

Information Management

The Army Records Information Management System (ARIMS)

Headquarters
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UNCLASSIFIED

SUMMARY of CHANGE

AR 25-400-2

The Army Records Information Management System (ARIMS)

This rapid action revision, dated 2 October 2007--

- o Replaces title of "The Adjutant General's Quick Reference Guide" to the "Quick Reference Guide to Documenting Operations for Deployed Units of the Army" (para 1-7f).
- o Adds information on obtaining National Archives and Records Administration approval before destroying any permanent or unscheduled hardcopy source documents (paras 3-4c(2), 3-6e, and 4-4d(1)).
- o Adds information on the use of office records lists in Army Records Information Management System to generate required barcode labels for transferring hardcopy T records to a records holding area and to index electronic T records being transferred to the Army Electronic Archive (para 5-10a).
- o Replaces figure 6-1.
- o Replaces table 7-1.
- o Adds information on uploading electronic records in the Records Input Processing Subsystem and transferring electronic records from an information system or other automation source to the Army Electronic Archive (para 9-2b).
- o Adds new term for interface control document (para 9-2b and glossary).
- o Replaces table 10-1.
- o Adds references to DA Pam 25-403 for operational procedures removed from chapters 5, 6, 7, 8, and 9 in the March 2003 revision (throughout) and adds it to the list of required publications (app A, section I).
- o Updates information on availability of OF 11 and SF 180 on the Administrative Publications Directorate's Web site and removes SF 135-A, which is obsolete (app A, section III).
- o Changes proponentcy and exception authority from the Deputy Chief of Staff, G-1 to the Administrative Assistant to the Secretary of the Army per Department of the Army General Order 2006-01 (throughout).
- o Makes administrative revisions throughout.

Effective 2 November 2007


Information Management

The Army Records Information Management System (ARIMS)

By Order of the Secretary of the Army:

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General, United States Army
Chief of Staff

Official:


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History. This publication is a rapid action revision. The portions affected by this rapid action revision are listed in the summary of change.

Summary. This regulation, which implements AR 25-1, chapter 8, Records Management Policy, governs the maintenance and disposition of Army information and implements new policy on recordkeeping requirements for Army regulations prescribing the creation and maintenance of records under those functional programs.

Applicability. This regulation 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. This regulation applies during partial and full mobilization.

Proponent and exception authority. The proponent of this regulation is the Administrative Assistant to the Secretary of the Army. The proponent has the authority to approve exceptions or waivers to this regulation 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 regulation 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 their higher headquarters to the policy proponent. Refer to AR 25-30 for specific guidance.

Army management control process. This regulation contains management control provisions, but does not identify key management controls that must be evaluated.

Supplementation. Supplementation of this regulation and establishment of command and local forms are prohibited without prior approval from the Administrative Assistant to the Secretary of the Army, ATTN: SAAA-SO, 105 Army Pentagon, Washington, DC 20310-0105.

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

Distribution. Distribution of 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.

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Chapter 1 Introduction

1-1. Purpose

The purpose of Army recordkeeping is to properly manage information from its creation through final disposition, according to Federal laws and Army recordkeeping requirements. This regulation—

- a. Establishes the Army Records Information Management System (ARIMS) as a portion of Army Information Management (see AR 25-1).
- b. Furnishes the only legal authority for destroying nonpermanent Army information.
- c. Provides life cycle management instructions for the systematic identification, maintenance, storage, retrieval, retirement, and destruction of Army information recorded on any medium (paper, microforms, electronic, or any other).
- d. Ensures that mission-essential records are available when needed, that they are in usable format, and that they are created, maintained, used, and disposed of at the least possible cost.
- e. Preserves those records needed to protect the rights and interests of the Army and its current and former members, and those records that are of permanent value (see AR 25-55 and AR 340-21).
- f. Ensures records related to matters involved in administrative or legal proceedings are retained until the staff judge advocate or legal advisor authorizes resumption of normal disposition.

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 regulation are explained in the glossary.

1-4. Responsibilities

a. The Administrative Assistant to the Secretary of the Army (AASA) is the functional proponent for ARIMS and is responsible for ARIMS. The AASA will—

(1) Promulgate policy on recordkeeping practices for the Army and for joint, unified, and specified commands for which the Army is designated the executive agent.

(2) Coordinate with the Chief Information Officer/G-6 (CIO/G-6) on major issues requiring review as the Army's chief information officer.

b. Principal Headquarters, Department of the Army (HQDA), officials are the proponents for all recordkeeping requirements necessary to conduct business in their functional areas. Principal HQDA officials will—

(1) Ensure that recordkeeping requirements are accurate, essential, and current and are contained in the publications that govern how the Army conducts business in their functional areas (see para 2-1).

(2) Ensure that recordkeeping requirements for their functional areas are provided to the AASA in a timely manner.

c. The director of the Army Staff will accomplish all responsibilities assigned to principal HQDA officials for the Office of the Chief of Staff of the Army.

d. The director, U.S. Army Records Management and Declassification Agency (USARMDA), will develop ARIMS policy and procedures and maintain and administer the ARIMS program for the AASA.

e. Heads of HQDA agencies and commanders of Army Commands (ACOMs), Army Service Component Commands (ASCCs), and Direct Reporting Units (DRUs), installations, activities, and units will—

(1) Supervise and manage recordkeeping systems within their agencies and commands.

(2) Prepare written contingency plans that—

(a) Provide for the withdrawal or destruction of records in hostile or unstable areas for those having elements in overseas areas.

(b) Provide procedures for addressing threats or attacks on information systems (IS) used to maintain and store record information (see DA Pam 25-1-2, chap 3, for elements of information technology (IT) contingency plans).

f. Commanders of Army components operating under a joint command and through a designated contact will—

(1) Ensure records are created and preserved throughout the Army component in accordance with the records procedures in paragraph 1-7f.

(2) Establish the processes for the collection and transfer of unit records.

g. Records management officers or officials (referred to as records administrators, records managers, or records coordinators) will manage, oversee, direct, and evaluate the records management program for the Army staff (ARSTAF) agency, ACOM, ASCC, DRU, field activity, or installation to which they are assigned. The records management officer or official is responsible for providing guidance and clarification necessary to carry out the provisions of the Army-wide Records Management Program (see AR 25-1, para 8-2g and AR 25-1, app C-4g (1)

through (8) for key management controls for conducting program evaluations at least once every 3 years, and see DA Pam 25-403, chap 11, for evaluation guidance and procedures).

1-5. Statutory authority

a. The Federal Records Act of 1950, as amended, contains the statutory authority for the ARIMS program. Governmentwide responsibility for Federal recordkeeping is shared by the General Services Administration (GSA) and the National Archives and Records Administration (NARA). The GSA portions of the Federal Records Act are implemented in the Federal Management Regulations, Part 41, Chapter 102, Subchapter G, Code of Federal Regulations (CFR), and NARA portions are implemented in 36 CFR, Chapter XII, Subchapter B. These are, in turn, implemented by Army regulations.

b. Sections 3301-3314, Title 44 United States Code (44 USC 3301-3314), establishes the legal basis for the disposal of records of the U.S. Government. The Director, USARMDA (JDRP-RDR), 7701 Telegraph Road, Alexandria, VA 22315-3860, develops retention and disposal authorizations that meet Army needs and obtains approval from the Archivist of the United States. Approval by the archivist is legal authority for the retention and disposal of all Army records.

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. Application of Army Records Information Management System

a. The ARIMS applies to—

(1) All unclassified Army records, including For Official Use Only (FOUO), regardless of medium.

(2) All classified Army records through SECRET. Records that are TOP SECRET may be set up under ARIMS or in any 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.

1-7. Principles of Army Records Information Management System

a. The ARIMS focuses on the management of long-term and permanent records and allows the business process to manage short-term records. It addresses only the record copy of information; all other copies of the same information may be disposed of when no longer needed for business not to exceed the time that the record copy is kept. The ARIMS simplifies recordkeeping; shifts retention and disposition burdens to records holding areas (RHAs); improves records processing for deployed units in contingency operations (CONOPS); and provides a host of support services and automated tools on the Web.

b. Records are identified according to the primary directive that prescribes those records be created, maintained, and used. Army directives are available on the Army Publishing Directorate's (APD) Web site (<http://www.apd.army.mil>). The ARIMS record titles are determined by the proponents of the prescribing directives and provide an overall identification of the categories and types of records needed to support the business processes of those functional areas. A record number (RN) associated with each record title serves as an additional identifier for records personnel and RHA staff use in performing records management functions. These numbers correspond to the number of the directive prescribing the creation and maintenance of that particular record. An alpha or alphanumeric suffix is added to the RN to distinguish several records prescribed by a single directive and to separate between differing agency and or office responsibility levels when more than one disposition instruction is needed. For example, records prescribed by AR 500-3 are identified by RNs 500-3a1, 500-3a2, 500-3d, and so forth. The RNs for office administrative housekeeping files are combined under the administrative category and numbered 1a through 1oo. These are the records that are created because an office exists and not why an office exists.

