DEPARTMENT OF DEFENSE
United States Military Entrance Processing Command

INSTRUCTION

Records Management

PURPOSE.   This Instruction:

a.   Provides policy and procedures for recordkeeping within the United States Military Entrance Processing Command (USMEPCOM) utilizing the Army Records Information Management System (ARIMS) as the source of authorized record retention schedules for USMEPCOM recordkeeping programs via DoD Executive Agent appointment.

b.   Prescribes the use of USMEPCOM Form (UMF) 25-51-2, *Records Management Program Evaluation Checklist*, and DA Form 1613, *Records Cross Reference*. Supersedes UMR 25-51, *Records Management* and rescinds UMF 25-51-1-R-E, *Records Cross Reference Sheet.* Integrates policy announced in INFO-16-02FEB-045, *Identifying Recordkeeping Requirements in USMEPCOM Regulations*, introduces USMEPCOM Pamphlet 25-51-3, *Recordkeeping Handbook* as a supplement to this UMI, and establishes the USMEPCOM Detailed Records List as the consolidated resource for authorized record retention schedules used throughout the command.

APPLICABILITY. This Instruction applies to all organizational elements of USMEPCOM.

MANAGERS' INTERNAL CONTROL PROGRAM. The management control evaluation process is found in Department of the Army Pamphlet (DA Pam) 25-403, *Guide to Recordkeeping in the Army*, paragraph 11-6, and appendix B-3. Evaluation will be recorded on UMF 25-51-2 IAW paragraph 3.3.

RELEASABILITY – UNLIMITED. This Instruction is approved for public release.

SUPPLEMENTATION. Except where authorized under the provisions of this UMI, supplementation of this instruction is prohibited without prior approval from HQ USMEPCOM, ATTN: J-1/MEHR-SD-MSS, 2834 Green Bay Road, North Chicago, IL 60064-3091.

POLICY RESOURCE PAGE: SPEAR – Records Management

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REFERENCES

- 18 USC§2071, *Concealment, Removal, or Mutilation of Federal Records*
- 44 USC§3301-3314, *Disposal of Records*
- 36 CFR§1220-1240, *Records Management*
- DoDI 5015.2, *Department of Defense Records Management Program*
- DoDI 1336.08, *Military Human Resource Records Life Cycle Management*
- AR 25-1, *Army Knowledge Management and Information Technology*
- AR 25-30, *Army Publishing Program*
- AR 25-400-2, *The Army Records Information Management System (ARIMS)*
- DA Pam 25-403, *Guide to Recordkeeping in the Army*
- Policy Memorandum 5-12, *USMEPCOM Media Sanitization Policy*

FORMS

- UMF 25-3-7-E, *USMEPCOM Sanitization Validation Form*
- UMF 25-51-2, *Records Management Program Evaluation Checklist*
- DA Form 1613, *Records Cross-Reference*
- SF 135, *Records Transmittal and Receipt*

RECORDKEEPING REQUIREMENTS

RN 1b/800D: "Office General Management – Duty Appointments"
Privacy Act: N/A
Keep in office file until rescinded, or no longer applicable, then destroy.
(Referenced in paragraph 1.4.5).

RN 1c/800D: "Office Inspections and Surveys"
Privacy Act: N/A
Keep in office file until the next evaluation, then destroy after 1 year.
(Referenced in paragraph 3.3.1).

RN 1g/800D: "Office Record Transmittals"
Privacy Act: N/A
Keep in office file for 6 years after transfer to the FRC, then destroy.
(Referenced in paragraph 4.3.1.3).

RN 25-400-2e/400B: "Office File Numbers"
Privacy Act: A0025-55SAIS
Keep in office file for 1 year, then destroy.
(Referenced in paragraph 3.4.3)

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CHAPTER 1
RESPONSIBILITIES

1.1 GENERAL

Leaders at all levels are responsible for implementing and maintaining effective records management procedures within their organization to ensure the proper collection, preservation, and safeguarding of information.

1.2 COMMANDER, USMEPCOM WILL:

1.2.1   Implement lifecycle management of accession data generated by the operational mission of USMEPCOM in accordance with (IAW) Department of Defense Instruction (DoDI) 1336.08, *Military Human Resources Records Life Cycle Management*.

1.2.2   Support a dynamic records management program throughout the command.

1.3 DIRECTOR, J-1 HUMAN RESOURCES DIRECTORATE (J-1/MEHR) WILL:

1.3.1   Appoint, in writing, a Records Administrator to serve as liaison to outside agencies.

1.3.2   Administer a command-wide recordkeeping program utilizing ARIMS.

1.4 J-1 RECORDS & INFORMATION MANAGEMENT SPECIALIST WILL:

1.4.1   Be appointed, in writing, as Records Administrator to serve as liaison between USMEPCOM, the Army Records Management and Declassification Agency (RMDA), and the National Archives and Records Administration (NARA).

1.4.2   Oversee a command-wide recordkeeping program utilizing ARIMS.

1.4.3   Develop, write, and publish USMEPCOM recordkeeping policy.

1.4.4   Manage and serve as the approval authority for Records Manager user accounts within ARIMS.

1.4.5   Maintain an index of approved Records Manager duty appointments. Duty appointments will be retained under Record Number 1b/800D, "Office General Management – Duty Appointments" (for disposition instructions see Recordkeeping Requirements).

1.4.6   Review, approve/disapprove, and assist with records inventories, office records lists and records disposition.

1.4.7   Conduct evaluations of records management activities IAW 36 CFR§1220.34, AR 25-1, *Army Information Technology*, and the evaluation process found in DA Pam 25-403 using UMF 25-51-2, *Records Management Program Evaluation Checklist*.

1.4.8   Develop and provide records management training to recordkeeping personnel.

1.4.9   Review USMEPCOM Policies, Instructions, Regulations, etc. to ensure recordkeeping requirements are included as prescribed by 36 CFR§1222.24, AR 25-30, *Army Publishing Program*; AR 25-400-2, *The Army Records Information Management System (ARIMS)*; and DA Pam 25-403.

