing
40	Medical Services	614	Assignments, Details, and Transfers
50	Nuclear and Chemical Weapons and Materiel	616	Personnel Utilization
55	Transportation and Travel	621	Education
56	Surface and Transportation	623	Personnel Evaluation
58	Motor Transportation	624	Promotions
59	Air Transportation	630	Personnel Absences
60	Exchange Service	633	Apprehension and Confinement
66	Courier Service	635	Personnel Separations
70	Research, Development, and Acquisition	638	Deceased Personnel
71	Force Development	640	Personnel Records and Identification of Individuals
73	Test and Evaluation	670	Uniform and Insignia
75	Explosives	672	Decorations, Awards, and Honors
95	Aviation	680	Personnel Information Systems
100	Operations	690	Civilian Personnel
105	Communications–Electronics (Being converted to 25–10 through 25–29.)	700	Logistics
108	Audiovisual Services	701	Logistics Plans
115	Climatic, Hydrological, and Topographic Services	702	Product Assurance
130	Army National Guard	703	Petroleum Management
135	Army National Guard of the United States and Army Reserve	705	Research and Development of Material
140	Army Reserve	708	Cataloging of Supplies and Equipment
145	Reserve Officers' Training Corps	710	Inventory Management
165	Religious Activities	711	Supply Chain Integration
190	Military Police	715	Procurement

**Table 1–1.
Prescribing Directive Functional Categories—Continued**

195	Criminal Investigation	725	Requisition and Issue of Supplies and Equipment
200	Environmental Quality	735	Property Accountability
205	Conservation	738	Maintenance of Supplies and Equipment
210	Installations	740	Storage and Supply Activities
215	Morale, Welfare, and Recreation	742	Inspection of Supplies and Equipment
220	Field Organizations	746	Marking, Packing, and Shipment of Supplies and Equipment
230	Nonappropriated Funds and Related Activities	750	Maintenance of Supplies and Equipment
235	Industrialized Activities and Labor Relations	755	Disposal of Supplies and Equipment
290	Cemeteries	840	Heraldic Activities
310	Military Publications (Being converted to 25–30 through 25–49.)	870	Historical Activities
325	Statistics	920	Civilian Marksmanship
335	Management Information Control (Being converted to 25–1 through 25–9.)	930	Service Organizations
340	Office Management (Being converted to 25–50 through 25–69.)	1105	Corps of Engineers Planning
350	Training	1110	Corps of Engineers Engineering and Design
351	Schools (Being converted to 350, Training.)	1125	Corps of Engineers Plant
352	Dependents' Education	1130	Corps of Engineers Project Operation
360	Army Public Affairs	1145	Corps of Engineers Regulatory Functions
370	Libraries–Information Centers	1165	Corps of Engineer Water Resource Policies & Authority
380	Security	1180	Corps of Engineers contracts

b. An alpha or alphanumeric suffix is added to the prescribing directive number to distinguish several records prescribed by a single directive (for example, 27–1a, 27–1b) and to separate between differing agency/office responsibility levels when more than 1 disposition instruction is needed for the same record title (for example, 27–1a1, office with Armywide responsibility; 27–1a2, other offices).

c. The RN, along with the title, authority number, Privacy Act (PA) number (if applicable), description, and disposition make up the complete record instruction.

(1) *RN*. The RNs are created as indicated in paragraphs 6–2*a* and *b*, above.

(2) *Title*. The title is assigned based on the record contents.

(3) *Authority number*. This is the number NARA assigns to the records schedule using a standard form (SF) 115, which approved the disposition for the record. The number identifies it as an Army schedule and the year it was submitted to NARA for approval.

(4) *PA number*. If the records are being filed under a PA system notice, this is the number of that notice.

(5) *Description*. The description identifies the specific type of record authorized for filing under a specific RN.

(6) *Disposition*. The disposition contains the instructions for the actions taken with non–current records. These include transfer to an RHA, retirement to a NARA records center facility, authorized donations, destruction, and accessioning into The National Archives. It provides instructions on when to destroy, delete, or otherwise dispose of short–term records; when and where to retire, destroy, delete, or otherwise dispose of temporary long–term records; and when and how to transfer permanent records to NARA. Cutoff instructions are generally also provided for permanent records.

d. Deviations from the above principle for creating RNs—

(1) Within each functional category, a RN was created for general correspondence files for records that would not normally be filed with a specific records series. These numbers use the functional category numbers as their number. These RNs should not be used as a catchall place to dump records, as this could result in some records being destroyed prematurely. Also, program records should never be filed under a general correspondence file number. See glossary for definition of program records.

(2) The RNs for office administrative housekeeping files also deviate from the ARIMS principle for convenience and accessibility. Housekeeping records use a 1 and an alpha character(s) as their numbers. In determining when it is

appropriate to use a housekeeping number for a particular record, remember housekeeping records exist because an office exists, not why an office exists. Housekeeping records relate to the day–to–day administration of an office and personnel. They do not relate to the office's actual mission.

e. Under the ARIMS, all records are categorized as either K or T records, unless they are identified as unscheduled (U). Records identified as K and U records are kept within the current files area (CFA); T records are transferred to the RHA, AEA, or FRC. The categories are further defined below—

(1) K records are broken up into the categories below—

(a) K records. K records are usually short–term temporary records that have no value beyond the business process. They can have retention periods from 1 day up to and including 6 years. When K records have a specific time period they must be kept for that fixed retention period. (These are records previously approved by NARA for a specific retention period which could not use the keep no longer needed (KN) flexible retention period. For example, if the approved retention period were 2 years, the record label retention line would read: keep in CFA until record is 2–years–old, then destroy.)

(b) Keep event (KE) records. KE records are K records that are dependent upon an (E)vent occurring before the actual retention period starts. A KE records can end up being kept longer than 6 years because they can be held indefinitely awaiting the occurrence of the event; however, they cannot be kept longer than 6 years after the event occurs. When KE records have a specific time period they must be kept for the fixed retention period. (These are records previously approved by NARA for a specific retention period which could not use KEN flexible retention period. For example, if there is an event associated with the disposition, the label retention line would read: ACTIVE PIF after case is closed. INACTIVE. COFF 31 Dec 06, DEST Jan 09.)

(c) KN records. KN records are K records that do not or cannot have a specific time period assigned. KN records are defined as keep until no longer needed (NLN) to reflect their flexible retention period. (KN records were previously referred to as the flexible K6. This had to be changed because some records falling into these categories had to be kept for the actual 6 years and there was no way to differentiate between the two.) A KN record is kept until NLN for business, but not to exceed (NTE) 6 years. The retention line on the record label would read: keep until NLN, NTE 6 years, and then destroy.

(d) Keep event no longer needed records (KEN). KEN records are KE records that do not or cannot have a specific time period assigned and are further defined as keep until the event occurs and then until NLN. (KEN records were previously referred to as the flexible KE6. This had to be changed because some records falling into these categories had to be kept for the actual 6 years after the event and there was no way to differentiate between the two. The retention period for the KEN record starts when the event occurs (an example for a KEN record label retention line would read: keep until NLN after case is closed, NTE 6 years, then destroy).)

(e) All K records. Normally, All K records (KN, KEN, K5, K3, and so on) are kept and destroyed within the CFA. They cannot be transferred to an RHA or the AEA without prior approval from the local RM or RHAM and Army Records Management Declassification Agency (ARMDA). For agencies/units going through a change of status (redesignation, reorganization, transfer of functions, discontinuance or movement), refer to paragraph 9–5, below, for further guidance.

(2) T records—

(a) Are usually long–term records with retention periods over 6 years and up through permanent. For example, a record with a retention period of 6 years, 3 months would be a T record. They have a value beyond the business need, such as for legal, historical, research, or lessons learned purposes.

(b) Are transferred to an Army RHA or the ARIMS AEA when NLN for business purposes, where they are destroyed at the end of their retention period, transferred to an FRC (if applicable) or transferred to The National Archives if they are permanent. Inactive hardcopy T records should only be held in the CFA until they are NLN for day–to–day operations. Electronic T records may be transferred as soon as the record has been completed. A copy can be maintained locally to meet reference needs; however, any locally retained copy is not to be held any longer than the official record copy maintained by the AEA.

(c) Are defined as transfer event (TE) records if they have an event associated with their disposition.

(d) Have the retention period added immediately following the T or TE; (for example, T15, TE7, and so on).

(e) That have a permanent disposition are further defined as a TP or transfer event permanent (TEP) record.

(3) U records—

(a) U records have never been formally appraised by NARA which means they do not have an approved disposition. Once U records have been appraised and The Archivist of the United States approves the disposition, the record category is changed to a K or T, as appropriate.

(b) U records are maintained in the CFA until an approved disposition is received and then the approved disposition is applied. U records cannot be transferred outside the CFA without approval from ARMDA.

```
┌─────────────────────┐
│ THIS IS THE         │          200
│ PUBLICATION SERIES  │          ENVIRONMENTAL QUALITY
│ NUMBER AND TITLE    │
└─────────────────────┘
```

Prescribing Directive

AR 200-1	Environmental Protection and Enhancement
AR 200-2	Environmental Effects of Army Actions
AR 200-3	National Resources – Land, Forest, and Wildlife Management
AR 200-4	Cultural Resources Management
AR 200-5	Pest Management
PAM 200-1	Environmental Protection and Enhancement
PAM 200-4	Cultural Resources Management

```
┌─────────────────────┐
│ THESE ARE THE       │
│ PRESCRIBING         │
│ DIRECTIVES FOR THIS │
│ SERIES              │
└─────────────────────┘
```

Number	Title
200	General environmental quality correspondence files
200-3a	Resources conservation programs, goals, and schedules
200-3b	Timber disposal files
200-3c1	Wildlife management plans and implementations – Cooperative plan agreements
200-3c2	Wildlife management plans and implementations – Licensing documentation
200-3k	Real property maintenance supervisory files
200-5a1	Pest Management - Offices having Army-wide responsibility
200-5a2	Pest Management - Offices other than Offices having Army-wide responsibility

```
┌─────────────────────┐
│ THESE ARE SOME      │
│ FILE NUMBERS        │
│ (RECORDS) THAT ARE  │
│ PRESCRIBED BY 200   │
│ SERIES REGULATIONS  │
└─────────────────────┘
```

Figure 1–1. Relationship between file numbers and prescribing directive

1–9. The Army Records Information Management System software application

The ARIMS software application is a Web–based toolset to help AOs, RCs, RHAMs, RMs, and RAs manage both electronic and hardcopy Army records. The ARIMS provides a variety of tools and services designed to reduce the manual processes associated with traditional records management. One of the system modules, the RRS–A, contains all of the Army's records retention schedules. The ARIMS software application is covered in more detail in chapter 6.

1–10. Office records lists

a. The ORLs are lists of record titles/RNs used within a specific office as an aid in identifying records used within

the organization to support its business processes and housekeeping/administrative functions, as well as identifying long–term and permanent mission related records for transfer or retirement.

b. The ORL includes pertinent information about—

(1) Each of the record series listed.

(2) The record category.

(3) The title of the specific record.

(4) The record type (K, T, or U).

(5) The record duration (retention) period.

(6) Whether or not the record is permanent.

(7) The NARA disposition authority.

(8) The PA number (if applicable).

(9) The RN.

(10) The status indicating whether the ORL is approved, is pending approval (proposed), or in draft.

c. In accordance with AR 25–400–2, ORLs are required and will be prepared using the records management–assistance (RM–Assist) in ARIMS. All K records are included on the ORL to preclude having to create and maintain 2 separate ORLs and for use in printing record labels.

d. To assist in creating the ORL, the RM–Assist is linked to the ARIMS RRS–A. This allows searching for and selecting applicable record titles to automatically populate the ORL.

e. The ORL is created annually and submitted for approval to the agency RA or manager who reviews it for accuracy and completeness.

f. Proposed ORLs may be modified as needed to add, change, or delete record titles. Approved ORLs can only have items added to them, not deleted. Once a record has been filed, using a title from the ORL, that title cannot be deleted.

g. See chapter 6, below, for guidance on creating and using ORLs.

1–11. Maintaining records for multiple organizations

Officials performing duties for more than 1 organization will maintain the records created in each capacity separately. Example situations requiring separate recordkeeping are a division commander who is also an installation commander, a command safety officer who is also the installation safety officer, or the chief of a staff section who is also secretary of a committee.

1–12. Maintaining records in libraries

Record copies of publications and other permanent documents as described in the ARIMS RRS–A will not be maintained as a part of library collections or manuscript collections in libraries or museums. When extra copies are maintained in these collections, they should be distinctly marked library copy or museum copy.

Chapter 2
Identifying Records and Recordkeeping Requirements

2–1. Records

a. By law, Federal records are all documentary materials, including—

(1) Letters.

(2) Memorandums.

(3) Completed forms.

(4) Statistical and narrative reports.

(5) Graphics.

(6) Photographs.

(7) Audio and video recordings.

(8) Maps.

(9) Architectural, engineering, and other drawings.

b. Federal records (regardless of physical forms) include—

(1) Electronic records (e–mail, digitized images, and so on).

(2) Photographic prints and negatives.

(3) Motion picture films.

(4) Tape recordings.

c. Federal records include materials that are made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business.

d. Federal records include materials that are preserved or appropriate for preservation as evidence of agency

functions, organization, and activities or preserved because of the value of the information they contain (see 44 USC 3301).

e. Some files may not be readily identified as records. If the answer to any of the following questions is yes, the document is a Federal record:

(1) Were the creation or submission and maintenance of the document required by the organization?

(2) Was the document used to conduct or facilitate agency business?

(3) Does it contain unique information that explains formulation of significant program policies and decisions? (This would apply if the document is a draft or preliminary document created for background or a similar purpose.)

(4) Was the document distributed to other offices or agencies for formal approval or clearance?

(5) Was the document placed in an organization file?

(6) Is the document part of an electronic information system used to conduct Government business?

(7) Is the document covered by 1 of the records numbers in the ARIMS RRS–A?

f. Preliminary drafts and working paper are Federal records if they—

(1) Explain how the agency formulated and executed significant program policies, decisions, actions, or responsibilities.

(2) Contain unique information, such as annotations or comments

g. Paper records may be originals or copies, such as file copies of outgoing correspondence or copies forwarded for action. Multiple copies of the same document may each be a record if each serves a separate administrative purpose and if they are kept in separate filing or recordkeeping systems. If electronically created records are maintained in a paper recordkeeping system, the information necessary for a complete record must be printed.

h. Electronic records may include data in automated information systems (data files, data bases), word processing files, electronic spreadsheets, e–mail and electronic messages, image (bit–mapped) files, and other text or numeric information.

(1) Electronic recordkeeping involves the use of a computer to create, store, retrieve, use, and dispose of digitally recorded information.

(2) Measures should be taken to ensure that all records which originate or are transmitted through an automated information system, word processing system, e–mail system, and so on are identified, retained, and managed properly and that adequate maintenance and disposition procedures are implemented from the beginning. Records should be readily available and accessible to all authorized users when they need them. This means that the identity, purpose, and location of records are predictable, consistent, and reliable; that methods for access and retrieval are simple and well defined; and that records management practices are incorporated into day–to–day business activities.
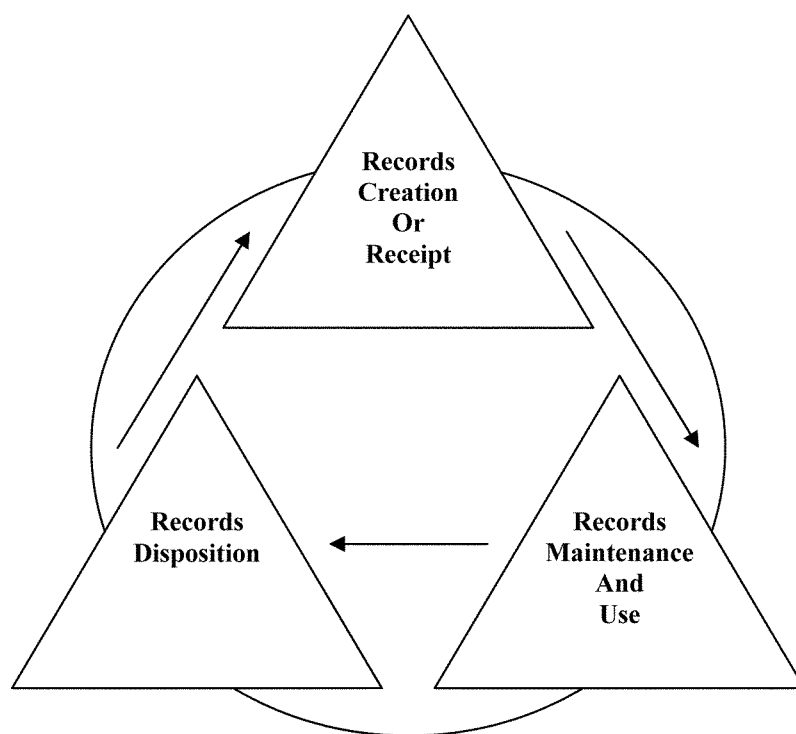
Figure 2–1. Life cycle of a record

2–2. Non–records

a. Non–records are U.S. Government–owned documentary materials excluded from the legal definition of records according to 44 USC 3301. They include—

(1) Extra copies of documents such as those used for reference purposes.

(2) Stocks of publications (excluding the record sets, which are records filed under RN 25–30mm).

(3) Library and museum materials made or acquired and preserved solely for reference or exhibition purposes.

b. Non–record materials include—

(1) Information copies of correspondence, directives, forms and other documents on which no administrative action is recorded or taken.

(2) Routing slips and transmittal sheets adding no information to that contained in the transmitted material.

(3) Tickler, follow–up, or suspense copies of correspondence, provided they are extra copies of the originals.

(4) Duplicate copies of documents maintained in the same file.

(5) Extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set.

(6) Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken.

(7) Physical exhibits, artifacts, and other material objects lacking evidential value.

2–3. Personal records

a. Personal records (previously called personal papers) are documentary materials belonging to an individual that are not used to conduct agency business. They relate solely to an individual's personal and private affairs or are used exclusively for that individual's convenience. Personal records may contain references to or comments on agency

business, but they are considered personal if they are not used in the conduct of business. Categories of personal records include—

(1) Business or professional records created before entering Government service; records created during or relating to previously held positions, political materials, and reference records.

(2) Private records brought into, created, or received in the office; family and personal correspondence and materials documenting professional activities and outside business or political pursuits, including manuscripts and drafts for articles and books and volunteer and community service records that are considered personal, even if created or received while in office, because they do not relate to agency business.

(3) Work–related personal records, such as diaries, journals, notes, personal calendars, and appointment schedules, though work–related, may be personal if they are used only as reminders and personal observations on work–related topics, not for the transaction of Government business.

(4) Personal records may be removed from the office without agency approval; however, if there is a question as to whether materials are personal or Federal records, consult with the organizations records officer.

(5) When leaving Government service, an individual may wish to take with them—

(a) Extra copies of selected Federal records, such as materials they drafted, reviewed, or otherwise acted upon.

(b) Copies of public affairs records, such as news clippings and photographs taken at official functions and celebrations.

(6) Agencies may approve or disapprove requests to remove extra copies of Federal records or other Government–owned documentary materials provided all of the following conditions are met:

(a) Removal would not diminish the official records of the agency.

(b) Removal would not exceed normal administrative economies.

(c) The materials do not contain national security classified information.

(d) The information removed is not subject to the Privacy Act of 1974 (5 USC 552a).

(e) Disclosure of the information removed is not otherwise prohibited by law.

b. When determining whether to permit departing officials to remove documentary materials, the agency should also consider the extent to which such removal could affect the agency's ability to invoke various legal privileges and the use of nondisclosure agreements in appropriate cases. When extra copies of work–related files are removed, a designated official of the agency should review the materials and approve their removal.

2–4. Vital records

Vital records are records that contain information the Army may need to conduct business under emergency operating conditions or to protect the legal and financial rights of the Federal Government and the people it serves (see AR 500–3, paras 1–7 and 2–2 for records officer's responsibilities and requirements regarding vital records). The NARA also has considerable documentation regarding vital records programs which can be found at the following link: http://www.archives.gov/records-mgmt/vital-records/recovery.html. Two types of records have been traditionally identified, emergency operating records and rights and interest records.

a. *Emergency operating records*. These are records essential to the continued functioning and reconstitution of an organization before, during, and after a national security emergency or under emergency or disaster conditions. Per AR 500–3, headquarters (HQ), major commands, and certain activities maintain copies of emergency operating records at predesignated relocation and alternate sites. Records under this category include—

(1) Emergency plans and directives including information needed to operate the emergency operations center and its equipment and records recovery plans and procedures.

(2) Order of succession.

(3) Delegations of authority.

(4) Emergency staffing assignments, including lists of personnel along with their addresses and telephone numbers that are assigned to the emergency operations center or other emergency duties or authorized access to damaged facilities to assess the extent of damage.

(5) Emergency operations center access credentials and classified or restricted access container documentation as required.

(6) Building plans and building systems operations manuals for all agency facilities.

(7) Equipment inventories for all agency facilities.

(8) The ORLs describing the record series and electronic information systems maintained within the office for all agency facilities.

(9) Vital records inventories.

(10) Copies of agency program records (whatever the media) needed to carry out continuing critical functions.

(11) System documentation for any electronic information systems designated as emergency–operating.

b. *Rights and interests records*. These are records essential to the preservation of the legal rights and interests of individual citizens (including Soldiers) and the Army. These records require protection, but do not have to be

maintained at or in the vicinity of an emergency operating site because their need would not be immediate. These records include—

(1) Accounts receivable records.

(2) Social security records.

(3) Payroll records.

(4) Retirement records.

(5) Insurance records.

(6) Records relating to contracts, entitlements, leases, or obligations whose loss would pose a significant risk to the legal and financial rights of the Federal Government or persons directly affected by its actions.

(7) System documentation for any electronic information system which contains records designated as needed to protect rights.

2–5. Unscheduled and unidentified records

a. Records identified as U records are records that have not been formally appraised by NARA and do not have an approved Army records disposition authority. Any U records not identified or described in the ARIMS RRS–A should be brought to the attention of the records management officer who will assist in obtaining a valid RN. New RN requests are submitted through agency records channels to ARMDA for coordination with the proponent of the prescribing directive. See chapter 5, below, for information on how records are scheduled.

b. If it cannot be determined which RN in the ARIMS RRS–A applies to a particular record or if no RNs based on the directive the program falls under can be found, it should be brought to the attention of the requestor's records officer.

c. The records officer will determine what directive prescribes the creation, maintenance, and use of the record. If none of the RNs under RRS–A are applicable, the records officer, in coordination with ARMDA, will establish and RN(s) based on the number of the prescribing directive and the general format in RRS–A and furnish it to the requestor for interim use pending publication in the RRS–A. The disposition instruction will read, retain in CFA until approved disposition instructions are published.

d. The records officer will then submit a request through records management channels to ARMDA requesting the records in question be evaluated and scheduled. The request will include information about the records (identification of prescribing directive, where the records are being created (unit, HQ, and so on), the flow of the business process, volumes, proposed description, proposed disposition and, if possible, an unclassified sample of the records.

2–6. Contractor records

Records management oversight of contract records is necessary to ensure that all long–term recordkeeping needs are met according to the instructions in the RRS–A. Government personnel will assign the appropriate record identification and disposition instructions to all records delivered by the contractor. In addition, records and background electronic data specified for delivery to the contracting agency must be accompanied by sufficient technical documentation to permit use of the records and data.

a. Contractors performing congressionally mandated program functions must create and maintain records to document these programs. The contract must include requirements for the delivery of all pertinent documentation of contractor program execution.

b. Many other types of contracts involve the creation of background information that may have value to the Government. Whenever appropriate, agency officials should require the delivery of such background information in addition to the final product. For example—

(1) Contracts to produce statistical analyses will specify the delivery of background information that may have value to the contracting agency or to other agencies.

(2) Contracts to produce reports that represent Army policy will specify the delivery of background information needed to verify assertions or justify conclusions.

(3) Research contracts will specify the delivery of background information that has value to the contracting agency.

c. A deferred ordering and delivery information clause should be included in the contract to acquire any data/records information that may have value to the Government, but were not identified in advance.

2–7. Special records collections

Special records collections are defined as a group of records that may or may not fall under the same series, but are considered a collection based on common characteristics (for example, John F. Kennedy records collection).

2–8. Contingency operations records

Contingency operations records (CONOPs) are records created by Army forces that are deployed or engaged in operational missions. See chapter 12, below, for more information on CONOPs recordkeeping requirements.

2–9. Records of defunct Army commands
See paragraph 9–5, below, for how the handling of records from Army organizations that have been discontinued or records of Army bases that have closed due to a base realignment and closure action.

2–10. Records of Joint staff and combatant commands
Records created in support of the Joint staff and combatant commands are managed in accordance with the Chairman of the Joint Chiefs of Staff Manual 5760.01, Vol I, 10 Mar 03.

2–11. Records life cycle
A records life cycle involves 3 stages, records creation (or receipt), records maintenance and use, and records disposition (see fig 2–1, above).

a. Records creation (or receipt). Records are created at all levels throughout the Army and can exist in many formats or on various media. Records are created or received and accumulated as an agency conducts Government business. Records are classified as either a record copy or a non–record copy. When records are created, 1 copy must be identified as the official record copy that will be maintained to support the organization's business needs. For received documents, the original copy is usually classified as the record copy. Once the record copy is identified, it should be stamped to reflect its status. For hardcopy records, this is achieved using a rubber stamp that reads file copy or record copy. The stamp is placed vertically along the right margin of the document. For electronic T records, the copy is identified as the record copy by simply transferring it to the AEA. If an office does not have a file server set up for storing short–term record copies, 1 way to identify the record copy for K records is to include for record copy (RecCy) in the file title (for example, MtgReptRecCy.doc).

b. Records maintenance and use. Records are kept to provide documentation of an action taken, to support a decision or legal requirement, to respond to inquiries, and for reference purposes. Under the maintenance and use stage, the records are assigned a RN, which is used to file and retrieve the records. During this stage, records are referred to as active or inactive depending on how often the record is accessed.

(1) *Active records.* Records are considered active if they are used frequently. Active records are maintained in the CFA where they are available for easy retrieval.

(2) *Inactive records.* Records are considered inactive if they are referenced no more than 4 to 5 times annually. Normally, inactive T records are transferred to an RHA or FRC, while K records are managed in the CFA through their life cycle.

c. Records disposition. During the final stage of the record's life, it will be destroyed if it is a temporary record or transferred to The National Archives if it is permanent. Anything less than permanent is considered a temporary record. A record is disposed of according to the disposition instructions for the applicable RN assigned to it.

(1) *Temporary records.* Temporary records are destroyed after a fixed period of time or after occurrence of a specified event. The time may range from a few months to many years. Most (greater than 90 percent) Army records are temporary.

(2) *Permanent records.* Records that are considered sufficiently valuable for historical or other purposes, as to warrant continued preservation by the Federal Government, are classified as permanent. Relatively few (less than 10 percent) of Army records are permanent.

2–12. Recordkeeping requirements
a. Recordkeeping requirements are statements in laws, regulations, or agency directives providing general and specific guidance on particular records to be created and maintained by an agency. Since the Army is legally obligated to create and maintain adequate and proper documentation of its organization, functions, and activities, it needs to issue recordkeeping requirements for all activities at all levels and for all formats and media and to distinguish records from non–record materials and personal papers.

b. Proponents of prescribing directives will ensure that Army regulations and DA pamphlets identify records required to support their business processes as required by AR 25–30, paragraph 2–12. These records are created or received when carrying out the missions or functions of the programs prescribed therein. An example would be to include a statement similar to the following as the last paragraph of chapter 1 and list the specific requirements in appendix B (see fig 2–2, below, for an example of appendix B); for example, "1–7. Recordkeeping requirements. As required by AR 25–400–2, the recordkeeping requirements created by this regulation are listed in appendix B."

c. Proponents will further ensure that any requirements or established procedures governing the use and retention of the records are specified in ARs or DA pamphlets when necessary. These requirements may pertain to such matters as the naming, arrangement, and/or location of records and established procedures, such as those governing information or input submitted for consolidated reports, summaries, or similar information.

d. Proponents will coordinate any new, revised, or rescinded recordkeeping requirements (including recommended retention periods for the new or revised requirements) in Army directives with their records management officers. Records management officers will use the ARIMS RRS–A to identify the RN under which the records will be kept and send requests for new, revised, or rescinded numbers, along with proposed disposition instructions as needed, to

ARMDA, ATTN: JDRP–RDR–R, 7701 Telegraph Road, Alexandria, VA 22315–3860 or e–mail to info@rmda.belvoir-.army.mil. Temporary RNs, titles, and disposition instructions for new numbers will be established by records management officers in coordination with ARMDA. The requirements will be submitted in the same format as shown for RNs in the ARIMS RRS–A and will include a complete description of the records to be created, identifying any specific forms or documents that are to be used and any automated information systems that are used to produce or store the records.

e. Proponents will review the recordkeeping requirements whenever making changes to the prescribing directive. When an AR is superseded, the proponent will review the RNs prescribed by that AR and inform ARMDA which numbers transfer to the superseding AR and which, if any, will be rescinded. If the AR is rescinded, the RNs will be reviewed and if they no longer remain valid, the proponent will request that ARMDA rescind them. Any RNs remaining valid after a prescribing directive has been rescinded will be changed to reflect a new prescribing directive if one can be found or if not, will be based on the functional category under which the record falls. For example, if the record deals with a medical category, it would be based on file category 40.

Appendix B
Recordkeeping Requirements

B-1. **Requirements.**
This regulation requires the creation, maintenance, and use of the following specific records.

   a. K (Keep) Records.

      RN: 215-4a2 - NAF debarred bidder lists - Offices other than Office responsible for final determination as to whether or not a bidder is placed on the list.

      RN: 215-4b – NAF vendor mailing lists

      RN: 215-4d – NAF procurement registers

      RN: 215-4e – NAF procurement inspections

      RN: 215-4g - NAF small purchase categories

   b. T (Transfer) Records.

      RN: 215-4a1 - NAF debarred bidder lists - Office responsible for final determination as to whether or not a bidder is placed on the list.

      RN: 215-4c1 - NAF master, open-end and call-type contracts - Offices administering contract

      RN: 215-4c2 - NAF master, open-end and call-type contracts – Offices administering contract: records relating to contracts involved in appeals handled by a Board of Contract Appeals

      RN: 215-4f – NAF contracting officer designations

      RN: 215-4h – NAF contract actions

      RN: 215-4i – NAF award protest files – Offices authorized to perform final review

      RN: 215-4j – NAF contract appeals

B-2. Detailed record information
Detailed information about the above records is located on the RRS-A Module of ARIMS located at www.arims.army.mil.