(1) When a prescribing directive is rescinded and there is no longer a requirement to create records based on that directive, the record numbers are rescinded and the record type code is changed to an "R" to reflect that the record number has been rescinded. Existing records continue to be maintained and disposed of as originally scheduled; however, new records may not be filed under a rescinded number.

(2) If a prescribing directive is superseded by another directive, all record numbers that remain valid are changed to reflect the new prescribing directive and the old numbers have their record type changed to an "S" to reflect that the record number has been superseded, and a pointer is added to direct users to the new number. Apply the disposition instruction shown for the replacement record instruction to existing records.

(3) Records that have not been formally appraised by NARA are unscheduled records and are coded with a "U."

Retain these records in the current files area (CFA) until disposition instructions are published; then apply the approved disposition instruction.

c. The disposition instructions for all records are categorized as 2 types of records. The first type is for records that have no value beyond the business process; these are usually short-term records. The second type is for records that have value beyond the business process, such as for historical, lessons learned, or research purposes; these are generally long-term records. Disposition instructions are coded and begin with the letter “K” for keep or “T” for transfer, followed by an “E” for event when applicable. The last part of the code is a number representing the retention period or the letter “P” for permanent retention. All K codes apply to short-term records that are kept according to the business process until no longer needed (or until no longer needed for business after an event occurs) not to exceed 6 years. The T codes apply to long-term (retentions over 6 years) and permanent records, with a few exceptions for records involving individual rights and interests. Examples of the classifications and their meanings follow—

(1) Code K along with a retention period means the record must be kept for the time period specified before it can be destroyed (example: K3).

(2) Code KE along with a retention period means the disposition is event driven and the record must be kept until the event occurs plus the specified time after the event before it can be destroyed (example: KE4).

(3) Code KN is used when a specific time period is not known. Records are kept until no longer needed for conducting business, but not longer than 6 years.

(4) Code KEN is used when a specific time period is not known and the disposition is event driven. Records are kept until the event occurs and then until no longer needed for conducting business, but not longer than 6 years after the event.

(5) Code T is used for retention periods longer than 6 years. Records are retired to the RHA, Army Electronic Archive (AEA), or other location as specified in the disposition instruction, when no longer needed for conducting business (for example, T6.25, T15).

(6) Code TE is used with retention periods longer than 6 years and, which, have dispositions that are event driven. Records must be kept until an event occurs and until no longer needed for conducting business before they are retired to the RHA/AEA/other location as specified in the disposition instruction (for example, TE25).

(7) Code TP and TEP are used for records with permanent retention periods. Records are retired to the RHA and or AEA when no longer needed for conducting business or after an event occurs.

d. The retention and disposition of K records are based on the period of time that the creating office needs to keep such records to meet business needs; which should be specified in the prescribing directive. Once that period of time is met, the records should be destroyed. However, these records should not be kept longer than 6 years (or 6 years after an event occurs). The retention and disposition of T records are applied by the servicing RHA, AEA, or, in the case of organizations such as HQDA staff elements and any organization not residing on an installation, by the organization’s records administrator, records manager, or records coordinator. Once the disposition for the T records is established, the precise holding period for those records is calculated and applied to the records according to the instructions in the ARIMS RRS-A (see para 7-1).

e. Records services (storage, maintenance, reference, disposal, and transfer) for Army records stored in the AEA, contractor operated RHAs, or at the Federal Records Center (FRC) are centrally funded by HQDA. Army organizations will not be charged for the servicing of their records at these facilities. The search tool in ARIMS (see para 8-2) links to the master index of records stored at these facilities and generates an automated request or transmittal form to retrieve agency records.

f. Records created by deployed units in CONOPS are collected monthly and sent to designated transfer locations as directed by a prepositioned message from the Pentagon Army Operations Center (see DA Pam 25-403, chap 12, for CONOPS record collection and preservation guidance and procedures). Deployed unit personnel will be provided copies of and/or access to the Quick Reference Guide to Documenting Operations for Deployed Units of the Army on the USARMDA Web site at <http://www.rmda.belvoir.army.mil>.

g. The ARIMS Web site (<https://www.arims.army.mil>) provides a variety of tools and services designed to reduce the manual processes associated with traditional records management. The system, based on the role of the user (for example, action officer, records coordinator, records manager, records administrator, or RHA manager), provides, for example, identification of transfer records; on-demand printing of folder labels, electronic mail capture and storage; a master index of all records maintained in RHAs worldwide and in the AEA; automatic assignment of disposition and retention; and system generated notices of destruction or retirement.

1-8. Unauthorized destruction, damage, or removal of records

a. In cases of accidental loss or destruction of records by fire or other cause, the custodian of the records will—

(1) Reconstruct as much of the lost or destroyed records as possible. A series 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.

(2) Provide identification of the records that cannot be reconstructed to the records officer for recording on SF 135 (Records Transmittal and Receipt) 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.

b. 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).

1–9. International armed conflict or threatened war

a. During an international armed conflict between the United States 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 continental United States may be destroyed if it is determined that—

- (1) Their retention would be prejudicial to the interest of the United States.
- (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 USARMDA (JDRP–RDR), 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.

1–10. Recordkeeping requirements of this regulation

This regulation requires the creation, maintenance, and use of the following records:

- a.* Transfer records: permanent records biennial microfilm inspection files.
- b.* Keep records: office file number approvals, office record transmittals, record disposition files, charge–out suspenses, temporary (nonpermanent) biennial microfilm inspection files, records disposition standard exceptions and freezes, and record disposal authorizations.

Chapter 2 Identifying Recordkeeping Requirements

2–1. Prescribing directives

a. Proponents of prescribing directives (see AR 25–30, para 3–1) will ensure that Army regulations and Department of the Army (DA) pamphlets identify records required to support their business processes. These are the records that are created or received when carrying out the missions or functions of the programs prescribed therein. At a minimum, identification of the records should include a description of each record category to indicate which are transfer (T) and which are keep (K) records. In addition, the retention periods for K records will be stated in the prescribing directive; for example, if 2 years is the time required to meet the business needs of a specific record, that is how long the record will be kept. Proponents will review the recordkeeping requirements of a prescribing directive whenever making changes to the directive.

b. Proponents will further ensure that any requirements or established procedures governing the use and retention of the records are specified in Army regulations or DA pamphlets when necessary. These requirements may pertain to matters such as the naming, arranging, and or locating of files and established procedures such as those governing data or input submitted for consolidated reports, summaries, or similar information. For example, input to the XYZ report will be kept for 2 years at the installation level and 5 years at the ACOM, ASCC, and DRU level. Also, this input will be used to prepare budget estimates for HQDA approval and should be arranged according to the fiscal year to which it will apply.

c. 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 this regulation 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 the USARMDA (JDRP–RDR), 7701 Telegraph Road, Alexandria, VA 22315–3860, or to info@rmda.belvoir.army.mil, which is the contact address on the USARMDA Homepage at www.rmda.belvoir.army.mil. Temporary RNs, titles, and disposition instructions for new numbers will be established in accordance with paragraph 2–2*b*. These requirements will be in the same format as shown for RNs in the ARIMS RRS–A. Include a complete description of the records to be created, identifying any specific forms or documents to be used and any automated information systems that are used to produce or store the records.

2–2. Unscheduled records

a. Unscheduled records are those records that do not have a disposition schedule approved by NARA. 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 requirements or changes to existing numbers will be submitted through agency records channels to the address in paragraph 2-1c, for coordination with the proponent of the prescribing directive that created or changed the need for the RN (see DA Pam 25-403, chap 5, for records scheduling process).

b. Records management officers, in coordination with the USARMDA, will establish a temporary RN and title based on the prescribing directive and general format in the ARIMS RRS-A. The unscheduled record will be coded with a "U" and the temporary disposition instructions will read: "Retain in CFA until disposition instructions are published."

2-3. 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. Contractors will assign the appropriate record identification and disposition instructions to all records delivered to the Government. 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 data that may have value to the Government. Whenever appropriate, agency officials should require the delivery of such background data in addition to the final product. For example—

(1) Contracts to produce statistical analyses will specify the delivery of background data 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 data needed to verify assertions or justify conclusions.