1.4.10   Assist J-6/MEIT, Directors, Commanders, and submitters of System Change Proposals (SCPs) to determine how records retention should be implemented in the USMEPCOM environment including USMIRS and other command applications or software used, ensuring Cyber Security regulations are being met as well as other data retention regulations.

1.4.11   Develop and conduct mandatory annual briefings on the proper handling and safeguarding against the removal, destruction, or loss of Federal Records as prescribed by 36 CFR§1230.10 and AR 25-1.

1.5 COMMANDERS (AT ALL LEVELS), HQ DIRECTORS AND SPECIAL STAFF OFFICERS WILL:

1.5.1   Appoint, in writing, a primary and alternate Records Manager (see figure 2-2, Example of a Duty Appointment Memorandum). **Note:** To effectively manage adequate recordkeeping programs for larger HQ Directorates, Directors may appoint more than one primary and alternate Records Manager. It is recommended that the primary and alternate Records Manager at MEPS level be divided between the administrative support technician and administrative services technician.

1.5.2   Ensure USMEPCOM Policies, Regulations, and Directives within their purview contain appropriate recordkeeping requirements IAW 36 CFR§1222.24, AR 25-30, AR 25-400-2, and DA Pam 25-403.

1.5.3   Establish and enforce adequate business rules to further determine appropriate retention and disposition of records to be maintained *"until no longer needed"* (see paragraph 2.4.3).

1.5.4   Oversee a thorough recordkeeping program within their organization.

1.6 RECORDS MANAGERS WILL:

1.6.1   Be appointed in writing (primary and alternate); duty appointment memoranda may be uploaded in ARIMS when submitting an access request (see paragraph 3.6), or may be sent to J-1/MEHR-SD-MSS via email.

1.6.2   Attain access to ARIMS in the appropriate role (see paragraph 3.6)

1.6.3   Serve as recordkeeping subject matter expert by providing policy interpretation and procedural guidance in executing, enforcing, and managing the records management program within their organizational element via ARIMS.

1.6.4   Maintain a Records Inventory for their organizational element (see paragraph 3.4)

1.6.5   Create, review, approve, and assist with office records lists (ORL) for each office symbol within their purview.

1.6.6   Periodically evaluate recordkeeping procedures within their organization using UMF 25-51-2.

1.6.7   Implement and enforce a plan of maintaining records electronically to the greatest extent (i.e. scanning to pdf), and utilizing the Army Electronic Archive (AEA) to manage and maintain records with long-term dispositions.

1.6.8   Provide general records management training to all personnel within their organizational element.

1.6.9   Coordinate and manage appropriate disposition of records IAW chapter 4 (i.e. destruction; or transfer and retrieval via the Federal Records Center (FRC) and/or the AEA).

1.7 ACTION OFFICERS (AO):

1.7.1   Are any individual, at all levels of the command, who create and maintain official records on behalf of USMEPCOM (virtually every USMEPCOM employee is an action officer).

1.7.2   Are responsible for properly identifying and maintaining any and all records they create (IAW paragraph 3.1).

1.7.3   Can create draft ORLs to be maintained within their area of responsibility (i.e. office symbol).

1.7.4   Can view all electronic records submitted to ARIMS internal to their office symbol.

1.7.5   Shall maintain records electronically to the greatest extent (i.e. scanning to pdf).

1.7.6   Are responsible for coordinating with their Records Manager before executing the disposition of any records.

Note: The Action Officer user level is automatically assigned by ARIMS to anyone logging into the system for the first time; duty appointments for AO are not required.

CHAPTER 2
GENERAL OVERVIEW

2.1 PURPOSE
This instruction prescribes policy, procedures, and responsibilities for the management of records created, received, and maintained by all levels of USMEPCOM; and implements the use of the Army Records Information Management System (ARIMS) as the authorized platform for USMEPCOM recordkeeping programs via DoD Executive Agent appointment. This instruction does not supersede specific recordkeeping policies of the Military Services or the Department of Defense (DoD). For further clarification and assistance, questions may be directed to the J-1/MEHR-SD-MSS Records and Information Management Specialist via email.

2.2 STATUATORY AUTHORITY
Government-wide enforcement for Federal recordkeeping is shared by the General Services Administration and the National Archives and Records Administration (NARA). The overarching legal authority for Federal Records Management is 36 CFR, Chapter XII, subchapter B – *Records Management* (36 CFR§1220-1240). Title 44 United States Code (44 USC§3301-3314) establishes the legal basis for the disposal of records of the U.S. Government. The Paperwork Reduction Act, 44 USC§3501-3521, establishes the legal basis for minimizing the cost of creation, collection, maintenance, use, dissemination, and disposition of information.

2.3 ADDITIONAL PRESCRIBING DIRECTIVES
Although USMEPCOM is a jointly staffed organization, the command's records management program is derived from AR 25-400-2, *The Army Records Information Management System* (ARIMS). Procedural guidance for implementing policy contained in AR 25-400-2 is found in DA Pam 25-403, *Guide to Recordkeeping in the Army*. USMEPCOM utilizes the web-based ARIMS platform for the command's records management program. Recordkeeping officials at all levels should become familiar with the ARIMS User's Guide located in the Records Management section of SPEAR. Sector and Directorate Records Managers are encouraged to supplement this UMI by developing a Standard Operating Procedure (SOP) more conducive to their operational environment in order to standardize recordkeeping practices throughout their subordinate levels. USMEPCOM Pamphlet 25-51-3, *Recordkeeping Handbook*, also available on SPEAR, contains procedural guidance correlating to USMEPCOM recordkeeping and should be used in conjunction with this UMI.

2.4 RECORDKEEPING REQUIREMENTS IN PUBLICATIONS
Recordkeeping requirements are statements in organizational publications that provide guidance on records to be created, collected, and maintained as a result of carrying out the programs prescribed therein. Under the provisions of 36 CFR§1222.24; AR 25-30, *Army Publishing Program*, paragraph 2-11; AR 25-400-2, paragraph 2-1; and DA Pam 25-403, paragraph 2-12, proponents will ensure recordkeeping requirements are listed within their publications when applicable.

