

Headquarters
United States Forces Korea
Unit #15237
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United States Forces Korea
Regulation 923.1

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Records Management

UNITED STATES FORCES KOREA RECORDS MANAGEMENT PROGRAM

***This regulation supersedes USFK Regulation 923.1, dated 20 March 2014.**

FOR THE COMMANDER:

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Major General, USAF
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Summary. This regulation establishes policy, responsibilities, and procedures in Records Management and supplements [USPACOMINST 0923.01, U.S. Pacific Command \(USPACOM\) Records Management Program](#) and [CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#).

Applicability. This regulation applies to United States Forces Korea (USFK) personnel (military service members, Federal Government civilians, local nationals, and contractors) who are assigned, attached, or temporary duty to Headquarters, USFK. Additionally, this regulation only applies to the creation, maintenance, use, and disposition of USFK records. United Nations Command, Combined Forces Command, service-specific records (Eighth Army, Seventh Air Force, Naval Forces Korea, and Marine Forces Korea), and other non-USFK records must not be intermixed with USFK records.

Supplementation. Issue of supplements to this regulation by subordinate commands is prohibited unless prior approval is obtained from USFK Deputy Chief of Staff (FKDS), Unit #15237, APO AP

96205-5237, at usarmy.yongsan.usfk.mbx.usfk-dcs-admin@mail.mil or usarmy.yongsan.usfk.mbx.usfk-records@mail.mil.

Forms. USFK forms are available at <http://www.usfk.mil/usfk/>.

Records Management. Records created as a result of processes prescribed by this regulation must be identified, maintained and disposed of according to [CJCSM 5760.01A Volume II, Joint Staff and Combatant Commands Records Management Manual-Disposition Schedule](#). Record titles and descriptions are available on the CJCS website at http://www.dtic.mil/cjcs_directives/cdata/unlimit/m576001v2.pdf.

Suggested Improvements. The proponent of this regulation is USFK Deputy Chief of Staff (FKDS). Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to the USFK Deputy Chief of Staff (FKDS), Unit #15237, APO AP 96205-5237, email: pacom.yongsan.usfk.mbx.records@mail.mil.

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Chapter 1 Introduction

1-1. Purpose

The overall goal of the USFK Records Management Program is for joint organization or activity (JO/A) commanders and staff principals to ensure the economically efficient and effective creation, maintenance, use, and disposition of Federal records in accordance with United States Pacific Command (USPACOM), Joint Staff (JS), Department of Defense (DoD), and Federal directives.

1-2. References

Required and related publications are listed in [appendix A](#).

1-3. Explanation of Abbreviations and Terms

Abbreviations and terms used in this regulation are explained in the glossary.

Chapter 2 Policy, Responsibilities, and Procedures

2-1. Policy

a. Overall USFK Records Management Program responsibility lies with the USFK Deputy Chief of Staff (also the Senior Records Officer), with program administration executed by the USFK Records Management Office comprised of the Command Records Officer and staff in accordance with USFK, USPACOM, JS, DoD, and Federal directives.

b. [Title 44 United States Code \(U.S.C.\), Chapter 31, Section 3101, Records Management by Federal Agencies](#), requires that all Federal agencies shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the U.S. Government and of persons directly affected by the agency's activities.

2-2. Responsibilities

a. Senior Records Officer (SRO).

(1) Oversees the USFK Records Management Program and ensures that the Records Management Office develops policies, procedures, and executes USFK's Records Management Program in accordance with USPACOM, JS, DoD, and Federal directives.

(2) Designates in writing the USFK Command Records Officer to execute and administer the USFK Records Management Program.

(3) Reviews the performance of the USFK Records Management Program and proposing changes and improvements if needed.

(4) Supports and promotes the USFK Records Management Program.

(5) Designates in writing a USFK Vital Records (VR) Management Team consisting of the USFK CRO, records custodians (RC), program officials, emergency coordinator, facility managers,

Command Historian, Information Technology, Resource Management, Safety, Public Affairs, and Provost Marshal to manage and execute the USFK VR Program.

b. Records Management Office (RMO) or Command Records Officer (CRO).

(1) Administers the USFK Records Management Program and provides assistance to staff principals in its implementation.

(2) Plans, controls, directs, organizes, trains, promotes, and manages records creation, maintenance, use, and disposition policies, systems, standards, and procedures.

(3) In cooperation with staff principals, identifies VR and establishes a disaster and recovery plan for each USFK staff principals' office of records to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the right and interest of the organization and personnel.

(4) In conjunction with USFK History Office (FKHO), develops procedures to ensure the permanent preservation of the historically valuable records of USFK.

(5) Establishes standards for filing, storage equipment, and recordkeeping supplies.

(6) Studies the feasibility of and, if appropriate, establishes a uniform filing system and control system for USFK.

(7) Provides Records Management advice and assistance to all USFK staff principals by preparation of instructions, policies, and procedures.

(8) Monitors records schedules and administrative rules issued by USFK, USPACOM, JS, DoD, and the Federal Government to determine if the USFK Records Management Program complies with Federal directives.

(9) Disseminates to the USFK Commander and staff principals information concerning governing directives and administrative rules relating to records.

(10) Instructs or trains Principal Records Officers (PRO) and Records Custodians (RC) on records management policies and procedures and their roles and responsibilities pertaining to the USFK Records Management Program.

(11) Directs PRO and RC on the conduct of records inventories in preparation for the development of records schedules and file plans as required by Federal directives.

(12) Ensures the maintenance, preservation (microfilming), destruction, or other disposition of USFK records are carried out in accordance with the policies and procedures of the USFK Records Management Program and the requirements of higher headquarters and Federal directives.

(13) Maintains records on the volume of records destroyed under approved records schedules, the volume of records microfilmed or stored electronically, and the estimated cost and space savings as the result of such disposal or disposition.

(14) Reports annually to the USPACOM Command Records Manager (CRM) on the implementation of the USFK Records Management plan.

(15) Conducts a staff assistance visits (SAV) to all office of records and reporting results to the SRO and USPACOM CRM.

(16) Addresses the non-compliance with the policies and procedures of the USFK Records Management Program by staff principals and other USFK personnel to the attention of the USFK SRO.

(17) Assists RC with the preparation of final destruction of records for approval of destruction.

c. Staff Principal (Directorate/Special Staff).

(1) Carries out the policies and procedures established by USFK for the efficient and economical management of records and carrying out the requirements set forth in USPACOM, JS, DoD, and Federal Government authorities.

(2) Adequately documents the transaction of government business and the services, programs, and duties for which the principal head and his or her principal are responsible.

(3) Maintains the records in his or her care and carries out their preservation, destruction, or other disposition only in accordance with the policies and procedures of the USFK Records Management Program and the requirements set forth in USPACOM, JS, DoD, and Federal Government authorities.

(4) Designates a member of his or her principal staff to serve as PRO for overseeing the USFK Records Management Program in their principal and designating RC for each office of record under their purview (See [appendix B](#), Sample Principal Records Officer Designation Letter) and forwards the designation letter to the USFK RMO (scanned letter is acceptable). A file copy must be filed under records series 0900-06N.

(5) Identifies VR and establishes a disaster and recovery plan for each USFK principals' office of records to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the rights and interest of the organization and personnel.

d. Electronic System Functional Manager or Equivalent.

(1) Contacts the RMO when planning to implement systems that will be creating, maintaining, or disposing of e-records.

(2) Ensures routine (daily, weekly, or monthly) backup of systems creating, maintaining, or disposing of e-records.

e. Network/System Administrator, Information Management Officer (IMO), or Equivalent.

(1) Works with RC setting permissions and access controls for e-records repository. Refer to [appendix H](#), E-records Directory Checklist, for details, permissions, and access controls.

(2) Advises RC on password protection of Privacy Act (PA) and encryption of Personally Identifiable Information (PII) e-records on the shared drive and e-records repository.

f. Principal Records Officer (PRO).

(1) Carries out the policies and procedures established by USFK for the efficient and economical management of records and in carrying out the requirements set forth in USPACOM, JS, DoD, and Federal Government authorities. The PRO is the staff principal's lead records manager.

(2) Ensures that all Chief Office of Records (CORs) are well aware of the policies and procedures established by USFK for the efficient and economical management of records and in carrying out the requirements set forth in USPACOM, JS, DoD, and Federal Government authorities.

(3) Ensures that the RC conducts a Records Management Assessment using [appendix C](#), RMO Form 11, Records Management Assessment Checklist, at the end of an even-number fiscal year (FY) e.g., FY16, FY18, and FY20.

(4) Disseminates information to the principal concerning the USFK Records Management Program.

(5) Advises heads of principal/special staff on all records management matters to include reviewing USFK records management taskings prior to principal/special staff coordination via the Task Management Tool or similar tasking medium.

g. Chief Office of Records (COR) identifies VR and establishes a disaster and recovery plan for each office of records through the Records Custodian under their purview to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the rights and interest of the organization and personnel.

h. Records Custodian (RC).

(1) Conducts or assists in the inventory of the records in their staff principal's office of records in preparation for the development of records schedules or file plans.

(2) Coordinates and implements the policies and procedures of the USFK Records Management Program in their principal.

(3) Prepares and submits SF 135, Records Transmittal and Receipt, for records to be stored in temporary storage or permanently transferred to the National Archive and Records Administration (NARA). Refer to appendix A, References, [CJCSM 5706.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#), for instructions to complete the SF 135.

(4) Completes and submits the documentation for records to be destroyed to the RMO for the approval to destroy the records. Refer to appendix Q, RMO Form 08, Records Destruction Certificate.

(5) Conducts a Records Management Assessment using [appendix C](#), RMO Form 11, Records Management Assessment Checklist, at the end of an even-number fiscal year (FY) e.g., FY16, FY18, and FY20, and files the completed RMO Form 11 under record series 0900-03C, Records Management.

(6) Assists the COR in identifying VR and establishing a disaster and recovery plan for each office of records under their purview to ensure maximum availability of the records in order to re-establish operations quickly and with minimum disruption, expense, and protection of the rights and interest of the organization and personnel.

(a) Serves as VR coordinators and implements the VR program office of records under their purview, including preparing the inventory and working with office staff to ensure records are protected.

(b) Compiles information, such as a list of lock combinations.

(c) Completes an Inventory/File Plan Datasheet and submit to the USFK RMO for approval prior to completing a VR Protection Plan ([Appendix S](#), Vital Records Protection Plan and Checklist).

(7) Conducts an entrance/exit records interview for all personnel under his or her purview and ensures that the applicable Service Element, Civilian Personnel, or contractor sponsor receive a copy of the interview to be filed in their personnel folders. Refer to [appendix D](#), RMO Form 06, Records Entrance/Exit Interview.

(8) Provides records management awareness and training to all personnel assigned under his or her purview to include documenting the date of training. This includes the proper procedures for ensuring that all physical and electronic records (including email records) are filed at the designated records repository in approved containers, devices, or electronic directories on the shared drives (E-records Repository).

(9) Purges annually, at the end of the fiscal year, non-record material and dispose of records in accordance with the Joint Staff Disposition Schedule.

i. Records User (RU).

(1) Creates records needed to do the business of their organization, record decisions and actions taken, and document activities for which they are responsible.

(2) Takes care of records so that information can be retrieved when needed. This means applying file codes to physical records, naming convention to e-records (including email), and placing/filing in the approved records repository.

(3) Carries out the disposition of records under their control in accordance with the records disposition schedule and directives.

(4) Reviews, signs and dates an Records Entrance/Exit Interview Forms within 10 days of assignment or arrival to USFK and 10 days prior to departure from USFK. Refer to [appendix D](#), RMO Form 06, Records Entrance/Exit Interview.

j. Supervisor.

(1) Ensures that subordinates know what types of records are created within their unit of assignment.

(2) Maintains a copy of the RMO Form 06, Entrance/Exit Records Interview, and ensures that the original is filed in their subordinates' personnel information folders.

k. Vital Records Management Team.