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

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

Chapter 3 Electronic Recordkeeping

3-1. Overview

Army records, regardless of medium, must follow the disposition instructions identified in ARIMS RRS-A and comply with the security requirements of AR 25-2. Any electronic information generated by or contained in an information system (IS) or other automation source, created or received during the conduct of business, must be preserved according to those instructions (or if unscheduled, as established by the activity records manager per para 4-4). This includes information contained in enterprise information systems (EIS), command or installation unique systems, e-mail systems, and systems maintained in the office environment. The procedures for saving electronic records should be determined as early as possible in the life cycle of a system.

3-2. Planning new or enhanced information system

a. As with any other medium, the originator of a record does not determine when to destroy the record. The office of record must ensure the retention of the electronic records and their documentation for as long as the Army needs them. This means that functional proponents and information managers must—

(1) Define electronic record information disposition instructions during the need justification phase, milestone 0, and review in the revalidation phase of each milestone in the life cycle management of the system.

(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 USARMDA at the address in paragraph 2-1c.

b. Determine the record information of an IS by reviewing the mission and functions statement of the office or offices supported by the system and evaluating its administrative, legal, or fiscal value. Also, a review of similar information already scheduled and identified in the ARIMS RRS-A may 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. When 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 online, near line, or offline storage while awaiting disposal or transfer to the AEA. Records designated as T 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 (see paras 8–1 and 9–2).

3–3. Information system documentation

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—

a. 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 specifications, 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.

b. 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.

c. Review documentation to determine if it—

- (1) Adequately specifies all technical characteristics necessary to read or process the records.
- (2) Identifies all inputs and outputs of the system.
- (3) Provides an audit trail of changed or deleted information and the correct disposition of the information content and use.
- (4) Defines the contents of the files and records.
- (5) Clearly states the purpose and functions of the system.

3–4. 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 stage 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 schedule in this regulation when disposing of or erasing media that stores the only copy or the official copy of the record (see DA Pam 25–403, chap 3, section II, for managing various types of electronic records).

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) Record copies of T records (stored in or generated by an IS or other automation source) that are complete should be sent to the ARIMS AEA as soon as practical for secure long-term storage. Original hardcopy source documents that are converted to electronic format (for example, by scanning) with permanent or unscheduled retentions must not be destroyed until approval is obtained from the NARA. Forward requests to destroy hardcopy source documents through agency records channels to the USARMDA at the address in paragraph 2–1*c* and include the RN(s) for the converted records (stored in an IS or other automation source), the volume for each, their location, and a point of contact (name, address, and telephone number).

(3) Specific instructions for sending records to the AEA are in chapter 9.

3–5. 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 cycle, the maximum time span that records remain on each storage medium, and the NARA approved disposition of all records according to this regulation.

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

3–6. Use of CD–ROMs

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 American Standard Code for Information Interchange (ASCII) standard.
- (3) Comply with the ASCII character set and 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 USARMDA at the address in paragraph 2–1c to determine which medium is more appropriate for transfer of the records to the National Archives.

c. The National Archives will accept audio compact discs 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 videodisk 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 this regulation.

e. Army organizations may use optical disk systems for storing and retrieving permanent and unscheduled records while the records remain in their legal custody; however, approval to destroy the hardcopy source documents must be obtained from the NARA. Follow the same instructions in paragraph 3–4c(2) to request the destruction of hardcopy source documents.

Chapter 4 Micrographic Records

4–1. Record copy microforms

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 1230.

a. Records created from hardcopy source documents; the original (first generation) microform becomes the record copy and the hardcopy original may be destroyed. Duplicate record copies will not be kept. It must be ensured that the microforms are adequate substitutes for the original records and serve the purpose for which such records were created or maintained. Copies must be complete, legible, free of extraneous markings, and contain all information shown on the originals.

b. When microforms are created by computer output microfilm without hardcopy source documents, the original (first generation) microform becomes the record copy.

c. When microforms are the record copy, they—

(1) Must be recorded on polyester based silver–gelatin type film that conforms to American National Standards Institute code (ANSI/NAPM IT9.1–1996) for permanent (TP and TEP) information. Other types of microform are not acceptable for permanent information. For records that do not have a permanent retention requirement, the original microform may be dry silver or silver–gelatin, whichever is the more efficient and economical filming process.

(2) Must be an acceptable substitute for the original records and must meet prescribed archival quality standards. The activity or local information manager will ensure that film samples are tested locally, or are forwarded to a central facility designated by the Army for testing.

(3) Must meet all legal requirements imposed on the records of the Federal Government and must adequately protect the rights and interests of both the Army and any soldiers, family members, or employees that they affect. They must contain all of the recorded information shown on the original documents. Records made by photographic, photostatic, microfilm, microcard, or another process which accurately reproduces or forms a durable medium for reproducing the original are considered legal and may be admitted as evidence.

(4) May be produced (copies) for daily use and reference purposes. Silver–gelatin original and silver–halide duplicate microforms serving as the record copy will not be used for reference purposes or as working copies.

4–2. Storage requirements

a. The extended term storage conditions for permanent and unscheduled (TP, TEP, and U) records must be in conformance with the conditions specified in ANSI/NAPM IT9.11–1998 and ANSI/PIMA IT9.2–1998, except that the relative humidity of the storage area must be a constant 35 percent RH, plus or minus 5 percent. Nonsilver copies of

permanent or unscheduled microforms must not be stored in the same storage area as silver–gelatin originals or duplicate copies.

b. Nonpermanent (K, KE, T, and TE) micrographic records can be safely stored under the same conditions as most paper records.

c. Depending on the type of microform being identified, a record label will be placed on the container. Multiple microfiche documenting a single action would normally be put into a single microfiche envelope.

4–3. Inspections

a. Permanent and unscheduled records. Record custodians will inspect master films of permanent records when the records are 2 years old and every 2 years thereafter until they are transferred to an NARA FRC or to the National Archives.

(1) Microforms cannot be accepted for deposit with the National Archives until the first inspection has been performed.

(2) Inspections will include determination of aging blemishes, rereading resolution targets, density remeasurement, and certification of environmental conditions in which microforms are maintained.

(3) Results of inspections will accompany records being transferred or retired, and must include—

(a) Description of records tested (title, number, or identifier for each unit of film, security classification, or other data identifying the records).

(b) Date of inspection.

(c) Defects found and corrective action taken.

(d) Identification of deteriorating master microform that will be replaced with a silver duplicate. The duplicate film is then subject to the 2–year inspection requirement.

b. Temporary (K, KE, T, and TE) records. Although not required, the inspection procedures above are recommended to prevent the loss of data prior to authorized disposal dates and to protect the records in the event that they become the subject of a records freeze or moratorium (see para 7–3*b*).

4–4. Disposition of microforms and source information

a. Permanent records. For one silver–gelatin microform set and one diazo or vesicular copy either retire to an FRC for later offer to the National Archives or, in coordination with USARMDA, offer directly to the National Archives. The disposition instructions for RNs in ARIMS RRS–A give guidance in those cases where a direct offer to the National Archives is standard practice.

b. Nonpermanent records. For nonpermanent records, dispose of the microforms per the disposition instructions under the applicable record title or number.

c. Other microform copies. For other microform copies, dispose of copies when no longer needed for current operations or reference.

d. Source information from which microforms are produced.

(1) *Permanent records.* Dispose of permanent source records converted to microform within applicable RNs in ARIMS RRS–A. Permanent or unscheduled source documents may not be destroyed until approval is obtained from the NARA. Follow the same instructions in paragraph 3–4*c*(2) to request the destruction of hardcopy source documents. Coordinate further requests for recording mode information, including the coding structure, recording system information, and a record layout. The record layout should break down the file by fields. Each field will have a name, size, starting position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric). Label tapes externally with the name of the organization responsible for the data, record titles, dates of creation and coverage, the recording density, type of internal labels, and so forth.

(2) *Nonpermanent records.* Dispose of nonpermanent source documents after verification that the microforms meet the appropriate quality standards.

e. Indexes to record systems. Dispose of indexes with the records to which they relate.

f. Record copy microforms for transfer or retirement. Ensure the following special care and protection, because of composition, when transferring or retiring record copy microforms to an RHA or an FRC:

(1) Do not mix one type of microform (silver–gelatin, diazo, vesicular, or dry silver) with another type in the same box. Boxes used to retire the microforms must either be lined with an inert plastic material or must be of acid–free construction.

(2) Pack a partially filled box of record copy microforms with either an inert plastic material or acid–free paper. Do not mix record copy microforms in the same box with paper records. Pack them separately.