2.4.1   When a regulation, issuance, or other policy directive mandates the retention of records associated with a program governed by that publication, the appropriate record number, series, title, and disposition must be provided. An example would be as follows:

> **4-4. Disposition of Applicant Packets**
> Efficient measures for control of an applicant packet, and documents within the packet, will be implemented and strictly enforced at all times. Applicant packets will be retained under Record Number 601-270a/600A "Examination/Enlistment Files" (for disposition instructions see Appendix A, Section III).

2.4.2   As shown in the example above, publications may include a consolidated listing of recordkeeping requirements in an appendix instead of, or in addition to, giving detailed retention schedules within the body of the regulation (see figure 2–1 below for the "Appendix A, Section III" of this example). The consolidated listing can then include all the details of the retention schedule such as Privacy Act System of Records Notice (SORN) numbers, record series titles, thorough disposition instructions, etc. A consolidated listing will significantly aid recordkeeping officials in generating a records inventory, office records lists, labels, and file plans. Proponents are encouraged to coordinate with the J-1/MEHR-SD-MSS Records & Information Management Specialist for assistance.

2.4.3   Disposition instructions that state *"keep in CFA until no longer needed for conducting business, not longer than 6 years, then destroy"* are designed to give publication proponents the flexibility to retain records for a lifecycle that supports their business needs, within a 6 year period. A more specific disposition instruction can and should be outlined in the USMEPCOM publication or organizational SOP. For instance, if the record falls under a retention schedule with the disposition "*keep in CFA until no longer needed for conducting business, not longer than 6 years, then destroy"*, and the proponent determines the business need only requires the record to be retained for one year, the disposition in the prescribing publication could simply state *"keep in CFA for 1 year upon completion or final action, then destroy"*.

2.5 RECORDS MANAGEMENT TRAINING

2.5.1   Recordkeeping officials at all levels are highly encouraged to explore ARIMS through the ARIMS Training website, and become familiar with the ARIMS User's Guide; hands-on exploration is sometimes the best way to learn this web-based platform. The RMDA Records Management Division also provides training resources on their Training and Program Management website. Recordkeeping officials are also encouraged to complete the two-part RMDA "Records Management Training Course" via the Army Learning Management System (ALMS). Battalion and MEPS Commanders may also request to have the J-1/MEHR-SD-MSS Records and Information Management Specialist travel to their MEPS to conduct in-depth, hands-on records management training with their staff. The Records Management section on SPEAR is the primary source of tools, resources, and current information regarding the USMEPCOM Records Management Program.

2.5.2   USMEPCOM employees (both civilian and military) will receive an annual briefing on the proper handling and safeguarding against the removal, destruction, or loss of Federal Records (as prescribed by 36 CFR§1230.10, and AR 25-1).

Figure 2-1. Example "Appendix A, Section III - Recordkeeping Requirements"

Appendix A

Section III
Recordkeeping Requirements

RN 601-270a/600A; Examination/Enlistment Files
PA: A0601-270USMEPCOM
Keep in CFA until no longer needed for conducting business, not longer than 6 years, then destroy.
(Referenced in paragraph 4-4)

RN 25-400-2b/400B; Charge-Out Suspense File
PA: N/A
Keep in CFA for one year after final action, then destroy.
(Referenced in paragraph 4-4b)

RN 600-20b/600A; EO Surveys
PA: N/A
Keep in CFA for 3 years, then destroy.
(Referenced in paragraph 4-6)

Figure 2-2. Example of a Duty Appointment Memorandum

DEPARTMENT OF DEFENSE
HEADQUARTERS, UNITED STATES MILITARY ENTRANCE PROCESSING COMMAND
2834 GREEN BAY ROAD
NORTH CHICAGO, ILLINOIS 60064-3091

Office Symbol   Month, Day, Year

MEMORANDUM FOR COMMANDER, USMEPCOM, ATTN: J-1/MEHR-SD-MSS

SUBJECT: Duty Appointment – Records Manager

Effective immediately, the following personnel are appointed as Records Manager for *(insert organizational element)*:

  a. Primary: *insert name*
      Duty Title: *insert duty title*
      Email: *insert .mil email*
      Phone: *insert phone number (and extension)*
      Office Symbol(s): *insert corresponding office symbols*

  b. Alternate: *insert name*
      Duty Title: *insert duty title*
      Email: *insert .mil email*
      Phone: *insert phone number (and extension)*
      Office Symbol(s): *insert corresponding office symbols*

Authority: 36 CFR§1220.34(d); DA Pam 25-403, UMI 25-51-1

Purpose: To provide policy interpretation, procedural guidance, and management of local recordkeeping practices ensuring compliance with the USMEPCOM records management program.

This appointment will be retained indefinitely and will be rescinded upon the resignation, retirement, relief, change of duty, or change of position of the individuals appointed.

Boss' Name
Director/Deputy, Commander/Deputy
–or– Special Staff Officer

CHAPTER 3
RECORDKEEPING

3.1 RECORD CHARACTERISTICS
Records include all books, papers, maps, photographs, machine-readable material, or other documentary materials (regardless of physical form or characteristics) made or received by any organizational element of USMEPCOM in connection with the transaction of official business; and preserved as evidence of the organization, functions, personnel, policies, decisions, procedures, operations, or other activities of the command. Recordkeeping officials at all levels are responsible for assisting employees in the proper determination of record material within their organizational element.

3.1.1 Records follow a three-stage lifecycle: creation or receipt, maintenance & use, and disposition (see paragraph 6 of UMP 25-51-3 for a more comprehensive description of the records lifecycle). Record material will fall into one of three record categories–

3.1.1.1 Federal Record – include materials that are made and preserved, or are appropriate for preservation, as evidence of USMEPCOM functions, organization, and activities or are preserved because of the value of the information they contain. By law, Federal records are all documentary materials including letters, memorandums, completed forms, statistical and narrative reports, graphics, photographs, audio and video recordings, maps, architectural, engineering, and other drawings. Federal records also include electronic records (e–mail, digitized images, and so on), photographic prints and negatives, motion picture films, and tape recordings. Under the provisions of 36 CFR§1222.10, documentary material considered Federal records are required to be retained IAW approved, published retention schedules.