(1) Consists of designated USFK VR officials (normally consisting of RMO, RC, program officials, emergency coordinator, facilities managers, Command Historian, Information Technology, Resource Management, Safety, and Provost Marshal) responsible for the USFK VR Program.

(2) Protects and maintains currency of VR and executes the VR Protection Plan during crisis, contingencies, disasters, and exercises.

(3) Evaluates the effectiveness of the VR Protection Plan and reports the results to the USFK SRO through the RMO.

2-3. Procedures

a. Records Creation.

(1) Inventory. The purpose of an inventory is to identify all the scheduled and unscheduled records created, received, and maintained by an office of record. Scheduled records are records that have an approved disposition schedule from NARA. Unscheduled records are those records that do not have an approved disposition schedule from NARA and must be approved by NARA using SF 115, Disposition of Federal Records. The SF 115 is completed by USPACOM CRM upon receipt of JS Form 30, Joint Staff Records Management Survey, at appendix A, References, [CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#). The inventory must be conducted in order to build a file plan. Refer to [appendix E](#), Inventory and File Plan Data Sheet, to conduct an inventory of records.

Note: Unscheduled records are treated as permanent records until a determination is made by NARA.

(2) File Plan. By creating a file plan, records can be quickly located and retrieved; thereby, eliminating wasteful searches and frustration. A key element in creating the file plan is the [Joint Staff Disposition Schedule \(CJCSM 5760.01A, Vol. II\)](#). The first thing to do is refer to the disposition schedule and identify the applicable records that an office will be maintaining on the Inventory and File Plan Datasheet. Refer to [appendix E](#), RMO Form 02, Records Inventory and File Plan Checklist for detail procedures. Additionally, RMO Form 01, Records Identification, can be used prior to completing the Inventory and File Plan Datasheet ([Appendix F](#)). Next, have the RC review and forward the proposed file plan to the RMO for final approval. Once approved by RMO, the RMO will produce a certified (with approved stamp) Records File Plan. The office of origin or office of record will then use the approved file plan to manage their records ([Appendix G](#), Sample File Plan, USFK Files Maintenance and Disposition Plan) and file under the "01-FilePlan" folder. Complete the Inventory and File Plan Datasheet and file under the "01-FilePlan" folder upon approval of file plan from the RMO.

Note: Only complete the data field highlighted in red and the data fields highlighted in yellow. The datasheet is used by the RMO to generate and approve a file plan.

(3) Electronic Directories/Folders on the Shared Drive or E-records Repository. The electronic file plan should be located in the applicable office of record under an electronic folder titled "00-File_Plan" and named "fileplanfkds" and saved in a PDF format (PDF for temporary and PDF A/1 for permanent). E-records Repositories access controls must be setup on NIPRNET

(unclassified) and SIPRNET (classified) networks with the proper access controls. Refer to [appendix H](#), E-records Directory Checklist, for details, permissions, and access controls.

Note: CENTRIX-K should not hold USFK e-records and contact the USFK Foreign Disclosure Office or Security Manager for proper procedures.

(4) Labels for Drawers, Binders, Folders, and Guide Cards (physical/hardcopy records). See [appendixes I, J, & K](#), Sample Labeling of Drawers, Binders, Folders, and Guide Cards.

(5) Identifying and Naming a Record. Identifying and naming a record from the start is crucial to the efficiency and effectiveness of creating, maintaining, and disposing of records. By not applying these two mentioned actions from the beginning will only result in frustration and wasted time and effort in locating and retrieving records.

(a) Identifying. Refer to [appendix L](#), RMO Form 12, Identifying Records and Non-records Checklist, to assist determining what is and is not a record. Once a record is identified, the record or records must be filed in the applicable records series location (container, device, or records repository listed in the office of records' file plan.

(b) Naming (for e-records). A naming convention is defined as a set of standard rules when naming electronic files or records to enable ease of search and retrieval of electronic files and records; it is a form of metadata tagging. Applying a file NC will tremendously reduce wasted time searching a file or record and the frustration and stress levels associated with not having applied a NC. The following is a list of general rules and chart for file NC ([Appendix M](#), Naming Convention Guidance/Checklist):

- Use only alphanumeric characters.
- Do not use special characters, such as #, \, /, :, ?, ", <, >, {, }, [,], @, \$, %, ^, &, *, +, and =. Only exclamation point "!", underscore "_" and hyphen "-" are acceptable.
- Use "!" as the first character for any records containing PA, PII, or sensitive but not classified information.

Note: These records must be protected (password, encrypted, or access controlled).

- Use "_" or "-" to separate parts of the file NC.
- Do not use space(s) in the file name.
- Use leading zeros. If the file name includes numbers, use zeros as placeholders. For example, a collection with 999 items should be numbered: brief001.ppt, brief002.ppt...brief999.ppt. This practice facilitates sorting and file management.
- Use YYYYMMDD format for dates. Example 20130901 for September 1, 2013.
- Try to limit maximum length of naming convention to 25 or less characters.

(6) Search Using MS Explore. [Appendix N](#), Sample Search Using MS Explore, illustrates a search using wild card or asterisk (*) to find the referenced minutes.

b. Records Maintenance and Use. Maintenance and use refers to storage (file), security, and retrieval of records.

(1) Storage. The storage of records both physical and electronic (including email records) must be filed in an approved storage container, server, or device designated as the official records repository.

(2) Security. Records Custodians must work with Network/System Administrator or IMO equivalent to establish access controls of e-records stored on the designated official records repository ([Appendix H](#), E-record Directory Checklist). Additionally, access controls must be applied to the records required by law to protect the rights and interest of the organization and personnel. For instance, PA information must be protected in accordance with the PA of 1974 and PII requirements. If space is available, inactive records (physical records) of 5 years or more retention may be stored in an Inactive Storage Facility (ISF), but the RC must contact the RMO for availability of storage space.

(3) Retrieval/Charge Out. Records retrieval is the process of locating and delivering records. Charge out is the process of checking out a record (physical and electronic) using a [DD Form 2861, Cross-Reference](#), in place of the record being checked out.

(a) Active Records. Records Custodians must ensure that individuals complete a DD Form 2861, Cross-Reference, in place of a record.

(b) Inactive Records. Inactive electronic records will remain in records repository under an inactive folder until destruction date. When retrieving records from the ISF, the RC must contact the CRO.

(c) Federal Records Center (FRC). When an RC wants to retrieve a record or records from the FRC, he or she must complete Optional Form 11, Reference Request, and submit to the RMO ([Appendix O](#), Optional Form 11, Reference Request).

Note: Non-RCs requesting records from the FRC must go through their office of records' RC to request records at the FRC.

c. Records Disposition. Disposition are those actions (litigation, transfer, destruction) taken regarding records no longer needed for the conduct of the regular current business of the agency.

(1) Litigation. For those records under litigation, ensure not to destroy until written authorization from higher authorities is received. For any questions, consult with the CRO or RMO.

(2) Transfer. The transfer of records is the physical and electronic transfer of control or custody of records to another entity. The transfer or accession of permanent records to the Federal Records Center or NARA must be accomplished by completing a SF 135, Records Transmittal Receipt, via the CRM. Refer to appendix A, References, [CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures](#), for instructions to complete the SF 135. Refer to [appendix P](#), RMO Form 05, Records Relocation and Transfer Checklist, for details on preparing for transfer or relocation of records.

(3) Destruction. Destroy records in accordance with the disposition schedule, appendix A, References, [CJCSM 5760.01A, Vol. II, Joint Staff and Combatant Commands Records Management Manual-Disposition Schedule](#). For classified and special categories of records, insure to follow the destruction guidance in accordance with the directives that cover those

records. Refer to [appendix Q](#), RMO Form 08, Records Destruction Certificate, for detail instructions and documentation procedures.

Note: Refer to [appendix R](#), RMO Form 07, Create, Maintenance, and Disposition Guidance/Checklist for detail procedures.

d. Email. Volumes of e-records are created and received via email systems such as Microsoft (MS) Outlook and these e-records must be properly maintained and disposed of.

(1) Temporary email records with disposition of less than 6 months or 180 days may be retained on MS Outlook and must be separated from non-records material.

(2) Temporary email records with disposition of more than 6 months or 180 days must be filed in the appropriate record series under the “02-Active” to include all the enclosures, attachments, appendices, etc.

e. Social Media. Principals/special staffs with approved Social Media and/or Web 2.0 accounts (Facebook, Twitter, internet, etc.) with e-records must move e-records to the appropriate records series in the e-records repository labeled “02-Active.”

f. Vital Records. Vital Records are any recorded information, regardless of format (physical, electronic, paper, microfilm, diskette, magnetic tape, optical disk, etc.) that must be protected in the event of an emergency because of the severe consequences to USFK and its personnel as a whole if the record were to be lost or destroyed. Emergency Operating Vital Records are filed under records series 0500-04O, C2, Operations, Planning, and Exercises, Emergency Planning. Appendix A, References, [Title 33 Code of Federal Regulations, Part 1223, Managing VR](#), is the prescribing directive which requires that all Federal agencies establish a VR program to enable an agency to accomplish two major objectives; (i) conduct its business under other than normal operating conditions and to resume normal business afterward; and (ii) enables agency officials to identify and protect the most important records dealing with the legal and financial rights of the agency and of persons directly affected by the agency's actions.

Note: Records Custodians serve as VR coordinators and implement the VR program for office of records under their purview, including preparing the inventory and working with office staff to ensure records are protected. Records Custodians may also have to compile information, such as a list of lock combinations.

(1) Two Categories of VR: Emergency Operating and Rights and Interests.

(a) Emergency Operating.

- Emergency preparedness plans.
- Orders of succession.
- Delegations of authority.
- Emergency staffing assignments.
- Emergency operations center access credentials and classified or restricted access container documentation.

- Building plans and building systems ops manuals and equipment inventory.
- File plans describing the records series and electronic info systems (EIS).
- VR inventories.
- Copies of program records needed to carry out continuing critical functions.
- System backups.
- System documentation for any EIS designated as emergency-operating records.

(b) Rights and Interest.

- Accounts-receivable records.
- Social security records.
- Payroll records.
- Retirement records.
- Insurance records.
- Any records relating to contracts, entitlement, leases, or obligations whose loss would pose a significant risk to the legal and financial rights of the Federal Government or persons directly affected by its actions.
- System documentation for any electronic information systems designated as records needed to protect rights.

(2) Five (5) Steps to Identifying, Inventorying, and Protecting VR. The immediate question that needs to be addressed, *“Are these records vital to continuing USFK’s mission of protecting the Korean peninsula against external aggression and USFK personnel rights and interest?”* Two other questions must also be addressed: (1) Can the critical information be accessed from an office to perform its key functions in the case of an emergency? and (2) Does the office have contingency plans in place for protecting its VR in the case of a disaster?

(a) Step 1. Identify the office’s VR. The first thing to do is to review the information and records maintained in the office and determine which information and records would be needed in an emergency. There are three tiers of VR protection. Tier 1 protects those records necessary in the first few hours of a crisis. Tier 2 records are necessary to respond to the emergency at hand. These records involve only that work which is necessary to handle the crisis. It is assumed that no day-to-day work will be done until the building is reopened or complete access to the information and records. Tier 3 records involve activities which are the most critical to the Agency mission. This assumes that the records are completely inaccessible for a prolonged period of time and the few most critical activities will need to be continued off-site without interruption. Here are some examples:

- Tier 1. Those records necessary in the first few hours of a crisis (records that may be needed immediately):

- Emergency preparedness plan (such as Continuity of Operations [COOP]).
- Emergency telephone tree.
- Delegations of authority.
- Security clearance roster.
- Office evacuation blueprints and maps (so emergency workers will know where they are going).
- Policy for talking to the media.
- Copy of VR inventory.