Figure 2–2. Sample "Appendix B–Recordkeeping Requirements (AR 215–4)"

Chapter 3
Managing the Various Types of Records Media
This chapter provides guidance and procedures for maintaining the Army's information regardless of the media to ensure it is available when needed. The RRS–A lists all the known types of records the Army creates in support of its myriad of programs. Each of the different types of records is covered by one of the RNs listed in the RRS–A, which states its disposition.

Section I
Hardcopy records

3–1. General
Generally, hardcopy records are defined as paper records, but microfilm records are also classified as hardcopy records, as are audio visual, cartographic, and architectural records.

3–2. Records preparation before filing
a. Before filing a record, examine it to ensure all actions are complete and essential information is attached. If essential information is missing and cannot be located, annotate the record indicating what measures are being taken to obtain the information.

b. Envelopes, routing slips that bear no essential information and extra copies should be removed. Cover sheets (such as SFs 703, 704, and 705) should be removed unless records are in suspense files or when cases are placed in record containers pending completion of the action.

c. Staple hardcopy documents when possible. Prior to stapling, documents should be assembled with the latest action on top. Other fasteners may be used when there are too many papers for stapling or physical characteristics prohibit stapling.

3–3. Cross references
a. Prepare cross references only when essential to retrieving information. They may be used when—

(1) A document is related to more than 1 action.

(2) A classified document has a direct relationship to unclassified material. Do not place classified information on cross reference forms filed in unclassified files.

(3) A document with various dates relates functions to other sub–functions or actions.

(4) A document has been changed from 1 RN or subdivision to another RN or subdivision.

b. A cross references is filed under 1 RN or subdivision to show the location of material filed elsewhere (see fig 3–1, below, for a sample cross reference).

RECORDS CROSS REFERENCE

1. ARIMS Record Number (in which this cross reference is filed):
2. ARIMS Record Number Title
3. Related Record Information
    a. Originator
    b. Addressee
    c. Subject
    d. Date
    e. Location:
        (1) ARIMS Record Number
        (2) ARIMS Record Number Title
    f. Media
    g. Summary:

Figure 3–1. Sample records cross reference

3–4. File supplies

File supplies include folders, guides, labels, fasteners, binders, envelopes, microfiche envelopes, and label holders. Supplies available from the Federal supply schedule should be used to maintain official records.

a. Use standard guides to divide records and to identify subdivisions for ease in filing and retrieval (see fig 3–2, below, for a sample use of guide cards).

b. Use standard size folders to consolidate, retrieve, and protect the records.

c. Mark or stamp folders with the proper classification per AR 380–5.

d. When using RM–Assist to create file and barcode labels, use Avery file labels 5161 or an equivalent label.

600 PERSONNEL—GENERAL

380 SECURITY

40 MEDICAL SERVICES

25 INFORMATION MANAGEMENT
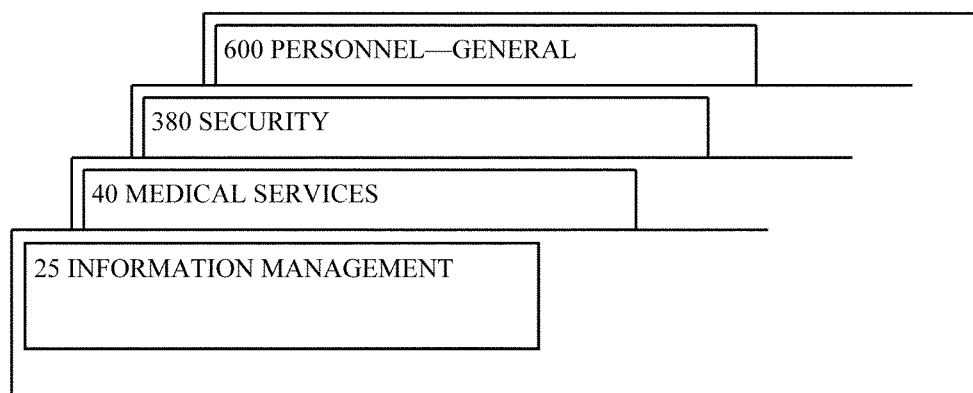
Figure 3–2. Sample use of guide cards

3–5. Arrangement of files

a. Records arrangement. Unless specified by the prescribing directive, records should be arranged in a manner that best suits the business or reference needs of an office. The following are common arrangements for subdividing records:

(1) *Date arrangement.* Use only for material within folders or for suspense folders. Arrange records chronologically, with the newest record at the front of the file (see fig 3–3, below, for sample date arrangement of documents within a folder).

(2) *Alphabetic arrangement.* The 2 basic methods of arranging records alphabetically are as follows:

(a) Subject. Under this method, subject files are used and arranged alphabetically. For example, Organizational History Files might be subdivided into Assumption of Command, Ceremonies, Honors, Lineage, and so on (see fig 3–4, below, for sample subject arrangement of files).

(b) Name. Records are arranged by the name of persons, places, or organizations. The principal use is in arranging personnel–type records (see fig 3–5, below, for sample personal names arrangement of files, fig 3–6, below, for sample place names arrangement of files, and fig 3–7, below, for sample organization names arrangement of files).

(3) *Numeric arrangement.* Records are arranged in numerical sequence by number, such as by invoice number, contract number, unit designation, and so on (see fig 3–8, below, for sample numeric arrangement of files).

(4) *Alphanumeric.* Records are arranged by a combination of words and numbers such as social security number and name (see fig 3–9, below, for sample alphanumeric arrangement of files).

b. Arrangement restrictions. Records not covered by a PA System of Records Notice will not be filed or retrieved by personal identifier (name, social security number, date of birth, and so on) even if that capability exists. All PA System of Records Notices are published in DA Pam 25–51 (see AR 340–21 for exception procedures).

02 Feb 05

21 Jul 05

09 Oct 05

23 Dec 05

KN 25-1eee Automation Inventory Files   (05)

Keep until NLN,NTE 6 YR, then destroy.
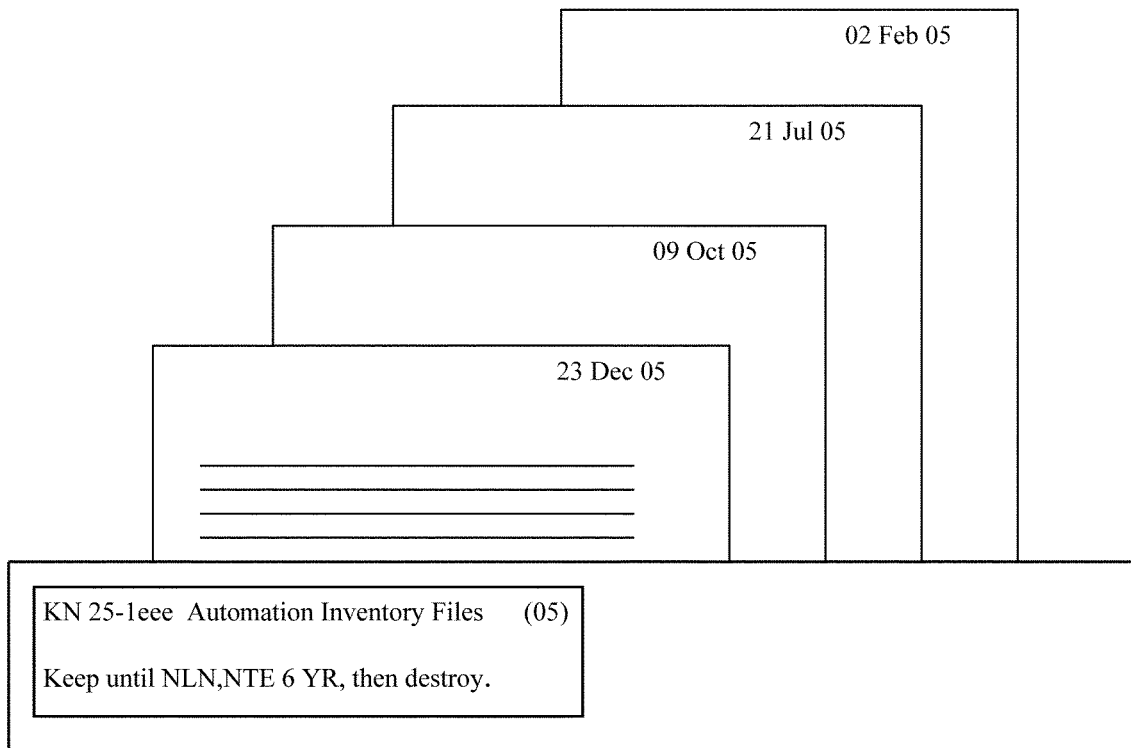
Figure 3–3. Sample date arrangement of documents within a folder

KN 1b Office security   (05)

KN 1b Emergency evacuations procedures   (05)

KN 1b Blood Donations   (05)

KN 1b Office general management

Keep until NLT NTE 6 years, then destroy.
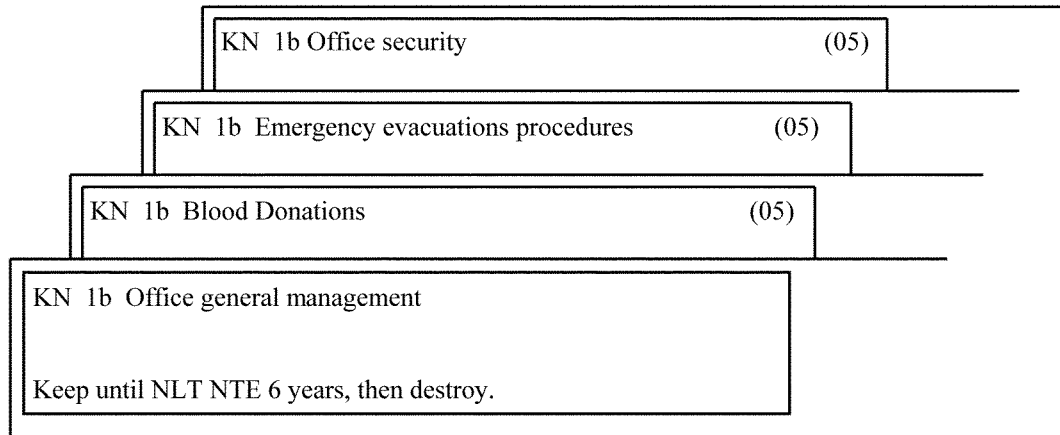
Figure 3–4. Sample subject arrangement of files with a record series

KEN 1ii Westerman, Charles   (05)

KEN 1ii Howard, Leroy B.   (05)

KEN 1ii Eldridge, Stephen M.   (05)

KEN 1ii Office military personnel files

PA A0001b/AHRC
Keep until individual is transferred or separated, then destroy.
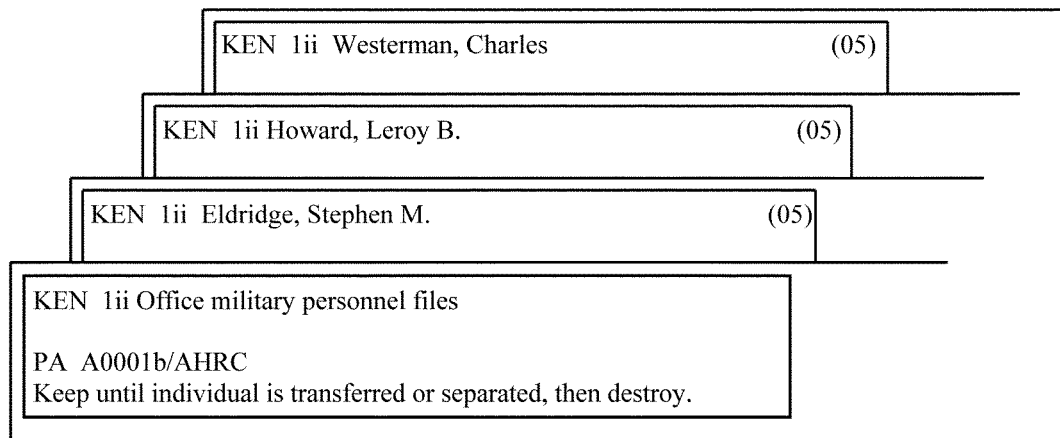
Figure 3–5. Sample personal names arrangement of files

TEP 1165-2-26a San Francisco District	(05)

TEP 1165-2-26a Los Angeles District	(05)

TEP 1165-2-26a Conservation of natural resources-USA South
        Pacific Division

Keep until report, study, or investigation complete, trf RHA.

TEP 1165-2-26a Omaha District	(05)

TEP 1165-2-26a Kansas City District	(05)

TEP 1165-2-26a Conservation of natural resources—NW Div

Keep until report, study, or investigation complete, trf RHA.

Figure 3–6. Sample place names arrangement of files

KEN 70-10q Red River   (05)

KEN 70-10q Anniston   (05)

KEN 70-10q—Installation Test Schedule—Depots

KEN 70-10q—Rock Island   (05)

KEN 70-10q—Redstone   (05)

KEN 70-10q Installation Test Schedule   - Arsenals

Keep until related test is complete, then destroy.
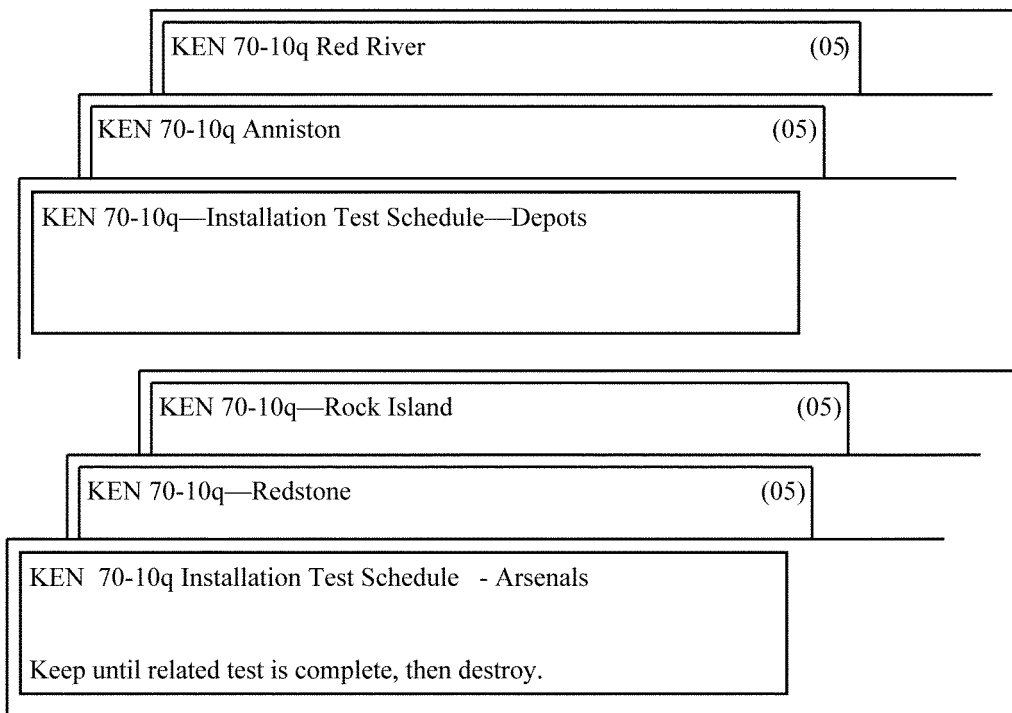
Figure 3–7. Sample organization names arrangement of files

TE 715K1 Contract Number AHC94-90-R-0003   (05)

TE 715k1 Contract Number DAHC94-90-R-0002   (05)

TE 715k1 Contract Number DAHC94-87-0003   (05)

TE 715k1 Contract actions—other than environmental
contracts: Contracting officer

Keep until NLN, trf to RHA
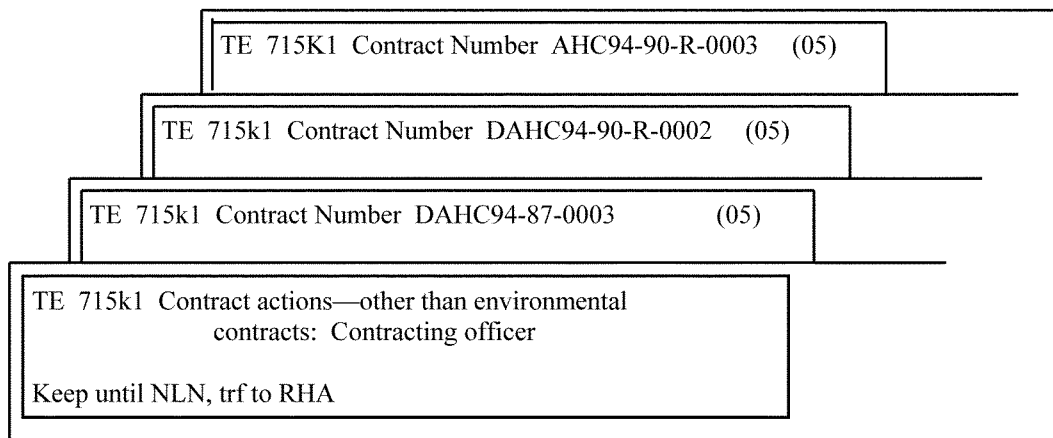
Figure 3–8. Sample numeric arrangement of files

TE 381-20p2 WRIGHT, Elizabeth A.   5639   (05)

TE 381-20p2   JOHNSON, Jerry M.   0939   (05)

TE 381-20p2 JOHNSON, George G.   0118   (05)

TE 381-20p2 Counterintelligence/Security Investigation-IRR:
Routine investigation of a minor nature.
PA A0381-20bDAMI
Keep until NLN after event occurs, trf RHA.
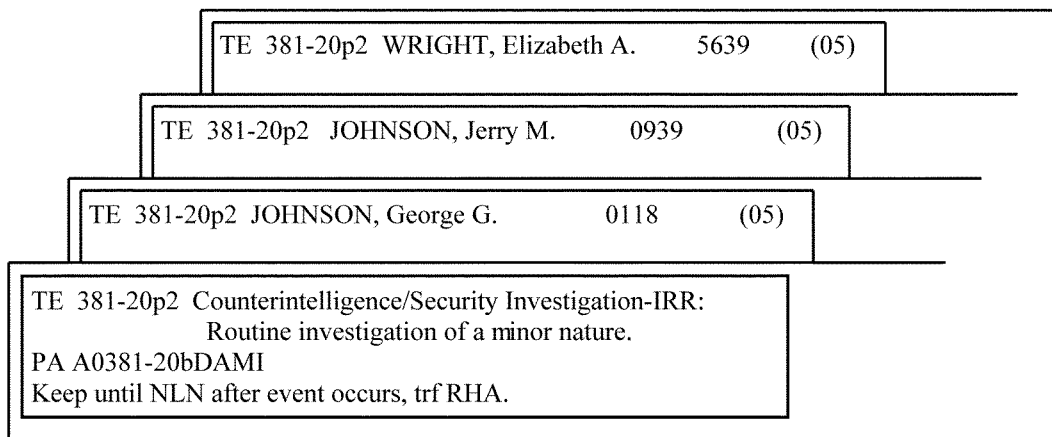
Figure 3–9. Sample alphanumeric arrangement of files

3–6. Classified documents

a. File classified and unclassified documents in separate containers, except when—

(1) The volume of the classified material is small and it is more advantageous to use otherwise empty space for unclassified material. However, the classified material will be separated from the unclassified material by guide cards or by placement in separate drawers.

(2) The record of an action consists of both classified and unclassified documents and reference needs require that both be filed together. Files, folders, and similar groups of documents containing classified and/or sensitive information will be clearly marked as to the highest classification/sensitivity of information contained therein. The classification/ sensitivity marking will be on the outside, front, back, top, and bottom of the file or folder. Attaching a document cover sheet to the outside of the file or folder is acceptable in satisfying this requirement. When cover sheets are used, they will not be attached when the files are in a secure storage container. When cover sheets are removed and the items are in secure storage, the files or folders must be marked to indicate the highest level of classified and/or sensitive information contained therein.

(3) When classified and unclassified documents are filed together, the records or containers will be secured and access to the area or containers monitored as if all contents are classified to preclude the inadvertent disclosure of the classified materials.

b. All classified documents, both originally and derivatively classified (except those containing restricted data or formerly restricted data), will be marked on the face of the document with a declassify on line, with instructions for the declassification of the information. Specific instructions for completing the declassify on line are in AR 380–5, paragraph 4–10.

c. Further guidance on the classification and marking of documents, files, and records can be found in AR 380–5.

3–7. Suspense files

Suspense files are used as reminders that an action is required by a given date. The following are some examples of suspense files:

a. A note kept by an AO to submit a report or to take some other action. The note would be destroyed after the report is submitted or the action is taken.

b. An outgoing communication filed by the date on which a reply is expected. When the reply is received, the communication is withdrawn and filed (if it is a record copy) or destroyed (if it is an extra copy).

3–8. Labeling

a. Folders and containers used to store official records will be labeled.

b. Labeling may be accomplished in any manner that best suits the business needs of the office except that labels will include—

(1) The letter(s) K, KE, KN, KEN, or U for records that will be managed entirely within the office or the letter(s) T, TE, TP, or TEP for those that will be transferred to an RHA or to the AEA. For T and TE disposition codes, include the duration if applicable also (for example, T10 or TE25).

(2) A title.

(3) The year of creation.

(4) The PA systems notice number, if applicable.

c. The labels will also include the RN and disposition which are automatically inserted when ARIMS RM–Assist is used to print the labels.

d. File labels may be generated using the RM–Assist (if there is an ORL on file), by typewriter or individual personal computer (PC). File labels for K records may be handwritten, using pens or markers, but they must be legible. The RM–Assist prints the disposition code, retention period, RN, record title, current year, disposition instructions (retire, transfer, or destroy), and PA system notice number, if applicable. At the same time the file label is printed for T records, the RM–Assist also prints a barcode label, which will be used by the RHA staff for indexing and tracking the records once they are transferred to the RHA (see fig 3–10, below, for sample file and barcode labels).

e. If there are several folders under 1 title/number, a dummy folder which contains the full label entries may be used. Tape it shut so that no documents can be placed in it. (Alternatively, a guide card may be used for this purpose.) Subsequent folder labels need only show the disposition code, RN, contents of the individual folder, and, where appropriate, the year of accumulation (see fig 3–11, below, for sample label entries and use of dummy folder).

f. See figure 3–12, below, for sample file container and binder label entries and for suggestions on how to label containers and binders.

TP 1-100a1   Army gift offers—Accepted   (06)

PA A0870-5DAMH
Keep until NLN, trf RHA.

K   FOIA administrative files   (06)

K   Office classified material inventories   (06)
PA A0001DAMI

TEP 70-1n1   RD project controls—Ofc w/   (06)
Army-wide responsibility
Keep until project completed, cancelled or terminated, trf
RHA.

K 1w   Office general personnel files   (06)
HOOD, ROBIN
PA A0001SAIS
Keep until NLN, NTE 6 yr, then destroy.

T 36-2c1   AAA Audit reporting files—USAAA   (06)

Keep until NLN, trf RHA.

Figure 3–10. Sample file and barcode labels

TE4 690-700b Jones, Jenny P.   (05)

TE4   690-700b George, Simon L.   (05)

TE4 690-700b Franken, Sly A.   (05)

TE4 690-700b Appeal and grievance cases

PA A0690-700DAPE
INACTIVE: COFF 31 Dec 05, trf RHA.

TE4 690-700b Westlake, Sharon P.

TE 4 690-700b Hughly, Carson R.

TE4 690-700b Edwards, Steven C.

TE4 690-700b Appeal and grievance cases

PA A0690-700DAPE
ACTIVE: PIF after case is closed.

————————————————— (taped shut) —————————————————
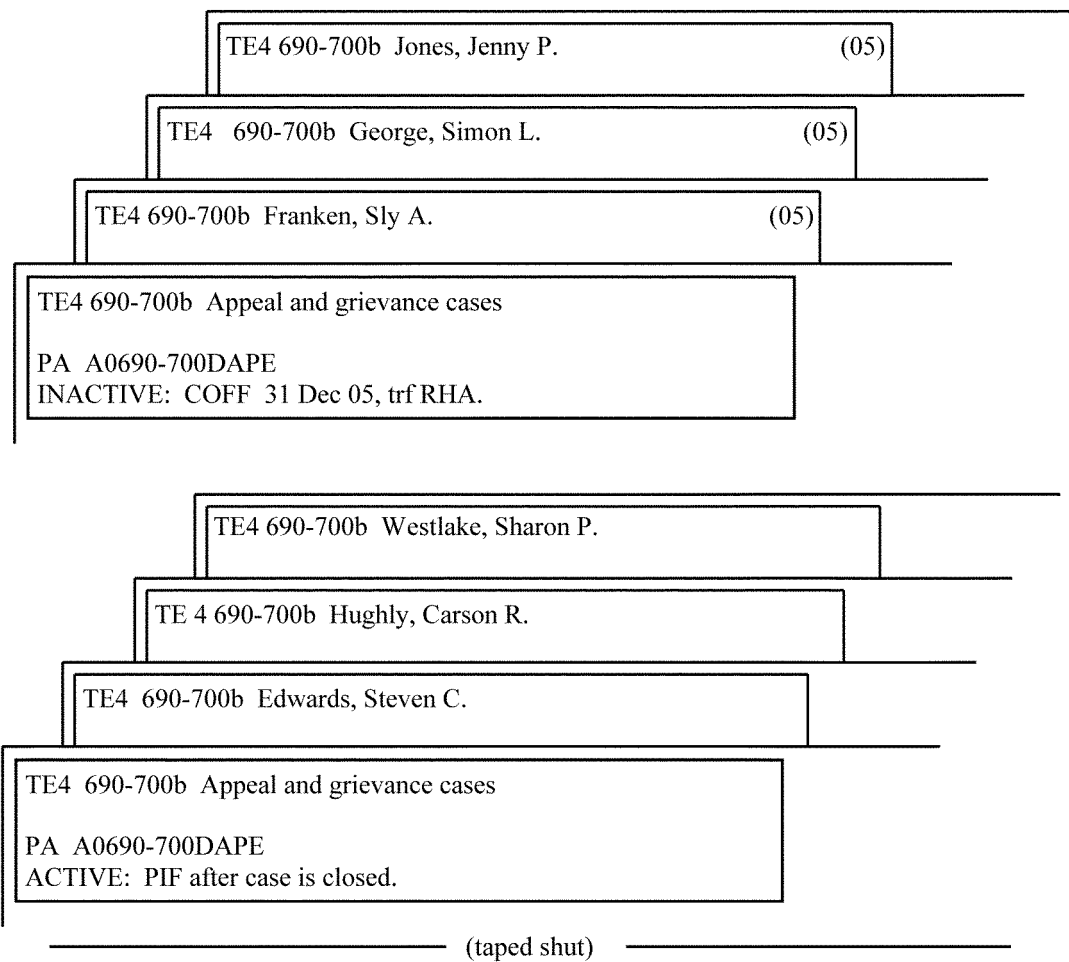
Figure 3–11. Sample label entries and use of "dummy" folder

```
┌─────────────────────────────────┐      ┌─────────────────────────────────┐
│                                 │      │ K  600-8-4a Line of Duty Files  (05)│
│    K   25-55b          (05)     │      │                                 │
│         thru                    │      │                                 │
│    KEN 25-400-2b                │      │                                 │
│                                 │      │         Keep until NLN          │
│                                 │      │                                 │
└─────────────────────────────────┘      └─────────────────────────────────┘
```

Sample label entry for container with two   Sample label entry for container with only
or more record series.   One record series.

```
┌─────────────────────────────────┐      ┌─────────────────────────────────┐
│ K  600-8-4a Line of Duty Files (05)│    │ K 600-8-4a Line of Duty Files  (05)│
│         (A thru L)              │      │         (M thru Z)              │
│                                 │      │                                 │
│        Keep until NLN           │      │        Keep until NLN           │
│                                 │      │                                 │
└─────────────────────────────────┘      └─────────────────────────────────┘
```

Sample label entries for container with only part of one record

```
┌──────────────┐  ┌──────────────┐  ┌──────────────┐  ┌──────────────┐
│  KEN 1jj     │  │  KEN  1jj    │  │  KEN 1jj     │  │  KEN 1jj     │
│  Ref Pubs    │  │  Ref Pubs    │  │  Ref Pubs    │  │  Ref Pubs    │
│  ARs         │  │  ARs         │  │  ARs         │  │  ARs         │
│  1-1         │  │  350-1       │  │  360-5       │  │  385-10      │
│  thru        │  │  thru        │  │  thru        │  │  thru        │
│  340-21      │  │  351-3       │  │  385-40      │  │  420-10      │
│              │  │              │  │              │  │              │
│              │  │              │  │              │  │              │
│ Destroy when │  │              │  │              │  │              │
│ superseded,  │  │              │  │              │  │              │
│ obsolete, no │  │              │  │              │  │              │
│ longer needed│  │              │  │              │  │              │
│ for reference│  │              │  │              │  │              │
└──────────────┘  └──────────────┘  └──────────────┘  └──────────────┘
```

Figure 3–12. Sample file container and binder label entries

3–9. Storing

a. Official records are the property of the Federal Government, not the military member or employee making or receiving them. Whenever possible, official records should be stored in standard file cabinets where they are always available for use. In lieu of keeping the record copy at one's desk, an AO copy can be made and kept at the desk for reference purposes. Records should not be stored in individual desk drawers unless that area has been designated as an authorized storage location and the records are identified, labeled, and always accessible to all authorized personnel.

b. The K records are held and disposed of within the office of the CFA. The T records are held in the CFA until NLN for conducting business and then they are transferred to an Army RHA or FRC, as applicable. In some cases, when T records are always needed on site, RMs may grant exceptions to maintain and dispose of them in the CFA. In those cases, the disposition will reflect the exception. The U records will be kept in the CFA until disposition instructions are published in the RRS–A and then transferred or disposed of accordingly. Exceptions by the ARMDA may be granted to transfer records to an RHA or to the AEA before disposition instructions are published if the volume/CFA limitations warrant.

3–10. Micrographic records

The micrographics technology involves recording information on a microform by reducing and recording images photographically or by recording directly onto film using computer output microform (COM); locating and retrieving the indexed files via mechanical/computer means; and viewing the miniaturized images using a microfilm viewer which magnifies them on a display screen; or printing them on paper. Paper records are more prevalent throughout the Army than other records media and take up the most space. For that reason, more and more paper records are being converted to another medium. Although electronic is the most used medium today, there are still several good candidates for using micrographic systems. Micrographic systems should be designed so the microform serves as the record copy, except when it is not practical or cost–effective. These systems must comply with 36 CFR Part 1230.

3–11. X–Ray film records

There are 3 basic film types, nitrocellulose or nitrate, safety cellulose acetate, and polyester. Currently, some x–rays are made and stored as digital files or scanned from film originals. Other x–ray formats include micrographic images like microfilm and aperture cards.

a. *Storing x–ray films*. Since storage conditions significantly influence rates of deterioration, good conditions can extend the film's useful life. The black–and–white silver image on the film is vulnerable to excessive heat and moisture and to harmful gases such as sulfur dioxide and nitrogen oxides often found in urban and suburban environments. Organic compounds, such as gelatin containing the photographic emulsion, become susceptible to fungal growth in storage areas where the relative humidity (RH) exceeds 60 percent.