3.1.1.2 Personal Records (or Personal Papers) – include documentary materials belonging to a military member, or civilian employee that may contain references to, or comments on USMEPCOM operations, but are not used in the actual conduct of business. Examples of personal records include diaries, journals, notes, personal calendars, and appointment schedules; though work–related, they are typically used only as reminders and personal observations on work–related topics, not for the transaction of Government business under the provisions of 36 CFR§1222.20, and are not required to be retained as a Federal record.

3.1.1.3 Non-Records – include documentary materials excluded from the legal definition of records. Examples of non-records include: information copies of correspondence, directives, forms, and other documents on which no administrative action is recorded or taken; routing slips and transmittal sheets adding no information to that contained in the transmitted material; follow–up, or suspense copies of correspondence, provided they are extra copies of the originals; duplicate copies of documents maintained in the same file; extra copies of printed or processed materials for which complete record sets exist, such as current and superseded manuals maintained outside the office responsible for maintaining the record set; catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken. Non-records (regardless of physical form or characteristics) are not required to be retained as Federal records under the provisions of 36 CFR§1222.16.

3.1.2 Records are further identified in one of two functional categories:

3.1.2.1 Program Records – records documenting the command's unique, mission-related activities.

3.1.2.2 Administrative Records – records documenting the command's routine housekeeping support activities.

3.1.3   Vital Records – are records that contain information the command may need to conduct business under emergency operating conditions. 36 CFR§1223, *Managing Vital Records*, and DA Pam 25-403 mandate organizations to establish plans for the management of vital records. Leaders at all levels should establish a program to identify, protect, and manage vital records as part of the command's continuity of operation plan designed to meet emergency management responsibilities.

3.1.4   Unscheduled Records – Records that do not have a retention schedule approved by NARA will be retained as permanent records until a disposition is approved; these records cannot, by law, be transferred or destroyed. Unscheduled records must be reported to J-1/MEHR-SD-MSS via email as soon as possible.

3.2 CURRENT FILES AREA

3.2.1   Current Files Area (CFA) refers to the designated area where active and inactive records are stored and maintained regardless of media, hardcopy and/or electronic. A CFA is a local "files room" or "office file area" within any given office (for hardcopy records), or a protected network-based file sharing program (for electronic records). Inactive records are maintained in the CFA, separate from active records, in accordance with authorized retention schedules, typically not exceeding 6 years. Records to be retained in excess of 6 years should be transferred to a Federal Records Center (FRC), or the Army Electronic Archive (AEA). Some records may be transferred to another agency as determined by the functional program (i.e. DoD Motion Media Records Center, National Personnel Records Center, etc.). CFAs, whether for hardcopy or electronic records, will not be co-located with non-records or employees' personal papers (paragraph 3.1).

3.2.2   Electronic records with a long-term retention schedule (beyond 6 years) will be maintained within the ARIMS AEA (see paragraph 4.3.2). Electronic records with a short-term retention schedule (up to 6 years) will be maintained on a protected shared drive (or a network-based file sharing program such as Microsoft SharePoint) governed by specific permissions so as to restrict access to appropriate personnel. Hardcopy records with long-term retention schedules (beyond 6 years) will be scanned into pdf documents and uploaded into the ARIMS AEA as electronic records. Hardcopy records that cannot be scanned will be transferred to the FRC when the business need ceases or when the record is 6 years old, whichever occurs first (see paragraph 4.3.1). Records Managers should establish a standard method of maintaining CFAs in order to provide continuity throughout their organization. **Note:** Applicant records generated and maintained via the USMEPCOM Integrated Resource System (USMIRS) will remain stored in USMIRS, and be properly archived by HQ, USMEPCOM.

3.3 RECORDS MANAGEMENT PROGRAM EVALUATIONS
In order to ensure good recordkeeping practices have been implemented throughout USMEPCOM, and all legal requirements are being met, Records Management Program Evaluations must be performed periodically.

3.3.1   IAW 36 CFR§1220.34, and AR 25-1, command-wide evaluations of records management programs relating to the adequacy of documentation, maintenance, use, and disposition of records, will be conducted a minimum of once every three years. Evaluations will be performed by the Records & Information Management Specialist using UMF 25-51-2, *Records Management Program Evaluation Checklist*. Completed UMF 25-51-2 will be retained under Record Number 1c/800D, "Office Inspections and Surveys" (for disposition instructions see Recordkeeping Requirements).

3.3.2   Although it's not specifically required, Directorate/Sector Records Managers should conduct evaluations of their subordinate organizations at their discretion. The focus of their evaluation should be adherence to their organization's filing and labeling standards (if applicable), as well as the adequacy of documentation, maintenance, use, and disposition of records. Records Managers will provide a copy of the UMF 25-51-2 to J-1/MEHR-SD-MSS upon completion of their evaluation.

3.4 RECORDS INVENTORY

3.4.1   Records Managers at all levels will maintain a complete records inventory for all records managed within their purview. The records inventory will include all records created and maintained under a specific office symbol. Organizational elements having multiple office symbols that identify branches, sections, divisions, etc. should maintain an individual records inventory for each office symbol, however, consolidating records under one office symbol is acceptable.

3.4.2   At a minimum, the records inventory will include the Retention Period, Sub-Series, Record Number, Record Title, Privacy Act SORN number, and Disposition. The USMEPCOM Detailed Records List contains all data elements required for the inventory, therefore it is highly recommended that Records Managers use the List to create their records inventory.

3.4.3   Records inventories for some USMEPCOM elements have been created and may be used as a template; these inventories can be found in the "Records Inventories" folder posted on the Records Management SPEAR page. Procedures for creating a records inventory can be found in paragraph 15 of UMP 25-51-3. Recordkeeping officials are also invited to contact the J-1/MEHR-SD-MSS Records and Information Management Specialist for assistance. Completed inventories will be retained under Record Number 25-400-2e/400B, "Office File Numbers" (for disposition instructions see Recordkeeping Requirements).