Note: Many of these records will be included in the office's COOP plan. For this reason, they are also known as "COOP VR."

- Tier 2. Those records necessary to respond to an emergency. These records involve only that work which is necessary to handle the crisis; it is assumed that no day-to-day work will be done until the building is reopened, and/or there is complete access to the records:

(Records that may be needed to respond to the crisis)

- System manuals for critical electronic databases and LANs.
- Regulatory information (e.g., copies of regulations or data on air quality, etc., so important environmental monitoring work can continue).

(Records that may be needed to provide employee benefits)

- Personnel records for all employees, including medical records.
- Time and attendance records.

(Records that may be needed to get back into the office)

- Combinations and/or keys to get into locked areas.
- Records recovery information (e.g., phone numbers of salvage companies).

- Tier 3. Those records involving specific activities that are the most critical to USFK's mission. This assumes that the normal USFK records are unavailable for a prolonged period of time due to an emergency that causes long-term displacement of personnel and equipment from the work site to a new operating location. Most of the day-to-day work in this catastrophic situation would need to be recreated. Any program-specific records on activities that are deemed to be of critical importance, in which case the work cannot be interrupted, even if, as in the worst case, the building has been destroyed and all of the USFK records are lost. The determination of tier three records must be made by each office.

Note: If an office decides that none of their work rises to this level of importance, there will be no tier three records. Any records deemed necessary in supporting the office's essential functions should be a part of the office's set of VR.

The acid test for VR is as follows (for each record thought to be vital, ask):

- Can office's Agency critical work continue without record?
- Can the record be found elsewhere or reconstructed?
- Is it already protected elsewhere? (See step 3.)
- Is it considered unique and irreplaceable?

(b) Step 2. Prepare an inventory of VR. Next, prepare a listing, or inventory, of the records identified in Step 1. Decide who needs to have copies and establish a procedure to ensure the inventory is updated and sent to the appropriate people. Everyone's cooperation is needed when preparing the inventory. It is necessary for the following people to be involved:

- Records Custodians serve as VR coordinators and implement the VR program office of records under their purview, including preparing the inventory and working with office staff to ensure records are protected. Records Custodians may also have to compile information, such as a list of lock combinations. The RC must complete an Inventory/File Plan Datasheet and submit to the USFK RMO for approval prior to completing a VR Protection Plan ([Appendix S](#), Vital Records Protection Plan and Checklist).

- Management makes a VR program a priority as quickly as possible. This includes revising priorities of the staff to allow time to implement the program.

- Database Managers and LAN Administrators ensure electronic systems in their control are regularly backed up and accessible in an emergency. This may require storing copies and equipment to read the copies offsite.

- Staff must be as cooperative as possible and assist where needed.

(c) Step 3. Records Custodians determine how the records will be protected. Once the vital records for each office of records are identified and located, the RC needs to determine how to protect them. There are two basic choices: (1) duplicate them and store them offsite; or (2) collect them from other sources and recreate them. The following is a list of questions to assist the RC in making a decision.

- Can these records be found in locations other than this office and geographic location (e.g., alternate operating location for contingencies and exercises or subordinate organization)?

- Is the information contained in these records available in an electronic system or database (e.g., Electronic Joint Manpower and Personnel System or EJMAPS)?

- What is the most cost effective manner to recreate these VR (e.g., storage on compact disks, photocopying, collecting them from another agency)?

- Do these records contain any sensitive information (e.g., PA, PII) which would require special handling?
- How often does the information need to be updated and who will be responsible for updating it?

Note 1: When duplicating information, use electronic media whenever possible since the cost to reproduce and store information electronically will be less than duplicating and storing paper. It is also critical to have a backup in case the primary electronic system fails. This can be accomplished by copying onto CD-ROMs.

Note 2: However, electronic media does have some potential pitfalls. Here are some issues to consider: (i) Migrate information to new media when software and hardware changes. Records which cannot be read with existing equipment are useless and (ii) Test the information once it is copied to be sure there are no errors. If there was an error when it was copied, waiting until trying to recover from a disaster is the wrong time to find out.

(d) Step 4. Designate an offsite storage location to store duplicates. Here are some things to consider when selecting a location:

- 30 miles is considered sufficiently close for access, but far enough away so that the records will not be vulnerable for most emergencies.

- Emergency preparedness or continuity plan (non-record) can be stored in a manager's home as long as telework is approved by the organization's authorized official. Additionally, the continuity plan, to include associated information, and information systems used during telework activities must be protected according to organization and government standards. However, it is important that another copy be stored in the central location for off-site storage (minimum of 30 miles from primary site). This will allow access to the record if the manager is not available. Refer to annex G of the [Federal Continuity Directive 1, Federal Executive Branch National Continuity Program and Requirements, October 2012](#).

- Other COOP relocation offices (HQ, alternate site location for contingencies/exercises, or subordinate organizations), as well as the local Federal Records Center or commercial offsite storage, may be appropriate choices.

- Equipment may be needed (e.g., computers, microfilm readers) to read the records.

- The records will need to be immediately accessible; therefore, they should be stored as close to the facility for emergency off-site operations as possible. Commercial storage allows immediate access to the records at all times, which may not be possible at a government facility.

(e) Step 5. Protect the records. Finally, once a decision is made on how the records are to be protected, add the information to the inventory. The inventory should show:

- The method of protection (e.g., photocopies).
- How often the records are updated (rotation schedule) and who does it.

- Contact information if the records are to be collected from other locations.

Note 1: Records should be updated as often as possible. Consider the risk to the recovery effort if the information is out of date. Consider the cost of keeping it updated.

Note 2: Ensure that any other documents that contain information related to the office's VR program, such as the office's COOP, reflect the most updated VR program-related information.

Note 3: Create a resource list of disaster recovery firms for the geographic area and update the information at least annually.

Note 4: Do not forget to test the plan to be sure the recovery runs smoothly. Include drills on using the equipment, supplies, and procedures for VR recovery.

Appendix A References

[Title 44, United States Code, Chapter 31, Section 3101, Records Management by Federal Agencies, 22 October 1968](#)

[Title 36, Code of Federal Regulations, Part 1223, Managing VR, 1 May 2015](#)

[Title 36, Code of Federal Regulations, Chapter XII, Subchapter B, Part 1236, 1 May 2015](#)

[M-12-18, Presidential Memorandum, Managing Government Records Directive, 24 August 2012](#)

[M-14-16, Presidential Memorandum, Guidance on Managing Email, 15 September 2014](#)

[Federal Continuity Directive, Federal Executive Branch National Continuity Program and Requirements, October 2012](#)

[DoDD 5015.2, Department of Defense Records Management Program, 6 March 2000](#)

[DoD 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard, 25 April 2007](#)

[CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command Records Management Manual, Procedures, 7 February 2008](#)

[CJCSM 5760.01A, Vol. II, Joint Staff and Combatant Commands Records Management Manual, Disposition Schedule, 13 July 2013](#)

[USPACOMINST 0923.01. U.S. PACOM Records Management Program, 22 June 2012](#)

**Appendix B
Sample Principal Records Officer & Records Custodian Designation Letters**

B-1. Sample Principal Records Officer Designation Letter



HEADQUARTERS, UNITED STATES FORCES KOREA
UNIT #15237
APO AP 96205-5237

FKXX

DD Mmm YY

MEMORANDUM FOR FKDS RECORDS MANAGEMENT OFFICE

SUBJECT: PRINCIPAL RECORDS OFFICER (PRO) DESIGNATION LETTER

1. Per USFKR 923.1, USFK Records Management Program, paragraph 2-2c(4), the following individuals are appointed as the primary PRO and alternate PRO:

Primary: Name Grade / Rank / Room Phone # / Office Code / DEROS

Alternate: Name Grade / Rank / Room Phone # / Office Code / DEROS

2. Per USFKR 923.1, USFK Records Management Program, paragraph 2-2f., both primary and alternate PRO will conduct duties identified at Enclosure.

3. Questions can be directed to POC at 72X-XXXX or Email.

Encl
PRO Responsibilities

Principal/Deputy/Div or Br Chief or equivalent
Signature Block

cc:
Offices identified in the letter

B-2. Sample Records Custodian Designation Letter

FKXX

DD Mmm YY

MEMORANDUM FOR FKDS RECORDS MANAGEMENT OFFICE

SUBJECT: RECORDS CUSTODIAN (RC) DESIGNATION LETTER

1. Per USFKR 923.1, USFK Records Management Program, paragraph 2-2c(4), the following individuals are appointed as the Primary and Alternate RC:

Primary: Name Grade / Rank / Room Phone # / Office Code / DEROS

Alternate: Name Grade / Rank / Room Phone # / Office Code / DEROS

2. Per USFKR 923.1, USFK Records Management Program, paragraph 2-2h., both primary and alternate RC will conduct duties identified at Enclosure.