(3) Specify on the SF 135 or equivalent that the records are on microform (see chap 9 for instructions on completing this document).

Chapter 5

Filing Procedures

5-1. Maintaining information as records

Effective records maintenance and reference procedures are essential to document the Army's official business. This chapter contains procedures for maintaining Army information as records and applies to all media (paper, electronic, and so forth).

5-2. Recordkeeping supplies

The ARIMS supports the conservation and use of all records supplies and equipment. Records should be maintained electronically when possible. Supplies available from the Federal Supply Schedule should be used to maintain hardcopy records.

5-3. Examining, assembling, and fastening hardcopy records

a. Examine records prior to filing to ensure all actions are complete and eliminate unnecessary attachments such as used envelopes, routing slips that bear no essential information, and extra copies. If any essential information is missing and unable to be located, include a note of the action taken to obtain the information and file it with the action.

b. Remove all cover sheets such as SF 703 (TOP SECRET), SF 704 (SECRET), and SF 705 (CONFIDENTIAL) before filing, unless records are in suspense files or when cases are placed in record containers pending completion of the action.

c. Staple hardcopy documents if possible. Other fasteners may be used when there are too many papers for stapling or physical characteristics prohibit stapling.

5-4. Using guides and folders

a. Use guides to divide records and to identify subdivisions to ease filing and retrieval.

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

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

5-5. Arranging records

Unless specified by the prescribing directive, records should be arranged in a manner that best suits the business or reference needs of an office, except that records not covered by a Privacy Act (PA) System Notice will not be arranged to permit retrieval by personal identifier (that is, name, social security number, date of birth). Only records covered by the system notices published in DA Pam 25-51 may be arranged for retrieval by personal identifier.

5-6. Maintaining classified documents

a. File classified and unclassified documents separately 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 and or sensitivity of information contained therein. The classification and or sensitivity marking will be on the outside, front and back, and 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.

5-7. Maintaining records for multiple organizations

Officials performing duties for more than one organization will maintain the records created in each capacity

separately. Examples of 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.

5-8. 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."

5-9. Maintaining suspense files

Suspense files are used as reminders that an action is required by a given date. Folders or containers in which suspense documents are kept are not required to be maintained within the recordkeeping system. The following are some examples of suspense files.

a. A note 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 the record copy) or destroyed (if it is an extra copy).

5-10. Office records lists

a. Office records lists (ORLs) are required and will be prepared using the Records Management Assistance (RM-Assist) module in ARIMS to the greatest extent possible. ORLs are primarily used to identify long-term and permanent records for transfer or retirement and to ensure that the records listed thereon identify and document the business of an office or unit. ORLs prepared in RM-Assist are also used to generate the required bar code labels for transferring hardcopy T records to an RHA (see para 6-2*b*) or to index electronic T records using the Electronic Capture and Store (ECS) feature (see para 9-2) sent to the AEA. The RM-Assist is linked to the ARIMS RRS-A for ease in searching and selecting applicable record titles/RNs to electronically populate an ORL. ORLs prepared without the RM-Assist should include at a minimum the ARIMS record titles, disposition codes, and the PA system numbers if applicable.

b. Agency records officers will review the ORLs for accuracy and completeness and ensure that they are kept current as record titles are added, changed, or deleted. The status column on the ORLs prepared using the RM Assist is provided as a convenience and should be used to notify submitting offices or units of the progress or results of the review and if any changes are needed

c. ORLs prepared using the RM-Assist contain ARIMS record categories, titles, numbers, disposition codes, durations, permanent retentions, disposition authorities, PA system notice numbers, prescribing directives, and approval status (see table 5-1, below).

Table 5-1
Office records list format

| Record category | Record title | Record type | Duration | Permanent | Disposition authority | Privacy Act number | Record number | Prescribing directive | Status |
|---------------------------------|--|-------------|----------|-----------|-----------------------|--------------------|---------------|-----------------------|----------|
| Housekeeping files | Office records list | K | N/A | No | NN-166-204 | NA | 1a | NA | Approved |
| Administration | Conferences | T | NA | Yes | NC1-AU-78-36 | NA | 1-1m1 | 1-1 | Approved |
| Military Police | Criminal investigation data references-cards sent to CRC | T | 40 | No | NC1-AU-78-78 | A0190-45 DAMO | 190-45g1 | 190-45 | Pending |
| Decorations, awards, and honors | Incentive award cases | K | NA | No | GRS 1-12a | A0690-200 AHRC | 672-20b | 672-20 | Approved |
| Historical activities | Annual historical summaries-other records | T | 10 | No | NC1-AU-80-34 | NA | 870-5c2 | 870-5 | Approved |

Chapter 6

Labeling Procedures

6–1. Army Records Information Management System record titles

The record titles listed in the ARIMS RRS–A identify records for filing, reference, and legal disposition authority. These titles provide an overall identification of the types of records that must be created and maintained in accordance with prescribing directives but are not required to be used for office labeling purposes. Labels may be created using the records titles in ARIMS or with working titles that best fit the business and or reference use of the records in an office, or both.

6–2. Army Records Information Management System record labels

a. All folders and containers used to store official records, including records in electronic form, will be labeled. Records will be identified clearly by marking, designation, electronic labeling, or if physical marking of the medium is not possible, by some other means of identification. The term “labeling” as used in this chapter is intended to include all methods of identification and is meant to apply to all record materiel, no matter how recorded (paper, microfiche, electronic, and so on). Labeling may be accomplished in any manner that best suits the business needs of an office except that labels will include 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,” “TEP,” or “TP” for records that will be transferred to an RHA/AEA/other location as specified in the disposition instruction, a title, and the year of file creation. In addition, labels for records covered by a PA system notice will include the PA system notice number corresponding to those records identified in the RRS–A. The record number may be included on the label as indicated in figure 6–1. The ARIMS automatically includes the record number when the “print label” feature is used (see DA Pam 25-403, chap 3, for managing various types of records media).

b. Methods of labeling are at the discretion of the office of record and may include anything from typewritten or computer generated labels, to writing or printing with pens and markers directly on the folders or containers for hardcopy records. Labeling of electronic records may range from naming folders as agency shared or separately managed at the office or individual level, to a detailed index of single documents (for example, spreadsheets, database files, and so on) that reference or link to associated material to complete the record. Offices or units with an ORL stored in ARIMS may use the RM–Assist to print out labels for records selected from that list. Labels printed from the RM–Assist display the disposition code, the ARIMS record number and title, current year, disposition instructions, and the PA system notice number if applicable. ARIMS–generated labels for T records also contain bar codes used by RHA staff for indexing and tracking after the records are transferred to that facility. Labels may be modified to further identify records and/or to specify business needs so long as the bar codes are not obstructed (see figure 6–1).

K 1n1 Office mail controls-Accountable mail receipts (07)
PA: NA
Keep in CFA until 2 years old, then destroy.

KN 1w Office general personnel files—*Smith, John* (07)
PA: A0001SAIS
Keep in CFA until NLN, NTE 6 years, then destroy.

KE 1h Information access files—*Alpha Company* (07)
PA: A0380-67DAMI
Keep in CFA 2 years after authorization expires, then destroy.

KEN 1r Office classified material inventories (07)
PA: A0001DAMI
Keep in CFA until NLN after next inventory, NTE 6 years, then destroy.

T 1hh Office temporary duty travel (07)
PA: T7333DFAS
Keep in CFA until NLN, then TRF RHA.

TE 200-1b Environmental pollution complaints (07)
PA: NA
Keep in CFA until NLN after case is closed, then TRF RHA.

TEP 115-11q Map identification files (07)
PA: NA
Keep in CFA until NLN after superseded or obsolete, then TRF RHA.

TP 5-10a Program briefings (07)
PA: NA
Keep in CFA until NLN, then TRF RHA.

U 25d Public Key Infrastructure (PKI) Certificates (07)
PA: K270-01DISA
Keep in CFA until disposition instructions are published.

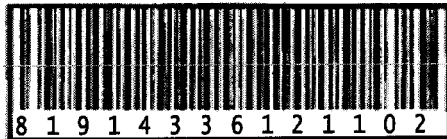


Figure 6-1. Sample labeling of records

c. When there are several folders, drawers, or other containers with records under the same category, only the first folder, drawer, or container will show all of the required label information; the remaining folders, drawers, or containers need only be identified by the name, number, or other feature identifying the contents. Labels may be placed anywhere on folders, disks, tapes, drawers, containers, and so on, that are suitable and visible for easy identification and retrieval of records. A more uniform system of label placement may be established if desired (that is, folder labels will be placed on the top left corners for mission files and on the top right for housekeeping files; container labels will be placed front and center and identify the contents of each drawer or shelf).

d. When written exceptions to disposition instructions are granted, include a reference to the document authorizing the exception on the label below the title line or following the disposition instruction. Exceptions to disposition instructions may be kept under “Records disposition standard exceptions,” RN 25–400–2d, or filed directly with the records.