3.5 THE ARMY RECORDS INFORMATION MANAGEMENT SYSTEM

3.5.1   ARIMS is designed to provide enhanced capabilities for authorized users to maintain, transfer, locate, and retrieve records. ARIMS will ensure records with long-term and permanent dispositions are kept in compliance with Federal law, and that those records are securely stored and retrievable only by authorized personnel. All organizational elements of USMEPCOM will use the Army Records Information Management System as the authorized platform for records management, regardless of media (hardcopy or electronic).

3.5.2   ARIMS focuses on the management of electronic records with long-term and permanent retention schedules; it allows individual business processes to manage short-term records at the organizational level. ARIMS simplifies electronic recordkeeping by providing support services and automated tools via the internet.

3.5.3   ARIMS applies to all unclassified record information, including For Official Use Only (FOUO), regardless of format or medium (hardcopy, electronic, information system data files, etc.).

3.5.4   ARIMS does not apply to –

3.5.4.1 DoD Financial Management records governed by the Defense Finance and Accounting Service (DFAS).

3.5.4.2 Publications and blank forms stocked for filling requisitions.

3.5.4.3 Reference materials and books in formally organized and officially designated libraries.

3.5.4.4 Any non-record or personal paper material as outlined in paragraphs 3.1.1.2 and 3.1.1.3.

3.6 ACCESS TO ARIMS

3.6.1   Recordkeeping officials at all levels must sign in to ARIMS via CAC authentication; users must have an Army Knowledge Online (AKO) account to access ARIMS. ARIMS builds user accounts by drawing

information from AKO, and automatically associates the account to the organization where the user is employed/assigned. In the event a user does not have an AKO account, a sponsor is required (see paragraph 4.4.3 in the ARIMS Users Guide regarding account sponsorship).

3.6.2   Upon accessing ARIMS for the first time, users are initially granted the access level of Action Officer for the unit to which they are employed/assigned. Once the account is established, Records Managers may request the appropriate level by selecting the "*Manage*" tab, then "*User Role Change Request*" (see figure 3-4). When a higher level of access has been requested, it is automatically transmitted to J-1/MEHR-SD-MSS for review/approval.

Note 1: Records Manager requests must have a duty appointment memorandum as outlined in paragraph 1.5; memoranda may be uploaded in ARIMS when submitting the request, or sent directly to J-1/MEHR-SD-MSS via email. See figure 1-2, Example of a Duty Appointment Memorandum.
Note 2: User accounts, regardless of access level, will be deactivated after 12 months of inactivity.

3.7 THE ARMY CONSOLIDATED RECORDS SCHEDULE
The Army Consolidated Records Schedule (ACRS), a component within ARIMS under the "*Search*" tab, is the searchable database of authorized retention schedules organized by record series, sub-series, and retention period.   The ACRS constitutes the U.S. Army's official database for records retention and disposal. USMEPCOM is authorized to retain records IAW retention schedules governed by Army records management policies and procedures. The ACRS provides mandatory instructions approved by NARA for what to do with record material no longer needed for current business. Records retention and disposal should occur at regular intervals in the normal course of business. Procedures for using the ACRS are outlined in paragraphs 9 & 10 of UMP 25-51-3.

3.8 USMEPCOM DETAILED RECORDS LIST
Retention schedules specific to USMEPCOM have been consolidated and published in the USMEPCOM Detailed Records List. The list was developed from ACRS retention schedules to assist recordkeeping officials at all levels in executing and sustaining an effective records management program. Disposition instructions cited therein serve as the command's records retention authority, and have been established in accordance with Federal records management guidelines approved by RMDA and NARA either upon specific application or through the General Records Schedules. The detailed records list is published on SPEAR as a Microsoft Excel spreadsheet enabling the user to search, sort, or filter by any data element. This list of record schedules can be a vital instrument when producing a records inventory, generating an office records list, or manually creating labels.   The USMEPCOM Detailed Records List is located on SPEAR, J-1/Human Resources, Mission Support Branch – Records Management link, under "Resources, Links, and Tools" at the bottom of the page.

3.9 RECORD RETENTION PERIODS
Under ARIMS procedures, records are grouped into one of 12 record categories (also referred to as record series').   Each series is divided into more comprehensive sub-series classifications to further categorize records within each series. Each sub-series is then separated into three broad retention periods (or durations): 0-6 years, 6+ years, and permanent. A CFA retention limit of 6 years has been established to enable individual business processes to manage short-term records at the organizational level. Records should be uploaded into the AEA, or transferred to an FRC for long-term retention in excess of 6 years. The three ARIMS retention periods are defined as follows –

3.9.1   0-6 Years: Records with a disposition of 6 years or less are maintained locally in the current files area for a maximum of 6 years, then destroyed; they are not electronically archived, or transferred outside of the organization. All records with a disposition under the 0-6 year retention period will be destroyed by the individual(s) responsible for maintaining the records after coordination with their Records Manager. Records

should not be retained locally beyond 6 years, however exceptions may be granted. Most records generated and maintained throughout the command will fall into this retention period category.

3.9.2   6+ Years: Records with a disposition beyond 6 years are maintained in the CFA for a maximum of 6 years, then transferred to a Federal Records Center (hardcopy, electronic records placed on physical storage media, etc.), or retained in the Army Electronic Archive (AEA) for long-term storage. Records do not need to be retained locally for the full 6 year maximum if the business need does not warrant it; hardcopy records may be transferred to an FRC, and electronic records may be uploaded into the AEA, at any time after the business need ceases (this should be further defined in the corresponding regulation, or organizational SOP). Records will be destroyed/deleted by the FRC/AEA in accordance with authorized disposition instructions after coordination and approval from the corresponding Records Manager (i.e. the recordkeeping official who transferred the records to the FRC/AEA).