3. Questions can be directed to POC at 72X-XXXX or Email.

Encl
RC Responsibilities

Principal/Deputy/Div or Br Chief or equivalent
Signature Block

cc:
Offices identified in the letter

Appendix C
RMO Form 11, Records Management (RM) Assessment Checklist

Records Management (RM) Assessment Checklist			
ORG/OFF SYMBOL:		RECORDS CUSTODIAN (RC):	PHONE:
PURPOSE: To assist RC with complying with RM and preparing their office of record for staff assistance visits from higher headquarters. Form available at USFK Records Management SharePoint site under "Records Management, Main, Forms": https://8a.korea.army.mil/sites/USFK/COS/RecM/Forms/FormRMO11RMAssessChecklist.pdf			
REF: USFKR 923.1 , CJCSM 5760.01A, Vol. 1 , DoDD 5400.11 & DoD 5400.11R			
CHECKLIST			
1. Administrative			Yes No
a. Is there a current appointment letter filed in records series 0900-06N, Additional Duty, Design., Deleg. of Authority? <i>Para 2-2.e.(4)</i>			<input type="checkbox"/> <input type="checkbox"/>
b. Has RC conducted an annual RM assessment and filed in records series 0900-03C, Records Management? <i>Para 2-2.h.(5)</i>			<input type="checkbox"/> <input type="checkbox"/>
c. Has RC completed RMO Form 06, Entrance/Exit Interview, for newly assigned and departed personnel? <i>Para 2-2.h.(7)</i>			<input type="checkbox"/> <input type="checkbox"/>
d. Is RC maintaining a copy of RMO Form 06 & ensuring that the original is filed in individual's personnel file folder? <i>Para 2-2.h.(7)</i>			<input type="checkbox"/> <input type="checkbox"/>
e. Is RC conducting annual (at end of fiscal year) purge of non-record material? <i>Para 2-2.h.(9)</i>			<input type="checkbox"/> <input type="checkbox"/>
2. Training			Yes No
a. Has RC (including alternate RC) received USFK RM Training? <i>Para 2-2.b.(10)</i>			<input type="checkbox"/> <input type="checkbox"/>
b. Has RC provided training to personnel under his/her purview or office of record and documenting the date of training? <i>Para 2-2.h.(8)</i>			<input type="checkbox"/> <input type="checkbox"/>
c. Has RC trained Records Users (RU) under his/her purview on the proper procedures for saving records? <i>Para 2-2.h.(8)</i>			<input type="checkbox"/> <input type="checkbox"/>
3. Inventory/File Plan			Yes No
a. Has the approved inventory file plan datasheet been completed & filed under the folder "01-FilePlan"? <i>Para 2-3.a.(2)</i>			<input type="checkbox"/> <input type="checkbox"/>
b. Has the approved file plan been filed in the e-records repository folder "01-FilePlan"? <i>Para 2-3.a.(2)</i>			<input type="checkbox"/> <input type="checkbox"/>
c. Has RC familiarized all personnel under his/her purview with the location and use of the file plan? <i>Para 2-2.h.(8)</i>			<input type="checkbox"/> <input type="checkbox"/>
d. Is Joint Staff (JS) Form 30, JS RM Survey completed and on file for unscheduled records? <i>CJCSM 5760.01A, Vol I, Para 4.b.(1)(b)</i>			<input type="checkbox"/> <input type="checkbox"/>
e. If applicable, does Vital Records (VR) have a VR Protection Plan? <i>Para 2-3.e.</i>			<input type="checkbox"/> <input type="checkbox"/>
(1) Are VR backed up & located in another location no closer than 30 miles from current location? <i>Para 2-3.f.(2)(d)</i>			<input type="checkbox"/> <input type="checkbox"/>
(2) Are VR updated as often as possible? <i>Para 2-3.f., Note 1</i>			<input type="checkbox"/> <input type="checkbox"/>
4. E-directory (E-records Repository)			Yes No
a. Is the e-records repository set up with the appropriate access controls (full control for RC & read-only for all others)? <i>Para 2-3.b.(2)</i>			<input type="checkbox"/> <input type="checkbox"/>
b. Are e-records repositories set up properly on both NIPR & SIPR? <i>CENTRIX-K should not hold USFK e-records. Para 2-3.a.(3)</i>			<input type="checkbox"/> <input type="checkbox"/>
5. Creation/Receipt			Yes No
a. Physical records:			<input type="checkbox"/> <input type="checkbox"/>
(1) Are containers, drawers, binders, guide cards, & folder properly labeled? <i>Para 2-3.a.(4)</i>			<input type="checkbox"/> <input type="checkbox"/>
(2) Are file codes placed at the top-right corner of physical records? <i>Example: File 0900-06N. Para 2-2.c.(4)</i>			<input type="checkbox"/> <input type="checkbox"/>
b. E-records:			<input type="checkbox"/> <input type="checkbox"/>
(1) Are naming conventions applied to e-records? <i>Para 2-3.a.(5)(b)</i>			<input type="checkbox"/> <input type="checkbox"/>
(2) Have temporary e-records been saved as a "PDF"? <i>Para 2-3.a.(3)</i>			<input type="checkbox"/> <input type="checkbox"/>
(3) Have permanent e-records been saved as a "PDF A/1"? <i>Para 2-3.a.(3)</i>			<input type="checkbox"/> <input type="checkbox"/>
(4) Has RC moved e-records meeting inactive criteria into the "03-Inactive" folder? <i>Para 2-3.b.(3)(b)</i>			<input type="checkbox"/> <input type="checkbox"/>
(5) Have official e-records residing in approved Social Media (Facebook, Twitter, internet, etc.) been moved to appropriate record series on e-records repository? <i>Para 2-3.e. NOTE: Normally, USFK Public Affairs have approval.</i>			<input type="checkbox"/> <input type="checkbox"/>
6. Maintenance/Use			Yes No
a. Are storage of records both physical and electronic (including email records) filed in an approved storage container, server, or device designated as the official records (includes e-records) repository? <i>Para 2-3.b.(1) & CJCSM 5760.01A, Vol I, Encl A, subpara 1.</i>			<input type="checkbox"/> <input type="checkbox"/>
b. Are active and inactive paper/hardcopy files stored in an area safe from environmental dangers (water, fire, insects, etc.) with appropriate temperature and humidity controls? <i>CJCSM 5760.01A, Vol I, Encl A, subpara 2.a.</i>			<input type="checkbox"/> <input type="checkbox"/>
c. Are active & inactive audiovisual records and records on electronic storage devices (CDs, DVDs, Floppy diskettes, external hard drives, etc.) stored physically apart from paper files with appropriate temperature and humidity controls, periodically reviewed for obsolescence, and if needed, migrated to new storage media? <i>CJCSM 5760.01A, Vol I, Encl E, subpara 16; Encl F, subpara h, 1-3; Encl B, subpara 2.</i>			<input type="checkbox"/> <input type="checkbox"/>
d. Privacy Act (PA) & Personally Identifiable Information (PII):			<input type="checkbox"/> <input type="checkbox"/>
(1) Are Physical PA & PII records protected so that the security & confidentiality of the info preserved? <i>DoDD 5400.11, Encl 2, para a.</i>			<input type="checkbox"/> <input type="checkbox"/>
(2) Are e-records password protected & access controlled for those having a need-to-know? <i>DoD 5400.11R, C6.3.10.3</i>			<input type="checkbox"/> <input type="checkbox"/>
e. Email: Are email records saved in the appropriate manner to include all encl., atch., appendices, etc.?			<input type="checkbox"/> <input type="checkbox"/>
(1) Are temporary email records less than 6 months/180 days retention may retained on Microsoft (MS) Outlook, but separated from non-record material? <i>NOTE: Does not have to be saved in Adobe Portable Document Format (PDF) Para 2-3.d.(1)</i>			<input type="checkbox"/> <input type="checkbox"/>
(2) Are temporary email records more than 6 months/180 days retention filed in the appropriate record series under the "02-Active" folder & saved in PDF? <i>Para 2-3.d.(2)</i>			<input type="checkbox"/> <input type="checkbox"/>
(3) Are permanent email records filed in the appropriate record series under the "02-Active" folder & saved in PDF A/1? <i>Para 2-3.d.(3)</i>			<input type="checkbox"/> <input type="checkbox"/>
f. Personal Papers:			<input type="checkbox"/> <input type="checkbox"/>
(1) Are personal papers maintained separately from official records? <i>CJCSM 5760.01A, Vol I, Encl B, subpara 2.d.</i>			<input type="checkbox"/> <input type="checkbox"/>
(2) When matters of official business are included in personal correspondence, is the portion concerning official business extracted and made part of the official records? <i>CJCSM 5760.01A, Vol I, Encl B, subpara 2.d.</i>			<input type="checkbox"/> <input type="checkbox"/>
g. Are charge out forms or equivalent electronic means used for checking out a record (physical and electronic)? <i>NOTE: May use a DD Form 2861, Cross-Reference, in place of the record being checked out. Para 2-3.b.(3)</i>			<input type="checkbox"/> <input type="checkbox"/>
7. Disposition (Litigation/Transfer/Destruction)			Yes No
a. Have records on litigation been properly maintained until written authorization from higher headquarters is received? <i>Para 2-3.c.(1)</i>			<input type="checkbox"/> <input type="checkbox"/>
b. Has proper documentation (SF 135/SF 258) been completed for transfer & retirement of records? <i>CJCSM 5760.01A, Vol I, Encl E.</i>			<input type="checkbox"/> <input type="checkbox"/>
c. Has RMO 08, Records Destruction Certificate, been completed and approved by USFK CRO? <i>Para 2-3.c.(3)</i>			<input type="checkbox"/> <input type="checkbox"/>
DOCUMENTATION			
DATE OF ASSESSMENT BY RC:	RC SIGNATURE	DATE OF ASSESSMENT BY CRO:	CRO SIGNATURE

RMO FORM 11, Records Management Assessment Checklist, 201501

**Appendix D
RMO Form 06, Records Entrance & Exit Interview**

Records Entrance & Exit Interview		
<p>Purpose: To ensure that all United States Forces Korea (USFK) employees (military, Federal civilians, contractors, and Korean Nationals) are aware of their responsibilities in the creation, maintenance, and disposition of USFK and U.S. Government official records upon their assignment to and departure from USFK.</p>		
<p>Authority: Title 36 Code of Federal Regulation, Part 1220, Subchapter B, Records Management.</p>		
<p>Policy: It is the policy of USFK to ensure that all employees assigned, attached, or temporarily assigned understand their responsibilities when creating, maintaining, and disposing of records. The entrance/exit interviews shall be conducted within 10 days of assignment or 10 days prior to departure by the unit's Records Custodian (RC) and ensure that the interview form is filed in the individual's personnel file.</p>		
<p>Enforcement: Any individual who willfully or unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or, with intent to do so takes and carries away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined under this title or imprisoned not more than three years, or both (Title 18 United States Code, Section 2071).</p>		
<p>Objectives:</p> <ul style="list-style-type: none"> • To ensure that all records are created, maintained, and disposed of in accordance with USFK, USPACOM, Joint Staff, Department of Defense, and Federal directives; • To ensure that records are not erroneously disposed or removed from USFK; 		
<p>Procedure:</p> <ol style="list-style-type: none"> 1. Arrival/Departure. When an employee is assigned (permanent or temporary) or scheduled to depart USFK, the supervisor must schedule an entrance/exit interview for the employee with the unit's RC. 2. Interview/Signature. Within 10 days of assignment or 10 prior to departure of the employee, the RC must conduct an entrance and exit interview. Upon completion of interview, the interviewee or employee will sign and date the form and provided a copy. 3. File. The RC will ensure that the interview form is filed and a copy provided to the applicable Service Element (Air Force Element, Support Troop Battalion, etc.), Civilian Personnel, or contractor sponsor. 		
Employee's Name:	Rank:	Category (MIL, CIV, CONT, or KLN):
Organization:	Office:	
Arrival Date:	Departure Date:	
<p>Entrance Interview:</p> <p>I understand my responsibilities when creating, maintaining, and disposing of records in accordance with USFK, USPACOM, Joint Staff, Department of Defense, and Federal directives.</p> <p>Employee's Signature: _____ Date: _____</p>		
<p>Exit Interview:</p> <p>1. Do you possess any USFK/Federal records (Initial by choice)? YES: <input type="checkbox"/> NO: <input type="checkbox"/> If YES, provided authorization.</p> <p>2. I acknowledge that my statement is true to best of my knowledge and do not possess any USFK/Federal records.</p> <p>Employee's Signature: _____ Date: _____</p>		
See Reverse for Explanation of Terms		

EXPLANATION OF TERMS REFERENCED IN INTERVIEW FORM

Office of Record is the administrative unit within which records are created or received and accumulated in the course of its principal activity.

Record is 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.

Records creation means the production or reproduction of any record.

Records Custodian (RC) is the individual appointed to perform records management functions of an office of record.

Records disposition means any activity with respect to:

- (1) disposal of temporary records no longer necessary for the conduct of business by destruction or donation;
- (2) transfer of records to Federal agency storage facilities or records centers;
- (3) transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation; or
- (4) transfer of records from one Federal agency to any other Federal agency.

Records maintenance and use means any activity involving:

- (1) location of records of a Federal agency;
- (2) storage, retrieval, and handling of records kept at office file locations by or for a Federal agency;
- (3) processing of records by a Federal agency; or
- (4) selection and utilization of equipment and supplies associated with records and copying.

Records Management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions, and effective and economical management of the agency operations.