Chapter 7

Applying Disposition Instructions

7–1. Disposition standards

a. All records are divided into two categories: transfer (T) records and keep (K) records. The transfer records are saved beyond their usefulness as business records and the keep records are saved only to serve the business needs. Any scheduled information that is not a T record is a K record.

b. The disposition and retention of K records are applied in the office of record according to business needs *or according to the prescribing directive if the business needs are specified therein*. These records are kept in the office until they are no longer needed to support the business process for which they were created or received, but not longer than 6 years or 6 years after an event occurs. This does not mean, however, that all K records should be kept for a period of 6 years. Although 6 years is the *maximum* retention that applies to K records, most if not all K records in an office will be kept less than 6 years. Records should be managed daily or at regular intervals (that is, monthly, quarterly, annually) as business needs dictate and held until no longer needed for further business use so long as the oldest record does not become more than 6 years old. Records with dispositions based on an event may need to be kept in the office for a *total* period of time longer than 6 years. These records remain in an “open” or “active” status until a specific event occurs; after that, they are kept for a period of up to 6 years to serve the business use. For these types of records, the retention period does not begin until the records become “closed” or “inactive” and then, either immediately on that date or at regular intervals are destroyed or held for a time (not exceeding 6 years) to meet business needs. For example, a research project may be in an active status for 4 years, then in inactive status for 3 years for business use, for a *total* period of 7 years.

c. The disposition and retention of T records are applied at the RHA, AEA, 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 records administrator, records manager, or records coordinator. Hardcopy records with a T code disposition may be sent to an RHA or FRC at any time after they are no longer needed for business, usually after 2 or 3 years. Electronic T records bound for the AEA may be sent as soon as they are complete. The RHA and AEA personnel will apply and or determine the proper disposition and retention for the records according to the bar coded information on the labels, ORLs on file in ARIMS, or according to mission and function statements or lists of prescribing directives. After arrival at the RHA or AEA, all records are processed in ARIMS, which automatically calculates the retention period for each individual record and provides the eligible dates for destruction, transfer to an FRC, or offer to the National Archives.

d. The ARIMS disposition codes are keys to the retention. The disposition instructions and standards that apply to these codes are summarized in table 7–1 and include the labeling instructions from chapter 6 for easy reference.

7–2. Deviations from disposition instructions

Deviations from disposition instructions in ARIMS RRS–A must be approved by the Archivist of the United States. Requests for deviations will be sent through records management channels for evaluation at the HQDA or ACOM, ASCC, or DRU 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 USARMDA at the address in paragraph 2–1c and 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 U.S. Government.

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

7-3. Changes to retention periods

a. Retention periods may change occasionally because of statutory, legal, financial, or administrative requirements. When a change increases the retention period, 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. When a change decreases the retention period or changes from a permanent to a temporary period, the new retention period will be used for all current 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. 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, then the records should be kept for the longer (former) retention period.

b. Records freezes 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. The USARMDA receives notification of the requirement to suspend disposition from HQDA information proponents, DOD and Army General Counsel, or the Department of Justice. The USARMDA 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. The RHA and AEA managers are accountable for the frozen records in the physical custody of their respective facilities.

7-4. Records disposal

- a. Unclassified records authorized for destruction will be—
- (1) Processed through property disposal channels for sale or recycling.
 - (2) Destroyed in accordance with local policy if they cannot be economically sold.
 - (3) 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.
- b. Destroy unclassified sensitive and PA records 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 AASA. Process requests through local records management channels to the USARMDA at the address in paragraph 2-1c. Specify the name and address of the records custodian, the name and address of the proposed recipient, and a complete description, ARIMS RN and title, and inclusive dates of the records.
- e. For early disposal of records that are a menace to human life, health, or property—
- (1) Contact local fire officials if they have nitrocellulose base film that emits a noxious odor, contains gas bubbles, or has retrograded into an acid powder and then notify the USARMDA at the address in paragraph 2-1c.
 - (2) Notify the USARMDA to obtain authority for disposing records of other menace. Provide the RN and title, description of records, volume, location, and nature of the menace.

| If the disposition code is— | The abbreviated disposition instructions are— | Then the full disposition standard would be— | And the minimum labeling instructions would be— |
|---|--|---|--|
| K (Time periods .25 through 6) (Example: K3) | Keep in CFA. | Keep in the current files area until time period specified has passed, then destroy. | The letter K, a title, the year created, and if applicable, a PA system notice number. |
| KE (Time periods .25 through 6 plus event) (Example: KE4) | Keep in CFA until a specific event occurs. | Keep in the current files area until the event occurs and then the specified period of time after event occurs, then destroy. | The letters KE, a title, the year created, and if applicable, a PA system notice number. |
| KN (Time period not known) | Keep in CFA. | Keep in the current files area until no longer needed for conducting business, but not more than 6 years, then destroy. | The letters KN, a title, the year created, and if applicable, a PA system notice number. |

Table 7-1
Disposition standards—Continued

| If the disposition code is— | The abbreviated disposition instructions are— | Then the full disposition standard would be— | And the minimum labeling instructions would be— |
|--|--|---|--|
| KEN (Event, but time period not known) | Keep in CFA until a specific event occurs. | Keep in the current files area until the event occurs and then until no longer needed for conducting business, but not more than 6 years after the event, then destroy. | The letters KEN, a title, the year created, and if applicable, a PA system notice number. |
| R | Rescinded record number. | Not applicable. (Maintain and dispose of existing records in accordance with original disposition instructions.) | Label for existing records should show original disposition instructions. |
| S | Superseded record number. | Not applicable. (Maintain and dispose of records in accordance with replacement disposition instructions.) | Label should show the replacement disposition code letter(s), a title, the year created, and if applicable, a PA system notice number. |
| T (Time periods over 6 years) (Examples: T6.25, T15) | Transfer to AEA, RHA, or other specified location (for example, NPRC, WNRC). | Keep in the current files area until no longer needed for conducting business, then retire to the AEA, RHA, or other specified location. | The letter T, a title, the year created, and if applicable, a PA system notice number. |
| TE (Time periods over 6 years, plus event) (Example: TE20) | Transfer to AEA, RHA, or other specified location (for example, NPRC, WNRC) after a specific event occurs. | Keep in the current files area until the event occurs; then retire to the AEA, RHA, or other specified location when no longer needed for conducting business. | The letters TE, a title, the year created, and if applicable, a PA system notice number. |
| TEP | Transfer to AEA or RHA after a specific event occurs. Permanent record. | Keep in the current files area until the event occurs; then retire to the AEA or RHA when no longer needed for conducting business. | The letters TEP, a title, the year created, and if applicable, a PA system notice number. |
| TP | Transfer Permanent. | Keep in the current files area until no longer needed for conducting business, then retire to the AEA or RHA. | The letters TP, a title, the year created, and if applicable, a PA system notice number. |
| U | Unscheduled record. | Keep in CFA until disposition instructions are published; then apply approved disposition. | The letter U, a title, the year created, and if applicable, a PA system notice number. |

Chapter 8

Reference Procedures

8-1. Master index of retired records

A master index of all Army records being maintained at RHAs worldwide and in the AEA is located on the ARIMS. All records sent to any of those facilities are processed through the Records Input Processing System in ARIMS, by RHA, AEA, 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 records administrator, records manager, or records coordinator. Additionally, information on electronic T records that are maintained in an agency IS with an approved exception (see para 9-2b) is included in the index. Records stored in RHAs are indexed to the folder level and may be searched by subject, location, date, author, organization, and or file code. 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. Unless otherwise authorized, no record, record report, or list of records is made available to persons or organizations that are not the creator and or owner of the record or responsible for its maintenance or disposition. Third-party requests for records will be forwarded through the proper agency channels (for example, Freedom of Information Act (FOIA), PA, or congressional requests) for action as needed.

8-2. Records retrieval

a. The search tool in ARIMS may be used to seek, locate, request, and retrieve records stored in the AEA, RHAs, or FRCs. 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 IS should be directed to the individual or organization listed on the index for those records and state the purpose and scope of the requested information (for example, the last 3 annual reports for research, congressional, FOIA and or PA requests). 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.

b. Prior approval from the USARMDA 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 are funded separately and will be charged accordingly.