3.9.3   Permanent: Records considered permanent are maintained in the same manner as records with a 6+ retention period. The FRC/AEA will retire permanent records in accordance with guidelines published by the National Archives. Proper, thorough determination must be made before records will be classified as permanent. Less than 10% of Department of Defense (DoD) records are categorized as permanent.

3.10 OFFICE RECORDS LIST
An Office Records List (ORL) is a list of ARIMS record series categories used and maintained by a specific office identified by a registered office symbol. The primary purpose of an ORL is to facilitate the management of electronic records with long term retention schedules (6+ years and permanent), greatly reducing the amount of effort required to maintain these records. In accordance with AR 25-400-2, ORLs are required for managing long-term (6+ and Permanent) records, created annually, and are created at the office symbol level. Procedures for creating and using an ORL can be found in paragraphs 11 & 12 of UMP 25-51-3. **Note:** Only approved office symbols will be used to create ORLs; a directory of current office symbols approved for use is located on SPEAR, J-1/Human Resources page under the Mission Support Branch – Records Management link.

3.11 LABELING PROCEDURES
All folders and containers used to store official records, including records in electronic form, will be labeled. Records will be clearly identified by marking, designation, electronic labeling, or if physical marking of the medium is not possible, by some other means of identification.

3.11.1   In ARIMS, when folders are created in an approved ORL for hardcopy records, the user will automatically be directed to the "Print Labels" screen. Recordkeeping officials may use this function if desired, however, it sometimes does not provide adequate disposition information required by the retention schedule (see figure 3-1, Example of the ARIMS Print Labels Screen).

3.11.2   Alternatively, recordkeeping officials may choose to create labels manually. When doing so, at a minimum, hardcopy record labels will contain the active year, the record number, the sub-series number & category title, the record title, the Privacy Act SORN number (when required), and the disposition instructions (see figure 3-2, Example of Hard-Copy Record Labels). Manual label templates for some USMEPCOM elements have been created and may be used if desired; these templates can be found in the "Manual Label Templates" folder posted on the Records Management SPEAR page.

3.11.3   Hardcopy labels may be placed anywhere (with a standardized continuity) on folders, disks, tapes, drawers, containers, and so on, suitable and visible for easy identification and retrieval of records.

3.11.4   Prior to uploading into ARIMS, electronic records may initially be maintained on a protected shared drive or a network-based file sharing program such as Microsoft SharePoint (discussed in paragraph

3.2.2). Labeling folders in a shared drive may have restrictions on length and character use; at a minimum it should contain the RN, Record Title/Name, and active year (see figure 3-3, Example of Electronic Folder Labeling).

3.12 RECORDS CROSS REFERENCE

3.12.1   DA Form 1613, *Records Cross Reference*, is used to identify the location of material filed (or stored) in another location (see figure 3-5, Example of a Completed DA Form 1613). The DA Form 1613 is filed under the appropriate ARIMS record series, in the front of the folder, before any other documents that may also be filed therein. DA Form 1613 may be used when:

3.12.1.1   A document is related to more than one action.

3.12.1.2   A classified document has a direct relationship with unclassified material. **Note:** Do not place classified information on DA Form 1613 filed in unclassified records.

3.12.1.3   Documents with various dates relate functions to other sub-functions or actions.

3.12.1.4   Documents have been changed from one record series or sub-series to another record series or sub-series.

3.12.2   Use DA Form 1613 when filing bulky material in storage equipment suited to its size. This material may be maintained in record series, serial number, or date order. The form must identify the bulky material and related documents, and show storage locations and record series category. Attach a second copy of the DA Form 1613 to the bulky material.

3.12.3   The DA Form 1613 will be filed IAW the retention schedule associated to the record to which it is being used, and may be destroyed when no longer needed.

Figure 3-1. Example of the ARIMS Print Labels Screen

PRINT LABELS

This page shows the layout of the labels for your selected folders. The labels are formatted for 1"x4" labels, 20 to a sheet (Avery 5161 or equivalent). Note that the label borders shown on this page will not print, they are just there to aid in visualizing the label layout. When you click the "Print" button, a PDF file will be generated and displayed. From the PDF viewer, select the Printer icon to print your label pages. **Ensure that the Page Scaling option in the print window is set to "None" before clicking OK to print your labels.** Select a starting row greater than one to print on a partially used page of labels. After printing, check your labels. The format of the labels on this web browser screen may not exactly match how the labels will be formatted on your printer. If they did not print correctly, you may adjust settings and then print them again before leaving this page. If you have left the page you will not be able to reprint without reselecting your list of folders.

Use the Advanced Options button to indicate whether or not you want to show the ACRS Instruction Title and/or the User-entered Folder Name for the labels to be printed. Note: Folder titles are limited to the first two lines. Titles exceeding the two line limit will be cutoff and not display on the labels.

Print   Close   Start at Row #: 1 ˅   Advanced Options >>

600A AGCM (AAA-199) : Active Duty Personnel
PA:Y
Destroy in CFA 6 years after individual is transferred.   (17)

600A Award Ceremonies : Active Duty Personnel
PA:N
Destroy in CFA when 6 years old.   (17)

600A Awards & Decorations : Active Duty Personnel
PA:N
Destroy in CFA when 6 years old   (17)

Incomplete disposition

800D Civilian Evaluations : Administration and Housekeeping
PA:Y
Destroy in CFA 1 years after individual documents are superseded or no longer a.   (17)

400B DA Form 12 : Information Management / Military Publications
PA:N
Destroy in CFA 6 years after completion of posting to the current   (17)

800D Duty Appointment : Administration and Housekeeping
PA:N
Destroy in CFA when 6 years old.   (17)

(Return to paragraph 3.11.1)

_____

Figure 3-2. Example of Hard-Copy Record Labels

RN 600-8-6b3 / 600A [Record Number] l (15) [Active Year]
Army Strength Reports
PA: A0680-31bAHRC; A0600-8aDAPE
Keep in CFA until NLN, no longer than 6 yrs, then destroy

RN 600-8-10a / 600A Active Duty Personnel [Series Title]
Leave of Absence Files [Specific Title]
PA: A0001bAHRC
Keep in CFA for 6 months, then destroy