Appendix E
RMO Form 02, Records Inventory & File Plan Checklist

Records Inventory & File Plan Checklist																																														
SECTION I – GENERAL INFORMATION																																														
Org/Off Sym:	Chief Office of Records (COR):																																													
Records Custodian (RC):	Phone:																																													
<p>Purpose. To assist COR & RC in identifying records and creating a file plan. The two documents are used to complete the records inventory and file plan: (1) Identifying Records Created and Received by Office of Records and (2) Inventory/File Plan Datasheet. Both RMO Form 01 and Inventory & File Plan Datasheet are available at the USFK Records Management SharePoint site under the "Records Management, Main, Forms": https://8a.korea.army.mil/sites/USFK/COS/RecM/Forms/FormRMO02RecordsInventoryChecklist.pdf</p>																																														
SECTION II - CHECKLIST																																														
1. PREINVENTORY (COMPLETE RECORDS ID FORM)			Yes No NA																																											
a. Subject: Has the type of files/records created or received been identified?																																														
b. Authority: Has the authority, regulation, task, etc. directing these type of files/records been identified?																																														
c. Has the length of retaining the files/records been identified?																																														
d. OPR: Was the Office of Primary Responsibility been identified?																																														
e. Has the form of storage files/records been identified? (Hardcopy, Electronic, or both)																																														
2. INVENTORY/FILE PLAN DATASHEET (SCHEDULE/DISPOSITION)			Yes No NA																																											
a. Selected/Typed YES in the "Add To File" field for those records created/received/maintained?																																														
<table border="1"> <thead> <tr> <th>A</th> <th>B</th> <th>C</th> <th>D</th> <th>E</th> </tr> <tr> <th>Add To FP</th> <th>Date Prepared</th> <th>Schedule No</th> <th>Type</th> <th>Series Title</th> </tr> </thead> <tbody> <tr> <td>Yes</td> <td>29-Oct-14</td> <td>0200-02A</td> <td>Temp</td> <td>0200 Series Bucket – Personnel / Payroll</td> </tr> </tbody> </table> <p>Type "YES" for items to add to the file plan (FP).</p>				A	B	C	D	E	Add To FP	Date Prepared	Schedule No	Type	Series Title	Yes	29-Oct-14	0200-02A	Temp	0200 Series Bucket – Personnel / Payroll																												
A	B	C	D	E																																										
Add To FP	Date Prepared	Schedule No	Type	Series Title																																										
Yes	29-Oct-14	0200-02A	Temp	0200 Series Bucket – Personnel / Payroll																																										
b. Have all the "Yellow Highlighted" fields been completed? NOTE: Don't leave the "Yellow Highlighted" fields empty (See reverse side of checklist for complete fields).																																														
<table border="1"> <thead> <tr> <th>J</th> <th>K</th> <th>L</th> <th>M</th> <th>N</th> <th>O</th> <th>P</th> <th>Q</th> <th>R</th> <th>S</th> </tr> <tr> <th>Cutoff Length</th> <th>Cutoff</th> <th>Org</th> <th>Office</th> <th>Point of Contact</th> <th>Phone No</th> <th>Principal Records Ofcr (PRO)</th> <th>Records Custodian (RC)</th> <th>RC Phone No</th> <th>Inclusive Dates</th> <th>Medium</th> </tr> </thead> <tbody> <tr> <td>Destroy/Retain 3 years after cutoff.</td> <td>30-Sep</td> <td>USFK</td> <td>FPDC</td> <td>Akhoff, Katherine SSgt</td> <td>723-7239</td> <td>Akhoff, Katherine SSgt</td> <td>Akhoff, Katherine SSgt</td> <td>723-7239</td> <td></td> <td>Electronic</td> </tr> <tr> <td>Destroy/Retain no less than 7 years and no more than 7 years.</td> <td>30-Sep</td> <td>USFK</td> <td>FPDC</td> <td>Akhoff, Katherine SSgt</td> <td>723-7239</td> <td>Akhoff, Katherine SSgt</td> <td>Akhoff, Katherine SSgt</td> <td>723-7239</td> <td></td> <td>Electronic</td> </tr> </tbody> </table> <p>Type the start point of the cutoff. Example: FY2014 (Cutoff is 30 Sep) or CY2014 (Cutoff is 31 Dec) or annually, JAN/FEB etc. for months (Cutoff is end of month).</p> <p>Type the office symbol of the office of record. Example: FKJ, FKJ6, FKPA, etc.</p> <p>Type the last name, first name, and rank of individual in charge of records. Example: Doe, John GS12 or Jones, Jane MAJ</p> <p>Type the 7-digit phone number of the POC.</p> <p>Type the last name, first name, and rank of the Principal Records Officer (PRO). Example: Doe, John GS12 or Jones, Jane MAJ</p> <p>Type the 7-digit phone number of the RC. Example: Doe, John GS12 or Jones, Jane MAJ</p> <p>Type the medium record is stored on: Electronic Paper Electronic/Paper Audiovisual Microfilm Other</p>				J	K	L	M	N	O	P	Q	R	S	Cutoff Length	Cutoff	Org	Office	Point of Contact	Phone No	Principal Records Ofcr (PRO)	Records Custodian (RC)	RC Phone No	Inclusive Dates	Medium	Destroy/Retain 3 years after cutoff.	30-Sep	USFK	FPDC	Akhoff, Katherine SSgt	723-7239	Akhoff, Katherine SSgt	Akhoff, Katherine SSgt	723-7239		Electronic	Destroy/Retain no less than 7 years and no more than 7 years.	30-Sep	USFK	FPDC	Akhoff, Katherine SSgt	723-7239	Akhoff, Katherine SSgt	Akhoff, Katherine SSgt	723-7239		Electronic
J	K	L	M	N	O	P	Q	R	S																																					
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c. After completion of datasheet, has the RC emailed it to the Records Mgmt Office (RMO)? Email: john.b.palomo.civ@mail.mil IMPORTANT NOTE: All records identified that are not on the datasheet (not having an approved disposition) will be set aside for a later date to be approved using the SF 115, Disposition of Federal Records.																																														
3. FILE/PLAN			Yes No NA																																											
a. Did the RMO review and approve the file plan?																																														
b. Was the approved file saved as a "pdf"?																																														
c. Did the RMO emailed the RC the approved file plan?																																														
d. Did the RC post the approved file plan in the "01-FilePlan" folder?																																														

RMO FORM 02, Records Inventory and File Plan Checklist, 201501 (Supersedes Previous Form)

INSTRUCTIONS FOR INVENTORY AND FILE PLAN DATASHEET

A	B	C	D	E	F	G	H	I			
Add to File Plan	Date Prepared	Schedule No	Type	Series Title	Series Description	File/Label Title	Series Location	Cutoff Length			
Yes	29-Oct-14	0200-02A	Temp	0200 Series Basket - Personnel Payroll	A. General Personnel Correspondence - Correspondence, reports, memorandums, and other records relating to the general administration and operation of civilian and military personnel functions, including records specifically described elsewhere in this schedule and records maintained at agency staff planning levels maintained by agency personnel function as the official record copy.	General Personnel Correspondence	Nixr Shared Drive	Destroy/Delete 3 years after cutoff.			
Yes	29-Oct-14	0200-03Z	Temp	0200 Series Basket - Personnel Payroll	1. Leave and Attendance Records 2. Time and Attendance Records 3. Leave input data is based, such as time or sign in sheets, time cards (such as DF 1103), leaving records, leave applications (or log) and military duty and authorized premium pay or overtime that are authorized and approved and recorded on a time card.	For Physical (Hardcopy): Bldg #, Rm #, Cabinet #, and Drawer #	Time Keeper 3-KTAM	Destroy/Delete no less than 7 years and no more than 10 years after cutoff.			
Cutoff Length		J	K	L	M	N	O	P	Q	R	S
Destroy/Delete 3 years after cutoff.		30-Sep	USFK	FKDC	Althoff, Katherine SSGT	723-5238	Althoff, Katherine SSGT	Althoff, Katherine SSGT	723-5238		Electronic
Type the start point of the cutoff. Example: FY2014 (Cutoff is 30 Sep) or CY2014 (Cutoff is 31 Dec) for annually, JAN, FEB, etc. for monthly (Cutoff is end of month).		Type the office symbol of the office of records. Examples: FKJ1, FKJ6, FKPA, etc.		Type the last name, first name, and rank of individual in charge of records. Example: Doe, John GS12 or Jones, Jane MAJ		Type the last name, first name, and rank of the Principal Records Officer (PRO). Example: Doe, John GS12 or Jones, Jane MAJ		Type the last name, first name, and rank of the Records Custodian (RC). Example: Doe, John GS12 or Jones, Jane MAJ		Type the medium record is stored on: Electronic Paper Electronic/Paper Audiovisual Microfilm Other	
T	U	V	W	X	Y	Z	AA	AB	AC	AD	
Reference Activity	Arrangement	Vital Records Status	Vital Records Type	Priority	Duplication	Duplication Location	Volume	Finding Aids (if any)	Annual Accumulation	Classification	
Semi-current	Alphabetical by name	Is it a Vital Record? YES or NO	Type the Vital Records Type: Emergencies-Operating Fights Both NA	1-NA 2-NA 3-NA	Is it a duplicate? YES or NO	1-NA 2-NA 3-NA 4-NA	1-NA 2-NA 3-NA 4-NA	1-None 2-None 3-None 4-None	1-None 2-None 3-None 4-None	Unclassified	
Type to Frequency of usage: Current, Semi-current, or Non-current. Current = at least once a month per file unit. Semi-current = less than once a month per cutoff. Non-current = not used for current agency business.		1-Vital: Records essential to the continued life of the business. These records are irreplaceable because they give evidence of legal status, ownership, and financial status. VR are generally housed in active records storage. 2-Essential: Records necessary to the continued life of the business. While these records can be replaced or produced, this can be done only at considerable cost in time and money. Important records may be housed in either active or inactive storage. 3-Useful: Records useful to the uninterrupted operation of the business. These records are replaceable, although their loss could cause temporary inconvenience. 4-Nonessential: Records have no present value; should be destroyed.		Type the initial volume size when inventorying records: Cubic feet for physical (hardcopy) and bytes for digital (softcopy). List any finding aids to locate or retrieve the record. Example, microfilm equipment or a special search device.							
AA	AD	AE	AF	AG	AH	AI	AJ	AK	AL		
Annual Accumulation	Classification	Restrictions	Condition of Permanent Records	Comments on Condition	Disposition Authority (DA)	DA List	Litigation	Privacy Act	SORN		
Unclassified	Unclassified	yes	Good, Fair or Poor	NONE	YES	NA	No	Yes			
Type the annual accumulation in cubic feet for physical (hardcopy) and byte size for digital (softcopy).	Type any restrictions and reference the directive authority.	Type Condition of Records: Good, Fair or Poor	If applicable, type comments on condition of records.	Does it have a schedule and lie in GCSM 5260.01A Vol II? YES or NO	Is answer is "NO" for DA, type brief justification. NA if answer is "YES" for DA.	Is it under litigation? YES or NO	Is it Privacy Act? YES or NO				
RC SIGNATURE / DATE:					CRO SIGNATURE / DATE:						