(1) *Nitrate–based film, 1910s to 1930s*. Highly flammable and akin to gun cotton, nitrate film deteriorates as it ages, emits an obnoxious odor, discolors to amber, and becomes sticky and brittle. The word nitrate is imprinted on the film. Nitrate film may be combustible under extreme storage conditions, especially where temperatures exceed 100 degrees Fahrenheit and the humidity is in the upper ranges. Safety concerns are paramount.

(a) For short–term storage, remove from records storage areas and place in conditions that do not exceed 70 degrees Fahrenheit and 50 percent RH. Storage in a freezer or cold storage is highly recommended. Copy to polyester film and, after verification of the copy, destroy in accordance with applicable regulations governing the disposal of hazardous waste (see Environmental Protection Agency (EPA) Hazardous Waste Code, D001, D003 and D0011).

(b) For long–term storage, store the film at 35 degrees Fahrenheit and 20–30 percent RH. Store in accordance with requirements of the National Fire Protection Association (NFPA) Code 40, Standard for the Storage and Handling of Cellulose Nitrate Motion Picture Film, which describes building and fire safety specifications for the storage of nitrate film. Ventilation may be needed depending upon the quantity of stored film. Store separately from other types of photographic records as off–gassing can accelerate deterioration of nearby film in good condition.

(c) The packing and shipping of nitrate film are governed by Department of Transportation regulations 49 CFR 172.101, 172.504, 173.24, and 173.177.

(2) *Acetate–based film, 1920s to mid–1960s*. Manufactured as a safety film (the words are imprinted on the film's edge), acetate film is flame resistant. However, it deteriorates as it ages, emitting a vinegary odor derived from vapors of acetic acid; a phenomenon preservationists call the vinegar syndrome. Once deterioration begins, the chemical process becomes autocatalytic, perpetuating at a faster and faster rate. As the base shrinks, the emulsion starts to separate from the base in the form of cracks and channels and the film becomes brittle and eventually shrivels or buckles beyond use.

(a) Place in cool and dry storage conditions to slow down deterioration. Research shows that storage temperatures from 35 to 55 degrees Fahrenheit at 50 percent RH can extend degraded film's life from 15 to 75 years longer, depending on the state of deterioration of the film.

(b) Only American National Standards Institute (ANSI) cold storage recommendations for acetate film will ensure preservation for 100 years or more (ANSI/PIMA IT9.11).

(3) *Polyester–based, mid–1950s to the present*. The most stable base, polyester film tends to resist chemical and physical changes as it ages under varied storage conditions. The word safety is imprinted on the film's edge.

(a) Virtually all x–ray film used in the last 30 years is polyester–based.

(b) Polyester film has excellent long–term storage characteristics that normally extend its longevity beyond records retention requirements.

(4) *Other formats*. Other x–ray formats which include micrographic images like microfilm and aperture cards must also be stored under conditions that will ensure availability for their full retention period.

b. *Disposition*. See chapter 9, below, for disposition instructions.

c. *Enclosures for x–ray films*.

(1) For medium–term retention (up to 10 years), store each sheet in a high–quality x–ray envelope.

(2) For long–term retention (over 10 years), store nitrate–based and acetate–based film in individual lignin–free, buffered paper envelopes. However, copying and disposal of nitrate are advisable. Store polyester–based film in either individual lignin–free, buffered paper envelopes or plastic sleeves made from polyester, polyethylene, or polypropylene.

(3) For very long retention, use enclosures specified in ANSI standards IT9.2 and IT9.16.

(4) For off–site storage, use heavy–duty cartons marked x–ray files, store vertically.

d. *Additional information*. Further information can be found at http://www.archives.gov/records-mgmt/publications/managing-xray-films.html

3–12. Visual information
Visual information products are managed under the provisions of, AR 25–1, chapter 7 and DA Pam 25–91.

3–13. Cartographic and architectural records
a. Cartographic records are graphic representations drawn to scale of selected cultural and physical features of the surface of the earth, of other planetary bodies, and of the atmosphere. They include maps, charts, photomaps, orthophotomaps, atlases, cartograms, globes, and relief models. Related records are those that are integral to the map–making process, such as field survey notes, geodetic controls, map history case files, source materials, indexes, and finding aids.

b. Architectural and engineering drawings, also known as design and construction drawings are graphic records that depict the proposed and the actual construction of stationary structures, such as buildings, bridges, and canals, and movable objects, such as ships, aircraft, vehicles, weapons, machinery, and equipment. Closely related records, such as indexes and written specifications, frequently accompany the drawings.

c. Cartographic and architectural records exist in various media forms and should be managed in accordance with the following guidelines and guidelines in this pamphlet for the specific media type and should be disposed of in accordance with the applicable RRS–A retention schedules.

d. Cartographic and architectural records require special storage and handling because of their diverse physical attributes.

(1) Avoid storing maps and drawings rolled or folded. The NARA recommends storing maps and architectural drawings flat in shallow drawer map cases and placing records inside acid–free folders for added protection. The FRCs are generally not equipped to handle flat storage of large documents; therefore, maps and drawings must be rolled, not folded, for storage in the centers. For this reason, when feasible, transfer permanent cartographic and architectural records directly to NARA rather than to intermediate storage in an RHA or FRC.

(2) Do not laminate oversized records. Encapsulate old or fragile maps in clear, stable plastic.

(3) Store large, heavy atlases and other bound volumes of maps or drawings flat. Storing the volumes upright strains their bindings. If a spine is weak or damaged, the binding can be removed, the pages deacidified and encapsulated and the volume reassembled in post binders. Further information about how to deal with preservation problems is available from NARA.

(4) Store negative rolls of aerial film in inert plastic containers upright on shelves with identification codes assigned to each roll of film.

(5) Wear white cotton gloves to handle film.

(6) Store film in a climate–controlled environment at constant temperature and humidity.

Section II
Electronic records

3–14. General
a. Electronic records may include data in information systems (data files, databases), office information technology (IT) sources (word processing files, spreadsheets, presentations, and so on), e–mail and messages, image (bit–mapped) files, Web files, and files created during the conduct of electronic business/electronic commerce. Electronic recordkeeping involves the use of information technology to create, store, retrieve, use, and dispose of digitally recorded information.

b. Criteria for identifying a record in paper form applies to the electronic form. Electronically recorded information that meets the conditions of being made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and serve as evidence of agency activities because of the value of the information they contain are Federal records. To assist in determining whether or not an electronic document is a record, ask how it would be viewed if it was in paper form.

c. Measures should be taken to ensure that all records which originate or are transmitted through an automated information system, word processing system, e–mail system, and so on are identified, retained, and managed properly. The procedures for saving electronic records should be determined as early as possible in the life cycle of a system (see AR 25–1).

d. Records should be readily available and accessible to all authorized users when they need them. This means that the identity, purpose, and location of records are predictable, consistent, and reliable; methods for access and retrieval are simple and well defined; and records management practices are incorporated into day–to–day business activities.

3–15. Electronic mail

E–mail is the electronic transfer of information typically in the form of electronic messages, memoranda, and attached documents from one party to another party via an intermediate telecommunications system. E–mail messages consist of the message header and message contents. The header contains the mailing address, routing instructions, transmission and receipt data, and other information the system needs to deliver the e–mail correctly. Most e–mail systems allow the attachment of documents to messages, importing text from word processing systems, forwarding messages, and distribution to individuals as well as groups and use of public key infrastructure technology.

a. E–mail has become a major way of transacting Government business; however, many e–mails are being destroyed prematurely because they are not being perceived as official records. E–mail messages are official records when they are created or received in the transaction of public business and retained as evidence of official policies, actions, decisions, or transactions.

(1) Examples of messages sent by e–mail that typically are records, include—

(a) Policies and directives.

(b) Correspondence or memoranda related to official business.

(c) Work schedules and assignments.

(d) Agendas and minutes of meetings.

(e) Drafts of documents that are circulated for comment or approval.

(f) Any document that initiates, authorizes, or completes a business transaction.

(g) Final reports or recommendations.

(h) Information supporting or affecting decisions made in conduct of Government business.

(2) Some examples of messages that typically do not constitute records are—

(a) Personal messages and announcements not related to official business.

(b) Copies of extracts of documents distributed for convenience or reference.

(c) Phone message slips.

(d) Announcements of social events, such as retirement parties or holiday celebrations.

b. Official records communicated through e–mail systems must be identified, managed, protected, and retained as long as needed for ongoing operations, audits, legal proceedings, research, or any other known purpose in accordance with AR 25–400–2, this pamphlet, and the retention schedules on ARIMS RRS–A.

c. The official record copy of T e–mail messages will be transferred to the ARIMS AEA records repository using the ECS application. This is accomplished at the time e–mail messages are transmitted by indicating whether or not the records should be transferred to storage. E–mail messages that are received are transferred by attaching them to another e–mail and selecting the transfer option as indicated above. If ECS is not available, one of the options in *d*, below, can be utilized.

d. The ARIMS and the AEA are designed to accept and manage only the long–term T records created by the Army. An office may manage its K records using 1 of the following options:

(1) The organization can acquire a certified records management application (RMA) and have it installed on their local network. A list of certified (5015.2 DOD STD) RMAs can be found on the Joint Interoperability Test Command's Web site at http://jitc.fhu.disa.mil/recmgt/register.html.

(2) Set up shared folders on a local server based on the ORL. Action officers can drag and drop records into the appropriate folders. However, records containing PA data should be appropriately restricted to authorized users. Office RCs would ensure folders are updated every year and records up for destruction are destroyed at the appropriate time.

e. E–mail messages sent or received in conjunction with Government business may be accessed and monitored in the normal course of business by system administrators (SA), supervisors, support staff, and records management officials. Users should keep this is mind when creating e–mails.

f. Users should—

(1) Protect e–mail messages, files, and records from unauthorized release to third parties in accordance with AR 25–400–2, AR 25–55, and AR 340–21.

(2) Remove personal and transitory messages from personal in–boxes on a regular basis.

(3) Protect e–mail messages from inadvertent loss or destruction by complying with backup requirements and recordkeeping requirements of AR 25–400–2.

(4) Coordinate disposition of official records with the organization's records management officer to ensure that retention requirements are met.

g. Any copies of official records maintained on the user's system for reference purposes after transfer of the official copy may not be kept longer than the retention period approved for the record copy.

3–16. Information systems

Electronic records that are part of information systems (IS) must also be managed and fall under the same recordkeeping requirements as other electronic records. An IS is defined as the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. Establishing

recordkeeping requirements for an IS requires, at a minimum, full and accurate documentation of the system; the functions supported by the system; the operation, legal, audit, oversight, or historical requirements for the information; how the information will be used, accessed, and maintained on each medium to meet these differing requirements; and the procedural controls employed to preserve the integrity of the data in the system. The National Archives considers all components of electronic information systems as records (input, output, digital data stored in a variety of ways (master file), and the related documentation).

a. Any information generated by or contained in an information system must be preserved according to the disposition instructions contained in the ARIMS RRS–A. This includes information contained in Standard Army Management Information Systems, command or installation unique systems, standalone systems maintained in the office environment, and Web–based systems.

b. Functional proponents and information managers must—

(1) Define electronic record information disposition instructions during the need justification phase, milestone A, and review in the revalidation phase of each milestone in the life cycle management of the system. This would be a good time to review the office's business process also.

(2) Evaluate potential systems to determine the record information needed for business purposes and validate the retention periods of that information according to the disposition instructions identified in the ARIMS RRS–A. Any new, revised, or rescinded requirements will be coordinated with the agency records officer, who will notify the ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860. The information needed to establish recordkeeping requirements and retention periods for records can also serve as a catalyst for answering many management questions that should be addressed when designing or updating an information system—

(a) What is the system's purpose? Does it serve different purposes for different users? Do the different purposes reflect different needs for retaining data?

(b) What inputs are needed and how long should they be retained? Are they needed for legal or audit purposes?

(c) How long does information need to be kept on line? Are on–line retention requirements directly mapped onto unit records or data sets?

(d) If the organization no longer needs data on line, does it need to retain it off line? For how long?

(e) Can requirements for retention and disposition of data be integrated with system design and operations, for example, with update procedures, regular backup operations, transfer to AEA, and create history files, subset files, and public use data sets?

(f) What will be done with the reports, either on paper or computer output microfilm, generated by the system? Will the reports be maintained on the system? For how long?

(g) Are multiple copies of the data needed? If so, in what media? In what locations? Do all media need to be maintained for the same length of time? What will happen to the different media, and when? How will the integrity and authority of the data be ensured?

(h) Is the information subject to the provisions of the PA? How do PA requirements for maintenance of timely, complete, relevant, and accurate information and limitation on access affect the agency's estimate of how long data should be kept?

(i) Is the information in the system part of the agency's vital records program? If so, what provisions must be made to ensure availability of the information in emergency situations?

(j) Who is responsible for maintaining up–to–date, authoritative documentation of the system and the data it contains? Where will the documentation be maintained?

(k) Which medium containing the data must be given special care to ensure data preservation for long–term operational needs or for archival purposes?

c. Determining the record information of an IS may be accomplished by reviewing the mission and functions statement of the office or offices supported by the system and evaluating its administrative, legal, or fiscal value. A review of similar information already scheduled and identified in the ARIMS RRS–A may also be useful. Within an IS, the record information may consist of the data records of individual transactions or data records of the final results of many transactions. Where there are no systematic data outputs, a periodic snapshot of an entire database may serve as the record. Depending on the architecture of the system, the records may be collected and preserved in on–line, near–line, or off–line storage while awaiting disposal or transfer to the AEA. Records designated as T records that are complete may be transferred to the AEA immediately upon creation or collected in the IS and transferred periodically. Alternatively, these records may be retained and preserved within the IS for their entire life cycle, provided that they are identified in the master index of records in ARIMS.

d. Documentation on all IS that produce, use, or store electronic records will be kept current according to applicable technical bulletins and standards. This means that program managers and information managers must—

(1) Ensure that all electronic records are accompanied by documentation sufficient to ensure that the information is accessible and usable. Minimum documentation consists of identifying the software programs and operating systems used to create the documents to the extent that technical specification, file arrangement, contents, coding, and disposition requirements of the files can be determined. Program and system documentation must be maintained for as long as the related information is kept.

(2) Ensure that documentation, to include a copy (or mirror image) of the software program, for IS containing or generating T records is transferred along with the related electronic records sent to the AEA, unless a prior transfer of the same information occurred and no changes were made. However, a statement to that effect will be included with the subsequent transfers to ensure that the information may be accessed and used.

(3) Ensure that documentation—

(a) Specifies all technical characteristics necessary to read or process the records adequately.

(b) Identifies all inputs and outputs of the system.

(c) Provides an audit trail of changed or deleted information and the correct disposition of the information content and use.

(d) Defines the contents of the files and records.

(e) States clearly the purpose(s) and function(s) of the system.

3–17. Automated office applications

The final version of records created using office application software (Word, PowerPoint, Excel, and so on) must also be maintained for the length of time indicated on the approved Army schedule. Whether they are maintained in electronic or hardcopy form is dependent on the record application and available electronic storage. For example, if a document might become part of a case file that exists only in hardcopy form, it would be logical to print out a copy and place it with the rest of the file. In this instance, the electronic copy would be deleted within a specified time frame after the recordkeeping copy has been produced. In no instance will a reference copy maintained on the PC be kept longer than the official record copy.

3–18. Image (bit–mapped) files

Image files are created by processing hardcopy records through a scanner which digitizes and converts the information to bit–mapped images of the records. Bit–map is defined as a pattern of small pieces of computer data that forms an image. In an imaging system, digitized documents are stored as bit maps rather than individual characters such as ASCII characters.

a. Image files are normally written to optical media (laser disk, optical disk, optical card, optical tape, compact disk (CD), digital video disk (DVD)) and magnetic media (such as hard disks, tapes, diskettes), but some are placed on microfilm.

b. When combined with effective indexing, converting the files to images can shorten information retrieval time and allow access by multiple users. Without special software, computers generally cannot use the informational content of a raw image file to search for or retrieve a specific image. Search and retrieval normally depends on some form of indexing, which assigns specific metadata to each document, such as author, date, title, and keywords. The index can be simple or sophisticated and is typically an electronic database that is linked to the images. Prior thought and planning should be put into the indexing before any imaging begins. Indexing is the most time–consuming portion of converting to an imaging system and many applications have failed because users did not consider the time and personnel needed to complete this task.

c. Images of textual records can be converted to searchable electronic text using optical character recognition (OCR) technology. The OCR is accomplished by a software application that reads the images and produces text based on the recognized patterns in those images. The electronic text created by the OCR can be stored in computer–readable form for search and retrieval purposes. Not all records are good candidates for OCR though. Documents containing handwriting, poor contrast, unusual type fonts, forms or mixed text/image documents are among those that are not good candidates. Even good quality originals will require some form of clean–up of raw OCR text that was unreadable.

d. Do not convert to an imaging system without good justification. The decision should be based on increased productivity and efficiency or quality of service. Costs include more than the initial purchase of the imaging system. You almost always need a maintenance contract on the system which will involve a yearly cost. You may also incur migration costs if the information has to be retained for periods longer than 5 to 10 years.

e. Advantages to implementing an imaging system are—

(1) Increased storage capacity.

(2) Elimination of out–of–file problems.

(3) Shortened retrieval times.

(4) Improved retrieval by multiple users.

(5) Ease of information dissemination.

f. Disadvantages to implementing an imaging system are—

(1) Expensive hardware and resource–intensive indexing requirements.

(2) Rapid technological changes that require frequent upgrades of hardware and software.

(3) Migration and conversion of records in imaged format may also be needed to protect the information in records not yet eligible for disposal.

(4) Digital images are not human–readable without computer equipment.

g. In addition to cost factors, other factors that should be considered when determining whether to image documents include—

(1) *Volume of records*. Imaging is generally used for large volumes of records.

(2) *Reference use*. Imaging is most effective on highly referenced collections where a short retrieval time is important or where there are multiple users accessing the same records. Combined with effective indexing, imaging records can facilitate retrieval.

(3) *Relationship to records in other media*. Consider whether the records to be imaged have to be used with records on other media.

(4) *Records and information usage*. Consider how the information is used and how long the record is needed. Required retention periods are specified in records schedules.

(5) *Legal acceptability*. Following established procedures and maintaining the documentation of audit trails and other business practices will ensure that information is retained to document record authenticity and reliability.

(6) *Ease of maintenance*. Balance storage costs and capacity with indexing, conversion, quality control and migration costs.

(7) *Staffing requirements*. Increased imaging and indexing of records and quality control procedures may require additional staff training.

(8) *Work process and information flow*. Would imaging facilitate the work process? Considerations include how records are routed, how information is added to records or files, and when records (finals or drafts) need to be captured.

(9) *Verification of signatures*. If signature verification is a requirement, consider that forensic analysis of signatures is not possible with imaged records.

(10) *Document preparation*. Determine how much work needs to be done to make the files ready for imaging. Document preparation for voluminous files may be significant.

(11) *Quality control (QC) issues*. The QC procedures must be instituted both while preparing documents for imaging and while verifying and validating imaged information.

(12) *Condition of original records*. The condition of the records will affect their handling during imaging as well as the quality of the imaged record that can be produced. This will particularly be a factor for records that are damaged, faded or oversized.

(13) *In–house versus contracting out*. The feasibility of in–house operation versus contracting operations with a service bureau.

(14) *Image requirements*. Resolution, compression, headers, and so on will vary depending on how the images will be used.

(15) *Indexing*. Indexing requirements and metadata fields are determined by established standards and analyzing how users will access images.

(16) *Conversion requirements*. The necessity of converting permanent records to an acceptable format prior to transfer to The National Archives of the United States.

h. Image files incur the same disposition as the hardcopy from which they are derived. Normally, the hardcopy files are disposed of after verification that the image file is a true representation of the hardcopy file. Permanent source records; however, may not be destroyed without NARA approval.

3–19. Web pages

Web pages vary in content and sources. If the information contained and/or displayed on a Web page qualifies as record material, then the owner or managing organization of that Web page is responsible for ensuring the record information has a record copy identified and preserved according to the retention requirements in the Army records schedules.

a. *Documentary materials*. The documentary materials agencies accumulate in connection with the transaction of official business are Federal records. Since agency Web sites are used to carry out agency business, the related records meet this definition and like all other records must be managed and disposed of in accordance with Army disposition schedules. The schedule should cover Web content records that document the information on the site itself, as well as include Web site management and operations records, which provide the site's context and structure.

(1) Web content records include—

(a) The content pages that comprise the site, inclusive of the hypertext markup language (HTML).

(b) Images of Web pages created to document Web site content, if an agency chooses to document its site by creating such records.

(c) Listings of the uniform resource locator (URL) referenced by site's hyperlinks.

(d) Records generated when a user interacts with the site.

(2) Web management and operations records that provide context to the site include—

(a) Web site design records.

(b) Records that specify an agency's Web policies and procedures by addressing such matters as how records are selected for the site and when and how they may be removed.

(c) Records documenting the use of copyrighted material on a site.

(d) Records relating to the software applications used to operate the site.

(e) Records that document user access and when pages are placed on the site, updated, and/or removed.

(3) Web management and operations records that provide structure related to the site include—

(a) Site maps that show the directory structure into which content pages are organized, and

(b) Commercial off the shelf software configuration files used to operate the site and establish its look and feel, including server environment configuration specifications.

b. Records management risks associated with a Web site. There are 2 basic records management risks associated with a Web site. If these risks are not mitigated, an agency may be unable to document and/or validate transactions that occurred via a Web front end interface, or it may not be able to show what was on a site at a given point in time and who put materials onto the site, and when they were modified or removed. As a result, program operations could be impaired, citizens' rights compromised, negative publicity might be generated among agency stakeholders, the media, and/or the public at large, and, in some instances, the agency could be exposed to costly litigation. The 2 risks are as follows:

(1) Failures to create records that are needed to ensure that the site is trustworthy.

(2) Failures to maintain records for an adequate period of time.

c. Web snapshots. Business needs and the need to lessen risk determine whether or not such snapshots are warranted and their frequency. In determining whether or not snapshots should be taken, the agency should also consider the frequency with which the information on a site changes. Other things being equal, the more frequent the site undergoes change, the more frequently should snapshots be taken.

d. Retention periods for Web records. When determining retention periods, the agency needs to assess how long the information is needed to satisfy business needs and mitigate risk, taking into account Government accountability and the protection of legal rights. In the case of Web content that is available in other places in addition to the Web, records would more than likely take on the same retention period and would use the already in place schedule as the records disposition authority. However, in the case of information unique to the Web site, the Web version would be the only recordkeeping copy and would need scheduling.

(1) In many cases, particularly where the risk is low, the Web content and the related site management and operation records should be assigned a retention period that allows disposal as soon as records are NLN in the conduct of agency business.

(2) In instances where risk levels are higher, Web content and the related Web management and operations records would probably warrant retention for a period of time that exceeds the time needed to satisfy all business requirements. The extra time needed in order to mitigate risk ought not to be more than 3 to 5 years beyond the retention period mandated by business needs alone. However, the mitigation of risk may require an even longer retention period in selected instances.

e. Scheduling. As with other agency records, most Web records do not warrant permanent.

f. Scheduling point of contact. The ARMDA will be contacted for assistance in getting agency Web site records scheduled.

3–20. Judicial use of electronic records

a. Electronic records may be admitted in evidence to Federal courts for use in court proceedings (Federal Rules of Evidence 803(8)) if trustworthiness is established by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it.

b. To enhance the legal admissibility of electronic records, implement procedures that—

(1) Document that similar kinds of records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach.

(2) Substantiate that security procedures prevent unauthorized addition, modification, or deletion of a record and ensure system protection against such problems as power interruptions.

(3) Identify the electronic media on which records are stored throughout their life cycles, the maximum time span that records remain on each storage medium and the NARA–approved disposition of all records according to AR 25–400–2.

c. Coordinate all of the above with local legal staff and senior information and records management staff.

3–21. Managing records on electronic media

a. Information created within the Army may be recorded on media in machine–readable format. Approved Army disposition schedules apply to all Army recorded information, regardless of the medium upon which recorded. In order to protect the rights and interests of the Army and its members, keep costs to a minimum and serve the study of history, storage media for long–term records must be selected to best serve the operational needs of the Army and meet

statutory scheduling requirements. These decisions are vital considerations in the design state of information life cycle management.

b. Electronic records require the same levels of protection as any other media. Proper management provides for economic, efficient, and reliable maintenance, retrieval, preservation, storage, and scheduled disposition of the information. All personnel must comply with the Army records disposition schedules in RRS–A when disposing or erasing media that stores the only copy or the official copy of the record.

c. Media and systems selected to store and manage electronic records throughout their life cycle must meet the requirements of Department of Defense (DOD) 5015.2–STD.

(1) The ARIMS meets the requirements of DOD 5015.2–STD for storing, maintaining, and transferring or disposing of all electronic T records.

(2) Copies of T records stored in or generated by an AIS or other automation source that are completed should be sent to ARIMS as soon as practical for secure long–term storage in the AEA.

(3) Specific instructions for sending records to the AEA are in chapter 6, below.

3–22. Labeling

Electronic labeling may consist of anything from the naming of shared agency folders or separately managed folders on an individual PC to a detailed index of single documents that provide references or links to associated material for a complete record.

a. *External labels*.

(1) Labels used on disks (floppies, CD–ROM, and so on) should include the disposition code, RN(s)/titles, begin and end dates, PA number (if applicable), software used to create the records and classification if classified (see fig 3–13, below, for sample external label for disks).

(2) Labels on magnetic tape containers should include the volume/serial number, name of the program office sponsoring the data, and data set names.

(3) Access restrictions should be included on any external label if applicable.

b. *Internal labels*.

(1) Internal labeling, document, file, and directory naming conventions should be easily understandable and standardized so authors and their colleagues or successors can find stored information and maintain and dispose of records on schedule.

(2) Labeling, naming, and filing conventions should be simple. One method is to file like documents in the same directory.

(3) Indexing is another way to find electronic documents. When used, the system should require the document creator to indicate the name of the document, the addressee, the date, and the identifier of the disk or server on which it is stored.

(4) Any access restrictions should be controlled by the software application.

Labels include:
Disposition Code
Record Number(s)
Descriptive title of contents (record series)
Privacy Act Notice Number (if applicable)
Beginning and ending dates
Classification
Software and hardware create information

K 1a, 1f, 1z, 1bb, 1oo   Housekeeping Files
PA: A0001DAPE
2005 - 2006
Unclassified
MS Word Documents (Ver 11.6)

Figure 3–13. External disk label

3–23. Use of optical media

a. Activities may transfer to CD–ROMs, TP records that include fielded data files or text files for eventual preservation by The National Archives that comply with the technical and documentation requirements specified in 36 CFR 1228.270 that, for example—

(1) Conform to the International Standards Organization (ISO) 9660 standard.

(2) Comply with the ASCII standard.

(3) Are not dependent on control characters or codes not defined in the ASCII character set.

(4) Are not compressed unless the software to decompress files is provided.

(5) Are individually addressable.

b. When permanently valuable electronic records on CD–ROM exist on other media such as magnetic tape, the organization retiring the records will coordinate with the ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860 to determine which medium is more appropriate for transfer of the records to The National Archives.

c. The National Archives will accept audio CDs and analog videodisks that typically contain photographs, provided they do not require interactive software or nonstandard equipment to view. Original photographs appraised as permanent and copied onto videodisks will be scheduled for transfer to The National Archives along with the copy of the videodisk.

d. Records contained on CD–ROM for transfer will be labeled and documented in accordance with AR 25–400–2 and this pamphlet.

e. Army organizations may use optical disk systems for storing and retrieving permanent records while the records remain in their legal custody; however, approval to destroy the hardcopy source documents must be obtained from the ARMDA who will do the necessary coordination with NARA.

f. Permanent records on optical media other than on CD–ROMs are not currently being accepted by NARA. At the time of scheduled transfer to The National Archives, information will have to be copied to a medium acceptable by NARA at the time of the transfer.

g. In order to be acceptable by The National Archives, the files on CD–ROMs must comply with the format and documentation requirements specified below—

(1) *Formats*. The organization may not transfer to The National Archives electronic records that are in a format dependent on specific hardware and/or software. The records must be written in ASCII or EBCDIC with all control characters and other non–data characters removed (except as specified in paragraphs *g*(1)*(a)*, *(b)*, and *(c)* of this section). The records must not be compressed unless NARA has approved the transfer in the compressed form in advance. In such cases, NARA may require the organization to provide the software to decompress the records.

(a) Data files and databases. Data files and databases must be transferred to The National Archives as flat files or as rectangular tables (for example, as 2–dimensional arrays, lists, or tables). All records (within the context of the computer program, as opposed to a Federal record) or tuples, (for example, ordered collections of data items, within a file or table should have the same logical format). Each data element within a record should contain only 1 data value. A record should not contain nested repeating groups of data items. The file should not contain extraneous control characters, except record length indicators for variable length records, or marks delimiting a data element, field, record, or file. If records or data elements in different files need to be linked or combined, then each record must contain 1 or more data elements that constitute primary and/or foreign keys enabling valid linkages between the related records in separate files.

(b) Textual documents. Electronic textual documents must be transferred as plain ASCII files; however, such files may contain standard generalized markup language (SGML) tags.

(c) Digital spatial data files. Digital spatial data files must be transferred to NARA in accordance with the Spatial Data Transfer Standard (SDTS) as defined in the Federal Information Processing Standard 173–1 (June 10, 1994) which is incorporated by reference. Digital geospatial data files created on systems procured prior to February 1994 which do not have a SDTS capability are exempt from this requirement. Agencies should consult with NARA for guidance on transferring noncompliant digital geospatial data files created between February 1, 1994 and the effective date of this paragraph. The standard cited in this paragraph is available from the National Technical Information Service, Department of Commerce, Springfield, VA 22161. When ordering, cite FIPSPUB 173–1, Spatial Data Transfer Standard (SDTS). This standard is also available for inspection at the Office of the Federal Register, 800 North Capitol Street, NW, Suite 700, Washington, D.C. This incorporation by reference was approved by the Director of the Federal Register in accordance with 5 USC 552(a) and 1 CFR part 51. These materials are incorporated by reference as they exist on the date of approval and a notice of any change in these materials will be published in the Federal Register.

(d) Other formats (PDF, e–mail, scanned images, and so on). The NARA is continually expanding its guidance for transfer of permanent electronic records to The National Archives by supplementing current requirements in 36 CFR

1228.270. See http://archives.gov/records-mgmt/initiatives/erm-products.html for the latest guidance on these additional formats.

(2) *Documentation*. Documentation adequate to identify, service, and interpret electronic records that have been designated for preservation by NARA must be transferred with the records. This documentation must include completed NARA Form 14097 (Technical Description for Transfer of Electronic Records) and a completed NARA Form 14028 (Information System Description Form) or their equivalents. Where possible, organizations should submit required documentation in an electronic form that conforms to the provisions of this section.