RN 1aa4 / 800D   Administration and Housekeeping (15)
Office Supervisory Employee Records – Current Employee
PA: OPM/GOVT-1, OPM/GOVT-2 [Privacy Act SORN#]
Keep in CFA until NLN, no longer than 6 yrs, then destroy

RN 1x1 / 800D   Administration and Housekeeping (15)
Civilian Employee Time & Attendance Records
   (Source & Input Files)
PA: T7335DFAS
Keep in CFA until NLN, no longer than 6 yrs, then destroy [Disposition]

(Return to paragraph 3.11.2)

Figure 3-3. Example of Electronic Folder Labeling

_____
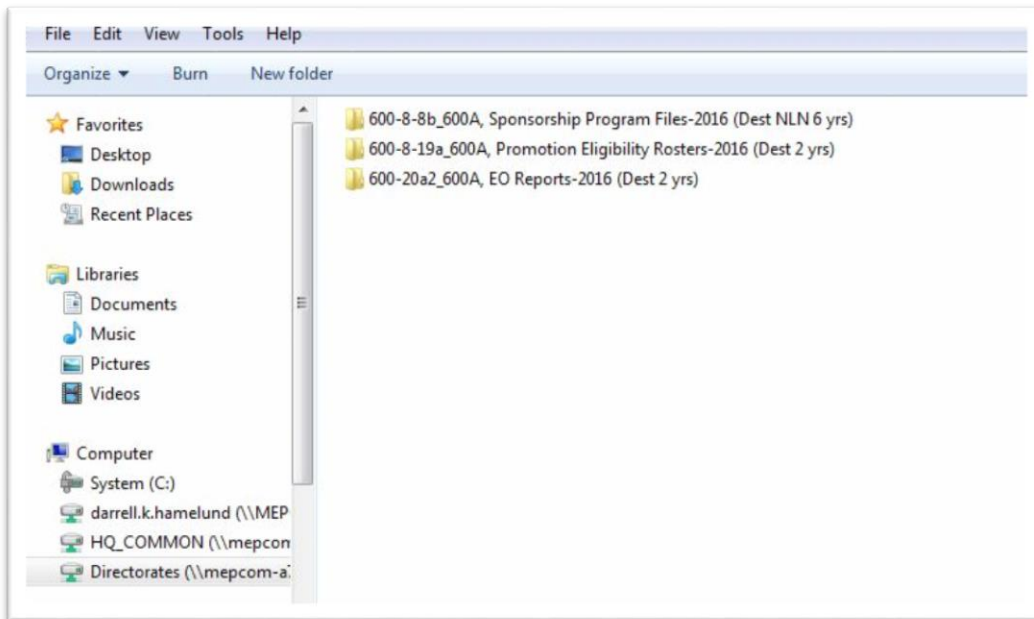
Figure 3-4. ARIMS User Role Change Request

Figure 3-5. Example of Completed DA Form 1613, *Records Cross Reference*

RECORDS CROSS REFERENCE		
For use of this form, see DA PAM 25-403; the proponent agency is OAA		
File this sheet to show where related files are located.		
1. ARIMS RECORD NUMBER *(in which this cross reference sheet is filed)* RN 190-22a	2. ARIMS RECORD NUMBER TITLE Police Property Files	
3. RELATED RECORD INFORMATION *(Use a separate DA Form 1613 for each related record.)*		
a. ORIGINATOR 437th MP Co.		
b. ADDRESSEE *(s)* *(Use Item 3g if more space is needed.)* 1234 Right St., Installation Detainee Facility, Ft. Wilson, VA 12345		
c. SUBJECT Detainee Property		d. DATE *(YYYYMMDD)* 20080605
e. LOCATION *(of where record is filed.)*		f. MEDIA
(1) ARIMS RECORD NUMBER RN 190-22a	(2) ARIMS RECORD NUMBER TITLE Policy Property Files	☒ HARDCOPY ☐ ELECTRONIC
g. SUMMARY *(Give a brief summary/description of the contents of the related record.)*		
Information showing the receipt of property that is found, impounded, seized as contraband, prohibited, or safeguarded for detained personnel. This includes logs, receipts and releases, and related information.		

DA FORM 1613, JUN 2008   APD PE v1.00

CHAPTER 4
DISPOSITION OF RECORDS

4.1 OVERVIEW
The final stage of a record's lifecycle is disposition. Disposition is a comprehensive term that includes retention actions, such as disposal (typically by destruction or deletion), uploading into the Army Electronic Archive, or transfer to a Federal Records Center (or other Federal agency such as the DoD Motion Media Records Center or the National Personnel Records Center).

4.2 RECORDS DISPOSAL
Once a record with a retention schedule of 0-6 years reaches the end of its retention period, it will be disposed of within the CFA where the record was maintained. Records with a retention schedule greater than 6 years will be disposed of at the FRC (hardcopy or physical media), or deleted from the AEA (electronic).

  4.2.1   Records authorized for destruction will be disposed of as follows–

    4.2.1.1 Hardcopy – unclassified records with access/distribution restrictions such as For Official Use Only (FOUO) or subject to the Privacy Act will be destroyed by shredding or burning. Record material that does not have any access/distribution restrictions may be recycled; Records Managers must exercise prudence before releasing any record material for recycling. When in the form of exposed x–ray film, motion picture film, and certain microfilm that contains precious metals, the record material should be disposed of IAW the DoD Precious Metals Recovery Program.

    4.2.1.2 Electronic – unclassified records managed within the AEA (retention 6+) will be destroyed IAW the procedures outlined in paragraph 5.5.6 of the ARIMS User's Guide. Electronic records maintained locally (retention 0-6) will be deleted (demagnetized/degaussed or securely deleted) if on disc, tape, or other updatable/re-writeable media; otherwise, the location (index) information will be deleted in a manner so that the records cannot be retrieved by any means. Due to potential personal health risk, CD–ROMs/optical disks should not be destroyed by burning, breaking, or pulverizing.