Appendix G

Sample File Plan, USFK Files Maintenance and Disposition Plan

USFK FILES MAINTENANCE AND DISPOSITION PLAN				Total Files: 41	OFFICE OF RECORDS FKDS		
Principal Records Ofc (PRO): Wirth, Bruce R., SSG		Records Custodian (RC) Wirth, Bruce R., SSG					
Date Prepared: 07-Apr-14		Authority: CJCSM 5760.01 A Vol. I and CJCSM 5760.01A Vol. II					
SERIES NO.	TITLE (TYPE)	ARRANGEMENT	LOCATION	DISPOSITION	VR	PA	PR
0300-01A	Physical Security Container Information (Temp)	Chronological	NIPR Shared Drive	After 6 months.	No	<input type="checkbox"/>	3
Forms placed on safes, cabinets, or vaults containing security classified documents that record opening, closing, and routine checking of the security of the container such as locking doors and windows and activating alarms including such forms as SF 701 (Activity Security Checklist), SF 702 (Security Container Check Sheet), and Secure Telephone Unit III data and keys maintained by any JS/CCMD activity.							
0300-01B	Security Inspections and Audits (Temp)	Chronological	NIPR Shared Drive	After 6 months.	No	<input type="checkbox"/>	3
Automated Information System (AIS) Audit records, consisting of: AIS Security Officer or Terminal Area Security Officer weekly audit records of audit actions performed on all AIS as required by applicable policy maintained by any JS/CCMD activity.							
0300-02A	Security Administrative Correspondence (Temp)	Chronological	NIPR Shared Drive	Destroy/delete 3 years after cutoff.	No	<input type="checkbox"/>	3
Correspondence, reports, and other records relating to the administration of security classification, control, and accounting for classified documents, including files relating to administration and operation of the facilities security and protective service program maintained by any JS/CCMD activity.							
0300-02B	Document Receipt (Temp)	Chronological	NIPR Shared Drive	Destroy/delete 3 years after cutoff.	No	<input type="checkbox"/>	3
Forms reflecting the issue of and receipt for documents classified SECRET and below only, consisting of: JS Forms 14, 47, and 74, or any other substitute form or record used for this purpose. Also includes material hand receipts, transactions, supply correspondence item registers, daily inventories, and related records maintained by any JS/CCMD activity. (Note: See 0300 Bucket Series for TOP SECRET documents).							
0300-02C	Destruction Certificates (Temp)	Chronological	NIPR Shared Drive	Destroy/delete 3 years after cutoff.	No	<input type="checkbox"/>	3
Certificate of destruction for classified material, consisting of: documentary evidence reflecting appropriate destruction of classified material. JS Forms 48, 63, and 74, or any other substitute form or record used for this purpose maintained by any JS/CCMD activity.							
0400-05	Military Justice, Legal, Protocol, and Public Affairs (Non-record) (Temp)	Chronological	NIPR Shared Drive	Destroy/delete when no longer needed for reference.	No	<input type="checkbox"/>	3
Non-record material maintained by any activity is for reference purposes only. Table 4.1 list non-record numbers from the previous edition of CJCSM 5760.01, Vol. II. See enclosure D. 0402-09, 0404-09, 0409-05, 0410-08, 0403-03, 0406-06, & 0409-09							
0500-05	C2, Operations, Planning, and Exercises (Non-record) (Temp)	Chronological	NIPR Shared Drive	No longer needed.	No	<input type="checkbox"/>	3
Non-record material maintained by any activity is for reference purposes only. Table 5.1 list non-record numbers from the previous edition of CJCSM 5760.01, Vol. II. See enclosure D. 0501-02, 0507-06, 0515-03, 0523-05, 0530-06, 0535-02, 0537-05, 0502-03, 0508-14, 0516-02, 0525-02, 0531-02, 0536-05, 0503-03, 0509-03, 0517-05, 0526-02, 0532-04, 0537-05, 0503-07, 0511-04, 0517-10, 0527-06, 0533-05, 0538-05, 0504-02, 0511-07, 0521-02, 0528-02, 0534-03, 0539-02, 0505-04, 0512-04, 0522-06, 0529-02, 0534-13, & 0536-05							
0600-02	Budget Estimates, and Justifications and Program Objective Memorandum Records (Temp)	Chronological	NIPR Shared Drive	After 3 years.	No	<input type="checkbox"/>	3
Budget Estimates, and Justifications and Program Objective Memorandum Records — prepared by JS/CCMD activities to document budget requirements.							
FKDS					Page 1 of 4		

"FOR OFFICIAL USE ONLY"

Appendix H
RMO Form 03, E-records Directory Checklist

E-records Directory Checklist			
SECTION I – GENERAL INFORMATION			
Org/Off Sym:	Chief Office of Records (COR):		
Records Custodians (RC):	Phone:		
<p>Purpose. To assist RC in setting up the e-records directory for the e-records repository on the shared drive. Do not attempt to set up the Directory prior to a records inventory and an approved file plan. NOTE: USFK Records Management (RM) and Knowledge Management (KM) offices will be working on establishing the official USFK e-records repository on the USFK RM SharePoint site. Form available at the USFK RM SharePoint site under the "Records Management, Main, Forms": : https://8a.korea.army.mil/sites/USFK/COS/RecM/Forms/FormRMO03RecordseDirectoryChecklist.pdf</p>			
SECTION II - CHECKLIST			
1. CREATING eDIRECTORY ON SHARED DRIVE		Yes	No
a. Create a folder titled: 00-RECORDS		<input type="checkbox"/>	<input type="checkbox"/>
 00-RECORDS		<input type="checkbox"/>	<input type="checkbox"/>
b. Under the "00-RECORDS" folder, create the following subfolders:		<input type="checkbox"/>	<input type="checkbox"/>
 00-RECORDS		<input type="checkbox"/>	<input type="checkbox"/>
 01-FilePlan ← File/place your office approved file plan in this folder: FilePlanFKDS2010416.pdf		<input type="checkbox"/>	<input type="checkbox"/>
 02-Active ← This is where the Records Custodians place eRecords to be filed.		<input type="checkbox"/>	<input type="checkbox"/>
 03-Inactive ← Move inactive folders to this folder.		<input type="checkbox"/>	<input type="checkbox"/>
 04-Inbox ← Records Users place eRecords to be file under this folder.		<input type="checkbox"/>	<input type="checkbox"/>
c. Under the "02-Active" folder, copy only the records series buckets (0000, 0100, 0200, etc.) from the eDirectory disc to the "02-Active" folder that are identified on your approved file plan.		<input type="checkbox"/>	<input type="checkbox"/>
 0000_JStaffTop5HQCombatantCmdRecord:  0600_LogiAcqSupServBudgetSafety		<input type="checkbox"/>	<input type="checkbox"/>
 0100_OrgManpowerCommitteeBoardRecor  0700_CommCryptoElectronicsPolProcedRepc		<input type="checkbox"/>	<input type="checkbox"/>
 0200_PersonnelPayroll  0800_International		<input type="checkbox"/>	<input type="checkbox"/>
 0300_IntelSecurity  0900_GenAdminMgmt		<input type="checkbox"/>	<input type="checkbox"/>
 0400_MilJusticeLegalProtocolPublicAffairs  1000_InfoTechProcurePlanOpsMgmt		<input type="checkbox"/>	<input type="checkbox"/>
 0500_C2OpsPlanExer  1100_Medical		<input type="checkbox"/>	<input type="checkbox"/>
(1) After, delete all the buckets (0000, 0100, etc.) and records series (0200-02, 0300-05, etc.) that are not identified on your approved file plan (see reverse of checklist for records series).		<input type="checkbox"/>	<input type="checkbox"/>
2. PERMISSIONS/ACCESS CONTROL		Yes	No
RC must contact Information Management Officer or Network Administrator to set access controls to the folders:		<input type="checkbox"/>	<input type="checkbox"/>
(1) The RC must have full control of all folders.		<input type="checkbox"/>	<input type="checkbox"/>
(2) Principals/Directors, Deputies & Principal Records Officer should have read-only access to all folders.		<input type="checkbox"/>	<input type="checkbox"/>
(3) Records Users (RU) must have read-only access to the 01-FilePlan, 02-Active, and 03-Inactive folders. Also, RU must be able to file e-records in the 04-Inbox and not delete e-records.		<input type="checkbox"/>	<input type="checkbox"/>
Name/Rank:	Signature:	Date:	

RMO FORM 03, E-records Directory Checklist, 201501 (Supersedes Previous Form)

Sample E-records Directory



NOTES:

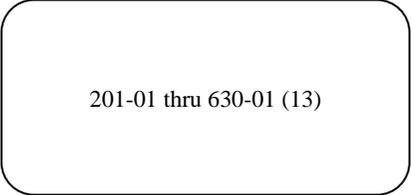
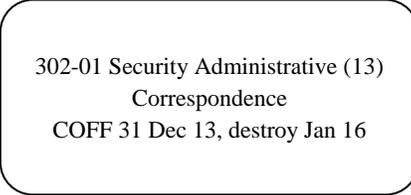
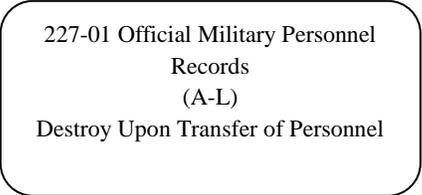
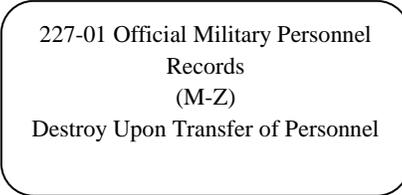
1. Ensure that all e-records are saved as Adobe Portable Document Format (PDF) with permanent e-records saved in PDF A/1.
2. Only official e-records are filed in this location.
3. Exclamation point "!" indicates PII & PA information contained in e-record (I0900-08
4. Working files and work in progress are not filed in this location (E-records Repository).
5. Contact your RC for assistance.

**Appendix I
Sample Labeling of Drawers and Binders**

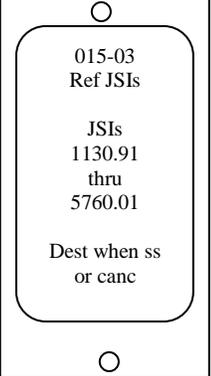
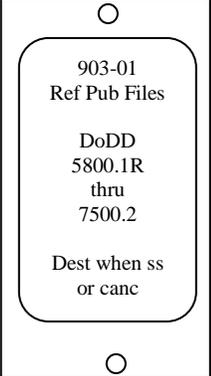
All record labels will contain the following information, whether on paper files, folders, or envelopes; binders or boxes; filing cabinets, safes, shelves, or drawers; or other types of containers such as those in which audiovisual and electronic records are stored (e.g., cans, cases, disks, CD- and DVD-ROMs, and external hard drives).

- a. File number.
- b. File title.
- c. Disposition instructions (exception noted in each sample).
- d. Year of accumulation when appropriate.
- e. Security classification and/or other applicable handling instructions.

Drawers

 <p>201-01 thru 630-01 (13)</p>	 <p>302-01 Security Administrative (13) Correspondence COFF 31 Dec 13, destroy Jan 16</p>
<p>Sample label entry for drawer that contains two or more records series. No disposition is shown on the label because it varies among the many record series in the drawer.</p>	<p>Sample label entry for drawer that contains one (and only one) record series, and contains all of that record series. NOTE: The drawer label is identical to folder label in this case.</p>
 <p>227-01 Official Military Personnel Records (A-L) Destroy Upon Transfer of Personnel</p>	 <p>227-01 Official Military Personnel Records (M-Z) Destroy Upon Transfer of Personnel</p>
<p>Sample label entries for drawers that contain only part of one record series. NOTE: The division (A-L, M-Z) is indicated on each label.</p>	

Binders

<p>NOTE: When one record series of documents is filed in more than one binder, the disposition instruction is required only on the first binder. Subsequent binders need only show the file number and title of the contents.</p>	 <p>015-03 Ref JSIs JSIs 1130.91 thru 5760.01 Dest when ss or canc</p>	 <p>903-01 Ref Pub Files DoDD 5000.1R thru 5700.1 Dest when ss or canc</p>	 <p>903-01 Ref Pub Files DoDD 5800.1R thru 7500.2 Dest when ss or canc</p>
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**Appendix J
Sample Labeling of Folders**

Active Folders

306-01 Top Secret Register
ACTIVE. PIF when all copies of documents have
been dest or otherwise permanently disposed of.

Position Temp (Destroy), Temp (Transfer), & Perm

Left Position: Temporary records to be destroyed in the current files area.

1000-02P Customer Service Files
Dest 3 yrs after cutoff

Center Position: Temporary records to be transferred to an ISF for temporary storage and then destruction.

0300-03A Top Secret Registry (13)
COFF 31 Dec 2013, trnsf to ISF Jan 2014, dest 7-10 yrs after COFF

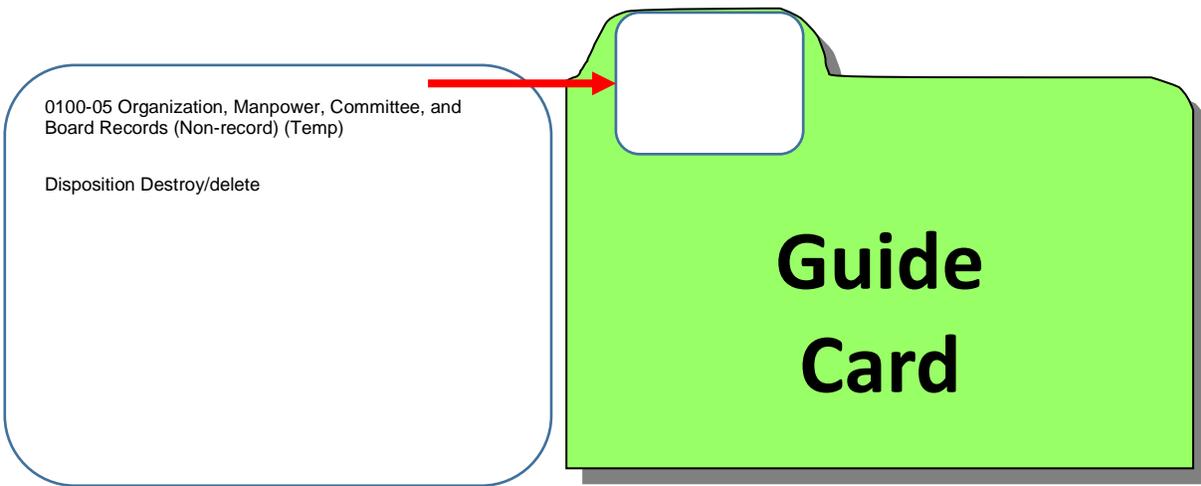
Right Position: Permanent records to be retired to NARA directly or through an intermediate holding facility.