(a) Data files. Documentation for data files and data bases must include record layouts, data element definitions, and code translation tables (codebooks) for coded data. Data element definitions, codes used to represent data values and interpretations of these codes must match the actual format and codes as transferred.

(b) Digital spatial data files. Digital spatial data files must include the documentation specified in paragraph *(g)*(2) of this section. In addition, documentation for digital spatial data files may include metadata that conforms to the Federal Geographic Data Committee's Content Standards for Digital Geospatial Metadata, as specified in Executive Order 12906 of April 11, 1994 (3 CFR, 1995 Comp., p. 882).

(c) Documents containing SGML tags. Documentation for electronic files containing textual documents with SGML tags must include a table for interpreting the SGML tags, when appropriate.

Chapter 4
Applying Disposition Instructions

4–1. Disposition
Federal records need to be distinguished from non–record materials and personal papers for disposition purposes. Disposition is a comprehensive term that includes destruction as well as other actions, such as the transfer of permanent records to The National Archives. Non–record information requires only agency approval for disposition and the individual owner determines the disposition of personal files. Disposition of Federal records; however, is authorized only when an agency has received NARA's approval. All RNs listed on the ARIMS RRS–A with the exception of those marked to be decided (TBD) have received NARA's approval. The TBD RNs have a working SF 115 (Request for Records Disposition Authority) at NARA. Submission of an SF 115 to NARA is restricted to ARMDA (see chap 5, below).

4–2. Records value
All records have value to the agency creating or receiving them or to oversight or other agencies. Some records also have permanent value and warrant preservation by The National Archives after the agency no longer needs them to conduct regular current business.

a. *Administrative value*. All records have administrative value because they are necessary to conduct the agency's current business. They can be short–term or long–term records depending on what they document.

b. *Fiscal value*. Along with general administrative value, some records (such as budget records, accounting records) have fiscal value. The retention of these records is usually based on a statutory requirement.

c. *Legal value*. In addition to administrative and fiscal value, some records have legal value. Examples of records with legal value include formal decisions and legal opinions; documents containing evidence of actions in particular cases, such as claims papers and legal dockets; and documents involving legal agreements, such as leases, titles, and contracts. The length of retentions on such records is usually based on statutes of limitation or regulations. Special concern for legal value applies only to temporary records, because if permanent they will always be available to protect legal rights.

4–3. Retention periods
Although Army commands recommend retention periods, only NARA can determine and approve final disposition. The NARA works with agencies to ensure that the retention periods for temporary records are adequate, but not excessive, for agency needs and for the protection of individuals. The NARA also ensures that disposition instructions meet the requirements of other agencies having an interest in certain categories of records; for example, the Office of Personnel Management in civilian personnel records and the General Accounting Office in program and financial records.

a. *Permanent records*. The NARA designates records as permanent if they have sufficient historical or other value to warrant their continued preservation by the Government relatively few records are considered permanent.

(1) All records that NARA designates as permanent must be transferred to The National Archives when they are NLN for business purposes. Normally, when records are scheduled, transfer instructions are included in the disposition and the records are transferred according to the schedule.

(2) Permanent records should be transferred within 30 years of the cutoff for paper records, with a much shorter time frame for electronic, microfilm, or audiovisual.

(3) Records may be held for a specific time in the AEA, an Army RHA, or a NARA FRC pending transfer.

(4) When records are transferred into The National Archives, the agency also transfers legal custody of the records. The National Archives takes conservation measures needed to preserve the records and also provides reference service, including service to the creating agency. Service to the creating agency for transferred records is provided at no charge.

(5) Types of records normally appraised by NARA for permanent, or archival, retention are:

(a) Organization and functions. Records on organization and functions, such as organizational charts which show a detailed description of the arrangement and administrative structure of the functional unit of agency, reorganization studies conducted to design an efficient organizational framework to carry out the agency's programs, and formally prepared functional statements showing the responsibilities assigned to agency officials at the division level and above.

(b) Formal minutes of boards and commissions. These document substantive policy and procedural decisions, especially when a board or commission rather than an individual appointee gives an agency executive direction.

(c) Records of internal agency, interagency, and non–Federal committees. Included are minutes, agenda, proposals submitted for review, and final recommendations of meetings of ad hoc committees as well as more formally established councils, conferences, task forces, and study groups attended by senior agency officials.

(d) Legal opinions and comments on legislation. These are memoranda prepared by an agency's legal counsel or program officials on interpretations of existing laws and regulations, or the effects of proposed laws and regulations governing the agency or having a direct affect on its operations.

(e) Formal directives, procedural issuances, and operating manuals relating to program functions. Formal directives are distributed as orders, regulations, circulars, or manuals announcing major changes in the agency's policies and procedures.

(f) Selected evaluations of internal operations. These are studies conducted to determine the effectiveness of the procedures adopted to achieve established policy goals.

(g) Analytical research studies and periodic reports. This category includes analytical research studies and periodic reports prepared by the agency, by private organizations, or individuals under contract to the agency or in receipt of a grant from the agency.

(h) Agency histories and selected background materials. This category usually consists of narrative agency histories and histories of agency programs, including oral history projects completed by agency historians, public affairs officers, or private historians under agency contract.

(i) Briefing materials. These consist of statistical and narrative reports and other summaries, including audiovisual materials, created to inform agency heads and their senior advisers of the agency's current status or of major issues confronting the agency.

(j) Public relations records. These include speeches, addresses, and comments made at formal ceremonies and during interviews by agency heads or their senior assistants concerning agency programs and activities and news releases regarding significant events such as adoption of new agency programs, termination of old programs, major shifts in policy, and changes in senior agency personnel.

(k) Publications. This category consists of formal publications printed or issued by the Government Printing Office, the national Technical Information Service, and outside contractor, or the agency itself. Examples include annual reports to Congress; studies conducted by the agency or under contract for the agency; and procedural brochures, pamphlets, and handbooks distributed for guidance to other Federal agencies, State and local governments, and private organizations and citizens.

(l) Selected audiovisual and graphic records. These consist of agency–originated motion pictures, still photographs, posters, audio and video recordings, cartographic materials, and architectural drawings created to record substantive events or information that cannot be or normally is not recorded in written form, along with related records needed to identify and facilitate the use of such records.

(m) Records documenting substantive agency programs. These records include correspondence with the President and the Executive Office of the President, members of Congress and congressional committees, other Federal agencies, and private organizations and individuals; internal agency memoranda; narrative and statistical reports; budget estimates and justifications; and other records documenting all of the agency's substantive program functions.

(n) Electronic records. Electronic records replacing paper or microform records, such as reports and indexes, already scheduled as permanent on non–electronic media.

(o) Indexes. Automated indexes to permanent records.

(p) Management information. Management information having Government–wide coverage or significance.

(q) Socioeconomic information. Socioeconomic information on topics such as trade, education, health, or behavior.

(r) Natural resources information. Natural resources information related to land, water, minerals, or wildlife.

(s) Military or civilian operations information. Information documenting military or civilian operations during times of war, civil emergency, or natural disaster.

(t) Political or judicial information. Political or judicial information related to such topics as elections, special investigation, or court proceedings.

(u) Digital cartographic information. Digital cartographic information used to map the earth's surface and atmosphere, other planets, and planetary satellites.

(v) Digital architectural and engineering information. Digital architectural and engineering information used to plan and construct selected buildings or other structures, complete major public works projects, and produce significant weapons and machines.

(w) National security and international relations information. National security and international relations information documenting such activities as strategic or foreign policy assessments, intelligence collection, foreign public opinion, or international negotiations.

(x) Selected case files. Case files for most series or systems are scheduled as disposable; however, sometimes NARA designates all within a series or system for permanent retention, especially when they are electronic master data files and occasionally selects only a few of those within a series or system as permanent. Individual case files may be chosen because the case meets 1 or more of the following criteria:

1. It establishes a precedent and results in a major policy or procedural change.

2. It involves extensive litigation.

3. It receives widespread attention from the news media.

4. It is widely recognized for its uniqueness by specialists or authorities outside the Government.

5. It is reviewed at length in the agency's annual report to the Congress.

6. It constitutes a significant accumulation of documentary material and information on a particular subject.

7. It is selected to document agency procedures rather than capture information on the subject or the individual file.

(y) Selected information. Examples of this type information includes scientific and technical information resulting from observations of natural events or phenomena or from controlled laboratory or field experiments and social and economic micro information such as unsummarized information collected for input into periodic and 1–time studies and statistical reports.

b. Temporary records. All records not designated permanent are considered temporary, meaning at some fixed period of time in the future they can be disposed of when that time is met. The period of time may range from several months to many years. Most Federal records are temporary.

4–4. Record cutoffs

Record cutoffs are needed before disposition instructions can be applied because retention periods usually begin with the cutoff, not with the creation or receipt of the record. Cutoffs usually happen at regular intervals to permit their disposal or transfer in complete blocks if they will be transferred outside the CFA. Normally, correspondence type records are cutoff at the end of the year (fiscal or calendar). Once a record has been cutoff, documents are no longer added to that period or year, and new folders are set up for the new documents. Case files are normally cutoff at the end of the year (fiscal or calendar) in which final action is taken.

4–5. Disposition instructions

a. Disposition instructions for all Army record titles/numbers that have been approved by NARA are contained in the ARIMS RRS–A. All Army records are managed and disposed of in accordance with the disposition instructions listed for each RN.

b. There are 3 types of disposition instructions in ARIMS based on time, event, and time–event. Example disposition and label entries are at figure 4–1, below.

(1) With a time disposition, a record is cutoff at the end of the month for a 30–day disposition, at the end of the quarter for a 3–month disposition, semiannually for a 6–month disposition, or at the end of the year for a 1–year or more disposition, held for the specified period, and then destroyed. All such records, which accumulate during the course of the year in which the records are developed, are cutoff at the end of the month, quarter, or year, and then the specified retention period begins.

(2) With an event disposition, the records are destroyed upon or immediately after the specified event occur. There is no waiting period, as with the time disposition. As an example, consider the disposition instruction, "Event is after all corrections have been made and processed. Keep in the CFA until event occurs, then destroy." When all corrections have been made and processed, the record can be deleted or destroyed.

(3) With a combination time–event disposition, a record is disposed of a certain period of time after an event takes place. For example, destroy 3 years after case is closed. This disposition requires management of the record in its active state (prior to the event occurring) and the inactive state (after the event occurs). This requires the creation of 2 folder labels; 1 for active which would be created upon creation/receipt of the record, with the second label created upon occurrence of the event. The active folder label does not show a year because the retention period does not begin until the event occurs and there would be no purpose for it. The inactive folder label would show a year because the information is now in the time phase. The occurrence of the event starts the time phase and triggers the inactive state (see fig 4–2, below, for example folder labels).

c. New disposition instructions for temporary long–term records should propose specific retention periods and should contain the term destroy (or delete if referring to electronic media such as magnetic media (hard disks, tapes, or diskettes) and optical media (laser disk, optical disks/cards/tapes, CDs, and DVDs)). Retention periods can be expressed in 2 ways—

(1) A fixed period after records in the series or system are created (for example, destroy when 10–years–old).

(2) A fixed period after an event occurs (for example, destroy 10 years after revision). In some cases, the retention periods may be based on the likelihood that 2 different future events may affect a series of records. For example, an event may be "when property is sold or vacated, whichever is later" or another might be "when superseded by revised plan or when building is sold, whichever is sooner."

d. Records proposed as permanent need to include the following elements in the instructions; the word permanent, cutoff instructions, instructions for retiring to an RHA, AEA, or FRC and instructions for transferring the records to The National Archives, including both timing and blocking. The timing should be based on the length of time after the cutoff, although it may be expressed either as "transfer xx years after cutoff" or "transfer when xx years old." Blocking means the chronological grouping of records consisting of 1 or more segments of cutoff records that belong to the same series and are dealt with as a unit for purposes of their efficient transfer (for example, transfer in 5–year blocks).

K 25-1qq Negative Register (05) Keep in CFA until record is 3 yrs old, then destroy	KEN 25-30zz Officer copier files (05) Keep until NLN after disposal of equipment, NTE 6 years, then destroy.
Time disposition	Event disposition
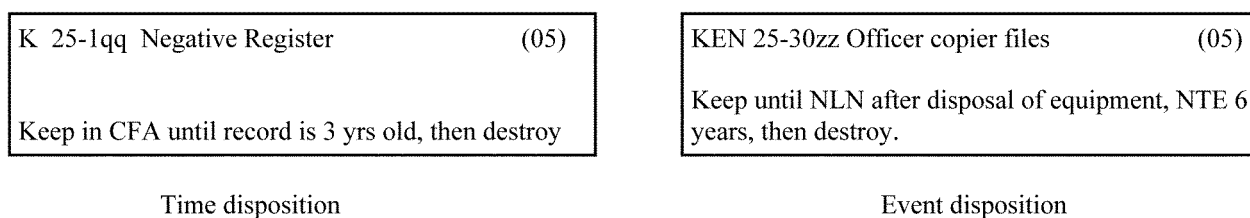
Figure 4–1. Sample time and event dispositions

K 27-1c Surety powers of attorney PIF on termination of power of attorney	K 27-1c Surety powers of attorney (05) Destroy in CFA 5 years after termination of power of attorney
Active label	Inactive label
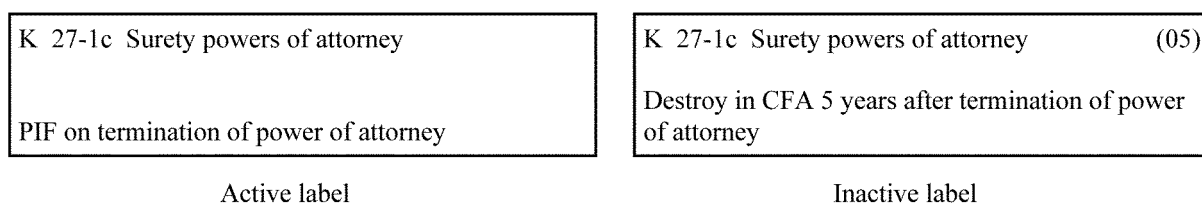
Figure 4–2. Sample time–event dispositions

4–6. Records created during mobilization

a. A distinction is made between retention periods in peacetime and during mobilization or the conduct of military operations. Many records that may be considered temporary during peacetime, take on a permanent retention when they are created during conflicts or wartime.

b. Records created by deployed units are collected monthly and sent to designated transfer locations as directed by a pre–positioned message from the Pentagon Army Operations Center (AOC). Deployed units will be provided copies of the quick reference guide (QRG) outlining requirements for specific and minimum records creation, preservation, collection, and transfer. See the ARIMS Web site, https://www.arims.army.mil/ for the latest QRG and chapter 12, below.

4–7. Recommended changes to record descriptions, record numbers and disposition instructions

Sometimes retention periods, record descriptions, and RNs for Army records change because of statutory, legal,

financial and administrative requirements; program changes; or because prescribing directives are rescinded or superseded.

a. Send recommended changes to record description and disposition instructions to ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860 or by e–mail to ARMDA at info@rmda.belvoir.army.mil stating the rationale or justification for the recommended change. The proposed change can be sent on a DA 2028 or on plain paper with data arranged in DA 2028 format.

b. When a prescribing directive is rescinded or superseded, the proponent should notify ARMDA at the above address and provide guidance on what to do with the RNs based on that directive. Generally, guidance is to rescind the RN if the directive is rescinded or change the numbers to reflect the new prescribing directive if the directive is superseded by another directive. For either option, the proponent's concurrence is required.

c. When a change increases the retention period (for example, from 7 years to 10 years), the new retention period will be used for all records, both active and inactive under that RN, no matter when the records were created or where they are maintained (CFA, RHA, FRC, or AEA).

d. When a change decreases the retention period (for example, from 8 years to 7) or changes from a permanent to a temporary period (for example, from permanent to 15 years), the new retention period will be used for all current year records except that existing permanent records will remain as permanent. Efficiency and cost effectiveness should be considered when applying a decreased retention period to inactive records (prior years). For example, if the volume of records involved would require a considerable amount of time and effort to sort through and dispose of and storage space is not an issue, the records should be kept for the longer (former) retention period. If space is an issue or record volume is low, inactive records will be disposed of using the shorter (new) retention period.

Chapter 5
Scheduling Records

5–1. Scheduling
The ARMDA is charged with the responsibility of scheduling records on behalf of the Army proponents. All records must have an approved disposition schedule from NARA. The schedule provides mandatory instructions for what to do with records when they are NLN for current Government business. This approval is obtained from NARA using the SF115 (Request for Records Disposition Authority) which is initiated within the Army by ARMDA.

5–2. Scheduling process
a. An Army command/individual identifies unscheduled records (records that cannot be filed under 1 of the ARIMS RNs) and requests assistance through his/her servicing records officer from ARMDA in establishing a new RN.

b. The ARMDA (working with the owner of the records and the proponent of the prescribing directive that caused these records to be created) initiates action to get the records scheduled. This involves review of the business process, determining how the records are used; the records location; legal, financial, and other rights involved; volumes; how long the records must be kept to meet business needs, statutory or regulatory needs; and proposed description and disposition, and so on

c. After all issues have been resolved between ARMDA, the owner of the records, and the proponent of the prescribing directive and the proposed description and disposition have been developed, an SF 115 is drafted. The draft SF 115 is staffed with the proponent who in turn staffs it internally with their servicing Staff Judge Advocate to ensure that the proposed retention period meet all legal requirements.

d. When all coordination has been finalized, the SF 115 is prepared in final and sent to NARA.

e. Upon receipt, NARA date stamps the SF 115, performs an initial review to ensure all required information is included, registers it in its tracking system, and acknowledges receipt to ARMDA.

f. The length of NARA's appraisal process depends on the type of record being appraised. The appraisal process requires an understanding of the agency's functions, business process, documentation practices, and record and information policies, procedures, and systems. The NARA may need to consult with agency officials and either see samples of the records or examine them at the agency or an FRC. The appraisal archivist prepares a draft appraisal report upon completion of the appraisal, and reviews and concurrences are obtained from internal stakeholders at NARA.

g. All requests for disposal of records must by law (44 USC 3303a(a)) be published in the Federal Register. The publication of these notices allows interested persons to submit written comments on the records to NARA before disposal is approved or else re–approved with a shorter retention period. Approximately 20 days are needed by NARA to prepare/route the Federal Register notice to be signed and get it published in the Federal Register. Another 45 days are allowed for interested persons to request a copy of the schedule and appraisal report, 30 days for requester to submit comments on the schedule/appraisal and approximately 15 days for NARA to review comments.

h. After the Federal Register process is completed, the SF 115 is assembled and submitted for approval by the Archivist of the United States.

i. When the disposition is approved, copies are made and sent to ARMDA.

j. Upon receipt by ARMDA, the applicable RNs on the ARIMS retention tables at the RRS–A module are updated to reflect the approved retention periods. This normally occurs within several days of receipt from NARA.

5–3. General records schedules

a. General records schedules (GRS) are issued by the Archivist of the United States to provide disposal authorization for temporary (disposable) records common to several or all agencies of the Federal Government. When establishing records number instructions for the Army, the ARMDA first reviews the GRS to determine if the unscheduled records can be covered by an existing GRS item (see para 5–3*b*, below).

(1) Use of the GRS is mandatory.

(2) It does not cover all records of an agency.

(3) It is not used to schedule permanent records.

(4) It is not used to schedule records dealing with the military pay and military personnel.

(5) GRS items cover only record copies.

b. Implementation of the disposition instructions in the GRS do not require further approval from NARA, with the exception that most records created before 1 January 1921 must first be offered to NARA for appraisal. However, Army organizations may not implement a GRS instruction that is not shown in the ARIMS RRS–A as authorization for disposal of Army records.

c. If the Army wishes to apply a different retention period for any series of records included in the GRS, an SF 115 must be submitted to NARA by ARMDA on behalf of the proponent, providing justification for the requested deviation.

5–4. Web records

There are 2 options available for scheduling Web records.

a. *Option 1– single item schedule*. This option would be to schedule the Web content records along with the related records that pertain to site management and operations. This option would be appropriate if all of the records related to the site warrant the same retention period in order to meet business needs and mitigate risks.

b. *Option 2– multiple item schedule*. Under this option, the Web content records and the Web site management and operations records would be scheduled separately. This option would be appropriate if business needs and the mitigation of risk mandate different retention periods for the site content records and the management and operations records.

Chapter 6
The Army Records Information Management System (ARIMS) Web Site

6–1. General

a. The ARIMS technology is available to support the redesign of the Army recordkeeping methodology. The ARIMS provides a suite of Web–based tools to simplify and improve the management of the Army's records. Some of these tools allow for the identification of what records are to be created, how long the records should be kept, what disposition instruction is appropriate for a particular record, and the ability to produce on–demand printing of folder labels. Other tools allow the sending of e–records to ARIMS AEA via e–mail where the record is the e–mail or an attachment to the e–mail. This capability is extended to include the ability to send records from within typical office automation applications (Microsoft office (MS) products, spreadsheets, and so on). Records sent to the ARIMS AEA are stored in read–only mode and can be accessed via the ARIMS master index. The master index also contains information on hardcopy records physically stored in an RHA. Operators of RHA facilities are provided the necessary tools to index hardcopy records and manage their physical location within the RHA.

b. The ARIMS is managed and operated by the ARMDA and is available for use by Records Administrators, RMs, RHAMs, and Records Coordinators. To ensure flexibility and reduce administrative workloads, ARIMS is also available to civilian and military AOs.

c. To use most of the records management features of ARIMS, a user must be registered in ARIMS. Users register with ARIMS using their Army Knowledge Online (AKO) credentials (username and password). Non–registered users can access some ARIMS features, such as the RRS–A and a number of links located on the ARIMS homepage.

d. This chapter contains the latest information on the ARIMS software application at the time of publication. Since the application is continually improved and upgraded, see the ARIMS Web site for the most up to date information and user guide.

6–2. System components
Basic components/modules consist of home, RRS–A, Freedom of Information Act (FOIA) request, help/downloads, and login/registration. Advanced tools include, RM–Assist, Records Input Processing System (RIPS), master index, system administration, and help/downloads.

6–3. System requirements
Minimum requirements for the basic ARIMS components are MS Internet Explorer 5.0 and Netscape Navigator 4.6. The advanced tools require MS Internet Explorer 5.5 or higher to function properly.

6–4. Security
The ARIMS is designed to preserve the security and access to official records to prevent unauthorized access to sensitive or PA information. Security is determined by the user's role in ARIMS. Each user in ARIMS is assigned 1 of 6 possible roles. The AO level is automatically assigned at the time one registers in ARIMS. Any other level requires that the user's RM/administrator notify ARIMS with the designated user level.

a. *AO*. An individual who creates and/or receives official records on behalf of the Army. The AO—
(1) Has access to the RRS–A.
(2) Can create, modify and use an ORL for each office symbol within his/her organization.
(3) Can submit records to a designated records holding facility.
(4) Can search for and request records via the ARIMS master index.
(5) Can access those electronic records he/she transferred.

b. *RC*. An RC serves 1 or more offices/units and usually acts as liaison between the office/unit and the servicing RM and/or RHAM. The RC—
(1) Prepares ORLs.
(2) Coordinates the transfer of long–term/permanent records to the AEA/RHA.
(3) Resolves indexing problems.
(4) Serves as POC for access and release of the office/unit records stored in the system for which he/she is responsible.

c. *RM*. A RM is appointed in writing and serves at the Army staff, subordinate command level, or on the installation garrison staff with command–wide or garrison–wide records management responsibilities. The RM—
(1) Can create/approve ORLs on behalf of a unit or organization it supports, capture and index AO folder information for entry into the master index, define record locations within a holding facility, approve/deny record requests submitted to the RM, and track records that have been transmitted from a holding facility.
(2) Can view all records of units or organizations he/she supports and receives and processes all requests for hardcopy official records and/or access to electronic records.
(3) Is responsible for the transfer of permanent records for his/her supporting units from ARIMS to NARA.

d. *RHAM*. An RHAM manages and directs the operations of an RHA facility. An RHAM may also perform the same duties and have the same access privileges as an RM if he/she is approved by the ACOM, ASCC, or DRU RA.

e. *RA*. The RA is appointed in writing and serves on the ACOM, ASCC, DRU, or IMCOM region level with command–wide records management responsibility and issues instructions and guidance to the installation/unit RMs within his/her area of responsibility (AOR). The RA—
(1) Has the ability to create, modify, and approve ORLS for all units within the agency he/she supports. However, RAs should not perform these duties for subunits unless a local RM has not been assigned.
(2) Can, when necessary, process all requests for hardcopy official records and/or access to electronic records under his/her responsible area.
(3) Can view all records for every unit within the agency.

f. *SA*. An SA provides user account support, updating of reference data used for ARIMS interface, and other miscellaneous activities to maintain ARIMS. This level of access is reserved for ARMDA/system contractors only.

6–5. Army Records Information Management System components/modules
Detailed information about how the modules work is not contained in this pamphlet because as with all software, it is subject to frequent changes and updates. See current detailed instructions in the user's guide at the ARIMS Web site.

6–6. Home page introduction
The ARIMS home page provides users with introductory information about ARIMS and the public–only modules. The home page is available from all modules and can be accessed by clicking on the "home" tab at the top left side of the screen.

6–7. Records Retention Schedule–Army
The RRS–A module is the official site for the Army's record retention schedules (RNs). All have been approved by

NARA with the exception of those indicated by a TBD in the disposition authority column, which are pending NARA approval.

a. The RRS–A can be accessed by anyone accessing the ARIMS Web site at https://www.arims.army.mil.

b. Information can be obtained on each of the RN instructions by entering a keyword search; by typing in the number of the prescribing directive (AR, DA pamphlet, and so on); by selecting the type of record, whether event or nonevent, permanent or non–permanent, or transfer or keep; or the user can browse by record (functional) category.

c. For the keyword search, it should be noted that the exact spelling of the word as it appears in the RRS–A must be entered in order to get a hit. The keyword search looks at the title as well as other text within the record instruction. Caution, the lack of a fuzzy search capability for this feature may result in the false indication that there is no such record series. This issue is being addressed for future software versions.

d. Typing in the number for the prescribing directive will bring up all records based on that directive. For example, typing in 25–400–2 will list all RNs based on AR 25–400–2.

e. When a record category is selected under Browse by record category, all the RNs under that category will be displayed. A user might want to select this way of searching if the functional category is known, but not the prescribing directive or RN.

f. Once the search has been completed and the search results are displayed, a user can perform and search within the results, obtain additional information about the individual search results or change the order in which they are displayed. To search within a search, simply type an additional key word and select go.

g. To obtain additional information about any of the RN instructions on the search results screen, click on the highlighted area under the "Rec. Category" column and detailed information about that instruction will be displayed. To view the detailed information about the next item on the search list, simply click on the next button above the title bar.

h. To sort any of the columns, click on the header title in the title bar. For example, to sort by RN, click on "Rec. Num." in the title bar.

i. The ARIMS offers an advanced search option for when specific information about the subject being searched for is known. For example, a user might know the PA number. This will result in only the records meeting the user's criteria being displayed.

j. Users may print the search results list or the detailed instruction screens by clicking on the print link at the top of the page.

6–8. Registration

Users enter their AKO username and password when first registering with ARIMS by selecting the new user to ARIMS? link or the login/registration tab on the homepage. The AKO provides ARIMS with much of the users' profile information, including what category of user they are and to which unit/organization they are officially assigned. The AKO also notifies ARIMS when a user transfers to another unit within or separates from the Army.

6–9. Records management–assistance

The RM–Assist sub–system consists of 2 major components, RRS–A and the ORL These 2 modules are linked together because the ORL pulls data from the record schedules to populate the ORL. The RRS–A data is also displayed to the user to assist in preparing the ORL.

a. The ORL contains all the RN instructions that an office uses.

b. Only 1 ORL may be created per office symbol, per year.

c. The ORL may be created by unit personnel, RCs, RMs, or RAs. Use of the ORL is mandatory. The file and barcode labeling feature linked to the ORL cannot be used without first creating an ORL.

d. After the ORL is created, the approval authority is notified that it exists and it remains in a proposed status until it has been reviewed and approved by the responsible individual. The approval authority will have a note displayed on their computer screen that an ORL awaits approval. Each record instruction on the list will show a P in the status block on the screen.

e. While in a proposed status, record instructions may be added or deleted; however, once the ORL has been approved, instructions cannot be deleted since they may be already linked to records stored in the AEA or an RHA. This also applies to an ORL. If there is a valid reason to delete an instruction or an ORL, a request must be submitted through or by the records management officer to the ARIMS technical support office at ARMDA IT help desk to have it removed. Instructions may be added as needed using the update ORL feature.

f. Once created, the ORL must be approved before use. If an AO or unit creates the ORL, the organization RM must approve it. The status column will show an A for each record instruction approved.

g. To print the ORL, click the print ORL button. To print the file and barcode labels, click on print label. The barcode label and the file label will both be printed at the same time for T records. A barcode label is not printed for K records. The barcode label is a unique number used to track the folder through its life cycle. It can help ARIMS determine where records were created, when they were created (within a particular calendar year (CY)), what type of record is being submitted, when it was submitted, and so on. Both labels go on the folder in clear view. Labels are

formatted for Avery 5161 or equivalent labels. The RIPS uses the barcodes to streamline the hardcopy indexing process.

h. The ORLs may be created for the following year on or about the end of December of the current year by copying the existing ORL using the copy ORL button. User will then be prompted to change the ORL name (if desired) and select the new ORL year. Once the correct year is selected, click on save. After the new ORL has been created and saved, it will retain the approved status unless file numbers are added. If new file numbers are added, the ORL returns to a proposed status and will need to be approved by the user's records management official. However, only the new (added) RNs require approval. If the agency mission changes, the ORL copy function should not be used since previously approved record instructions cannot be deleted. The current ORL will remain active until midnight, 31 December. Both ORLs, as well as any future ones, will be displayed under the office symbol, denoted by the appropriate year, and a user will still be able to view and print prior years, but they will no longer be active and user will no longer be able to store records against them. The retention period for fiscal year (FY) records saved to the ORL will be calculated as of 1 October each year.

i. If an organization needs to submit records created in a year whose ORL is no longer active, ARIMS provides the capability to upload and index records as a back file operation.

6–10. Records Input Processing System

a. The RIPS module serves as the entry point for all hardcopy folders and an alternate entry point to using the ECS for all electronic records being tracked within ARIMS. The RIPS is divided into the following sub–modules:

(1) *Hardcopy records.* This sub–module is used to index and manage hardcopy records in the RHAs. Although this module can be accessed by RMs and RAs, its purpose is to assist RHAMs to index hardcopy records into ARIMS and manage them in their warehouses. This module supports backfile indexing of hardcopy records created since 2003.