  4.2.2   Classified records will be destroyed IAW AR 380-5, *Department of the Army Information Security Program*.

  4.2.3   Sectors, Battalions and MEPS must follow procedures outlined in Policy Memorandum (PM) 5-12, *USMEPCOM Media Sanitization Policy* by implementing a local media sanitization policy that includes a formal process with proper recordkeeping using UMF 25-3-7-E, *USMEPCOM Sanitization Validation Form*.

4.3 TRANSFERRING RECORDS

  4.3.1   Hardcopy and/or Physical Media – records with a retention period greater than 6 years (6+), including permanent records, will be transferred to the Federal Records Center (FRC) for long-term storage. Transferring records with a 0-6 year retention should be avoided, as in most cases it would not be cost-effective; case-by-case exceptions can be made in situations of inadequate records storage areas. **Note:** Hardcopy records should be scanned into pdf documents and maintained as electronic records to the greatest extent possible.

    4.3.1.1 Records Managers <u>must</u> contact the J-1/MEHR-SD-MSS Records and Information Management Specialist via email prior to initiating <u>any</u> hardcopy transfer requests.

4.3.1.2 Records will be transferred to the FRC using SF 135, *Records Transmittal and Receipt Form*, IAW the instructions found on the FRC website.

4.3.1.3 The completed SF 135 will be retained under Record Number 1g/800D, "Office Record Transmittals" (for disposition instructions see Recordkeeping Requirements).

4.3.2   Electronic – recordkeeping officials at all levels are encouraged to actively use the Army Electronic Archive within ARIMS for the management of electronic records with a retention schedule greater than 6 years. ARIMS will maintain, destroy, and/or transfer electronic records with 6+ and Perm retention periods IAW authorized retention schedules; and provide authorized users the ability to retrieve archived records throughout the record's lifecycle. Records with a 0-6 retention period cannot be uploaded into the AEA and must be maintained in the CFA.

4.3.2.1 Electronic documents can be uploaded into the AEA individually, or in bulk. A schedule should be created to routinely upload records into ARIMS on a daily, or weekly basis.

4.3.2.2 A step-by-step outline for uploading electronic records can be found in paragraph 12, UMP 25-51-3, located in the Records Management section of SPEAR.

4.3.3   The archiving of electronic applicant records created and maintained in the USMEPCOM Integrated Resource System (USMIRS) will be coordinated between J-1/MEHR-SD-MSS and J-6/MEIT.

4.4 RECORDS FREEZE OR MORATORIUM
A records freeze, preservation order, or moratorium is an exception to a record's approved disposition instruction. These exceptions refer to a court or agency–imposed requirement to keep the record until disputes or litigation, and all appeals are resolved. When a freeze or moratorium is received, J-1/MEHR-SD-MSS will determine if USMEPCOM records are affected and ensure the records are properly coded within ARIMS. An INFO or Tasking Message will also be published, as appropriate. Records affected by a freeze cannot be destroyed as scheduled and must be held until the freeze is lifted before normal disposition can be continued. When a freeze is lifted, the records disposition is carried out from the original date of the record, not the end of the freeze.

4.5 UNAUTHORIZED OR ACCIDENTAL DESTRUCTION, DAMAGE, OR REMOVAL OF RECORDS

4.5.1   The maximum penalty for the willful and unlawful destruction, damage, or removal of Federal records (to include email) is a fine, 3 years in prison, or both (18 USC§2071, 36 CFR§1230, and AR 25-400-2, para 1-8).

4.5.2   In cases of accidental loss or destruction of records by fire, natural disaster, or other cause, Records Managers will reconstruct the lost or destroyed records as much as possible. Records can often be reconstructed from other copies of the lost information maintained in other offices/organizations. A list of records that cannot be reconstructed will be provided to J-1/MEHR-SD-MSS.

APPENDIX A
GLOSSARY

SECTION I
ABBREVIATIONS

ACRS
Army Consolidated Records Schedule

AEA
Army Electronic Archives

AKO
Army Knowledge Online

AO
Action Officer

AR
Army Regulation

ARIMS
Army Records Information Management System

CAC
Common Access Card

CFA
Current Files Area

CFR
Code of Federal Regulations

DA Pam
Department of the Army Pamphlet

DoDD
Department of Defense Directive

DoDI
Department of Defense Instruction

FRC
Federal Records Center

FOUO
For Official Use Only

NARA
National Archives and Records Administration

ORL
Office Records List

RA
Records Administrator

RM
Records Manager

RMDA
Records Management and Declassification Agency

SF
Standard Form

UMF
USMEPCOM Form

UMI
USMEPCOM Instruction

UMR
USMEPCOM Regulation

SECTION II
TERMS

Army Records Information Management System
A system for identifying, arranging, and retrieving records for reference and disposition according to the directive, usually a regulation or pamphlet, which prescribes their creation, maintenance, and use.

Army Consolidated Records Schedule
Records retention schedules, approved by the National Archives and Records Administration, and published by the Army Records Management and Declassification Agency.

Current Files Area
The physical location where active records are maintained; typically a section, or room in an office sufficient in size for multiple filing cabinets. CFA also refers to the location where active electronic records are stored (i.e. a dedicated computer shared drive).

Disposition
The actions taken with inactive records. These include transfer to a FRC, destruction, and/or offering to 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.

Federal Records Center
A facility that is designed for low–cost and efficient storage of records, and for reference service on inactive records, pending their ultimate disposition.

File / Folder
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.

For Official Use Only
A designation that is applied to unclassified information which is exempt from mandatory release to the public under the Freedom of Information Act.

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.

Non-Records
Documents excluded from the legal definition of records according to 44 USC § 3301.

Office
A place where records are created, maintained, or used; coffee is generally available.

Office Records List
A list of the specific record titles and record series 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 Record
The designation applied to records worthy of permanent retention by the United States, and accessioned into the National Archives.

Personal Record
Documentary materials belonging to an individual that are not used to conduct agency business.

Record
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.

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.

Record Series Number

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

Security Classification 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 a FRC or the AEA.

Unscheduled Records

Records which have not been approved by NARA for disposition.