0100-04 Perm.Msn & Funct. Records (13)
COFF 2013, trnsf NA 25 yrs after COFF (Paper) & trnsf NA (Electronic) 5 yrs after COFF

Appendix K
Sample Labeling of Guide Cards

A guide card is created for each records series:

- a. File No: 0100-05.
- b. Title Description: Organization, Manpower, Committee & Board Records.
- c. Type: Temporary (Temp) or Permanent (Perm).
- d. Disposition/Cutoff: Destroy/delete, a specific period per CJCSM 5760.01A, Vol. II.



Appendix L
RMO Form 12, Identifying Records & Non-records Checklist

Identifying Records & Nonrecords Checklist		
<p>Purpose. To assist USFK personnel with identifying records and nonrecords. Form available at USFK Records Management SharePoint site under "Records Management, Main, Forms": https://8a.korea.army.mil/sites/USFK/COS/RecM/Forms/FormRMO12RecordsNonrecordChecklist.pdf</p>		
<p>Definitions. <u>Record</u> is 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. <u>Nonrecord or non-record Material</u> are those Federally-owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.</p>		
CHECKLIST		
<p>1. RECORD Answer the questions a. to e. If you answered "Yes" to any of the questions, then it is a record. Next, refer the file plan located at the e-records repository under the folder "01-FilePlan" to determine where to file the record.</p>		
	Yes	No
a. Did you generate or receive the info to use for your technical/administrative work in conducting agency business?	<input type="checkbox"/>	<input type="checkbox"/>
b. Does it contain informational value as evidence of your organization's functions, policies, decisions, procedures, operations, mission, program, projects or activities?	<input type="checkbox"/>	<input type="checkbox"/>
c. Is it material that originated in another office or outside your agency, but on which you commented or took action?	<input type="checkbox"/>	<input type="checkbox"/>
d. Does it document business actions, such as, what happened, what was decided, what advice was given, who was involved, when it happened, the order of events, and decisions?	<input type="checkbox"/>	<input type="checkbox"/>
e. Is it an original document related to agency business that does not exist elsewhere?	<input type="checkbox"/>	<input type="checkbox"/>
<p>NOTES:</p> <p>(1) Refer to file plan at "01-FilePlan" folder for list of records maintained by your office of record (See RMO Form 03, E-records Directory Checklist)</p> <p>(2) Place records in "04-Inbox" folder for Records Custodian to file in the appropriate records series under the "02-Active" folder.</p> <p>(3) Ensure to apply naming convention (See RMO FORM 04, Naming Convention Guidance)</p>		
<p>2. NONRECORD OR NONRECORD MATERIAL If you answered "No" to all questions at 1.Record, answer the question a. to e. If one has answered "Yes," to any of the questions below, then it is a nonrecord. NOTE: When in doubt distinguishing between a record and a nonrecord, contact your Records Custodian.</p>		
	Yes	No
a. Is it a draft or interim document that <i>has not</i> been circulated to others or does not contain substantive comments, and for which there is a final version being maintained?	<input type="checkbox"/>	<input type="checkbox"/>
b. Is it published or processed information that you received and use as reference?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
c. Is it a copy of document or correspondence kept only for convenience of reference on which not action is taken?	<input type="checkbox"/>	<input type="checkbox"/>
d. Is it information which is accumulated and maintained at the workplace, but which <i>does not</i> affect or reflect the transaction of your program business?	<input type="checkbox"/>	<input type="checkbox"/>
e. Is it junk mail or documentation that has no work-related informational or evidentiary value?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
COMMENT		
Name/Rank:	Signature:	Date:
		

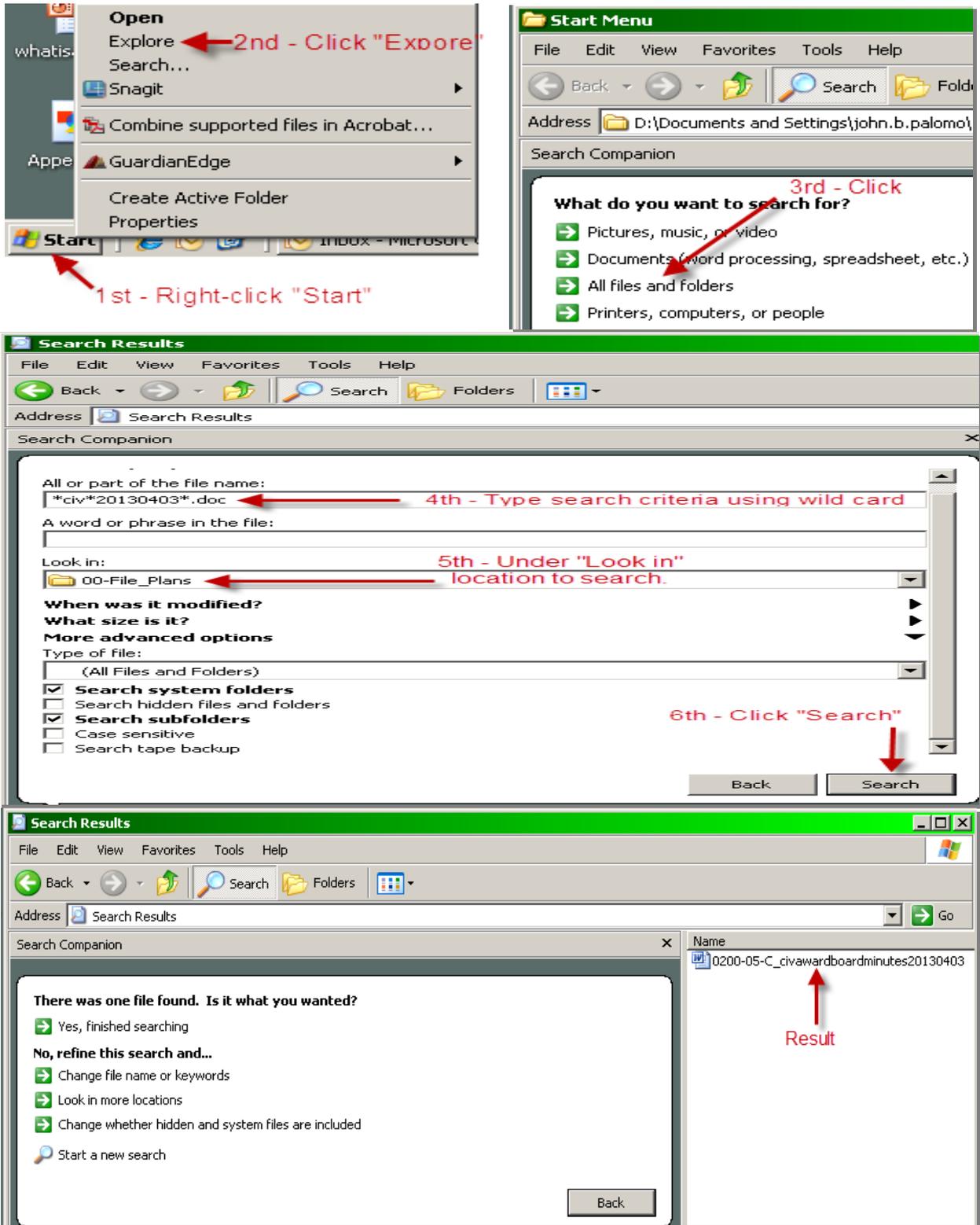
RMO FORM 12, Identifying Records & Nonrecords Checklist, 201501

Appendix M
RMO Form 04, Naming Convention (NC) Guidance

Naming Convention (NC) Guidance		
SECTION I – GENERAL INFORMATION		
Purpose. To assist Records Users with naming electronic files/records known as "Naming Convention." A simple definition is a uniform convention of naming electronic files and records following a set of rules.		
SECTION II - GUIDANCE		
1. ASK THE FOUR (4) Ws?		
a. What is the type file/record action: Request for Orders or RFO		
b. Which (person/unit/subject) is the action on: WashingtonGW		
c. When is the date of the action: 20140619		
d. Where is it filed (records series no): 0200-02 (Personnel/Payroll)		
Example of final result: <div style="text-align: center;"> 0200-02_RFO_WashingtonGW_20140619.pdf Where What & Which (person/unit/subj) When Ext. Record Series Code Abbreviated w/ less than 25 characters Date of file/record Ext. </div>		
2. GENERAL RULES		
a. Use primarily alpha-numeric characters (Exceptions are "!" and "_").		
b. Do not use special characters, such as: punctuations, # \ / : * ? " < > . (1) Exceptions for underscore "_", dash "-", and exclamation point "!" (2) These characters are often reserved for use by the operating system.		
c. Do not use spaces in the file name (browsers & some older operating systems do not handle spaces well).		
d. Use leading zeros. If the file name includes numbers use zeros as placeholders. For example, a collection with 999 items should be numbered: brief001.ppt, brief002.ppt ... brief011.ppt, brief012.ppt, etc. (NOT brief1.ppt, brief2.ppt ...). This practice facilitates sorting and file management.		
e. Try to limit maximum length of NC to less than 25 characters & use abbreviations/acronyms.		
Rule #	Description	Example
1	Ask 4 Ws: Where, What, Which & When, may separate parts w/ underscore (_) or dash (-). NOTE: Rules 2 to 10 explains the elements.	0900-05_staffvisitjonesjb20080910.pdf Where What, Which & When e-file extension
2	Naming Convention (NC) should be short & meaningful (< 25 characters) a <i>unique brief subject & date (YYYYMMDD)</i> .	Corr: 0900-05_budgetminutes20080908.pdf Incorr: budgetminutes080908.pdf
3	In the subject portion of NC don't use "articles" or "conjunctions." Ex: "a, the, for, and, etc."	Corr: 0200-02_leavedoejd20081110.pdf Incorr: requestforleavedoejb20081110.doc
4	May use <u>underscore (_)</u> and <u>not</u> spaces to distinguish words in the subject of NC.	Corr: 0200-02_Leave_DoeJD20081110.pdf Incorr: request for leavedoejb2008-11-10.doc
5	Use leading zeros for a collection w/100 items. Example: brief001.ppt, brief002.ppt ... brief011.ppt, brief012.ppt, etc. (NOT brief1.ppt, brief2.ppt ...).	Corr: 0900-05A_missionbrief01120081107.pdf Incorr: brief1-20081107.ppt
6	NC of email should include the <u>subj</u> , the <u>last name</u> of the person sending e-mail followed by <u>initials</u> , <u>date</u> & <u>24-hr time</u> of the format extension "msg" (See Rule 2 for date).	Corr: 0200-02_otsnominationsjonesjb200809100614.pdf Incorr: jonesjbotnominations200809100614.msg
7	NC of attachments (Atch) is the same Rule 5 w/ "Atch" and an indication of the "no." of atchs in parenthesis at the end of the NC (same as Rule 5). Ex: "Atch01-01"	Corr: 0600-05_purchaserequestjonesjb200809100614Atch01-01.pdf Incorr: requestForpurchaseonesjbatch1of120080910-0614.msg
8	Do not use <u>special characters</u> . The hyphen "-", under-score "_", "!" are acceptable (Rule 4 & 9).	Avoid: \ / : * ? " < > [] ; + & £ \$, . (the period "." is automatically inserted by prgm source at the end of the naming convention or file ext (.doc, ppt, etc.).
9	Use an exclamation point "!" at the beginning of the NC for eFiles w/ <u>Personally Identifiable Info (PII)</u> or <u>Privacy Act (PA)</u> .	Corr: l0200-02_oerdoejb20140915.pdf Incorr: oerdoeib!-20140915.pdf
10	When eFiles become eRecords, insert the records file disp no. at the beginning of the NC.	Corr: l0200-02_oerdoejb20100915.pdf Incorr: loerdoejb20100915022702.pdf

RMO FORM 04, Naming Convention Guidance, 201502 (Supersedes Previous Form)

Appendix N Search Using MS Explore



Appendix O OF 11, Reference Request

Complete only the highlighted yellow areas.