8-3. Records reference services

The following procedures may be implemented by HQDA or ACOM, ASCC, and DRU approved RHAs (see para 10-2) 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*, or equivalent, such as an electronic checkout and or checkin database used for tracking records actions. Information generally needed to locate and charge out records material includes—

- (1) Identification of material and file classification, if known.
- (2) Name of writer (organization or individual).
- (3) Date of the document (specific or approximate).
- (4) Requester's name, organization, location, and telephone number.

b. A chargeout 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 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 OF (Optional Form) 23 (Chargeout Record) or OF 24 (Shelf File Chargeout Record) and placed in the location from which the material is removed. Department of the Army forms are available from the Army Publishing Directorate Web site (<http://www.apd.army.mil>).

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

(3) A chargeout 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.

Chapter 9 Records Transfer and Retirement

9-1. Transferring T records

Offices will provide T records to activity records managers upon request. Installation records managers will periodically visit tenant units and installation staff organizations while in garrison to pull T records. Deployed units will transmit these records monthly and at the end of the deployment upon notification from their parent unit.

9-2. Sending records to the Army Electronic Archive

a. The Electronic Capture and Store (ECS) feature in ARIMS will be used to transfer current year electronic T records to the AEA. The ECS may be downloaded directly from ARIMS and installed to prompt users sending e-mail messages with the option to send a copy of the message to the AEA. The ECS feature is also available in the Army Knowledge Online (AKO) Files Portal for users with author or administrative privileges to transfer eligible documents stored there directly to the AEA. The ECS 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 such records usually within 24 hours of delivery to the AEA. The Records Input Processing Subsystem (RIPS) Back-file Indexing function in ARIMS will be used to transfer prior year electronic T records to the AEA. Users uploading records to the AEA will receive on-line acknowledgement that such records were successfully submitted to the AEA.

b. The ARIMS Interface Control Document (ICD) may be used to transfer current and prior year electronic T records that are stored in or generated by an IS or other automation source (see paras 3-2*b* and 3-4*c*) to the AEA. The ARIMS ICD contains instructions on how to configure local IS or other automation source such as a records management application to transfer these records. All such records transfers must be preceded by a signed memorandum of agreement with the USARMDA to establish roles, responsibilities, and points of contact. The ARIMS ICD is available in the ARIMS downloads area to all registered users.

c. Electronic T records are sent to ARIMS for storage in the AEA by originating offices or units as soon as they are complete. If the records must be kept on site longer than the completion date, a request for exception will be forwarded to the USARMDA at the address in paragraph 2-1*c* 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.

9-3. Preparing records for transfer or retirement

a. Organization and installation records managers or designated coordinators will organize, pack, receipt, and send records to the servicing RHAs. They will prepare receipts using SF 135 or equivalent and sign these documents as liaison officials (see para 9-4, below). The originating office or unit remains the legal custodian of the records even when records are retired to an FRC and will provide input or review of these receipts 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.

b. Agency or command records managers or designated coordinators will consolidate records transfers from the different offices within their organizations. Installation records managers 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.

c. Permanent (TP and TEP) Army records are offered to the National Archives by USARMDA as the designated agency for the AASA (see AR 25-1). This does not mean that all permanent records should be kept in the office for 30 years. Permanent records require special care and should be transferred to the NARA as soon as they are no longer needed for current business or operations. If permanent records are no longer needed in the office but are not ready for scheduled transfer to the archives, they may be stored in an RHA or FRC. The maximum length of time that permanent records may 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 will be forwarded to USARMDA at the address in paragraph 2-1c.

9-4. Supplemental data when organizational status has changed

a. Redesignation or reorganization without a transfer of function. Continue records retention and disposition as if no change occurred.

b. Transfer of functions. Send current records relating to the transferred functions to the gaining organization. Transfer inactive records to the designated RHA, FRC, or overseas command records holding area (OCRHA).

c. Discontinuance of an Army organization.

(1) *With a transfer of function.* Follow instructions in paragraph 9-4b.

(2) *Without a transfer of function.* Transfer records not eligible for immediate disposal to the RHA or OCRHA. When the organization is not served by an RHA or OCRHA, or when the RHA or OCRHA is also discontinued, transfer records not immediately eligible for disposal to the geographically closest RHA, OCRHA, or FRC (see table 10-1).

(3) *When an installation is placed in an inactive or standby status.* Keep records required for continued maintenance of the installation until they are eligible for disposal. Transfer other records according to paragraph 9-4b and c.

d. Movement of Army organizations and units. Destroy records eligible for immediate disposal and move current records with the unit. Transfer other records not required for future actions to the losing RHA or OCRHA. If the unit moves without personnel, transfer all records to the losing RHA or OCRHA.

e. Use SF 135 or equivalent. Use SF 135 or equivalent when transferring records from units undergoing a change of status.

9-5. 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. RHAs will not accept classified records for storage that were not reviewed for declassification and marked with declassification dates. Classified information will not be disclosed on the SF 135 or equivalent; only unclassified titles 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 (USAINSCOM) records center (see paras 9-5c and 9-5d, 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 or equivalent, 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, and later paragraphs of this regulation.

d. Special intelligence documents, including TOP SECRET, will be retired only to the USAINSCOM records center (see 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.

9–6. For Official Use Only records

Records with the FOUO protective marking will be packed as prescribed in this chapter for unclassified records.

9–7. 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.

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 continue to be maintained in each major outside Continental United States (OCONUS) command. The commander of each major OCONUS command will notify USARMDA of the activation, change, or discontinuance and the new address of any OCRHA within his or her command jurisdiction (see 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 local RHAs if the need is justified and cost effective. RHAs established after the effective date of this regulation will be approved by the ACOM, ASCC, and DRU and/or Installation Management Agency (IMA) and or agency records administrator who will report the establishment of a new RHA to USARMDA.

b. When approved, space for RHA use will be limited to the minimum required for records holdings. The space selected must be in compliance with 36 CFR, Part 1228, Subpart K. The minimum acceptable files-to-space ratio is 2 linear feet of files to each square foot of floor space. A ratio of 3 or more linear feet of files to each square foot of floor space is possible under the best conditions. Steel shelving of the type manufactured by the Federal Prisons Industries, Incorporated (National Stock Number 7125–00–550–6015, Open Type “E,” Class III, Metal Storage and Display Shelving) should be used.

(1) *Offices of HQDA.* RHAs may be established, when justified and approved, within offices of HQDA where space is available and such an operation is cost effective.

(2) *Installations and offpost activities.* If justified and approved, an RHA may be established, and if warranted, would serve all activities located within the same geographical area. An RHA must be approved by the ACOM, ASCC, and DRU, and/or IMA, and/or agency records administrator prior to its establishment. ACOM, ASCC, DRU, and/or IMA and/or agency commanders will notify USARMDA of the activation, change, or discontinuance, and the new address and point of contact of any RHA within his or her command jurisdiction.

c. RHA operators will ensure that eligible records are retired or destroyed at the proper time and that access to stored records is available. RHA operators will—

(1) Ensure that all records are indexed in the ARIMS master index down to the folder level.

(2) 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 chargeout suspense system for this purpose.

(3) Establish a locator and disposition file. This file has copies of SF 135 prepared by offices placing records in the RHA or when records are retired to FRCs. This file makes it easier to locate records in the RHA and to retrieve records from a FRC.

d. 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. Records that cannot be destroyed upon discontinuance of the RHA will be retired to the appropriate storage facility, if eligible. Otherwise, they will be returned to the office that placed them in the RHA.

e. All Army records holding areas are required to comply with the NARA facility standards set forth in 36 CFR, Part 1228, Subpart K.

10–3. Army records centers

There are 3 Army records centers for intelligence and criminal investigative records. These centers are listed in table 10–1.