(2) *Electronic records.* This sub–module is used to index electronic records and submit them to the AEA. This module supports backfile indexing of electronic records created since 2003. This module can be used by any registered user within ARIMS including AOs.

(3) *Collections.* This sub–module allows the creation of special collections of records whether hardcopy or electronic. A special collection is a group of records that has a historical significance to the Army, such as Operation Desert Storm. This module can be used by any registered user within ARIMS; however, only ARMDA has the authority to add to, or modify, the special collection list.

b. RIPS processing for hardcopy records include 4 main phases—

(1) *Process batch phase.* In this phase, unit hardcopy records are received by RMs and the barcoded folders are scanned.

(2) *AO folder phase.* In this phase, the record folders are added to the system and additional information about the folder is added by the RHAM.

(3) *Create box phase.* In this phase, unique barcoded labels are generated for the storage containers (boxes) used for placement in a designated record storage area. See table 6–1, below, for a description of container types and their uses, table 6–2, below, for a guide to storage capacities, and table 6–3, below, for conversion factors from linear feet to cubic feet.

(4) *Folder assignment phase.* In this phase, the indexed folders are placed in boxes containing either the same or different dispositions.

c. RIPS processing for electronic records involve 2 main steps—

(1) *Unit selection.* This step gives the user the ability to search and select the appropriate unit that owns the record being submitted or create a new one if that unit is not listed.

(2) *Record indexing.* This step allows the user to specify the location of the electronic record being submitted and also apply the appropriate RN to it.

d. RIPS processing for Special Collections involve 3 main options—

(1) *Create/edit collection.* This option allows creation/editing of special collections. Creation of special collection is restricted to an authorized user.

(2) *Process existing collection.* Under this option existing special collections can be modified and deleted.

(3) *View collection cart.* This option allows users to generate a report showing a list of collections and the number of records associated with that collection.

Table 6–1
Container types and uses

Standard	Standard-size record box for legal or letter-size files (15"x12"x10").
Half Size	Half-size special purpose box (15"x10"x5"). Sometimes used for cassettes, cartridges, etc.
Small and Large Tab	Used in open shelf filing system within records center.
Bundles	Used for large format records, aerial photos, and similar type records which are bound by nylon strapping or other means.
Flat O/S	Flat oversize storage two-piece box for documents that cannot be rolled or folded.
Transfile	A 24x12x10 corrugated box that will hold contents of an entire file drawer.
Volumes	Ledgers, bookings and similar type records.
Hollinger	Gray acid-free fiberboard box available in various sizes to accommodate different types of records.
Rolls	Small or large tube cartons used for rolled maps, blueprints, plans, and drawings or loose rolls of these type documents.
Other	Other size containers used for documents that are not of normal size/height/width such as large magnetic tape boxes.

Table 6–2
Storage capacities for hardcopy records

SIZE	CUBIC FEET	DOCUMENTS
1 Letter-size file drawer	1 1/2	4,500
2–Drawer letter-size file cabinet	3	9,000
3- Drawer letter-size file cabinet	4 1/2	13,500
4–Drawer letter-size file cabinet	6	18,000
5–Drawer letter-size file cabinet	7 1/2	22,500
1 legal-size file drawer	2	6,000
2–Drawer legal-size file cabinet	4	12,000
3–Drawer legal-size file cabinet	6	18,000
4–Drawer legal-size file cabinet	8	24,000
5–Drawer legal-size file cabinet	10	30,000
1 full-size box (12"x10"x15")	1	3,000
2 1/2-size boxes (tab cards)	1	10,000
5 1/4-size boxes (tab cards)	1	10,000
1 1/4-size box (tab cards)	1/5	2,000

Table 6–3
Conversion factors from linear feet to cubic feet

Type	Linear Feet	Cubic Feet
Letter size	1.25	1
Legal size	1.0	1
Ledger size	.6	1
Document size	3.7	1
Tab cards and checks	6.0	1
5 x 8 cards	3.6	1
4 x 6 cards	6.0	1
3 x 5 cards	10.0	1

6–11. Master index

The master index contains information about all the hardcopy records that have been retired to the Army record holding facilities as well as information on electronic records that have been transferred to the AEA from various Army agencies/installations worldwide.

a. It provides authorized ARIMS users with search capabilities, allowing immediate retrieval of electronic records from the AEA and the option for requesting hardcopy records from the record holding facilities. It should be noted, that you can only retrieve records that you or your office retired. You may, however, make a request for records that are not yours and upon approval by the owner, they will be made available.

b. The master index makes access to retired Army records easier by supporting the following capabilities:

(1) *Search using query by example*. This provides authorized users the ability to search for official Army records and view or retrieve them from an RHA.

(2) *Online standard reports*. This capability provides authorized users the ability to create online printable reports such as ORL status reports, records location reports, and container/RHA box inventory lists.

(3) *Records destruction notification*. This capability provides records officials and record owner's information on what records are eligible for destruction and the scheduled destruction date, as well as reports of records that were destroyed.

6–12. Electronic capture and store

a. The ECS enables ARIMS users to assign records retention instructions to electronic records using MS Outlook, making it easy to transfer them as ordinary e–mail or e–mail attachments. In addition, ECS integrates Microsoft Office (MS–Office) applications with ARIMS functionality.

b. The ECS communicates with the ARIMS server through a Web service to retrieve both the CY and FY records instructions from a user's current year ORL.

6–13. Backfile indexing

Backfile indexing is used to input hardcopy and electronic records from 2003 to the present FY or CY into ARIMS.

Chapter 7
Records Transfer and Retirement

7–1. General

Only records designated as T records are transferred out of the CFA. Records designated as K records are managed and destroyed within the CFA. The T records are retired to an RHA, the AEA, or an FRC when they are NLN for day–to–day operations within the office; there is no set time they must be retained within the CFA.

7–2. When to retire

a. Generally, most records are not needed for reference purposes past 2 years, so a general guideline would be to retire hardcopy T records after that time; however, if it is known specific records will not be needed in the CFA that long, they should be transferred earlier. If the record is needed for conducting business the entire retention period, it may be disposed of in the CFA with approval from the local RM. Money should not be expended to transfer T records eligible for disposal.

b. Electronic T records should be transferred as soon as all action on them is complete. Action is considered to be complete when all issues/decisions have been made and no further action is required. A copy can be kept within the CFA for reference purposes; however, the reference copy should be deleted as soon as it is NLN for reference and in no case should it be kept longer than the record copy.

c. If the electronic record copy needs to be kept on site past the time action has been completed, a request for exception will be forwarded to the ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860 and will include a point of contact (name, address, and telephone number) for coordinating and completing the information that will be entered to the master index of records in ARIMS.

7–3. Hardcopy records

Offices will provide hardcopy T records to activity RMs upon request. Installation RMs will periodically visit tenant units and installation staff organizations while in garrison to collect these records; deployed units will transmit these records monthly and at the end of the deployment.

a. Temporary T records with retention periods of 7 years or less will be retired to the RHA when NLN for business and will be maintained and disposed of in the RHA. For example, for records with a 6–year, 3–month retention, and using 2 years as a general transfer guideline, the records would be transferred at the end of the 2 years, held in the RHA until the end of the retention period (4 years, 3 months), and then be destroyed.

b. Temporary T records with retention periods longer than 7 years (but not permanent) will be retired to the RHA when NLN for conducting business and will be held in the RHA until they are 7 years old and then retired to an FRC where they will be managed and disposed of at the end of their life cycle by the FRC. For example, for records with a 10–year retention, and using 2 years as a general transfer guideline, the records would be transferred at the end of the 2 years, held in the RHA until they are 7 years old (5 years), then be transferred to the FRC where they would be disposed of at the end of the 10 years.

c. Permanent T records will be retired to the RHA when NLN for conducting business and will be held for 1 year and then transferred to an FRC where they will be managed until they are transferred to The National Archives according to the specific time stated in the disposition instructions.

7–4. Electronic records

Electronic T records are transferred to the ARIMS AEA by originating offices or units as soon as they are complete. This is accomplished using the ECS feature in ARIMS. The ECS may be downloaded directly from ARIMS and will install in all MS–Office applications. In Outlook, ECS will prompt users sending e–mail messages with the option to send a copy of the message to the AEA. Outlook ECS also allows for the easy transfer of records as attachments to an ordinary e–mail. Users sending records to the AEA will receive a message acknowledging the receipt of those records usually within 24 hours of delivery to the AEA. Once the ECS is installed, records are sent using the following procedures. The following is the latest information in the ECS application at the time of publication. Since the application is continually improved and upgraded, see the ARIMS Web site for the most up–to–date information and user's guide.

a. *E–mail messages*. After the e–mail record is complete and it is ready for distribution, the user clicks on the send button. If the ECS feature is installed, a dialog box will open allowing the user to select archive if they want to send the document to records storage and do not archive if they do not want to send the document to records storage. If a document needs to be archived, the user can also select a disposition instruction to categorize the record(s) from a drop down menu. This menu is made up of the T RNs from the user's ORL. Selecting the appropriate disposition instruction activates the transfer of the record to the AEA. The user will receive a message acknowledging receipt. The archive button must be used if the document is a record.

b. *Other electronic records*.

(1) Electronic records created by MS–Office applications such as Word, Excel, Access, and PowerPoint are sent to the AEA with the same ECS applet program. To submit a record from 1 of the applications, the user would select the Send to Army Electronic Archive option in the file drop down menu. A dialog box will open allowing the user to select a disposition instruction to categorize the record. The list of instructions is made up of the T RNs from the user's ORL. Selecting the appropriate disposition instruction activates the transfer of the record to the AEA.

(2) Electronic records created from applications other than MS–Office can be sent to the AEA in 2 ways. As an attachment to an Outlook e–mail, or with proper access privileges, by using the backfile indexing function (located under the RIPS module). Examples of these types of applications are Adobe Acrobat records (file extension .pdf), image records (file extensions .gif, .jpeg, .tif, and so on), video records (file extension .mov, and so on) sound records (file extension .wav), and so on. If sending as an attachment to an Outlook e–mail that has no intended addressee, the user may send the e–mail to himself/herself so that the ECS dialog box will open. In this case, Outlook is merely being used as a transfer vehicle for the attached records.

(3) Electronic T records that are stored in or generated by an information system or other automated source or that are stored or managed by DOD 5015.2–STD certified products, can be sent to the AEA using middleware software. Requests for middleware software interface specifications to transfer those records should be sent to the ARMDA and include a point of contact (name, address, and telephone number) for coordinating any technical matters.

c. *Alternatives to using ECS*.

(1) The ARIMS tools were Web enabled to ensure the widest possible access for Army users. However in some rare cases, ARIMS and/or some of its components my not be available to all users. At the time of this writing, there are only 2 alternatives (to ECS) to get T records into the AEA—

(a) Using the RIPS backfile process (see ARIMS users guide for procedures).

(b) Sending records directly to the following address: records@arims.army.mil. This alternative is not recommended since the records are not indexed. When records are sent directly to the AEA, additional steps to index them must be taken using the RIPS AEA records classification function. Although indexing unidentified records may be accomplished at any time, it is recommend that indexing be done in a timely manner since organization and/or personnel changes will likely make the task more difficult later on.

(2) The ARMDA is also working on 2 methods of uploading electronic records in batches. One is an FTP type of records transfer where multiple records (with same RN and year of creation) can be selected and uploaded at once. The second is a middleware solution that allows ARIMS to interface with another system to transfer records from system to system.

7–5. Preparing hardcopy records for transfer or retirement

a. Organization and installation RMs or designated coordinators will organize, pack, receipt, and send records to the servicing RHAs on a periodic basis. When an office has records to retire that are not part of a scheduled pickup, the organization's records official should be notified.

b. If records officials are not available to an organization to pack and transfer the records, the office that created the records is responsible for doing so.

c. Records will be retired to the RHA using the SF 135 (Records Transmittal and Receipt) or ARIMS RIPS module.

(1) The SF 135 is the transmittal and tracking document for records sent out of the office files area. It accompanies records until they are destroyed or sent to The National Archives. The SF 135 may be used to send records that will be destroyed in the RHA. It must be used for records that will be transferred to an FRC. The SF 135 can serve as a receiving document, as a receipt returned to the creating office, as an inventory tool showing where the records are located in the RHA if an automated tool is not used, as an input source for the master index, and to retire the records to an FRC. Copies will be retained by all offices concerned during the life cycle of the pertinent records.

(2) See chapter 6, above, for information on using ARIMS RIPS for creating the records list and receipt for retired records.

d. Prior to packing the records, the files should be reviewed and purged of unnecessary documents such as duplicates and non–records.

e. Do not transfer or retire records that are subject to the PA unless they are covered by a system notice in DA Pam 25–51.

(1) This DA Pam identifies the PA systems notice number applicable to RNs for records requiring protection. Cite the PA system notice number on the SF 135.

(2) If the PA system notice number associated with an ARIMS RN is incorrect, or newly created recordkeeping requirements lack PA protection, promptly notify ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860.

f. The originating office or unit remains the legal custodian of the records even when they are retired to an FRC and will provide input or review of the SF 135s when requested to enable retrieval of these records if needed at a future date. For example, if the originating office receives a FOIA request for records that were transferred or retired, that office is responsible for locating the records and retrieving them for review.

g. Agency or command RMs or designated coordinators will consolidate records transfers from the different offices within their organizations. Installation RMs will consolidate records transfers from units and installation staff organizations while in garrison. Records transfers from deployed units will be handled as expeditiously as possible after their receipt, monthly and at the end of the deployment.

h. The maximum length of time that permanent (TP and TEP) Army records can be legally kept in Army custody is 30 years. If permanent records are needed on site for longer than 30 years, a request for exception is forwarded to ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860.

i. Permanent records are offered to The National Archives according to the time period specified in the disposition instructions for the specific records. This is normally when hardcopy records are 20 to 25 years old, with a much shorter time frame for electronic records. Permanent records may only be offered to The National Archives by ARMDA, as the designated agency for the OAASA (see AR 25–1). Permanent records are transferred to The National Archives using the SF 258 (Agreement to Transfer Records to The National Archives of the United States). The SF 258 is prepared by the FRC or RHA holding the records and is then sent to ARMDA for signature and forwarding to The National Archives.

j. Do not retire records for which the disposition is dependent on some future event occurring. The holding facility would have no way of knowing when to dispose of these records.

k. Generally, U records may not be retired; however, an exception has been made in those cases where a large volume of records are being created and there is simply not enough room to maintain the files in the office space or the records are of a complex nature and the scheduling process is taking an unduly long time. However, NARA (NWML) must be notified in writing prior to the transfer. Offices having unscheduled records to transfer to an FRC will first notify ARMDA (JDRP–RDR–R, 7701 Telegraph Road, Alexandria, VA 22315–3860, who will coordinate the action with NARA (see fig 7–1, below, for a sample SF 135 transferring unscheduled records).

l. Do not include more than 1 permanent records series on the SF 135. Each series should be transferred as a separate accession.

Figure 7–1. Sample SF 135 transferring unscheduled records

7–6. Classified records

a. Agency security managers must be consulted before transferring classified records and actions initiated, as specified in AR 380–5, paragraph 6–27. The RHAs should only accept classified documents that are properly marked. Classified information will not be disclosed on the SF 135; only the unclassified title may be used to identify the records. Agency security managers should be consulted for specific information.

b. Top secret records will not be retired until downgraded to a lower classification, except those in overseas commands and those which are to be deposited with the Defense Investigative Service and in the U.S. Army Intelligence and Security Command (INSCOM) records center (see 7–6*c* and *d*, below). When top secret records must be retired, transmission and accountability will be in accordance with AR 380–5 and other applicable security management instructions.

c. Instructions for listing, receipting, and packing material with secret and confidential classifications are the same as those for unclassified, except that unclassified titles will be used on the SF 135 to list the records. In addition, other receipts may be needed such as DA Form 3964 (Classified Document Accountability Record). Wrapping and shipping

material with these classifications will be in accordance with AR 380–5, chapter 8; AR 25–400–2; and applicable sections of this DA Pam.

d. Special intelligence documents, including top secret, will be retired only to the INSCOM records center (see AR 25–400–2, table 10–1 for the mailing address.)

e. Regardless of classification, restricted data and formerly restricted data will not be intermingled with other information when being transferred to an RHA or FRC.

7–7. For Official Use Only records
Records with the FOUO protective marking will be packed as prescribed in this chapter for unclassified records.

7–8. Transferring records to other organizations
The procedures for packing records and preparing and distributing records transmittal lists when transferring records to organizations other than RHAs or FRCs are the same as those described above.

7–9. Preparing the SF 135
a. An electronic copy of the SF 135 is located in the ARIMS master index module which can be used to transfer records to individuals requesting them; however, this feature is not yet available for use when retiring records to the RHA or FRC. The NARA provides an electronic copy at http://www.archives.gov/frc/forms/sf-135-intro.html, which can be used for transferring records.

b. The SF 135 will describe records in enough detail to permit future location of the records contained in the shipment.

c. A separate SF 135 should be created for each records shipment.

d. Requirements when transferring records to an FRC—

(1) Accessions (transfers) must be at least 1 records box; unboxed folders are not accepted under any circumstances.

(2) Accessions may contain only 1 records series (RN) per accession. Exception example, if the accession consists of only 1 box, multiple series can be placed in the same box; however, they must be all permanent or all temporary; the 2 types of dispositions cannot be placed in the same box. When the box does consist of a mixed series, ensure that each RN is listed on the SF 135 with complete dates and disposition authority.

(3) While multiple series in 1 accession are not normally accepted, multiple years of records are accepted (for example, 1993, 1994, 1995 records under the same RN).

(4) SF 135s for all permanent records must have complete and accurate box and folder listings before the SF 135 is approved. These listings may be placed on plain bond paper (see fig 7–2, below).

(5) Any national security classification pertaining to the records must be noted on the SF 135. Do not mix different levels of classification if at all possible. Do not include any classified information on the SF 135 or box list itself. Remember that while the records are not public information, the SF 135 and any box and folder lists are public information. Also, be sensitive to any personal information that might be on the box list. A folder list of individual's names, for instance, should not include social security numbers, even if they are on the folders themselves.

(6) Do not substantially change the contents of the records accession after submitting the SF 135 to the FRC for approval. Do not add or subtract the number of boxes, change the RN(s), or dates of records. For permanent records, any change at all in the contents requires a change in the box and folder list. If a change must be made in the shipment, contact the FRC prior to altering or canceling the SF 135 before the records are shipped.

DETAILED FOLDER LISTING OF BOX 1

525n1 - Operations planning files - Office responsible for preparation of plan

Folders:
 1 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 2 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 3 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 4 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 5 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 6 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 7 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 8 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
 9 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
10 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
11 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
12 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
13 - OPN RESTORE HOPE - MESSAGES AUGUST 1993
14 - OPN RESTORE HOPE - G-3 OPNS MESSAGES SENT #41-53 1993

Figure 7–2. Sample detailed folder listing

e. Instructions for completing the SF 135—

(1) *Item 1*. Enter the complete address for the records center serving your area.

(2) *Item 2*. Enter the name and title for the person authorizing the transfer. The date will be entered at the time the transferring official signs the block.

(3) *Item 3*. Provide the name, office, office symbol, and commercial telephone number, including area code, of the person to contact concerning the records. An e–mail address shall also be included.

(4) *Item 4*. This block is completed by the records center upon receipt of the records.

(5) *Item 5*. Give the transferring office's name and complete mailing address.

(6) *Items 6(a) and (b)*. For (a) the NARA record group number assigned to the records of the organization making the transfer and (b) the last 2 digits of the current FY.

(7) *Item 6(c)*. In most records centers, the staff assigns a sequential number in this column. At the Washington National Records Center (WNRC), agency records officers typically control and assign transfer numbers.

(8) *Item 6(d)*. Enter the volume of records in the shipment. For transfer and billing purposes, a standard–size box equals 1 cubic foot.

(9) *Item 6(e)*. Show the inclusive box numbers for each series of records being transferred. Each carton is numbered sequentially as follows: 1 of 25, 2 of 25, 3 of 25, and so on (each new series of records should begin with carton number 1). To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.

(10) *Item 6(f)*. Provide a detailed description of the records in the shipment.

(a) Include the record series title, inclusive dates, filing order (for example, filed numerically, alphabetically by subject, and so on), organizational component when different from that shown in item 5, detailed folder listing for each box, and indicate whether the series of records is subject to the PA. Do not include information subject to the PA on the SF 135 because SF 135s are public records.

(b) Also include, if applicable, the statement Government Accounting Office (GAO) site audit if records have been so designated by GAO and indicate whether they do or do not pertain to American Indians; if non–paper based records such as microfilm, engineering drawing, and so on; the format; and if the records belong to a special records collection (for example, John F. Kennedy records), please indicate under this item.

(11) *Item 6(g)*. Complete this section using 1 of the codes in table 7–1, below, to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the series description column (f).

(12) *Item 6(h)*. Cite the RN for each record title.

(13) *Item 6(i)*. Enter the date records may be destroyed based on the disposition instructions for the specific RN. The date consists of the month and year the records may be destroyed. For permanent records, no month is shown since records are offered to NARA on an annual basis. Place a P after the offer year.

(14) *Items 6(j), (k), (l) and (m)*. These items are completed by the records center.

f. When completed, forward the original SF 135 and a copy to the RHA or FRC (as appropriate). Maintain a copy in the office suspense files to follow–up with in the event a response is not received from the RHA or center within approximately 10 working days.

g. If acceptable by the RHA or records center, a copy of the SF 135 will be returned authorizing shipment of the boxes. This copy is placed in box 1 of the shipment before the records are sent to the center.

h. After the records have been received by the center, another copy of the SF 135 will be returned by the RHA or FRC (as applicable), annotated with a location number, as a receipt after the records have been shelved.

i. A copy of each finalized SF 135 transferring records to an FRC will be provided ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860.

Table 7–1
Restriction codes

Code	Restriction
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use - witnessed disposal not required (specify in column (f))
W	Restricted use - witnessed disposal required (specify in column (f))
N	No restrictions

7–10. Packing the boxes

a. Use the proper box size when packing the records. See figure 7–3, below, for types of boxes to use in shipping records. For legal and letter–size material, use standard–size boxes. Use half–size or other boxes only for microfilm, index cards, or other odd–size material. Contact the records center for assistance in selecting the proper container for odd–size materials. Do not use boxes that are damaged or have information obscuring the accession number blocks or reuse boxes that have stick on labels as they are subject to falling off after several years in storage.

b. For instructions on assembling the standard–size box, go to http://www.archives.gov/forms.

c. Place letter–size records in the box with labels facing the numbered end. The numbered end will be opposite the stapled end. Place legal–size records in the box so that the labels face the left of the box as you face the numbered end. Leave approximately 1 inch of space in each box for working the files (more if interfiles will be added later). Guides and tabs may be left in the records if they will help the records center personnel service the records.

d. Do not over pack the boxes. Never add additional material on the bottom, side, or top of the records in the box.

TYPES OF BOXES AND SUPPLIES AUTHORIZED FOR RECORDS TRANSFER

Boxes:
Standard size record box for legal- or letter-size files: 14 3/4" x 12" x 9 1/2" (commonly referred to as 15x12x10)
NSN 8115-00-117-8249
Note: Boxes exceeding these dimensions will not fit on records center shelving.

Special purposes boxes - half-size boxes, 14 3/4" x 9 1/2" x 4 3/4"
NSN 8115-00-117-8338

X-ray Box: 18" x 15" x 5 1/2"
NSN 8115-00-290-3386

Magnetic tape box (lock bottom):
14 3/4" x 11 3/4" x 11 3/4"
NSN 8115-00-117-8347
Note: This box is intended only for magnetic tape. It will not fit on standard records center shelves.

Other Supplies:
Tape (recommended) NSN 7510-00-073-6094. (The clear tape does not obscure numbers)
Tape - tan - 3". NSN 7510-00-079-7905
SF 135. NSN 7510-00-634-4093
Felt-tip marker. NSN 7510-00-973-1059
Optional Form 11. NSN 7510-00-682-6423

Figure 7–3. Types of boxes and supplies required for records transfer

7–11. Numbering boxes for shipment

a. Before the boxes are shipped to the records center, write the transfer number (formerly referred to as the accession number) and the box number in the designated printed blocks on each box at least 1.5 inches high.

b. For boxes without the printed blocks, write the transfer number in the upper left corner and the Army organization box number in the upper right corner of each box at least 1.5 inches high. Begin with box number 1, and include the total number in the transfer, such as 1/10 (1 of 10), 2/10, 3/10, and so on. The sides of the boxes may be used to write any information concerning box content.

c. Do not use labels other than the barcode label to supply additional identifying information. No standard method of affixing labels is effective in long–term storage.

d. Do not write on sealing tape. Do not place tape over transfer or box numbers.

7–12. Shipment of boxes

a. Records must be shipped to the RHA or records center within 90 days after receipt of the approved SF 135. If the transfer cannot be made within this period, promptly advise the RHA or records center. Unexplained delays of more than 90 days will result in the RHA or records center canceling the transfer number and returning the SF 135. If this happens, the organization will then be required to resubmit the transfer paperwork, obtain approval for the shipment, and renumber the containers with a new transfer number.

b. In most instances, especially commercial transportation or shipment via the U.S. Postal Service, the boxes must be sealed with tape. Do not tape over the transfer number or the box number. For questions concerning shipping methods and costs, contact GSA's regional traffic and travel service offices.

c. Records may be sent by mail, commercial carrier, or common carrier on pallets (portable wooden platforms without wheels). See http://www.archives.gov/forms for recommended stacking order of boxes on pallets. Some records centers will pick up agency records. Check with your local center for scheduling and fees. For shipments of less than

20 boxes, agencies will find it more economical to mail them to the records center or ship them via commercial carrier. Using a commercial carrier has the advantage of automatic registration and tracking.

d. For shipments over 20 boxes, make all the necessary arrangements to ensure that boxes arrive at the records center in numerical order so that Box 1, with a copy of the SF 135 included, is the first box unloaded. If shipments of 20 boxes or more must be mailed, they may be sent in a postal container or by bulk mail.

e. Organizations shipping their boxes on pallets using a commercial carrier should complete a Transportation Services Order. Go to http://www.archives.gov/forms for the transportation services order form.

f. For shipments of 100 or more boxes to an FRC, call the records center to schedule a shipping date, and instruct commercial carriers to contact the records center 24 hours before delivery.

g. Shipments arriving at a FRC out of order, in oversize boxes, improperly taped, or improperly marked, may require extensive remedial effort and increased costs. These costs are the responsibility of the shipping organization.

7–13. Preparing the SF 258

a. This form may be initiated by the transferring agency or the NARA. A separate SF 258 is prepared for each series or SF 115 item being transferred.

b. When initiated by the transferring agency, the agency completes blocks 4 through 14 using the instructions below. Blocks 2a and b will be completed at ARMDA. Send the original to ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860, 60 days before the records are to be transferred to The National Archives.

c. When initiated by the NARA, the NARA will complete blocks 1 and 4 through 14 and send the original to ARMDA. The ARMDA completes block 2b and signs block 2a as indicated in 7–13*b*, above.

d. The ARMDA will send the completed form to either the following address or the appropriate National Archives regional archives: Accessions Control Staff (NN–E), Office of The National Archives, National Archives and Records Administration, 8601 Adelphi Road, College Park, MD 20740–6001. Contact the Accessions Control Staff at 301–713–6655 for address of regional archives.

e. All SF 258s for transfer of records directly from an Army organization must be accompanied by a folder title list of the box contents or equivalent detailed records descriptions.

(1) For electronic records, this requirement is satisfied by providing the documentation and indexes specified in 36 CFR 1234.32 and by following the technical standards in 36 CFR 1228.270, and where appropriate, NARA guidance on transfers of new formats of electronic and digital records.

(2) For other records, the detailed list may be provided in hardcopy or electronic format (word processing, spread sheet, database, or PDF).

f. Instructions for each block on the SF 258—

(1) *Item 1– interim control number*. Leave blank, NARA will fill in.

(2) *Items 2a and b– agency approval*. See 7–13*b*, above.

(3) *Items 3a and b— NARA approval*. When a proposal to transfer records to The National Archives of the United States is approved, the appropriate NARA official completes 3a and b.

(4) *Items 4a and b– records series title/date span of series*. The information provided should include a records series title, a statement of how the records are arranged, dates of coverage, and sufficient detail to describe the body of records being transferred. If access to the records is gained or facilitated through an index, box list, or other finding aid, include it with the records being transferred. Indicate the appropriate disposition authority number if the index is scheduled separately. If the records are in a FRC, attach each applicable SF 135. For electronic records, describe any related documentation.

(5) *Items 5a through e– agency information*. Fully identify the unit (5d) that created or organized the records. Usually this is not the agency's records management office. Place the creating unit within its organization hierarchy (5a–c). For example, the responsible unit is a branch (5d), within a division (minor subdivision) (5c), within an office (major subdivision) (5b), and within the agency or major component of a department (5a). Block 5a should be the official or legal name of the agency or bureau as published in the U.S. Government Manual. In block 5e, include the name and telephone number (including area code) of a person who should be contacted if NARA has any questions about the records. f the originating agency no longer exists, provide the name of the contact person at the successor agency.

(6) *Item 6– disposition authority*. This citation must be included. It can be either the item number assigned to the records within a records disposition schedule (SF 115) approved by NARA or the item number (ARIMS RN) assigned to the records within an agency records disposition manual based on a NARA–approved SF 115. If the agency manual number is used, attach a copy of the pertinent pages from the agency manual.

(7) *Item 7– is security classified information present*. If the records contain security classified information, check yes and indicate the highest level of classification present. Indicate any additional applicable national security special access restrictions (for example, Sensitive Compartmented Information or North Atlantic Treaty Organization (NATO)). Restricted data and formerly restricted data refers to information subject to the Atomic Energy Act of 1954. Check segregated to indicate that security classified record has been segregated from unclassified records or information subject to special access restrictions has been segregated from other classified information. Check declassified to

indicate whether any records have been declassified and provide both the authority for declassification and a description of the declassified records.

(8) *Items 8, 8a and b– current location of records*. Check the appropriate box for the current location of the records. If the records currently are in an FRC, complete 8b by providing the records center name, accession and container number(s) and the record center location. If the records are located in the transferring agency or other location, provide a complete address in 8a.

(9) *Item 9– physical form(s)*. Check all the boxes that apply to the records included in the transfer.

(10) *Item 10– volume*. Include both the cubic feet (CF) of the records and the number and type of containers holding the records. For example: CF 15: Number 15: Type FRC boxes. Provide separate volume figures for each physical type of records, continuing on a separate sheet as necessary.

(11) *Item 11– date records eligible for transfer to the archives*. Indicate the date the records are eligible for deposit in The National Archives. This date is determined by the disposition instructions for each RN in the RRS–A.

(12) *Item 12– are the records fully available for public use?* If the records are exempt from release pursuant to the FOIA, 5 USC 552(b)91)–(9) and (c) (1)–(3), this must be fully justified. List all exemptions that apply. If exemption (b)(1) is cited, complete block 7 accordingly. If (b)(3) is cited, include the full citation for the relevant statute. If the records are subject to copyright, identify affected items and the copyright holder.