Table 10–1
Record centers and major records storage areas

| Centers | Records |
|--|--|
| Records center facilities administered by the NARA | |
| Washington National Records Center 4205 Suitland Road Suitland, MD 20746–8001 | a. Eligible organizational records from all Army elements except those for which specific instructions in the ARIMS RRS-A specify otherwise. b. Records of U.S. Army Corps of Engineers (USACE) organizations located in the District of Columbia (Washington, DC), Maryland, Virginia, West Virginia, Europe, and the Middle East, unless disposition instructions specify another center. |
| National Personnel Records Center (Military Personnel Records) 9700 Page Avenue St. Louis, MO 63132–5100 | Records for which specific instructions in the ARIMS RRS-A specify retirement to this center. These are primarily military personnel related records and certain medical treatment records in the 600–series and 40–series record numbers. |
| National Personnel Records Center (Civilian Personnel Records) 111 Winnebago Street St. Louis, MO 63118–4199 | Records for which specific instructions in the ARIMS RRS-A specify retirement to this center. These are primarily civilian personnel related records and certain medical treatment records identified in the 690-series and 40-series record numbers. |
| NARA Northeast Region (Boston) Frederick C. Murphy Federal Center 380 Trapelo Road Waltham, MA 02452–6399 | Records from USACE organizations located in Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont, unless disposition instructions specify another center. |
| NARA Central Plains Region (Lee’s Summit) 5351 Lee’s Summit Road Lee’s Summit, MO 64064 | Records from USACE organizations located in New Jersey and New York, unless disposition instructions specify another center. |
| NARA Mid-Atlantic Region (Northeast Philadelphia) 14700 Townsend Road Philadelphia, PA 19154 | Records for USACE organizations located in Delaware and Pennsylvania, unless disposition instructions specify another center. |
| NARA Southeast Region (Atlanta) 4712 Southpark Boulevard Ellenwood, GA 30294 | Records from USACE organizations located in Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee, unless disposition instructions specify another center. |
| NARA Great Lakes Region (Chicago) 7358 South Pulaski Road Chicago, IL 60629–5898 | Records from USACE organizations located in Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin, unless disposition instructions specify another center. |
| NARA Great Lakes Region (Dayton) Kingsridge Records Center 3150 Springboro Road Dayton, OH 45439-1883 | Certain finance and fiscal records, formerly identified in the 37-series of records, now described in the Defense Finance and Accounting Service (DFAS) records retention schedule, accumulated by the DFAS. These records were created by U.S. Army Finance and Accounting offices prior to their transfer to DFAS. They also include records created by DFAS until their records retention schedule was published in 2001. |
| NARA Rocky Mountain Region (Denver) P.O. Box 25307 Denver, CO 80225 | Records from USACE organizations located in Colorado, Montana, New Mexico, North Dakota, South Dakota, Utah, and Wyoming, unless disposition instructions specify another center. |
| NARA Central Plains Region (Kansas City) Room 47–48, 17501 West 98th Street Lenexa, KS 66219 | Records from USACE organizations located in Iowa, Kansas, Missouri, and Nebraska, unless disposition instructions specify another center. |
| NARA Southwest Region (Fort Worth) 1400 John Burgess Drive Fort Worth, TX 76140 | Records from USACE organizations located in Arkansas, Louisiana, Oklahoma, and Texas, unless disposition instructions specify another center. |
| NARA Pacific Region (San Francisco) 1000 Commodore Drive San Bruno, CA 94066–2350 | Records from USACE organizations located in California (except southern California), Hawaii, Nevada (except Clark County), and American Samoa, Japan, and Trust Territory of Pacific Islands, unless disposition instructions specify another center. |
| NARA Pacific Region (Riverside) 23123 Cajalco Road Perris, CA 92572 | Records from USACE organizations located in Arizona, Nevada (Clark County), and southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Louisiana, Riverside, Inyo, Imperial, and San Diego), unless disposition instructions specify another center. |
| NARA Pacific Alaska Region (Seattle) 6125 Sand Point Way NE Seattle, WA 98115–7999 | Records from USACE organizations located in Alaska, Idaho, Oregon, Washington (State), and Far East (Korea), unless disposition instructions specify another center. |

Army Records Centers administered by the U.S. Army Intelligence and Security Command

Table 10-1
Record centers and major records storage areas—Continued

| Centers | Records |
|---|---|
| U.S. Army Investigative Records Repository USAINSCOM 902d MI GP ATTN: IAMG-CIC-IRR 4552 Pike Road Fort George G. Meade, MD 20755-5995 | Personnel security, counterintelligence, and intelligence records (other than Signal Security, Special Intelligence, and Signal Intelligence) that are described in the ARIMS RRS-A. |
| U.S. Army Intelligence and Security Command Records Center ATTN: IAIM-RP-R 8825 Beulah Street Fort Belvoir, VA 22060-5246 | COMSEC material accounting, Signal Security, Special Intelligence, and Signal Intelligence records that are described in the ARIMS RRS-A. |
| Army Records Center administered by the U.S. Army Criminal Investigation Command | |
| U.S. Army Crime Records Center 6010 6 th Street Fort Belvoir, VA 22060-5506 | Reports of criminal investigations, selected military police reports, and other related records described in the ARIMS RRS-A. |
| Army records storage and processing center administered by the Chief, Army Reserve | |
| U.S. Army Human Resources Command ATTN: AHRC-CIS-P 1 Reserve Way St. Louis, MO 63132-5200 | Records for which disposition instructions in the ARIMS RRS-A specify transfer to the Interactive Personnel Electronic Records Management System (iPERMS). These are primarily individual military personnel related records described in the 40-, 350-, and 640-series record numbers. Electronic images of documents to be inserted into a service member's OMPF in iPERMS will be transmitted using the web upload function to the AHRC's Indexing Data Center for those who are discharged, retired, or deceased after 1 Oct 02. Documents on service members discharged, retired, or deceased before 1 Oct 02 should be sent to the address at the left. |
| Army OCRHA administered by the commander of the appropriate major overseas command | |
| Army in Europe Records Holding Area (IMEU-HRD-R) Unit 29955 APO AE 09086-9955 | All records designated for transfer to an OCRHA under this regulation. |
| Overseas command records holding area, Korea APO AP 96259 | All records designated for transfer to an OCRHA under this regulation. |
| USARJ overseas command records holding area APO AP 96343 | All records designated for transfer to an OCRHA under this regulation. |
| Army records storage administered by the USARMDA | |
| U.S. Army and Joint Services Records Research Center 7701 Telegraph Road, Kingman Building, Suite 2C08 Alexandria, VA 22315-3802 | CONOPS records created by deployed units designated for transfer under this regulation. |

10-4. Federal Records Center

Records holding areas and Army installations and Army activities not serviced by an installation RHA (such as HQDA staff elements and any Army organization not residing on an Army installation) may send records directly to an FRC without prior authorization from USARMDA. A copy of each finalized SF 135, transferring records to an FRC will be provided to USARMDA (JDRP-RDR), 7701 Telegraph Road, Alexandria, VA 22315-3860. The FRCs listed in table 10-1 were established to receive and maintain records of Federal Government agencies with long-term or permanent value, pending their ultimate destruction or accession into the National Archives. These centers furnish reference service for the records that they maintain.

a. Use OF 11 (Reference Request-Federal Records Centers) to secure the loan of, or gain access to, agency records that were retired into the FRC system.

b. Use SF 127 (Request for Official Personnel Folder-Separated Employee) to request the return of retired Official Personnel Folders (Civilian) from the National Personnel Records Center.

c. Use SF 180 (Request Pertaining to Military Records) to request the return of retired Official Military Personnel folders from the National Personnel Records Center.

Appendix A References

Section I Required Publications

AR 25-1

Army Knowledge Management and Information Technology Management. (Cited in summary and paras 1-1a, 1-4g, and 9-3c.)

AR 25-2

Information Assurance. (Cited in para 3-1.)

AR 25-30

The Army Publishing Program. (Cited in para 2-1a.)

AR 25-55

The Department of the Army Freedom of Information Act Program. (Cited in para 1-1e.)

AR 340-21

The Army Privacy Program. (Cited in para 1-1e.)

AR 380-5

Department of the Army Information Security Program. (Cited in paras 5-4c, 5-6b and c, 7-4c, 9-5.)

AR 550-51

International Agreements. (Cited in para 1-6b(1).)

DA Pam 25-1-2

Information Technology Contingency Planning. (Cited in para 1-4e(2)(b).)

DA Pam 25-51

The Army Privacy Program-System of Records Notices and Exemption Rules. (Cited in para 5-5.)

DA Pam 25-403

Guide to Recordkeeping in the Army. (Cited in paras 1-4g, 1-7f, 2-2a, 3-4b, 6-2a.)

DOD 5015.2-STD

Design Criteria Standard Electronic Records Management Software Applications. (Cited in para 3-4c and 3-4c(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 500-3

Army Continuity of Operations (COOP) Program Policy and Planning

DA Pam 25-30

Consolidated Index of Army Publications and Blank Forms. (All Army Regulations, Army Pamphlets, Engineer Regulations, and other Army publications associated with the record titles and numbers listed in this pamphlet.) (Available at <http://www.apd.army.mil/>.)

36 CFR, Chapter XII, Parts 1200-1299

National Archives and Records Administration (Available at <http://www.gpoaccess.gov/ecfr/>.)

CFR Part 41, Chapter 102

Public Contracts and Property Management, Subtitle C: Federal Property Management Regulations. (Available at <http://www.http://www.gpoaccess.gov/ecfr/>.)

Federal Rules of Evidence 803(8)

Public Records And Reports. (Available at www.uscourts.gov/rules.)

International Standards Organization 9660 Standard

Information Processing—Volume and File Structure of CD-ROM for Information Interchange. (Available for purchase at www.iso.org/iso.)

18 USC 2071

Concealment, removal, or mutilation generally. (Available at <http://www.access.gpo.gov/uscode/uscode/usmain.html>.)

44 USC, Chapter 35

Coordination of Federal Information Policy. (Available at <http://www.gpoaccess.gov/uscode/index.html>.)

44 USC 3301–3314

Disposal of Records. (Available at <http://www.gpoaccess.gov/uscode/index.html>.)

ANSI/NAPM IT9.1–1996

Imaging Materials/Processed Silver–Gelatin Type Black and White Film/Specifically for Stability. (Available for purchase at <http://www.global.ihs.com/>.)

ANSI/NAPM IT9.11–1998

Imaging Materials, Processed Safety Photographic Films–Storage. (Available for purchase at <http://www.global.ihs.com/>.)

ANSI/PIMA IT9.2–1998

Imaging Materials/Photographic Processed Films, Plates and Papers/Filing Enclosures and Storage Containers. (Available for purchase at <http://www.global.ihs.com/>.)

Section III**Prescribed Forms**

The following forms are available on the Army Publishing Directorate Web site at <http://www.apd.army.mil>, unless otherwise stated. DD forms are available from the Office of the Secretary of Defense Web site (<http://www.dior.whs.mil>).

DA Form 543

Request for Records. (Prescribed in paras 8–3*b*(1) and (3), and 10–2*c*(2).)

OF 11

Reference Request–Federal Records Centers. (Prescribed in para 10–4*a*.)

OF 23

Chargeout Record. (Prescribed in para 8–3*b*(1) and (2).) (Available through normal forms supply channels.)

OF 24

Shelf File Chargeout Record. (Prescribed in para 8–3*b*(1) and (2).) (Available through normal forms supply channels.)

SF 127

Request for Official Personnel Folder Separated Employee. (Prescribed in para 10–4*b*.) (Available through normal forms supply channels.)

SF 135

Records Transmittal and Receipt. (Prescribed in paras 1–8*a*(2), 4–4*f*(3), 9–3*a*, 9–4*e*, 9–5*a* and *c*, and 10–2*c*(3).)

SF 180

Request Pertaining to Military Records. (Prescribed in para 10–4*c*.)

Section IV**Referenced Forms**

DA Form 3964

Classified Document Accountability Record.

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.)

Glossary

Section I Abbreviations

AASA

Administrative Assistant to the Secretary of the Army

ACOM

Army Command

AEA

Army Electronic Archive

ANSI

American National Standards Institute

APD

Army Publishing Directorate

AR

Army regulation

ARIMS

Army Records Information Management System

ARNG

Army National Guard

ARSTAF

Army staff

ASCC

Army Service Component Command

ASCII

American Standard Code for Information Interchange

CFA

current files area

CFR

Code of Federal Regulations

CD-ROM

compact disc-read only memory

CIO/G-6

Chief Information Officer/G-6

COE

Corps of Engineers

COMSEC

communications security

CONOPS

contingency operations

COOP

continuity of operations

DA

Department of the Army

DCS, G-1

Deputy Chief of Staff, G-1

DFAS

Defense Finance and Accounting Service

DOD

Department of Defense

DRU

Direct Reporting Unit

ECS

electronic capture and store

FOIA

Freedom of Information Act

FOUO

for official use only

FRC

Federal Records Center

GSA

General Services Administration

HQDA

Headquarters, Department of the Army

ICD

interface control document

IS

information system

ISO

International Standards Organization

K

keep (record)

KEN

keep event no (longer needed)

KN

keep no (longer needed)

NARA

National Archives and Records Administration

NLN

no longer needed

NPRC

National Personnel Records Center

NSN

national stock number

OCONUS

outside continental United States

OCRHA

overseas command records holding area

OF

optional form

ORL

office records list

PA

Privacy Act

RHA

records holding area

RIPS

records input processing subsystem

R

rescinded

RM-Assist

records management assistance

RN

record number

RRS-A

Records Retention Schedule-Army

S

superseded

SF

standard form

T

transfer (record)

TRF

transfer

U

unscheduled

USAINSCOM

U.S. Army Intelligence and Security Command

USARMDA

U.S. Army Records Management and Declassification Agency

USC

United States Code

Section II

Terms

adequate substitute for original records

Term primarily used to describe disposition standards for destruction of original records after they have been converted to microform. Before microfilm can become the record copy and the records or information from which the microfilm was produced can be destroyed, the microform image must meet all necessary quality standards. If the records may be used in a court of law, acceptability of the microform in place of the original records must be established.

accession

The act and procedures involved in transferring legal title and physical custody of records from Department of the Army to the National Archives. This action is done by USARMDA (JDRP-RDR-R) through a formal offer of the records to the National Archives of the United States.

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.

computer output microform

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 functions include action copy, comeback copy, file or record copy, information or reference copy, official copy, and stayback copy. Copies identified by method of creation include carbon, ribbon, electrostatic, mimeograph, offset, press, diazo, and vesicular.

current records

Records necessary for doing the current business or operations of an office or unit; these records should be maintained in the office or unit until such time that they become noncurrent.

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 zero strength.

disposition

The actions taken with noncurrent records. These include transfer to a records holding area, retirement to an FRC, authorized donations, destruction, and accessioning into the National Archives.

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. This regulation makes up the Army disposition schedule. These disposition instructions meet the requirements of 44 USC 3301-3314.

donation

The transfer of Army records (which are eligible for destruction) to a qualified agency, organization, institution, or person. USARMDA (JDRP-RDR-R) approval is required for donations.

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.

foreign power

Any foreign government (regardless of whether recognized by the United States), foreign-based political party (or

faction thereof), foreign military force, foreign-based terrorist group, or organization composed, in major part, of any such entity or entities.

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.

information management

The administration of information, its uses and transmission, and the application of theories and techniques of information science to create, modify, or improve information handling systems.

information system

The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual.

interface control document

A document describing the interface(s) to a system or subsystem. It may describe the inputs and outputs of a single system or the interface between two systems or subsystems. Its purpose is to communicate all possible inputs to and all potential outputs from a system for some potential or actual user of the system. Interface control documents are a key element of systems engineering as they define and control the interface(s) of a system, and thereby bound its requirements.

noncurrent records

Records no longer required for current business or operations.

office

Any place where records are created, maintained, or used.

office records list

A list of the specific record titles and or numbers describing the records accumulated or generated in an office. The list is prepared within each element where records are accumulated or generated and should be coordinated with the organization or installation records management official.

permanent records

The designation applied to records worthy of permanent retention by the United States, and accessioned into the National Archives.

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. No matter what method is used to create or duplicate the copy, record copies of incoming or outgoing communications may be in a variety of forms. These include electronic copy, paper copy, yellow file copy, ribbon copy, carbon copy, handwritten items, specific media, microforms, and so forth. It does not include reading file copies or copies held for convenience or reference.

record number

The number assigned to records described under that RN. This number identifies information for filing, reference, and disposition authority.

records

All books, papers, maps, photographs, machine-readable materials, or other documentary materials regardless of physical form or characteristics, made or received by an agency of the United States 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 center

A facility that is designed and constructed for low-cost and efficient storage of records, and for reference service on semicurrent records, pending their ultimate disposition. The FRC serving the Army are operated by GSA.

records holding area

A facility established to collect and maintain cutoff records until they are either eligible for destruction or retirement to an FRC or other records depository. When located outside of the continental U.S., these facilities are referred to as Overseas Command Records Holding Areas (OCRHAs).

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.

retire

The movement of records from an office, unit, or RHA into an FRC.

security classified information

Official records or information requiring protection against unauthorized disclosure. The degree of protection is specified by one of the following: TOP SECRET, SECRET, CONFIDENTIAL.

transfer

The movement of records from an office or unit into an RHA or the AEA.

unidentified files

Records that are not currently described under ARIMS record titles or numbers. When such records are determined to exist, specific records management actions prescribed in this regulation will be taken.

unscheduled records

Records which have not been approved by NARA for disposition.

working papers

Documents such as rough notes, 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 titles.

Section III**Special Abbreviations and Terms**

This section contains no entries.

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