(13) *Item 13– are these records subject to the PA?* The National Archives is required to notify the public, through the Federal Register, when it takes custody of records subject to the provisions of the PA, 5 USC 552a. The originating agency should use this block to indicate whether the records covered by this SF 258 are part of a PA System of Records and include a citation to a copy of the PA notice published by the agency for the system. The NARA will use the transferring agency's notice to inform the public through the Federal Register, that the records have been transferred to The National Archives and that no further modification of them is possible.

(14) *Item 14– attachments*. Check the appropriate box(es) and indicate the attachment(s) being submitted with this form.

(15) *Item 15– shipping instructions to agencies/remarks regarding disposition*. The NARA uses this space to provide shipping instructions relating to transfers.

(16) *Item 16– records accepted into The National Archives of the United States*. The appropriate NARA representative signs block 16 after the record have been received at a NARA facility and NARA has confirmed that the records received are the records described in block 4. Transfers to NARA are not final until NARA has signed block 16. The NARA sends the ARMDA a copy of the completed form.

(17) *Item 17– National Archives accession no*. The NARA assigns this unique, permanent control number to each transfer of records.

Chapter 8
Reference Procedures and Services

8–1. Army Records Information Management System master index of retired records

a. When fully implemented, the ARIMS master index will list all records maintained at RHAs worldwide, FRCs, and the AEA. All records sent to the RHAs, FRCs, and the AEA are processed through the RIPS in ARIMS by RHA and AEA personnel, or in the case of Army organizations, such as HQDA staff elements and any Army organization not residing on an Army installation, by the organization's RA, RM, or RC. Additionally, information on electronic T records that are maintained in an agency information system with an approved exception (see para 7–2*c*, above), are included in the index.

b. Hardcopy records stored in RHAs are indexed to the folder level and may be searched by subject, location, date, organization, and/or file code.

c. Electronic records stored in the AEA are indexed to the document level and may be searched by keyword, phrase, subject, date, file size, and/or organization.

d. Unless otherwise authorized, no record, record report, or list of records is made available to persons or organizations that are not the creator/owner of the record or responsible for its maintenance or disposition. Third party requests for records (for example, FOIA/PA, or congressional requests) will be forwarded through the proper agency channels for action as needed.

8–2. Records retrieval

a. The search tool located in the ARIMS master index is used to seek, locate, request, and retrieve records stored in the AEA and RHAs. The search tool is also used to locate records stored in an FRC, but the request for the records cannot be made via ARIMS.

(1) Electronic records in the AEA are retrieved online by selecting directly from the master index or from a list of records searched and completing a short request form that is automatically generated. Requests for electronic T records

being maintained in an agency information system should be directed to the individual or organization listed on the index for those records and should include the purpose and scope for requesting the information (for example, the last 3 annual reports for research, to respond to a Congressional, and so on).

(2) Records stored at RHAs may be retrieved by selecting from the master index or from a list of records searched and completing a transmittal form which is automatically generated and then sent to the proper RHA staff for processing.

(3) Requests for records stored at FRCs are made by submitting a request to the records center via the Centers Information Processing Systems (CIPS), U.S. Postal Service, commercial courier, e–mail, fax, or telephone.

b. Prior approval from the ARMDA must be received before requesting records that are needed for special projects or additional requirements resulting from congressional, judicial, or other higher authority mandates. Payment for reference services to meet non–Army business or operational requirements is funded separately and will be charged accordingly.

8–3. Records holding area records reference services

The following procedures may be implemented by HQDA, ACOM, ASCC, or DRU approved RHAs to provide rapid and efficient records reference services. These procedures may be adapted to organize records retrieval in any size office or large file room operation.

a. Requests to charge out records may be in memorandum format, on the forms listed in paragraph 8–3*b*, below, or equivalent, such as an electronic check–out/–in database used for tracking records actions. Information generally needed to locate and charge–out records material includes:

(1) Identification of material and record classification, if known.

(2) Name of writer (organization or individual).

(3) Date of the document (specific or approximate).

(4) Requester's name, organization, location, telephone number, and e–mail address.

b. A charge–out record may be made and substituted for documents removed from a file for reference purposes. Charge–out forms and their recommended use are as follows:

(1) DA Form 543 (Request for Records) is used for documents charged out when the suspense control is needed. The original should be attached to the record material to serve as a routing form and cover sheet and a copy placed in a follow–up or suspense file. A copy of the completed form may also be attached to an operational form (OF) 23 (Charge–out Record) or OF 24 (Shelf File Charge–out Record) and placed in the location from which the material is removed. These DA forms are available at http://www.apd.army.mil .

(2) OF 23 or OF 24 may be used for documents charged out when suspense control is not desired.

(3) A charge–out system using DA Form 543 involves a suspense and follow–up procedure to control loaned records. A uniform follow–up time (usually 5 to 10 days) for charged out material should be established. The suspense file should consist of a copy of each of these forms representing charged out documents for use in tracing the records that were charged out from the files area.

8–4. Requesting reference service from Federal records centers

a. *Requesting records via the CIPS*. The CIPS program establishes an electronic link between record centers and customer agencies. Both Web access and dial–up modem access to CIPS is available. Recalling records via CIPS is the most cost effective and quickest method because it decreases mail time and NARA's processing time for retrieval. The CIPS reduces the cost of transacting Government business by sorting requests received into location order for prompt servicing, and it provides tracking capability for the requesting agency as well as the records center on individual requests.

(1) To apply for access to CIPS, complete both the Department of Veterans Affairs (VA) Form 9957 (http://www.archives.gov/forms) and the CIPS Registration Form NA Form13166 (http://www.archives.gov/forms). Send the completed forms to the CIPS SA at the records center that services your records. These forms can be found on the records center program's Web site. (The VA is the records center programs contractor for mainframe applications.)

(2) A user ID and password will be issued to each user once forms are received. Organizations will need to specify their record group numbers and any other records center for which access is requested.

b. *Requesting records by e–mail or commercial carrier*.

(1) If CIPS is not used, use OF 11, Reference Request–Federal Records Center. The OF 11 should be sent to the records center. See http://www.archives.gov/forms for the OF 11 form.

(a) Use a separate OF 11 or appropriate agency request form for each folder or box requested. Two or more contiguous file items, folders or cartons may be treated as 1 item and be requested on 1 OF 11.

(b) When completing the OF 11, you must furnish the transfer number, agency box number, and the records center location number of the first box of the transfer.

(c) The OF 11 is a 3–part form. The first part (white) of the OF 11 is used by the records center to service the request and remains with the file until it is returned for refiling. The second part (pink) is retained by the requesting

agency for track and control purposes. The third part (tan) is used by the records center as a charge out for the file/box until it is returned from the agency for refiling. Requests for classified records should include all 3 copies of the OF 11.

(d) Contact GSA's customer supply service to order OF 11 forms.

(2) Use SF 127 (Request for Official Personnel Folder) Separated employee to request the return of official personnel folders (civilian) from the National Personnel Records Center.

(3) Use SF 180 (Request Pertaining to Military Records) to request the return of retired official military personnel folders from the National Personnel Records Center. See http://www.apd.army.mil/ for a SF 180.

c. *Requesting records by e–mail*. Organizations can e–mail requests by completing the forms and sending them directly to the appropriate records center at the designated e–mail address listed for each center.

d. *Requesting records by Fax and telephone*. Agencies may fax emergency requests requiring immediate pick up to the records center. Be sure to identify the pick–up time. Emergency requests are accepted by telephone if fax capability is not available.

e. *Delivery of requested records*. Both USPS and UPS are the standard methods of delivering requested records to organizations. If an organization wishes to have records delivered by overnight express courier, an account number must be provided.

f. *Emergency requests*. Emergency situations are those that require same day pick–up by the agency or use of overnight express courier. When employing this method, agencies must provide the name of the overnight express courier along with a billing account number or the name of the organization's messenger who will be picking up the file and approximate time of pick–up in the remarks section of the OF 11. Messengers will be required to provide photo ID and agency affiliation when arriving at the records center to pick up requested files. Emergency requests are billed at a higher rate than regular requests.

g. *Refiles*.

(1) Organizations should send requested files back to the records center when NLN. Write the word refile on the white copy of the OF 11 or CIPS request form that accompanied the requested file and return it to the records center. If the OF 11 is no longer attached, specify the refile action in a brief note or cover letter and attach it to the file being returned.

(2) Agencies are required to complete and submit a classified refile manifest when returning folders and boxes for refile. The manifest serves 2 purposes, accountability of records and as an audit trail. In lieu of the manifest, the Army was granted approval to continue to submit a DA Form 3964 when returning boxes for refile. The DA Form 3964 should also include the courier's name and phone number of the person who prepared the shipment. See http://www.apd.army.mil/ for a DA Form 3964.

h. *Refoldering/reboxing*. Do not refolder or rebox records drawn back from the records center. Unless some prior arrangement has been agreed to, records must be returned in the original folders or containers to allow accurate refiling. If the box or folder is unusable for shipment, copy the transfer number and location to the front of its replacement.

i. *Interfiles*. Organizations can send documents or folders that were never included in the original transfer to the records center. The organization must provide the transfer number, box number, and file designation where the interfile should be filed.

8–5. Relocation of records within a Federal records center

Occasionally, it becomes necessary to move records within an FRC. When this happens, the Army will be notified of the relocation. A Notice of Accession Location Change, NA Form 13016, is mailed following the relocation. See http://www.archives.gov/forms for an NA Form 13016.

8–6. Other services offered by Federal records centers

a. *Fastpack*. Many records centers offer help in preparing records for shipment to the nearest records center. As agencies confront downsizing and early retirement situations, they often need extra help in ensuring their program activities are properly documented. The NARA's records centers can provide help in determining which steps need to be taken and can sometimes offer reimbursable staff time. Contact the Office of Regional Records Services in College Park, MD, at 301–837–2950 for more information. This service must be funded by the requesting organization and approved by their HQDA, ACOM, ASCC, or DRU.

b. *Microfilm*. Microfilming services are offered at several records center facilities. Contact the Office of Regional Records Services microfilm coordinator for more information. This service must be funded by the requesting organization and approved by their HQDA, ACOM, ASCC, or DRU.

c. *Metro courier service*. Courier service for pick up and delivery of reference requests to Federal agencies is offered in selected metropolitan areas. The service can be provided each business day or as needed for the Federal customer. The centers operate a fleet of minivans to provide this customer service. Each Federal agency on the delivery schedule is assigned a customer service representative who is familiar with his agency's unique needs and filing arrangement. This service is offered on a reimbursable basis. Charges are based on urgency of request. This service is

presently offered in the Philadelphia; Washington, DC; Atlanta; and Chicago areas. This service must be funded by the requesting organization and approved by their HQDA, ACOM, ASCC, or DRU.

d. *Special projects*. Each records center can provide a number of records–related special projects, such as screenings, inventories, data entry, and so on. More information can be obtained from the appropriate regional records center director.

Chapter 9
Records Disposition

9–1. Disposition
The final stage of the records life cycle is disposition. Records disposition includes transfer to Army RHAs or FRCs, transfer from 1 agency to another, transfer of permanent records to The National Archives, and disposal of temporary records. Temporary records are disposed of in accordance with the disposition instructions that were developed when the records were scheduled. This usually consists of destruction or deletion, but may be by donation, sale or recycling.

9–2. Records disposal
a. Unclassified records authorized for destruction will be disposed of as follows:

(1) Hardcopy records will be—

(a) Processed through property disposal channels for sale or recycling.

(b) Destroyed in accordance with local policy if they cannot be economically sold.

(c) Disposed of under the DOD Precious Metals Recovery Program when in the form of exposed x–ray film, motion picture film, and certain microfilm that contains precious metals.

(d) Unidentified x–ray films and those in advanced stages of decomposition that can neither be interpreted nor copied should be destroyed since acetate and nitrate in advanced stages of decomposition can damage nearby records in good condition, and since decomposing nitrate poses a fire hazard. Prior approval from ARMDA is required. The ARMDA will report the destruction to the Archivist of the United States (36 CFR 1229.92(B)).

(2) Electronic records will be deleted if on tape or updatable media; otherwise, the location (index) information will be deleted so that the records cannot be retrieved. Due to personal health risk, agencies will not destroy CD–ROMs/ optical disks by burning, pulverizing, or shredding. They will be stored pending development of final disposition instructions. If the volume of stored disks becomes a storage or security concern, the manufacturer should be contacted to seek assurance that the product does not contain toxic substances. With manufacturer assurance relating to specific disk products, excess disks may be smelted.

b. Destroy unclassified records with access restrictions such as FOUO or subject to the PA by shredding or burning.

c. Destroy classified records in accordance with AR 380–5.

d. Unclassified records authorized for destruction may be donated to an eligible person, organization, institution, corporation, or Government if donation is approved by the OAASA. Process requests through local records management channels to ARMDA. Specify the name and address of the records custodian, the name and address of the proposed recipient, a complete description, ARIMS RN and title, and inclusive dates of the records.

9–3. Records freezes or moratoriums
a. Records freezes, preservation orders, or moratoriums are exceptions to disposition instructions. Records freezes or moratoriums refer to a court or agency–imposed requirement to keep the record until disputes or litigation and all appeals are resolved.

b. The ARMDA receives notification of the requirement to suspend disposition from HQDA information proponents, DOD and Army General Counsel, or the Department of Justice.

c. The ARMDA notifies the NARA, DA staff principals, ACOMs, ASCCs, DRUs, and combatant commanders to suspend regular disposition of the affected records and when the freeze or moratorium is lifted. Each organization or installation notifies its subordinate or supported activities that a freeze exists or has been lifted.

d. Records affected by a freeze cannot be destroyed on schedule and must be held until the freeze is lifted before normal disposition can be continued. The RHA and AEA managers are accountable for the frozen records in the physical custody of their respective facilities. Records held in the CFA or an automated information system are also affected by a freeze and the burden is on the individual office/system's manager to ensure records affected by a freeze are not destroyed until the freeze is lifted. When a freeze is lifted, the records disposition is carried out from the original date of the record and not the end of the freeze. For instance, a record with a 7 year disposition is frozen after the third year of its life cycle and the freeze lasts 10 years. These records are eligible for destruction immediately. You do not have to hold them for the remaining 4 years that were left on the disposition prior to the freeze.

9–4. Deviations from disposition instructions

The Archivist of the United States must approve deviations from disposition instruction in the ARIMS RRS–A. Requests for deviations will be sent through records management channels for evaluation at the ACOM, ASCC, DRU, or HQDA level to determine whether an exception is warranted or if the disposition instructions should be changed. Valid requests will be forwarded through the proponent of the prescribing directive to the ARMDA, ATTN: JDRP–RDR–R, 7701 Telegraph Road, Alexandria, VA 22315–3860 and will include—

a. The record title, number, and brief description of the records involved.

b. Justification for the deviation, consisting of evidence of specific need for the records and information on their continuing administrative, legal, or fiscal value to the Government.

c. The physical location of the records, including information on whether the records were or will be transferred to an RHA or to the AEA.

9–5. Disposition of records on change of status

a. The term change of status refers to—

(1) Redesignation or reorganization.

(2) Transfer of functions.

(3) Discontinuance.

(4) Movement.

b. The following rules apply when the status of an Army organization or agency changes:

(1) *Redesignation or reorganization*. On redesignation or reorganization without a transfer of functions, continue records retention, cutoff, and disposition as if no change had occurred.

(2) *Transfer of functions*. When a function is transferred from 1 Army organization to another, transfer the current records relating to the transferred functions to the gaining organization. Transfer inactive records to the designated RHA or overseas command records holding area (OCRHA). A list of the records transferred to the gaining organization and a copy of the SF 135, listing the inactive records transferred or retired, will be given to the records management officials of the gaining organization and the next higher headquarters.

(3) *Discontinuance of any Army organization with a transfer of functions*. Follow instructions in paragraph *b*(2), above.

(4) *Discontinuance of an Army organization without a transfer of functions*. Transfer records not eligible for immediate disposal to the RHA. When the organization is not served by an RHA or in cases where RHA is also discontinued, retire records not eligible for disposal to the appropriate records centers. Send a copy of the SF 135 listing the records transferred or retired, to the records management official in the next higher headquarters.

(5) *Discontinuance of an installation and placement of the installation in an inactive or standby status*. Keep records required for continued maintenance of the installation until they are eligible for disposition under AR 25–400–2. Dispose of other records in accordance with *b*(2) and *b*(4), above.

(6) *Movement of continental United States (CONUS) units preparing for oversea movement*. Immediately prior to oversea movement, destroy records eligible for destruction; prepare records prescribed for retention by the unit for shipment; and transfer other records promptly to the RHA of the last permanent station.

(7) *Movement of Army organizations in CONUS*. If the movement is without personnel and equipment, cut off records as of the date of the transfer and send immediately to the RHA of the losing installation. Records that are essential to the operation of the unit at its new location may be obtained upon request to the losing installation.

(8) *Movement with personnel and equipment*. The records go with the unit.

(9) *Movement of Army units in oversea commands*. Current records will go with the unit. Transfer other records not required for future actions to the appropriate OCRHA.

(10) *Movement of Army units from oversea to CONUS*. If the movement is made with personnel, the records will go with the unit. If the movement is made without personnel, the records will be transferred to the appropriate OCRHA; records that are found to be essential to operation of the unit in CONUS may be requested from the OCRHA.

c. If there are questions about how to handle electronic records under the above scenarios, please contact ARMDA for guidance.

9–6. Unauthorized destruction, damage, or removal of records or accidental destruction

In cases of accidental loss or destruction of records by fire, hurricane, or other cause, the custodian of the records will—

a. Reconstruct as much of the lost or destroyed records as possible. Records can often be reconstructed from other copies of the information maintained in other elements of the Army. Reconstructed records should be documented with cross–referenced material to aid in identifying their original content.

b. A list of the records that cannot be reconstructed should be provided to the records officer. The records officer will record these records on an SF 135 or equivalent, at the time that records of the same period are transferred to the

RHA or AEA. An SF 135 or equivalent will be forwarded to the FRC by RHA or AEA personnel, at the time the records would have been retired if they still existed.

c. The maximum penalty for the willful and unlawful destruction, damage, removal, or alienation of Federal records is a fine, 3 years in prison, or both (18 USC 2071).

9–7. Destruction as result of international armed conflict or threatened war

a. During an international armed conflict between the U.S. and any other nation or when hostile action by a foreign power appears imminent, records in the custody of the Army outside the territorial limits of the CONUS may be destroyed if it is determined that—

(1) Their retention would be prejudicial to the interest of the U.S.

(2) They occupy space urgently needed for military purposes and are without sufficient administrative, legal, research, or other value (44 USC 3311).

b. Within 6 months of the destruction, forward the following information through agency records channels to the ARMDA, ATTN: JDRP–RDR–R, 7701 Telegraph Road, Alexandria, VA 22315–3860, for notification to the NARA:

(1) Description of the records.

(2) When and where the destruction was accomplished.

(3) Method of destruction.

9–8. Disposition of records that are a menace to human life, health, or property

For early disposal of records that are a menace to human life, health, or property—

a. Contact local fire officials if the records have nitrocellulose base film that has deteriorated to the extent that it is emitting a noxious odor, contains gas bubbles, or has retrograded into an acrid powder and then immediately notify the ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860. If records are in stable condition, contact ARMDA prior to taking any actions. Thought should also be given to converting these type records to a safety film.

b. For records of other menace, notify the ARMDA (JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860, to obtain authority for disposing of records. Provide the RN and title, description of records, volume, location, and nature of the menace.

9–9. Notification of pending disposition

Army organizations are notified when records reach the end of their life cycle and are ready for disposition by the ARIMS or by the FRCs.

a. Records in ARIMS AEA. The records disposition report available from the records disposition module under the master index, lists all records within a unit that will reach their disposition date as of the end of the FY or CY. In this module, users can—

(1) Approve disposal of the records listed.

(2) Request their continued retention when written justification is provided such as for audit, legal, or other pertinent issues.

(3) Request their return to the originating/gaining organization or its higher proponent organizations.

b. Records in FRCs. Organizations are notified of the pending disposition of records with 1 of 3 forms—

(1) Notice of Eligibility for Disposal, NA Form 13001, is mailed via certified mail 90 days before scheduled destruction to ARMDA who in turn sends it to the ACOM, ASCC, or DRU of the organization that created the records. Upon return of the disposal notice and a positive concurrence, or a signed statement that destruction is authorized, the records will be destroyed as scheduled. Go to http://www.archives.gov/forms for an NA Form 13001. Since the records center must receive a written, positive concurrence before disposition takes place, a timely review of the disposal notice must be done. If the organization does not concur with the disposal, a signed and dated justification for non–concurrence must be returned to ARMDA.

(2) Agency Review for Contingent Disposal, NA Form 13000, is mailed during October of each year to ARMDA who in turn mails it to the appropriate ACOM, ASCC, DRU, or HQDA staff agency. The Army organization must sign and return the form, indicating approval of the disposal before the records can be destroyed. If the records cannot be destroyed, the form should be signed, dated, and returned, indicating a new review date. Please reply promptly; if a response is not received within 90 days, the records center will be instructed to return the records to owner (36 CFR 1228.164(b)). Go to http://www.archives.gov/forms for an NA Form 13000.

(3) A partially completed Agreement to Transfer Records to The National Archives of the United States, SF 258, is forwarded to ARMDA when permanent records stored at an FRC are scheduled for transfer into The National Archives. The SF 258 is used to document the change in legal custody of the records and to state terms of the transfer.

9–10. Disaster recovery of records

a. Emergencies can damage property and/or hinder or disrupt the operations of an organization. They can occur at any time and range from small localized problems such as a broken water pipe, to devastating destruction, such as

hurricanes or tornadoes. They can be caused by accidents, such as inadvertently hitting the delete key, or maliciously, such as intentional destruction by disgruntled employees, criminals, and terrorists.

b. Emergency preparedness plans are designed to reduce the risk of property damage caused by an emergency or disaster, and to mitigate the impact if one occurs. A disaster plan for records should be part of an organization's overall emergency management program. Practicing the plan increases the benefits of having one, as does scheduled reviews and updates.

c. The first phase of an emergency preparedness plan is to reduce the risk of loss through prevention. Determine what the hazards are and list ways to remove or reduce them (for example, install fire detection and suppression equipment, do not store records in a basement subject to flooding, backup electronic files regularly.) Conduct a comprehensive records inventory to identify what records are vital to your organization (such as those that your organization must have to continue operations and those that are considered rights and interests records (for example, financial records, personnel records)). Vital records are the most valuable to your organization and need to have the most resources dedicated to protecting them. The easiest way to reduce risk of record loss is duplicating them and storing them in a separate geographical place of lower risk or not subject to the same risks as the original location. In the case of paper documents containing signatures, it may be preferred to store the originals offsite and keeping the duplicates for everyday use.

d. The second phase of a plan should include a list of responses to be taken before, during, and after an emergency occurs. These include such activities as securing the physical area, removing records from the area, protecting records from further physical damage, reconstructing records that have been damaged or lost.

e. The third phase includes restoring and reconstituting your original site once the emergency has passed (if possible), or returning to normal operations at a new site.

9–11. Damaged records

It is important to take care of damaged records within 24–48 hours.

a. *When records are water damaged*.

(1) Many record materials will respond well to simple air drying as long as minor physical distortion is acceptable. Small quantities may be spread out on top of clean blotting material (paper toweling, and so on) in a cool, dry location with plenty of air circulation. As long as materials are not too densely packed and active drying conditions are maintained, mold growth should be mitigated. While high heat and harsh sunlight will dry records quickly, they may permanently damage record materials and should be avoided. Quantities too large to handle within the first 48 hours should be frozen either for defrosting and air drying at a later date, or for referral to a commercial drying vendor or preservation professional. For response and recovery guidelines see: Federal Emergency Management Agency Response and Recovery at http://www.fema.gov/library/respandrecov.shtm for salvage instructions. Also, see A Primer on Disaster Preparedness, Management and Response: Paper–Based Materials (http://www.archives.gov/preservation/emergency-prep/disaster-prep-primer.pdf and *Salvage Operations for Water Damaged Collections* by Betty Walsh, Conservator Provincial Archives of British Columbia (http://palimpsest.stanford.edu/waac/wn/wn10/wn10–2/wn10–202.html)

(2) Some record materials will dry more satisfactorily than others; and metal, plate glass, some photographs and furniture may be exceptions to freezing. Questions about the treatment of particularly valuable wet records should be referred to a preservation professional immediately. For a referral, see American Institute for Conservation's (AIC) Guidelines for Selecting a Conservator at http://aic.stanford.edu/public/select.html.

b. *When records have bugs*.

(1) There are many types of pests that are attracted to paper. Contact your local agricultural extension service or an entomologist for accurate identification. Chemical treatment (fumigation) may permanently damage record materials and should be avoided. Instead, attempt to address the source of the infestation, seal all possible entry points; promptly remove or seal up pest lures, such as food or trash; keep temperature and RH low; and keep the area clean and dust–free.

(2) If the infestation affects only part of a collection, isolate the materials in a tightly sealed plastic bag and consult a preservation professional. Pests found in records are most commonly the types attracted to damp conditions. If the infestation is widespread, it is likely there is excess moisture present that must be located and the resulting high RH eliminated. Spread the records out in a cool, dry location with plenty of air circulation. This should drive the pests away. As long as proper conditions are maintained, any eggs left behind will not hatch and offspring will either not survive or move on to a more hospitable environment.

c. *When records have mold growing on them*.

(1) Mold grows in areas with high temperature, high RH, and low air circulation. Isolate moldy record materials in a cool, dry location, with plenty of air circulation so they will not contaminate nearby items; do not return the records to their original location until the conditions causing the mold growth are addressed.

(2) Once record materials are removed to a less hospitable environment, the mold will become loose and powdery as the substrate dries and the mold turns dormant. It may then be gently brushed off the record materials. Because the mold is merely dormant, if it remains on the record materials or is distributed throughout the space and onto other objects, it will grow whenever environmental conditions are favorable again. Mold should, therefore, be removed either

outdoors or into a vacuum cleaner equipped with a HEPA filter; regular vacuum cleaners will merely exhaust and re–circulate mold back into the room.

(3) Ideally, the faster record materials are dried the better. However, some record materials may distort physically if dried too quickly. Contact a preservation professional for advice on how to handle moldy record materials of high value. For a referral see AIC guidelines for selecting a conservator, paragraph 9–11*a*(2), above.

(4) Many people are sensitive to mold and some mold species are toxic. Moldy items should, therefore, be handled with extreme care. Do not proceed with any treatment once any negative health effects are observed, no matter how minor they appear.

9–12. Deleted/lost electronic records

a. Loss of power is 1 source of losing data. This can be eliminated by the use of power protection such as surge suppressors and battery packs.

b. Information can also be lost due to hard disk crashes caused by contaminated systems due to hair, snack food, cigarette smoke, and so on. Measures should be taken to ensure a clean environment.

c. While it might appear that deleted or lost data has disappeared, in many instances the information may be recovered. If the information is important and it cannot be easily duplicated, there are many companies that specialize in recovering such data. The names and contacts for such companies should be readily at hand should the need arise.

Chapter 10
Records Holding Areas and Federal Records Centers

10–1. Regional and overseas records holding areas

a. Installation RHAs and FRCs will be used to store inactive hardcopy records. Optimal use of these facilities will provide for the most efficient and economical management of agency records.

b. An OCRHA will be maintained in each major outside continental United States (OCONUS) command. The commander of each major OCONUS command will notify ARMDA of the activation, change, or discontinuance and the new address of any OCRHA within his or her command jurisdiction. See AR 25–400–2, table 10–1 for a listing of the current OCRHAs and addresses.

10–2. Establishing records holding areas

a. Installations or agencies may establish or maintain a local RHA if the need is justified and cost effective.

b. Approval to establish an RHA must be obtained from the ACOM, ASCC, DRU, IMCOM, or agency RA who will report the establishment to ARMDA, ATTN: JDRP–RDR–R), 7701 Telegraph Road, Alexandria, VA 22315–3860 within 30 days of its establishment.

c. When approved, space for RHA use will be limited to the minimum required for records holding. The space selected, must comply with the facility standards in 36 CFR, Part 1228, Subpart K, Facility Standards for Record Storage Facilities, 1228.228 through 1228.232. Steel shelving of the type manufactured by the Federal Prisons Industries, Incorporate (National Stock Number 7125–00–550–6015, Open Type "E," Class III, Metal Storage and Display Shelving) should be used.

(1) *Offices of HQDA*. The RHAs may be established within offices of HQDA where space is available and such an operation is cost effective.

(2) *Installations and off–post activities*. If justified and approved, an RHA may be established, and if warranted, would serve all activities located within the same geographical area.

10–3. Operation of records holding areas

a. Records will be identified in accordance with procedures outlined in this pamphlet.

b. The RHAs will not be used simply as a dumping site for boxes of records that have not been identified as to their content and that do not contain an accurate SF 135 listing their contents.

c. The RHA operators will ensure that eligible records are retired or destroyed at the proper time and that access to stored records is available. They will—

(1) Ensure that all records are indexed in the ARIMS master index down to the folder level.

(2) Ensure that records are placed within the storage facility in a manner that assures their rapid retrieval when needed. Establish a locator and disposition file. This file has copies of SF 135s prepared by offices placing records in the RHA or when records are retired to the FRCs. This file makes it easier to locate records in the RHA and to retrieve records from an FRC.

(3) Ensure that records removed from the RHA for reference or other actions are returned within a reasonable time frame. Use DA Form 543 or equivalent as a charge–out suspense system for this purpose.

10–4. Discontinuance of records holding areas

a. When the records storage requirements of organizations being serviced by an RHA drop below 100 linear feet annually, the RHA should be discontinued. Exceptions are permitted if this is not practical or cost effective.

b. When the decision is made to close an RHA, the RHA RM must inform the RHA customers of the date the RHA will close, dispose of records eligible for destruction, provide customers a list of their records that are not eligible for retirement to a FRC, and ask them if they want the remaining records returned to them or shipped to another approved location.

c. An audit trail of the records must be maintained by the closing RHA RM. The original SF 135 should be attached to the new SF 135 transferring the records to the FRC or to the office of origin. A copy of the SF 135 will also be forwarded to ARMDA, ATTN: JDRP–RDR–R, 7701 Telegraph Road, Alexandria, VA 22315–3860 and the master index will be updated with the new location of the records.

10–5. Army records centers

There are 3 Army records centers for intelligence and criminal investigative records. These centers are listed in AR 25–400–2, table 10–1.

10–6. National Archives and Records Administration Federal records centers

a. The NARA records centers listed in AR 25–400–2, table 10–1 have been established in CONUS to receive and maintain records with long–term or permanent value, pending their ultimate destruction or accession into The National Archives. This table also specifies what records can be sent to each facility and by whom.

b. Installations and activities not serviced by an installation RHA (such as HQDA staff elements and Army organizations not residing on an Army installation) may use the NARA facilities for storing their long–term or permanent value records. The primary FRC for non–Corps of Engineers Army agencies is the WNRC.

c. The NARA runs its services on a reimbursable basis. The ARMDA centrally funds the basic services (storage fees and referencing costs). Other services must be funded by the organization owning the records and be approved by their HQDA, ACOM, ASCC, or DRU.

d. Chapter 8, above, provides detailed instructions on requesting reference services from the NARA facilities.

Chapter 11
Records Management Program Evaluations

11–1. General

a. In order to ensure that good recordkeeping practices have been implemented within the different Army organizations and that all recordkeeping requirements are being met, evaluations must be performed periodically. See AR 25–1 for requirements for a survey and appraisal of the records management program at least once every 3 years. This survey is performed by the organization's records management official.

b. The recordkeeping program evaluation is conducted as part of the records management program evaluation.

11–2. Evaluation objectives

a. To determine the level of compliance with ARs governing the related program elements.

b. To assess the effectiveness of the recordkeeping program.

c. To provide on–the–spot advice and assistance as may be needed to improve the efficiency of program operations.

d. To advise the commander of the organization visited, in writing, of the general and specific findings and to offer recommendations for correction of noted deficiencies.

11–3. Scheduling the evaluation

Develop/update a 3–year program evaluation cycle of all organizations to be evaluated in accordance with the requirements of AR 25–1 and coordinate with each of the organizations to be evaluated.

11–4. Notification

a. Three months prior to a visit, telephone the organization's RC and confirm the dates of the visit.

b. After confirming dates for the visit, send a formal notification addressed to the commander of the organization to be visited so that it will arrive 2 months prior to the scheduled evaluation date. In the notification, include the name, security clearance of the person(s) doing the evaluation, program elements to be evaluated, a proposed itinerary, and a request for information needed both prior to and during the visit. Entrance and exit interviews should also be addressed.

c. One month prior to the visit, review information provided by the organization and confirm the itinerary.

11–5. Entrance briefing

Brief the commander of the organization being evaluated or a designated representative. The form of the briefing is normally set by the organization visited (for example, it may be as formal or informal as they desire). The organization visited may elect to provide an overview of the functions and structure of their organization. Unique situations or specific problem areas may be identified requiring a heavier concentration of effort in these areas and an altering of the proposed itinerary.

11–6. Evaluation process

A considerable amount of time will inevitably be spent in addressing unforeseen problem areas or issues surfaced during the visit. The effectiveness of the following program operations is essential and must be addressed as a minimum:

a. General.

(1) Supplementation of DA directives and other published or written guidance affecting program elements.

(2) Training program(s) for both the headquarters and major subordinate commands.

(3) Periodic internal command–wide evaluation of the records management programs relating to the identification of record information, maintenance and use, and records disposition.

b. Recordkeeping systems management.

(1) ARIMS Web tools, including registration and approved ORLs.

(2) Identification of records (all media) under ARIMS.

(3) Records transfer procedures.

(4) Records holding area operations.

(5) AEA.

c. Correspondence management.

(1) Application of AR 25–50.

(2) Measures taken within the organization to supervise and manage correspondence.

(3) Delegation of authority or authority line.

d. Official mail and distribution program management.

(1) Application of AR 25–51.

(2) Local directives establishing the mail management program.

(3) Official mail manager appointments and official mail and distribution centers security clearances prescribed in AR 25–51.

(4) Procedures to reduce postage cost for official mail.

(5) Annual inspection of official mail distribution centers.

e. PA.

(1) PA program.

(2) PA Officer appointments.

(3) Processing PA requests.

(4) Procedures for submitting newly altered and/or amended systems of records notices.

(5) PA electronic systems.

(6) Forms requesting personal information.

(7) Adequacy of PA training.

(8) Responsibilities of personnel to protect personal information being collected.

(9) Adequacy of maintaining records for PA program reporting requirements.

f. FOIA.

(1) FOIA program.

(2) FOIA Officer appointments.

(3) Required response times for FOIA requests and appeals.

(4) Recordkeeping practices for annual reporting procedures (for example, Freedom of Information and PAs Case Tracking System requirement).

(5) Appropriate handling of responses that deny any or all requested records/documents.

(a) Advise requester of appeal rights.

(b) Appropriate use of exemptions.

(c) Proper use of "No Records Certificate".

(d) Ensure proper referral to initial denial authority for denials.

(6) Collection of fees.

(7) Adequacy of FOIA training.

(8) Identify compliance with reading room requirements.

g. Information technology systems and storage media. Review plans and actions to implement the use of document imagery and electronic record systems to manage information.

11–7. Exit briefing

Brief the commander or designated representative. Normally, individuals of the organization who are responsible for administering the program areas evaluated also attend the exit briefing. Address general and specific findings that will be included in the written report, there should be no surprises.

11–8. Written report of findings and recommendations

a. Submit a written report to the first level of supervision within 7 working days after traveler returns to duty. The report should include a trip report and memo forwarding a report of findings and recommendations to the organization visited.

b. Forward a report of findings and recommendation to the organization visited no later than 12 working days after return to duty.

c. Address the report to the commander or head of the organization visited.

d. For reports of Joint and unified commands, also forward a copy to, ATTN: Office Secretary of Defense Records Administrator, Suite 501, Crystal Gateway North, 1111 Jefferson Davis Highway, Arlington, VA 22202.

e. Forward a copy of corrective action(s) taken by the organization to the survey team leader.

11–9. Evaluation questions

The sample evaluation questions attached at appendix B, below, shall be used in evaluating the different components of the records management program. These evaluation questions have been staffed with all the component programs under the records management program.

Chapter 12
Contingency Operation Record Collection and Preservation

12–1. Background

a. Recordkeeping requirements during a CONOP are governed by the same laws and regulations as recordkeeping during peacetime or while in garrison. However, the nature of a CONOP makes good recordkeeping even more critical. Without properly documenting CONOPs, the Army, as an institution, risks losing important portions of its history, can lose the ability to formulate lessons learned and most importantly can fail to protect the rights and interests of the individual Soldiers and civilians deployed.

b. Missing records during Operation Desert Storm resulted in Army spending millions of dollars for record reconstruction. This record reconstruction was to try and pinpoint unit/individual locations during specific times during the conflict. The information was used to substantiate claims for and to try and determine the cause of Gulf War Syndrome suffered by many deployed Soldiers.

12–2. Explanation of responsibilities

a. AR 25–1, paragraph 2–12*i* states, "The Deputy Chief of Staff, G–3 will: Ensure that support is included in Army operational planning documents for the collection and transfer of records created by deployed units in contingency operations per AR 25–400–2."

b. AR 25–1, paragraph 2–24*g* states, "Commanders of the Army Component Combatant Commands will: Integrate records management support into operational plans for the collection and transfer of records created by deployed units in contingency operations per AR 25–400–2."

c. AR 25–400–2, paragraph 1–4*f* states, " Commanders of Army Components operating under a joint command will ensure, through a designated contact, that records are created and preserved throughout the Army component in accordance with the records procedures in paragraph 1–7*f.* The designated contact will establish the processes for the collection and transfer of unit records."

d. AR 25–400–2, paragraph 1–7*f* states, "Records created by deployed units in CONOPs are collected monthly and sent to designated transfer locations as directed by a pre–positioned message from the Pentagon AOC. Deployed units will be provided copies of the Quick Reference guide outlining requirements for specific and minimum records creation, preservation, collection and transfer."

e. A reminder of these responsibilities is dispatched via message from the AOC at the beginning of a CONOP.

12–3. Collection guidance

Procedures and processes for collecting records during a CONOP are the combatant commander's responsibility and generally left to their direction. However, for guidance purposes, the following procedures have been extracted from the successful collection processes used by U.S. Army, Europe (USAREUR) for records created during the operations

in Bosnia and Kosovo. In that AOR, the combatant commanders realized the importance of documenting operations. They supported and directed the effort through all staff elements and through the ranks, down to the unit level. For the purposes of this DA Pam, the USAREUR guidance has been modified to provide recommended procedures for all CONOPS records collection and preservation. To ensure records from the AOR are collected and properly prepared for transfer to CONUS facilities, resources should be provided to create a records holding/staging area within the AOR. This area should be staffed and equipped to process both electronic and hardcopy records received from units down range.

a. Commanders of units down to separate company level that are deployed in CONOPs will manage and supervise operational recordkeeping systems in their commands. These commanders will—

(1) Develop supporting plans for maintaining and transferring operational records according to this DA Pam.

(2) Appoint operational RCs to carry out the CONOP recordkeeping requirements.

(3) Maintain a daily staff journal or duty officer's log (DA Form 1594) during CONOPs according to AR 220–15.

(4) Ensure that their operational records are transferred each month according to paragraph *d*(5), below, and the instructions provided by this DA Pam. Commanders will also ensure that operational records of subordinate activities assigned or attached to their commands during the operation are included in the unit's monthly submissions.

(5) Ensure remaining records are transferred after the CONOPS mission is completed.

(6) When different units rotate in and out of the same area of the operation, the outgoing unit will thoroughly brief the incoming unit on its records collection and transfer processes before the transfer of authority.

b. The requirement applies to all forms of unit–generated records, whether produced on paper or in electronic format (e–mail, diskette, posted on Web sites, CD). The most common unit–generated operational records include commanders' assessments, daily staff journals, Fragmentary Orders (FRAGOs), intelligence reports, operation plans (OPLANs), operation orders (OPORDs), personnel and logistics reports, serious incident reports, situation reports (SITREPs), spot reports, and reports generated to describe the occurrence of a particular event. Medical records will be collected and preserved through these procedures only if the situation does not allow for their return through existing procedures for turning in medical records.

c. Table 12–1, below, lists some of the most common types of operational records. At appendix C, below, is the ARMDA QRG to Documenting Operations for Deployed units of the Army. The QRG provides additional records to the list below and also provides specific guidance on where to send these records.

Table 12–1
Operational records[1]

Functional area requirement	Record number	Description	Prescribing publication[2]
Army information	360–5b	News media and releases	AR 360–1
	360–5d	Public inquires	AR 360–1
Field organizations	220–15a1	Daily journal, staff journal, and tactical operations center (TOC) logs	AR 220–15
Medical services	40–5d	Command health reports	AR 40–5
	200–1c	Hazardous material management files	AR 200–1
Military operations	525a1	Command reports	AR 525–1
	525a1	Commander's assessment reports	AR 525–1
	525a1	SITREPs	AR 525–1
	525a1	Spot reports	AR 525–1
	525a1	Daily, weekly, and monthly status reports	AR 525–1
	525n1	Operations planning files and OPLANs	AR 525–1
	525p1	Operating procedures files	AR 525–1
	525p1	OPORDs	AR 525–1
	525p1	FRAGOs	AR 525–1
	525p1	Warning orders (WARNOs)	AR 525–1

Table 12–1
Operational records[1]—Continued

Personnel	600–8b	Personnel information system reports	AR 600–8
Safety	385–10f	Accident and incident cases	AR 385–10
	11–9i	Radiation reports	AR 11–9
	11–9j	Radiation incident cases	AR 11–9
Security	381–3a	Military intelligence operational management files	

Notes:

[1] This table does not list all files that units should maintain. Files not listed in this table that document unit activities will also be preserved.

[2] Prescribing Publications:

Defense Intelligence Agency Manual 58–13, (S/NOFORN) Defense Human Resources Intelligence Collection Procedures (U)

AR 11–9, The Army Radiation Safety Program

AR 25–1, Army Knowledge Management and Information Technology Management

AR 25–400–2, Army Record Information Management System

AR 40–5, Preventive Medicine

AR 200–1, Environmental Protection and Enhancement

AR 220–15, Journals and Journal Files

AR 360–1, The Army Public Affairs Program

AR 385–10, The Army Safety Program

AR 525–1, The Department of the Army Command and Control System (DACCS)

AR 600–8, Military Personnel Management

d. Procedures—

(1) *General*.

(a) This DA Pam provides guidance and procedures for collecting, preparing, transferring, and preserving operational records. To avoid loss or destruction of these documents, operational records will be transferred each month.

(b) Designated RCs for each unit are responsible for collecting, preparing, and transferring records. Unit RCs will transfer records each month. The closing date for records preparation is the last calendar day of the month. Records should be transferred within 10 business days after the closing date.

(c) Submitting records electronically is encouraged. Most records a unit creates are in electronic format and can be transferred for storage to the ARMDA office in the ARIMS electronic archive. Units can store the records on diskettes, zip–disks, or CDs and mail them to ARMDA, or they can forward them to ARMDA as attachments and zip–file attachments to e–mail messages. Mailing instructions and e–mail addresses are provided in subparagraph 12–3*d*(5), below.

(2) *Identifying records*. Operational records are documents that record the location and activities of units and Soldiers involved in CONOPS. AR 220–15 requires that DA Form 1594, Daily Staff Journal or Duty Officer's Log, be maintained when units are deployed to support a CONOPS mission. DA Form 1594 may be provided in electronic or paper format. Other unit–generated records in electronic or paper format will be included with the unit's monthly submission.

(3) *Collecting records*.

(a) Operational RCs receive records from subordinate activities and prepare them for transfer to designated repositories.

(b) Original records are required for records in paper format. The unit should keep a copy of every record required for future operations. Units will not give information–gathering activities, such as history and lessons learned detachments, original record copies. If appropriate, these activities should be provided a copy.

(4) *Preparing records.*

(a) Electronic records transferred by diskette, zip–disk, or CD should be packed in small boxes or envelopes according to official mail instructions.

(b) Paper records should be packed in official record containers (national stock number 8115–00–117–8249). If official record containers are not readily available, units may use a box or envelope.

(c) Unit RCs will document shipments using SF 135 or DA Form 3964 (for classified shipments) as appropriate. The originator of the records will keep 1 copy of the shipping document and put 1 copy in the record container. The RCs are responsible for completing the SF 135 and forwarding it with the records. The SF 135 will be completed and forwarded according to AR 25–400–2 and the following instructions (see fig 12–1, below, for sample SF 135 for transferring CONOP records). SF 135s are available as fillable forms in both .pdf and .doc (MS Word) formats on the NARA Web site at http://www.archives.gov/frc/forms/sf-135-intro.html. If it is impossible to create an SF 135, a plain sheet of paper can be used (legibly handwritten or typed). However, the same information required on the SF 135 should be placed on the plain sheet of paper.

1. Item 1. Enter the address of the designated collection point. See appendix C, TAG QRG.

2. Item 2. Enter the name of the organization RC.

3. Item 3. Enter the name and telephone number of the RC.

4. Item 4. Leave blank.

5. Item 5. Enter the full unit address and include the unit identification code (UIC), name of the task force and the operation.

(d) Electronic records transferred on diskettes, zip–disks, CDs, and other formats for transferring electronic records will be labeled with the unit name, type of records, month and year, and software application (for example, 1/99 Inf Bn, Daily SITREPs, Feb 03, MS Word 00). The corresponding SF 135 should also describe the software and the version.

(e) Records will be separated and shipped according to subparagraph (5), below.

(5) *Transferring records.* There are a number of designated collection points for specific types of records. See the ARMDA QRG at appendix C for address information on each specific collection point.

(a) Electronic records may be transferred as e–mail attachments to the following e–mail addresses, as applicable:

1. Unclassified records: conops@arims.army.mil.

2. Classified records: conops@arims.army.smil.mil.

(b) Hardcopy records (paper, maps, overlays, microfiche, microfilm, and so on) and electronic records on electronic media (diskettes, zip–disks, CDs, and so on) may be mailed through the Military Postal System.

(c) Classified records, hardcopy or electronic that are to be shipped, will be sent by registered DOD official mail according to the instructions for handling classified material in AR 380–5.

(d) Many organizations communicate and pass record information through Web information centers (WICs). In the WIC environment, very few paper records or records on removable media (diskettes, CD) exist.

1. Record information posted on a WIC must be captured and preserved routinely; however, the collection process must not place an additional burden on the owning unit. To prevent this burden, Web masters should incorporate collection and preservation procedures to these Web sites as they are built. For instance, copies of SITREPS, OPORDS, FRAGOs, and so on posted on these sites should be automatically saved to a separate drive/directory. The records on these drives/directories would then be transmitted (or downloaded and mailed on media) to the appropriate collection point for preservation on a regularly scheduled (monthly) basis.

2. Organization information management officers at the corps/division/brigade/battalion level, and area support group directors of information management will coordinate directly with corps/division/brigade/battalion level operations and plans and intelligence officers to establish the procedures for the monthly collection of record information.

| RECORDS TRANSMITTAL AND RECEIPT | Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse. | PAGE 1 | OF 1 PAGES |

1 TO *(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)*

Federal Records Center

4205 Suitland Road,
Suitland, MD 20746-8001

5 FROM *(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)*

HQ, 82nd Abn. ATTN: 101st ARM (ASSLT)
Unit # 96150. UIC W60001, TF-180
Operation Support Hope
APO AE 09325-6150

2 AGENCY TRANSFER AUTHOR-IZATION
TRANSFERRING AGENCY OFFICIAL *(signature and title)*   DATE
George S. Patton, Cdr, 82nd Abn.

3 AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL *(Name, office and telephone No)*
Walter O'Riley, 82nd Abn Records Branch, (424) 555-0549

4 RECORDS CENTER RECEIPT
RECORDS RECEIVED BY *(Signature and Title)*   DATE

Fold Line

6 RECORDS DATA

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (with inclusive dates of records)	RESTRIC-TION	DISPOSAL AUTHORITY (schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
					The description title for these records is Command Reports. Beginning and ending dates are from **July to August 1994**. These are **SECRET** records and are from **Operation Support Hope (Rwanda)**.							
			2	1/2	Command Reports – Incoming, 2 thru 15 Aug 94	S	525a1	Perm/2017				
				2/2	Command Reports – Incoming, 14 thru 19 Aug 94; Outgoing 21 July thru 19 Aug 94	S	525a1	Perm/2017				

NSN 7540-00-634-4093   135-107   Standard Form 135 (Rev. 7-85) Facs
Prescribed by NARA
36 CFR 1228.152

Figure 12–1. Sample SF 135 of transferring CONOPs records

12–4. Unit assistance

Units that have questions about this chapter of the DA Pam may call ARMDA at DSN 328–6298 or contact via NIPRnet at info@rmda.belvoir.army.mil or SIPRnet at info@rmda.belvoir.army.smil.mil. Further information on recordkeeping can be found at the ARMDA Web site at https://www2.arims.army.mil/rmdaxml/ or the ARIMS Web site at http://www.arims.army.mil.

Appendix A
References

Section I
Required Publications

AR 25–1
Army Knowledge Management and Information Technology Management. (Cited in paras 1–6, 3–12, 3–14*c*, 7–5*i*, 11–1*a*, 11–3, 11–6*d*(1), 11–6*d*(3), 12–2*a*, 12–2*b*, and C–1).)

AR 25–400–2
The Army Records Information Management System (ARIMS). (Cited in paras 1–1, 1–4, 1–5, 1–6, 1–6*d*(1), 1–6*e*(2), 1–8*a*, 1–10*c*, 2–12*b*, 3–15*b*, 3–15*f*(1), 3–15*f*(3), 3–20*b*(3), 3–23*d*, 6–7*d*, 7–6*c*, 7–6*d*, 9–5*b*(5), 10–1*b*, 10–5, 10–6*a*, 12–2*a*, 12–2*b*, 12–2*c*, 12–2*d*, 12–3*c*(4)(c), C–4, and C–5.)

AR 340–21
The Army Privacy Program. (Cited in paras 1–6*c*, 3–5*b*, 3–15*f*(1), and C–1.)

AR 380–5
Department of the Army Information Security Program. (Cited in paras 3–4*c*, 3–6*b*, 3–6*c*, 7–6*a*, 7–6*b*, 7–6*c*, 9–2*c*, and 12–3*d*(5)(c)).)

AR 500–3
U.S. Army Continuity of Operations (COOP) Program. (Cited in para 2–4 and 2–4*a*.)

AR 550–51
International Agreements. (Cited in para 1–7*b*(1).)

DA Pam 25–51
The Army Privacy Program–System of Records Notices and Exemption Rules. (Cited in para 3–5*d* and 7–5*e*.)

DOD 5015.2–STD
Design Criteria Standard for Electronic Records Management Software Applications. (Cited in paras 3–15*d*(1), 3–21*c*, 3–21*c*(1), 7–4*b*(3), and C–1.) (Available at http://www.dtic.mil/whs/directives.)

Section II
Related Publications
A related publication is a source of additional information. The user does not have to read it to understand this publication.

AR 11–9
The Army Radiation Safety Program

AR 25–30
The Army Publishing Program

AR 25–50
Preparing and Managing Correspondence

AR 25–51
Official Mail and Distribution Management

AR 25–55
The Department of the Army FOIA Program

AR 40–5
Preventive Medicine

AR 40–66
Medical Record Administration and Health Care Documentation

AR 200–1
Environmental Protection and Enhancement

AR 220–15
Journals and Journal Files

AR 335–15
Management Information Control System

AR 360–1
The Army Public Affairs Program

AR 385–10
The Army Safety Program

AR 525–1
The Department of the Army Command and Control System (DACCS)

AR 600–8
Military Personnel Management

DA Pam 25–1–1
Information Technology Support and Services

DA Pam 25–30
Consolidated Index of Army Publications and Blank Forms

DA Pam 25–91
Visual Information Procedures

A Primer on Disaster Preparedness, Management, and Response: Paper–Based Materials
Available at http://www.archives.gov/preservation/emergency-prep/disaster-prep-primer.pdf.

American Institute for Conservations (AIC) Guidelines for Selecting a Conservator
Available at http://aic.stanford.edu/public/select.html.

ANSI Code ANSI/AIIM MS1–1996
Recommended Practice for Alphanumeric Computer–Output Microforms–Operational Practices for Inspection and Quality Control. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM MS5–1992(R1998)
Microfiche. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM MS14–1988(R1996)
Specifications for 16mm and 35mm Roll Microfilm. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM MS19–1993
Recommended Practice for Identification of Microforms. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM MS23–1998
Standard Recommended Practice–Production, Inspection, and Quality Control of First Generation Silver-Gelatin Microfilm of Documents. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM MS32–1996
Microrecording of Engineering Source Documents on 35mm Microfilm. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM MS41–1996
Dimensions of Unitized Microfilm Carriers and Apertures (Aperture, Camera, Copy, and Image Cards. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM 43–1998
Operational Procedures/Inspection and Quality Control of duplicate Microforms of Documents and from COM. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/AIIM MS45–1990
Recommended Practice for Inspection of Stored Silver Gelatin Microforms for Evidence of Deterioration. (Available at http://www.techstreet.com/info/aiim.html.)

ANSI Code ANSI/NAPM IT2.18–1996
Photography–Density Measurements–Part 3: Spectral Conditions. (Available at http://www.global.ihs.com/.)

ANSI Code ANSI/NAPM IT2.19–1994
American National Standard for Photography–Density Measurements–Part 2: Geometric Conditions for Transmission Density. (Available at htto://www.global.ihs.com/.)

ANSI Code ANSI/NAPM IT9.1–1996
Imaging Materials–Processed Silver–Gelatin Type Black–and–White Film–Specifications for Stability. (Available at http://www.techstreet.com/.)

ANSI Code ANSI/PIMA IT9.2–1996
Imaging Media–Photographic Processed Films, Plates, and Papers–Filing Enclosures and Storage Containers. (Available at http://www.techstreet.com/.)

ANSI Code ANSI/NAPM IT9.11–1998
Imaging Materials - Processed Safety Photographic Film - Storage. (Available at http://www.techstreet.com/.)

ANSI Standards IT9.16
For Imaging Media- Photographic Activity Test. (Available at http://www.techstreet.com/.)

Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 5760.01
Records Management Policy for the Joint Staff and Combatant Commands. (Available at https://www.dtic.mil/cjs_directives/.)

Defense Intelligence Agecny Manul 58–13
Defense Human Resources Intelligence Collection Procedures. (Available at http://www.dia.mil/.)

DODI 4525.08
DOD Official Mail Management. (Available at http://www.dtic.mil/whs/directives/.)

DOD 4525.8–M
DOD Official Mail Manual. (Available at http://www.dtic.mil/whs/directives/.)

Executive Order 12906
Coordinating geographic data acquisition and access: The National Spatial Data Infrastructure. (Available at http://www.archives.gov/federal-register/executive-orders/disposition.html.)

Federal Information Processing Standard 173–1
Available at http://www.itl.nist.gov/fipspubs/fip173–1.pdf.

Federal Rules of Evidence 803(8)
Public Records and Reports. (Available at http://www.uscourts.gov/rules.)

Federal Emergency Management Agency (FEMA) Response and Recovery
Available at http://www.fema.gov/library/responseandrecov.shtm.

International Standards Organization 9660 Standard
Information Processing–Volume and File Structure of CD–ROM for Information Interchange. (Available at http://www.iso.org.)

NFPA–40

Standard for Storage and Handling of Cellulose Nitrate Film. (Available at http://www.nfpa.org/.)

Photography–Density Measurements–Part 2: Geometric Conditions for Transmission

(Available at http://www.global.ihs.com/.)

Salvage Operations for Water Damaged Collections by Betty Walsh, Conservator Provincial Archives of British Columbia

Available at http://palimpsest.stanford.edu/waac/wn/wn10/wn10–2/wn10–202.html.

1 CFR 51

Office of the Federal Register; Incorporation by Reference. (Available at http://www.gpoaccess.gov/ecfr.)

3 CFR

The President. (Available at http://www.gpoaccess.gov/ecfr.)

36 CFR, Chapter XII

National Archives and Records Administration. (Available at http://www.gpoaccess.gov/ecfr.)

41 CFR, Chapter 102

Federal Management Regulation. (Available at http://www.gpoaccess.gov/ecfr.)

49 CFR 172

Hazardous materials table, special provisions, hazardous materials communications, emergency response information, and training requirements. (Available at http://www.gpoaccess.gov/ecfr.)

49 CFR 173

Shippers- general requirements for shipments and packages. (Available at http://www.gpoaccess.gov/ecfr.)

5 USC 552

Public information; agency rules, opinions, orders, records, and proceedings. (Available at http://www.access.gpo.gov/uscode/uscmain.html.)

18 USC, Part I, Chapter 101, Section 2071

Concealment, removal, or mutilation generally. (Available at http://www.access.gpo.gov/uscode/uscmain.html.)

44 USC 3105

Safeguards. (Available at http://www.access.gpo.gov/uscode/uscmain.html.)

44 USC, Chapter 33, Sections 3301–3314

Disposal of Records. (Available at http://www.access.gpo.gov/uscode/uscmain.html.)

Section III
Prescribed Forms
The following forms are available at the APD Web site (http://www.apd.army.mil) unless otherwise stated. DD forms are available from the Office of the Secretary of Defense Web site (http://www.dtic.mil/directives/infomgt/forms/formsprogram.htm). Standard Forms (SF) are available from the General Service Administration (GSA) Web site (http://www.gsa.gov/Portal/gsa).

DA Form 543

Request for Records. (Prescribed in paras 8–3*b*(1), 8–3*b*(3), 10–3*b*(3).)

OF 11

Reference Request-Federal Records Centers. (Available at http://www.archives.gov/forms.) (Prescribed in paras 8–4*f*, 8–4*b*(1)(a).)

OF 23

Chargeout Record. (Available through normal forms supply channels.) (Prescribed in paras 8–3*b*(1), 8–3*b*(2).)

OF 24

Shelf File Chargeout Record. (Available through normal forms supply channels.) (Prescribed in paras 8–3*b*(1), 8–3*b*(2).)

SF 115

Request for Records Disposition Authority. (Available through normal forms supply channels.) (Prescribed in paras 4–1, 5–1, 5–2*c*, 5–3*c*, 7–5*k*, 7–13*e*(6), 7–13*e*(11).)

SF 127

Request for Official Personnel Folder Separated Employee. (Available through normal forms supply channels.) (Prescribed in para 8–4.)

SF 135

Records Transmittal and Receipt. (Available at http://www.archives.gov/forms.) (Prescribed in paras 6–13*b*(3), 7–5*f*, 7–5*c*, 7–6*a*, 7–9*a*, 7–12*a*, 7–13*e*(4), 9–5*b*(2), 8–6*b*, 10–4c, 12–3c(4)(c).)

SF 258

Agreement to Transfer Records to the National Archives of the United States. (Available through normal forms supply channels.) (Prescribed in paras 7–13*e*, 7–13*a*.)

Section IV
Referenced Forms

DA Form 1594

Daily Staff Journal or Duty Officers Log

DA Form 2028

Recommended Changes to Publications and Blank Forms

DA Form 3964

Classified Document Accountability Record.

NA Form 13000

Agency Review for Contingent Disposal (available at http://www.archives.gov/forms)

NA Form 13001

Notice of Eligibility for Disposal (available at http://www.archives.gov/forms)

NA Form 13016

Notice of Accession Location Change (available at http://www.archives.gov/forms)

NA Form 13166

CIPS Registration Form (available at http://www.archives.gov/forms)

SF 180

Request Pertaining to Military Records.

SF 703

TOP SECRET Cover Sheet. (Available through normal forms supply channels.)

SF 704

SECRET Cover Sheet. (Available through normal forms supply channels.)

SF 705

CONFIDENTIAL Cover Sheet. (Available through normal forms supply channels.

VA Form 9957

Timesharing User Access Request (available at http://www.archives.gov/forms)

Appendix B
Records Management Program Evaluation

B–1. Prescribing directives
These directives require the completion of a program evaluation for each component of the Records Management Program—
  a. AR 25–1, Army Knowledge Management and Information Technology.
  b. AR 25–50, Preparing and Managing Correspondence.
  c. AR 25–51, Official Mail and Distribution Management.
  d. AR 25–55, The Department of the Army Freedom of Information Act Program.
  e. AR 25–400–2, The Army Records Information Management System (ARIMS).
  f. AR 335–15, Management Information Control System.
  g. AR 340–21, The Army Privacy Program.
  h. DA Pam 25–1–1, Information Technology Support and Services.
  i. DODD 5015.2, Department of Defense Records Management Program.

B–2. Statutes
These Federal statutes are the statutory authority for the Army records management programs being evaluated—
  a. Federal Records Act of 1950, as amended
  b. Privacy Act of 1974, as amended
  c. Paperwork Reduction Act of 1980 as amended by Paperwork Reduction Act of 1995
  d. The Freedom of Information Act of 1996
  e. Computer Matching and Privacy Protection Act of 1988, as amended
  f. E–Government Act of 2002 (codified in Title 44, chap 36)

B–3. Sample program evaluation questions
These questions are intended as a guideline for performing a program evaluation. They are not all inclusive and/or may be expanded on.
  a. *General*.
  (1) Is a records management program established in your organization? If so, where in the organization are the records management responsibilities placed?
  (2) Is the office responsible for your records management program sufficiently staffed to operate the program effectively?
  (3) Has an organizational records manager been appointed with the responsibility for records management functions in the organization? Has a copy been provided ARMDA? Are RCs designated at sub–element level to help with program execution?
  (4) Does the RM have additional functions?
  (a) If so, what?
  (b) If so, what percentage of time is spent on records management functions?
  (5) Are RMs included in the planning process for new or replacement IT systems?
  (6) Does RM have a working relationship with the legal advisor, IT security officer, and SA?
  (7) Is training offered to serviced/supported activities in the following records management program elements?
  (a) Records identification, maintenance, and disposition, including electronic (ARIMS)?
  (b) Official mail and distribution?
  (c) Privacy Act?
  (d) Freedom of Information Act?
  (8) Are records management reviews of commands conducted at least once every 3 years?
  (9) Are all elements of records management covered during the evaluations? Is this checklist used for the evaluations? Are past evaluations available?
  (10) Are the evaluations documented with findings, actions to be taken to correct deficiencies, and forwarded to the evaluated element?
  (11) Do evaluation reports identify accomplishments as well as deficiencies?
  (12) Are follow–up visits/reports made to ensure that recommendations have been implemented?
  b. *Recordkeeping (AR 25–400–2)*.
  (1) Is the organizational RM or RC registered on the ARIMS Web site?
  (2) Have records officials obtained training in ARIMS?
  (3) Is AR 25–400–2 and RRS–A used as the legal authority for identifying, maintaining, and archiving or destroying records?

(4) Have current files been established and set up in accordance with ARIMS? Are minimum labeling requirements being met?

(5) Are official records kept separate from personal records in a consistent and readily identified manner?

(6) Are inactive files being maintained separately from active ones?

(7) Does the recordkeeping management program include all records regardless of media (electronic and e–mails, paper, audiovisual, cartographic, and so on)?

(8) Are ORLs prepared using ARIMS RM–Assist and approved by the servicing records management official?

(9) Are information custodianship responsibilities understood and clearly designated?

(10) Does everyone in the organization know the storage location(s) of its hardcopy and electronic records?

(11) Are records stored in a centralized records area or repository? If so, where is the area or repository located?

(12) Do all units identify their records with K or T dispositions, regardless of the media (for example, network or hard drive, 3.5–inch diskette, CD, paper) and year of creation?

(13) Are the following controls in place to safeguard and maintain required system documentation, hardware, and software to allow the management of electronic records throughout their life cycle?

(a) Are precautions being taken to ensure that appropriate software and hardware will be available to read electronic records?

(b) Is periodic maintenance or recopying of long–term electronic records being conducted during their life cycles?

(c) Is a routine being followed to backup record information? Describe routine.

(d) Is the backup routine included in the system documentation?

(14) If a system or equipment is used for FOUO or PA information, have proper safeguards been established? Do computer printouts have appropriate markings?

(15) Are controls being used to prevent the unauthorized alteration or deletion of electronic records? If so, describe the controls.

(16) Do records created on an electronic system have enough data entered to help identify, protect, retrieve, and dispose/transfer the records?

(17) Are procedures in place to ensure that digitized records are kept only as long as needed? If so, describe the procedures.

(18) Are electronic records, digitized images, or microforms stored under environmentally controlled conditions, periodically inspected to detect deterioration, and recopied when appropriate to meet the minimum scheduled retention?

(19) Are storage media such as disks, file drawers, and folders labeled to facilitate quick identification, access, and disposition of record information?

(20) Are any organizations within your command still microfilming?

(21) Are system managers aware of degree of protection to be afforded records stored and used electronically in accordance with classification, releasability, FOIA, and PA?

(22) Are safeguards in place against the removal or loss of official records in accordance with 44 USC 3105?

(23) Are all command unique filing requirements being met?

(24) Is a pre–file check performed to assure that each item belongs in the files, records are complete, and if required by the command, file authority is present?

(25) Are files arranged in order (for example, date, number, alphabetical, subject, name, organization, and so on)?

(26) Are files cutoff and new files created for current year per disposition instructions?

(27) Has a distinction been made between retention periods (for example, peacetime, mobilization, or the conduct of military operations) where they apply?

(28) Are all unidentified files brought to the attention of the RM?

(29) Is the documentation required for unidentified files forwarded through command channels for approval? Is a copy maintained by the RM?

(30) Do organization personnel know the standards for storage of security–classified documents?

(31) Are procedures established for staff to follow when they use records?

(32) Is classified material stored in accordance with security regulations? Are classified and unclassified records handled separately?

(33) Does the organization create records with a permanent or long–term retention period (T records)?

(34) Are T e–mail records and other electronic records being sent to the AEA via the ECS or middleware software, as applicable?

(35) Are records destroyed or retired as required?

(36) Are K records being destroyed in accordance with disposition instructions and not kept past the business need?

(37) Have all eligible records been transferred to the RHA or AEA, as applicable?

(38) Are records authorized for destruction processed through property disposal channels for sale or recycling when possible?

(39) Are exposed x–ray film, motion picture film, and certain microforms that contain precious metals disposed of under the DOD Precious Metals Recovery Program?

(40) Does the organization know the location and purpose of the RHA?

(41) Is the RHA accessible only to authorized personnel?

(42) Does the organization transfer records to the RHA? Which types of records?

(43) Is the SF 135 or equivalent prepared in an acceptable manner for records to be retired or transferred to the RHA?

(44) Are RMs ensuring that no records subject to the PA are being transferred unless they are covered by a systems notice?

(45) Are T records eligible for transfer/retirement being processed in a timely manner?

(46) Is each box accepted into the RHA labeled correctly and the corresponding number annotated on applicable SF 135?

(47) Do all accepted records have an SF 135?

(48) Is SF 135 being completed correctly?

(49) Are copies of the SF 135 on file for stored and transferred records?

(50) Has RN 25–400–2a been established in staff office to maintain the SFs 135?

(51) Have procedures for submission of requests for records, charge out procedures, and suspense controls been established?

(52) Does the organization have a method for tracking documents that are removed from the files?

(53) Does the RHA meet the NARA facility standards set forth in 36 CFR, Part 1228, Subpart K, 1228.228 through 1228.232?

c. Correspondence Management (AR 25–50).

(1) Has the organization developed a correspondence quality control program?

(2) Are training opportunities provided all Army writers within the organization?

(3) Are established procedures in place to ensure timeliness of replies for both suspense and non–suspense actions?

(4) Is the correspondence containing classified information marked and safeguarded as prescribed in AR 25–50, chap 8 and AR 380–5?

(5) Are delegation of signature authority and authority lines exercised in accordance with AR 25–50, chap 6?

d. Official Mail and Distribution Management (AR 25–51) (ACOMs, ASCCs, or DRUs inspecting installation mail and distribution centers will use the checklist in the DOD Official Mail Manual).

(1) Has the official mail manager taken steps to ensure that carry over funds for postage meters do not exceed 30 days at the end of the FY?

(2) Do personnel in the organization receive training in the preparation of mail and the cost effective use of the official mail system?

(3) Has the organization developed procedures limiting the use of special services (for example, registered, certified, and so on)?

(4) Is outgoing mail properly prepared and not subject to surcharges for size or weight?

(5) Are safeguards in place to guard against the loss, misuse, or theft of official mail postage?

(6) Are personnel instructed to have personal mail sent to their home and not to their duty station?

(7) Are mailings to common addresses consolidated?

(8) Are alternatives to hardcopy mailings considered (for example, electronic transfer or facsimile)?

(9) Has an official mail manager been appointed in writing?

e. Freedom of Information Act (FOIA) Program (AR 25–55).

(1) Has the organization established educational/training programs to provide staff members and FOIA officials a thorough understanding of regulatory procedures?

(2) Are FOIA and PA requests logged or imported into the Freedom of Information and Privacy Acts Case Tracking System?

(3) Are FOIA requests responded to within 20 working days of receipt?

(4) Is a request denied only when it falls under 1 or more of the 9 FOIA exemptions?

(5) Are requests that deny any or all of the information forwarded to the appropriate initial denial authority?

(6) Are requesters advised of their appeal rights of denied information or no records?

(7) Are fees waived if under $15 or when the request is in the public interest?

f. Privacy Act Program (AR 340–21).

(1) Have PA officials been designated?

(2) Are all PA requests responded to within 10 working days of receipt by the proper system manager or record custodian?

(3) Are privacy statements included on forms and questionnaires seeking information from an individual?

(4) Is only record information covered by a PA System Notice retrievable by personal identifier, regardless of the media?

(5) Do all units identify their record information covered by a PA System Notice as such and include the PA Systems Notice number in the labeling information, regardless of the media (network or hard drive, 3.5–inch diskette, CD, paper)?

(6) Is written consent of the individual being obtained for disclosures made other than those authorized by AR 340–21, chap 3?

(7) Is an accounting of disclosure maintained whenever a record from an Army system of records is disclosed to someone other than those described in AR 340–21?

(8) Have procedures been developed to allow individual to request amendment of their records as described in AR 340–21, para 2–10?

g. Management Information Control (Reports Control) (AR 335–15).

(1) Has a management information control officer been designated?

(2) Are records maintained for the control of all report requirements over which the organization has jurisdiction?

(3) Are automatic data processing products controlled and assigned product control numbers?

(4) Has approval been obtained from the Office of Management and Budget for all information collections from the public sector, affecting 10 or more individuals?

(5) Are periodic reviews of management information requirements and automatic data processing products conducted in accordance with AR 335–15, chap 6?

h. Vital Records Program management.

(1) Does your organization have a vital records program?

(2) Are your vital records that are in electronic form (e–mail, tape, disk, microfiche, optical digital imaging) accompanied by textual documentation and, if necessary, by essential software?

Appendix C
Quick Reference Guide to Documenting Operations for Deployed Units of the Army

C–1. Applicability
This guide applies to all Army forces that are deployed or engaged in operational missions. The guide provides instructions for the creation and preservation of records in units and parts of units deployed for combat, emergency, and special operations both singly and as part of a task force. The records specified in this guide provide important rights and interest information for Soldiers and veterans. The Army must be able to research the location and activities of units and Soldiers involved in combat or CONOPs. Destruction or loss of Army records is a violation of Federal law and must not occur.

C–2. Responsibilities
Commanders of deployed units will designate a point of contact for the monthly collection and transfer of records created in their units in accordance with processes to be established by the commander directing the overall operation. Records shipped by mail, either hardcopy or electronic records on removable media, should be accompanied by a completed SF 135. If this is not possible, a simple cover sheet can be used (legibly handwritten or typed) giving the unit's full name and address, UIC, unit POC info, name of task force, name of operation, inclusive dates of the records and a list of the records in the shipment. Note: Records sent to the WNRC will only be accepted if all transfer procedures are properly followed. The following link will take you to these procedures and provide all necessary forms, http://www.archives.gov/frc/guide.html.

C–3. Applicable records
This guide applies to all records regardless of media, (for example, paper, computer disks and tapes, microform, photographic film, e–mail, and other electronic formats). Electronic records (received or transmitted) will be provided in the format in which they were saved. Transmit unclassified e–mail to be preserved as a record to conops@arims.army.mil. Other unclassified records may be attached to an e-mail and sent to the same address. Put the name of the operation in the subject line. Classified records may be attached to an e–mail and sent (via SIPRNET) to conops@mail.arims.army.smil.mil. Do not mix classified and unclassified records on electronic media.

C–4. Records preservation
Annex A contains a list of specific records to be created, maintained and transferred. Specific record descriptions for each of these file numbers can be found on the ARIMS Web site (https://www.arims.army.mil) under the RRS–A tab.

The list of file numbers in figure C-1 is not all-inclusive. Any records that document operations of the unit will be preserved per this instruction and AR 25–400–2.

C–5. Copies of records provided other organizations
From time to time organizations such as Center for Army Lessons Learned and Military History Detachments will visit deployed units to collect copies of records. Do not give these organizations the record copy of information to be preserved. The record copy will be handled in accordance with these instructions and AR 25–400–2.

C–6. Emergency disposal of records
Army records may be destroyed only if capture by a foreign power appears imminent. Destruction for any other reason is not authorized. If emergency destruction of records is performed, a list of those records and the inclusive dates of each will be compiled, to the extent possible, and sent to ARMDA, Records Management Division, ATTN: AHRC–PDD–RR, 7701 Telegraph Road, Casey Building. Room 102, Alexandria, VA 22315–3860. (See https://www.arims.army.mil/help/onlinehelp.asp).

C–7. Classification of records
Do not over–classify records. Follow the classification guides in Army Security Regulations and/or the OPLAN for the operation. Ensure declassification instructions accompany all classified records, including electronic records, prior to transferring them. Mail classified records (double wrapped) by registered official mail.

Send the following records to: U.S. Armed Forces Center for Unit Records Research, ATTN: AHRC-PDD-U, Kingman Building, Room 2C08, 7701 Telegraph Rd., Alexandria, VA 22315

Operations	220-15a1	Daily Staff Journal and TOC log w/ coordinates of Locations and events
Operations	525a1	Command Reports, Special Reports, Maps and Overlays, Incident Reports
Operations	525n1	Operation Planning Files. OPLANS (including audio/videotapes of teleconferences)
Operations	525p1	Operation Procedure Files. OPORDS (including audio/videotapes of teleconferences)
Office Housekeeping	1hh	Office Temporary Duty Travel (Civilian TDY Orders)
Nuclear/Chemical	50-5a1	Nuclear accident/incident controls
Weapons/Mat'l	50-6b1	Chemical accident/incident controls
Safety	385-10f2	Accident/Incident Case Files (including nuclear, chemical and biological exposure)
Military Police	190-45b2, 3	Military Police (MP) Journals (Blotters)

Process and transmit the following records in accordance with the regulations that prescribe their creation. These records should be shipped to the unit's home station RHA on a monthly basis for processing or the Washington National Records Center (WNRC), 4205 Suitland Rd, Suitland MD 20746-8001. NOTE: Records shipped to WNRC will only be accepted if all transfer procedures are properly followed.

Management	5b1	Agreement
Military Police	190-8a	Individual Enemy PW/detainee files
Military Police	190-8b	Enemy PW/detainee general information
Military Police	190-8d	Enemy PW/detainee complaints and investigations
Military Police	190-8e	Enemy PW/detainee strength reports
Military Police	190-8f	Enemy PW/detainee rosters
Military Police	190-8h	Enemy PW/detainee educational media
Military Police	190-8i1, 2	Enemy PW/detainee noncontract labor
Military Police	190-8j1, 2	Enemy PW labor contracts
Military Police	190-8k	Enemy PW camp labor reports
Military Police	190-8q	Prisoner of war censorship
Military Police	190-8s	Enemy CI general information
Military Police	190-8u	Enemy CI complaints and investigations
Military Police	190-8v	CI strength reports
Military Police	190-8w	Enemy CI rosters
Military Police	190-8x	Enemy CI property accounting files
Military Police	190-8y	Enemy CI educational media
Military Police	190-8z	Enemy CI noncontract labor
Military Police	190-8aa	Enemy CI camp labor reports
Military Police	190-9a	Absentee Cases
Military Orders	600-8-105a 1	Personnel Type Orders
Army Information	360-5b 2	News Media and Releases
Transportation	55-355PERf	Passenger Manifests (per DOD 4500.9-R, Vol. 1)
Transportation	55-355FRTg	Bills of Lading (per DOD 4500.9-R, Vol. 2)
Logistics	710-2a	Property Book and Supporting Documents
Logistics	710-2b	Document Registers
Logistics	710-2h1,2,3	Property Loss, Theft, and Recovery Reports
Logistics	710-2t	Unit Supply Reports
Logistics	735-5r1	Report of Survey Files
Logistics	735-5s	Report of Survey Control Register Files

Figure C–1. Records preservation list

Send the following records to: Inspector General, ATTN: SAIG-IR, 2511 Jefferson Davis Hwy, Arlington, VA 22202-3912		
Inspector General Records:		
Asst., Insp., Inv.	20-1b	IG Investigations
Send the following records to: CDR, 902d MI GP, Investigative Records Repository, ATTN: IAMG-C-IRR, 4552 Pike Road, Fort George G. Meade, MD 20755-5995:		
Intelligence Records:		
Intelligence	381-20d	Counterintelligence Collection Files
Intelligence	381-20i1,2,3	Foreign Personnel and Organization Files
Intelligence	381-20n	U.S. PW/MIA Detainee Intelligence
Intelligence	381c	Intelligence/Counterintelligence Sources
Intelligence	381-47a	Counterintelligence, Special Operations
Intelligence	381-100a	HUMINT Intelligence Collection
Send the following records to: CDR, U.S. Army Intelligence and Security Command Records Center, ATTN: IAIM-RP-R, 8825 Beulah St, Fort Belvoir, VA 22060-5246:		
Intelligence	381-3a	MI Operational Management Files
Intelligence	381-3b1	MI Operational Management Reports
Intelligence	381-3c 1, 2	MI Non-Operational Reports
Intelligence	381-3d1	MI Mission Assignments
Intelligence	381-3f	MI Project Cases
Intelligence	381-11b	Scientific and Tech Intelligence Products
Intelligence	381-20b	Captured Information
Medical Records: Units providing medical care will transmit these records in accordance with medical prescribing directives.		
Medical	40	Clinic Logs
Medical	40-5d1	Command Health Reports
Medical	40-66a	Outpatient Field Medical File (Including DD 2766, DD 1380, SFs 516, 558 and 600; and Other Medical Reports).
Medical	40-66ddd1,2	Inpatient, Fetal Monitoring Strips (FMS and Extended Ambulatory Records (EAR) Fixed Medical Facilities
Medical	40-66i	NATO Inpatient Records
Medical	40-905e1,2	Military Animal Records

Notes:
1. Visual Information Records: VI records (still and motion) will be sent to Director, U.S. Army Visual Information Center, ATTN: JDHQS-AV-E-L, Room 1A256, 3001 Army Pentagon, Washington, DC 20310-3001 for processing into the records center.
2. Personnel Records: Process and transmit personnel records in accordance with personnel prescribing directives.

Figure C–1. Records preservation list—Continued

DA PAM 25–403 • 20 December 2006

Glossary

Section I
Abbreviations

ACOM
Army command

AEA
Army electronic archives

AIC
American Institute for Conservation

ANSI
American National Standards Institute

AO
action officer

AOC
Army operations center

AOR
area of responsibility

AR
Army regulation

ARIMS
Army Records Information Management System

ARMDA
Army Records Management and Declassification Agency

ASCC
Army Service Component Command

CF
cubic foot

CFA
current files area

CFR
Code of Federal Regulations

CD
compact disk

CD–ROM
compact disc-read only memory

CIPS
Centers Information Processing Systems

COM
computer output microform

CONOPS
contingency operations

CY
calendar year

DA
Department of the Army

DOD
Department of Defense

DRU
Direct Reporting Unit

DVD
digital video disk

E
event

ECS
electronic capture and store

E-mail
electronic mail

FOIA
Freedom of Information Act

FOUO
For Official Use Only

FRAGO
fragmentary order

FRC
Federal records center

FY
fiscal year

GRS
General Records Schedule

HQDA
Headquarters, Department of the Army

HTML
hypertext markup language

IMCOM
United States Army Installation Management Command

INSCOM
U.S. Army Intelligence and Security Command

IS
information system

ISO
International Standards Organization

IT
information technology

K
keep

KE
keep event

KEN
keep event no longer needed

KN
keep no longer needed

MS–Office
Microsoft Office

NARA
National Archives and Records Administration

NATO
North Atlantic Treaty Organization

NFPA
National Fire Protection Association

NLN
no longer needed

NTE
not to exceed

OAASA
Office of the Administrative Assistant to the Secretary of the Army

OCR
optical character recognition

OCRHA
overseas command records holding area

OCONUS
outside continental United States

OF
optional form

OPLAN
operation plan

OPORD
operation order

ORL
office records list

PA
Privacy Act

QC
quality control

QRG
Quick Reference Guide

RA
records administrator

RC
records coordinator

RH
relative humidity

RHA
records holding area

RHAM
records holding area manager

RIPS
Records Input Processing System

RM
records manager

RMA
records management application

RN
record number

RRS–A
Records Retention Schedule - Army

RM–Assist
Records Management-Assistance

SA
system administrator

SDTS
spatial data transfer standard

SF
standard form

SGML
standard generalized markup language

SITREP
situation report

T
transfer

TEP
transfer event permanent

TOC
tactical operation center

TP
transfer permanent

U
unscheduled

UIC
unit identification code

URL
universal resource locator

USAEUR
U.S. Army, Europe

USC
United States Code

VA
Veterans Affairs

WIC
Web information center

WNRC
Washington National Records Center

Section II
Terms

Accession
The act and procedures involved in transferring legal title and physical custody of records from Department of the Army to the National Archives.

Action officer
Any individual who creates official records on behalf of the Army.

Administrative records
Records relating to budget, personnel, supply and similar housekeeping, or facilitative, functions common to most agencies, in contrast to program records.

Administrative value
The usefulness of records in conducting an agency's current business; includes fiscal value and legal value.

Alphabetic arrangement
Arranging records in alphabetical order by name or subject.

Alphanumeric arrangement
Arranging records in order by a combination of words and numbers.

Architectural records
Graphic records that depict the proposed and the actual construction of stationary structures, such as building, bridges, and canals, and movable objects, such as ships, aircraft, vehicles, weapons, machinery, and equipment.

Army Records Information Management System (ARIMS)
A system for identifying, arranging, and retrieving Army records for reference and disposition according to the directive, usually an AR or DA pamphlet, which prescribes their creation, maintenance and use.

Cartographic records
Graphic representations drawn to scale of selected cultural and physical features of the surface of the earth, other planetary bodies and of the atmosphere.

Classified records
Official records or information requiring protection against unauthorized disclosure. The degree of protection is specified by 1 of the following: top secret, secret, confidential.

Computer output microform (COM)
Microforms (microfiche, microfilm) containing data produced by a recorder from computer generated signals. A process of converting data from magnetic tape to human readable images on film.

Copy
A reproduction or duplication of an original record. Copies identified by their function include action copy, file or record copy, reading copy, reference copy, and official copy. Copies identified by method of creation include carbon, electrostatic, offset, diazo, and vesicular. In electronic records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source.

Current records
Records necessary for doing the current business or operations of an office or unit.

Cutoff
Breaking, or ending, files at regular intervals, usually at the close of a FY or CY, to permit their disposal or transfer in complete blocks.

Date arrangement
Arranging records chronologically with the newest record at the front of the file.

Declassification
The determination that security classified information no longer requires, in the interest of national security, protection against unauthorized disclosure. Removal or cancellation of the security information markings is normally involved.

Discontinuance
The placing of an organization in an inactive status or in surplus status when all military functions have ceased. When this term is used, it also includes inactivation, disbandment, and reduction to 0 strength.

Disposition
The actions taken with non–current records. These include transfer to a RHA, retirement to a NARA records center facility, authorized donations, destruction, and accessioning into the National Archives.

Disposition authority
Legal approval empowering an agency to transfer permanent records to The National Archives or carry out the disposal of temporary records.

Disposition instructions
Precise instructions specifying the time or event for transfer, retirement, or destruction of records.

Disposition schedule
A document governing, on a continuing basis, the retention and disposition of the recurring record series of an organization or agency.

Documentary material
A collective term used to refer to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of recording.

Donation
The transfer of Army records (which are eligible for destruction) to a qualified agency, organization, institution, or person.

Duration period

The period of time a scheduled record must be kept before its disposition. Synonymous with retention period.

Electronic records

Records stored in a form that only a computer can process.

Emergency operating records

Records that are essential to the continued functioning and reconstitution of an organization before, during, and after a national security emergency, or under emergency or disaster conditions. Emergency operating records are 1 of 2 types of vital records; the other type being rights and interests records.

Event

When used as part of the records disposition, the event represents the occurrence that must happen to start the retention period. (Examples, close of case; supersession; obsolescence.)

File

An accumulation of records maintained in a predetermined physical arrangement or to place documents in a predetermined location according to an overall plan of classification.

File number

The number assigned under ARIMS to a specific series of records. The number is based on the prescribing directive specifying they be created. Synonymous with RN.

Fiscal value

The usefulness of records in documenting an agency's financial transactions and obligations.

For Official Use Only

A classification for information not needing the full protection warranted by classified records but which should be protected from unauthorized disclosure based on a privileged or confidential basis because of its content. See AR 25–55 for types of information that may be categorized as FOUO.

Fuzzy search

Fuzzy is another way of saying inexact. One common use of this word is in the term fuzzy search. This is a feature in some software programs that allows you to search for text that is similar to, but not necessarily exactly the same as what you tell it to look for. For example, you might type in something like phonics, and the fuzzy search might find phonics or telephone or Phoenicia, or even corn pone.

Hardcopy records

Records created on paper or some other durable surface, such microfilm.

Housekeeping files

Records accumulated or generated in an office that document the internal administrative functions of the office as opposed to those that document the primary missions of the office.

Imaged files

Files created by processing hardcopy records through a scanner which digitizes and converts the information to bit–mapped images of the records.

Information system

The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. Often used as a synonym for a digitized or electronic records system.

Keep records

Records classified as K records which are usually short–term temporary records that have no value beyond the business process. They can have retention periods from 1 day up to and including 6 years.

Keep event records

Records classified as KE records which are usually short–term temporary records that have no value beyond the business process. hey can have retention periods from 1 day up to and including 6 years; however, the retention period

does not start until the event occurs. They may be further classified as KEN (keep until event occurs and then until no longer needed) or KE1, KE3, and so on (keep for 1 year after event occurs, 3 years after event occurs, and so on).

Legal value
The usefulness of records in documenting legally enforceable rights or obligations.

Library copy
Reference copy of a record maintained as part of a library collection or manuscript collection; not an official record copy.

Life cycle of records
The management concept that records pass through 3 states, creation, maintenance and use, and disposition.

Master index
In ARIMS, the index for all hardcopy records retired to Army record holding facilities and for electronic records that have been transferred to the Army electronic archives.

Microfiche
A card–sized transparent sheet of film with miniaturized images arranged in a grid pattern.

Micrographic records
Records placed on microfilm by reducing and recording images photographically or by recording directly onto film using a computer.

Museum copy
Reference copy of a record maintained as part of a museum collection or manuscript collection; not an official record copy.

Non-current records
Records no longer required for current business or operations; inactive records.

Non-records
Documents excluded from the legal definition of records according to 44 USC 3301.

Numeric arrangement
Arranging records in sequence by number.

Office
Any place where records are created, maintained, or used, excluding RHAs, records centers, and so on.

Office record list
List of record titles/RNs used within a specific office.

Official record copy
That copy of a record kept by the agency, office, or element directly responsible for the function to which the record relates which has been identified as the copy to be maintained to document the action taken or business transacted. Record copies of incoming or outgoing communications may be in a variety of forms. These include electronic copy, paper copy, handwritten items, specific media, microforms, and so on. It does not include reading file copies or copies held for convenience or reference. Synonymous with record copy.

Permanent records
The designation applied to records worthy of permanent retention by the U.S. and accessioned into The National Archives.

Program records
Records documenting the unique, substantive functions for which an agency is responsible, in contrast to administrative records.

Personal papers
Documentary materials belonging to an individual that are not used to conduct agency business.

Preservation
Specific measures, individual and collective, taken for the repair, maintenance, restoration, or protection of information storage media.

Record copy
That copy of a record kept by the agency, office, or element directly responsible for the function to which the record relates which has been identified as the copy to be maintained to document the action taken or business transacted. Record copies of incoming or outgoing communications may be in a variety of forms. These include electronic copy, paper copy, handwritten items, specific media, microforms, and so on. It does not include reading file copies or copies held for convenience or reference. Synonymous with official record copy.

Record number
The number assigned under ARIMS to a specific series of records. The number is based on the prescribing directive specifying they be created. Synonymous with file number.

Recordkeeping requirements
Statements in laws, regulations or agency directives providing general and specific guidance on particular records to be created and maintained by an agency.

Records
All books, papers, maps, photographs, digitized record information, or other documentary materials regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.

Records administrator
Records official who serves on the ACOM staff and has command–wide records management responsibility throughout subordinate units and activities.

Records center
A facility that is designed and constructed for low–cost and efficient storage of records, and for reference service on semi–current records, pending their ultimate disposition. NARA FRCs serving the Army are operated by GSA.

Records inventory
A detailed listing that could include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records.

Records management officials
A collective term used to refer to RAs, RMs, and RCs.

Records coordinator
Records official designated at a sub–element as necessary for records management program execution.

Records holding area
A facility established to collect and maintain cutoff hardcopy records until they are either eligible for destruction or retirement to a NARA FRC or other records depository. When located outside of the CONUS, these facilities are referred to as OCRHAs.

Records manager
Records official who generally serves at the major subordinate command level, field operating agency, DRU, separately authorized activities, tenant organizations, satellite organizations, U.S. Army Installation Management Agency regional levels, RHAs, and on installation garrison staff with command–wide or organization–wide records management responsibilities.

Retention period
The length of time that a record must be kept before it is destroyed. Records not authorized for destruction have a retention period of permanent.

Retention schedule

A document providing mandatory instructions for what to do with records (and non–record materials) no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. Also called records disposition schedule, records retention schedule, records retention and disposition schedule, or schedule. The Army records schedules are contained in the ARIMS RRS–A.

Retire

The movement of records from an office, unit, or RHA into a NARA Records Center Facility.

Rights and interests records

Records essential to the preservation of the legal rights and interests of individual citizens (including service members) and the Army. These records include, accounts receivable records, social security records, payroll records, retirement records, insurance records, contract records, and so on. Rights and interests records are 1 of 2 types of vital records; the other type being emergency operating records.

Roll microform

Microform consisting of microfilm on reels, cartridges, or cassettes.

Source documents

Documents containing images and/or data entered into a microform or electronic records system.

Special records collections

A group of records that may or may not fall under the same series but which are considered to make up a collection based on common characteristics (for example, John F. Kennedy records collection).

Temporary records

Records approved by NARA for disposal, either immediately or after a specified retention period.

Transfer records

Records classified as T records which are long–term records with retention periods over 6 years and up through permanent. T records are transferred out of the CFA when no longer needed for business purposes.

Tuples

A data object that holds several objects, such objects are also known as a record.

Unscheduled records

Records that have not been formally appraised by NARA for disposition.

Working papers

Documents such as rough drafts, calculations, or drafts that are assembled or created and used in the preparation or analysis of other documents. These documents are also considered records and are filed under the appropriate ARIMS RN.

Section III
Special Abbreviations and Terms

This section contains no entries.

UNCLASSIFIED   **PIN 083211–000**

USAPD

ELECTRONIC PUBLISHING SYSTEM
OneCol FORMATTER WIN32 Version 236

PIN: 083211–000
DATE: 12-20-06
TIME: 10:09:45
PAGES SET: 94

DATA FILE: C:\wincomp\p25-403.fil
DOCUMENT: DA PAM 25–403

SECURITY: UNCLASSIFIED
DOC STATUS: REVISION