REFERENCE REQUESTS - FEDERAL RECORDS CENTERS		NOTE: Use a separate form for each request.	
SECTION I - TO BE COMPLETED BY REQUESTING AGENCY			
ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION	
[] OF []			
DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED			
[] BOX			
[] FOLDER (include file number and title)			
REMARKS			
[]			
NATURE OF SERVICE			
[] FURNISH COPY OF RECORD (S) ONLY	[] PERMANENT WITHDRAWAL	[]	TEMPORARY LOAN OF RECORD(S)
[] REVIEW	[] OTHER (Specify)		
SECTION II - FOR USE BY RECORDS CENTER			
[] RECORDS NOT IN CENTER CUSTODY	REMARKS		
[] WRONG ACCESSION NUMBER-PLEASE RECHECK			
[] WRONG BOX NUMBER-PLEASE RECHECK			
[] WRONG CENTER LOCATION-PLEASE RECHECK			
[] ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED			
[] MISSING (Neither record(s), information nor charge card found in container(s) specified)			
[] RECORDS DESTROYED			
[] RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):	DATE	SERVICE	TIME REQUIRED
			SEARCHER'S INITIALS
SECTION III - TO BE COMPLETED BY REQUESTING AGENCY			
NAME OF REQUESTOR		TELEPHONE NO.	DATE
NAME AND ADDRESS OF AGENCY		RECEIPT OF RECORDS	
		Requestor please sign, date and return this form, for file item(s) listed above, ONLY if the block to the right has been checked by the Records Center. []	
		SIGNATURE	DATE

Appendix P
RMO Form 05, Records Relocation & Transfer Checklist

Records Relocation & Transfer Checklist		
SECTION I – GENERAL INFORMATION		
Org/Off Sym:	Chief Office of Records (COR):	Date:
Records Custodian (RC):	Phone:	Type (Relocation or Transfer):
Purpose. To assist RC with relocating records to a new location and transferring (shipping) of records to the Federal Records Center (to include National Archives). Form available at the USFK Records Management SharePoint site under "Records Management, Main, Forms": https://8a.korea.army.mil/sites/USFK/COS/RecM/Forms/FormRMO05RecordsRelocateTransferChecklist.pdf		
SECTION II - CHECKLIST		
1. PREPARATION		Yes No NA
a. Contact: Contact the USFK Records Management Office for proper guidance with preparation of records for relocation or transfer as soon as known or no later than 3 months prior for transferring) & 6 months prior to the relocating.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
b. Team/Responsibilities: Form a team and ensure all understand their responsibilities.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
c. Survey: Conduct a records survey of how much volume, type, and the condition of records (See <i>Conversion Table on Reverse Page of This Checklist</i>).		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
d. Inventory: For <u>relocating</u> , list (detailed box contents) the records series contained in each box (original and copy). For <u>transferring</u> , complete the SF135 (must wait for approval from FRC to ship). NOTES: (1) NARA no longer requires original signatures on the SF 135 and <u>submit SF 135 electronically</u> . (2) Postal container or by bulk mail may be used for 20 or more boxes using a commercial carrier should complete a <u>Transportation Services Order</u> (www.archives.gov/frc/forms/transportation-services-order.pdf). (3) A separate SF 135 is required for each individual record series having the same disposition authority and disposition date. (4) FRC staff will then assign the transfer number and will return one copy of the SF 135 to you within 10 working days, authorizing shipment of the boxes.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
e. Supply: After completion of Survey, determine how many boxes, tape, shrink-wrap, other packing material, are needed and order no later than 90 days from move or transfer date. NOTES: (1) Standard-size record box (14 3/4" x 12" x 9 1/2") for legal- or letter-size files (NSN 8115-00-1178249). (2) For classified, special tape and additional security requirements with packing, and appropriate security clearance of individuals involved with preparation of packing.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
f. Services: Assess if contract services for a company to load/unload/transfer records. Contact the FRC for types of services available for the transfer of records to the FRC or National Archive.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2. RELOCATION/TRANSFER (PACKAGING)		Yes No NA
a. FRC Approval (Transfer Only): Upon receipt of FRC approval, prepare for packaging.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
b. Relocation: After placing the records in each box & leaving 1 to 2 inches of space, place the list a detailed content of record series contained in each box at the front of the records and also in front outside of each box.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
c. Transfer: After placing the records in each box and leaving 1 to 2 inches of space, place the SF 135 at the front of the records of box #1 (each record series) and keep a copy for files.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
d. Sealing/Securing/Labeling: For unclassified, use clear packing tape so it does not obstruct visibility of labels. For classified, follow the security requirements using the appropriate tape & extra security requirements. NOTE: (1) Transfer only. Attach the Accession No. from FRC at the front upper left corner of the each box (See Sample at Reverse Side of This Checklist). (2) Transfer only. If the boxes or other containers are sealed and must not be opened by NARA staff, place this shipment copy in an envelope securely taped to the outside of box #1 of each records series. (3) Pallets should be securely banded with shrink-wrap, steel, plastic, or cord strapping before shipping.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
3. CLOSING		Yes No NA
After records have been successfully relocated and records properly placed in new location, meet with Team discussion/document/file lessons learned.		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Name/Rank:	Signature:	Date:
		

RMO FORM 05, Records Relocation and Transfer Checklist, 201501 (Supersedes Previous Form)

Sample of Accession Number

INSTRUCTIONS:

1. Print the accession number on the upper left front of the box.
This three-part number must be separated after the fiscal year and Printed in the blocks provided. For example: VHA-020001
2. Number each box of files consecutively (i.e., 01 of 10 02 of 10 etc.)
3. Identify the "first" and "last" folder in each box on the front below hand hole. For example: Adams-Ziembra or 0600-03A - 0600-03G.

FRONT

CONVERSION TABLE: Various Records Formats To Cubic Feet Equivalents

TYPE	SIZE	VOLUME	CUBIC FEET
Sheets of Paper	Letter-size	3000 =	1.00
Records Storage Box	Standard	10" x 12" x 15" =	1.00
Records Storage Box	Large/Letter-size	10" x 12" x 36" =	2.00
Records Storage Box	Large/Legal-size	10" x 15" x 36" =	2.50
Standard File Cabinet	Letter 8 ½" x 11"	1 full drawer =	1.50
	Legal 8 ½" x 14"	1 full drawer =	2.00
Lateral File Cabinet	Letter 8 ½" x 11"	1 full drawer =	3.25
	Legal 8 ½" x 14"	1 full drawer =	4.00
Shelf Files (15" x 36")	Letter 8 ½" x 11"	1 full shelf =	3.0
	Legal 8 ½" x 14"	1 full shelf =	3.40
Open Shelving	Letter 8 ½" x 11"	36" long =	2.4
	Legal 8 ½" x 14"	36" long =	3.0
Microfilm	16mm x 100'	90 reels =	1.00
	35mm x 100'	44 reels =	1.00
Index Cards	3" x 5"	12,000 cards =	1.00
	4" x 6"	6,000 cards =	1.00
	5" x 8"	4,800 cards =	1.00
Computer Print-outs	21" x 15"	10 inch stack =	1.00

General Formula

To convert measurements into Cubic Feet, use the following formula:

1. Measure (in inches) and then multiply the item's Length x Width x Height
2. Divide the total by 1728 = CUBIC FEET per item.

**One cubic foot of records weighs about 30 lbs. dry & >50 lbs. if wet. One ton of records equals 70 cubic feet.

INSTRUCTIONS

SECTION I – GENERAL INFORMATION

Org/Off Sym: Self-explanatory.

Chief Office of Records (COR): Individual in-charge of COR.

Records Custodian (RC): Self-explanatory.

Phone: RC's phone number.

SECTION II – LIST OF RECORDS FOR DESTRUCTION: List all the records that qualify for destruction.

Series No.: Records Series No. Example: 0900-02F.

Record Series Title: Self-explanatory.

Date Range: Enter the oldest to newest record in applicable Series No.

Volume: For paper enter the cubic feet and for electronic enter the total bytes (MB, GB, TB, etc.)

SECTION III – APPROVAL: This is reserved for the USFK Command Records Officer to complete and then forwarded back to the originating office.

Approved for destruction: Checked off if approved.

Disapproved: Checked off if disapproved and check off "Legal Hold" or "Other"

Disapproved in part: Check off if disapproved in part.

USFK Command Records Officer: Digital signature or signature of USFK Command Records Officer.

Date: Enter date when USFK Command Records Officer approved/disapproved/disapproved in part.

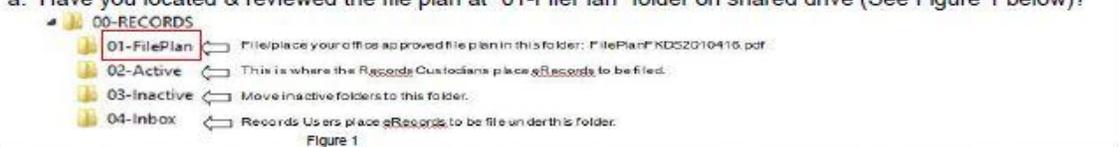
SECTION IV – DESTRUCTION CERTIFICATION: The applicable RC digitally or physically signs and dates upon approval of destruction from the USFK Command Records Officer. NOTE: RC must immediately provide a copy of this signed/dated from to the USFK Command Records Officer.

Records Custodian's Name / Grade: RC digitally or physically signs.

Date: Physically date when not digitally signed.

Appendix R

RMO Form 07, Records Creation, Maintenance, & Disposition Guidance/Checklist

Records Creation, Maintenance, & Disposition Guidance/Checklist		
SECTION I – GENERAL INFORMATION		
Purpose.		
To assist Principal Records Officers (PRO), Records Custodians (RC), Records Users (RU) including supervisors and program managers, on the efficient and effective creation, maintenance, and disposition of records:		
<ul style="list-style-type: none"> • definitions, file plan, & distinguish Federal records from non-record materials and personal documentary materials • determine when drafts and working papers are Federal records • know when receipts or acknowledgments for e-mail messages are needed for recordkeeping purposes • how and when to generate a recordkeeping copy of e-mail messages, receipts or acknowledgments, spreadsheets, word processing documents, and data base reports • how to mark or classify documents (naming convention, see RMO Form 04, Naming Convention Guidance) for filing or incorporation into the electronic records repository 		
SECTION II - GUIDANCE		
1. Definitions		
a. 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 U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them.		
b. Documentary Materials: A collection term for records, non-record material, and personal papers that refers to all media containing recorded information, regardless of the nature of the media or the method(s) or circumstances(s) or recording.		
c. Non-documentary Materials: U.S. Government-owned documentary materials excluded from the legal definition of records, either because they fail to meet the general conditions of records status already described, or because they fall under one of the three (3) categories: (1) Extra copies of documents preserved only for convenience of reference. (2) Stocks of publications and of processed documents. (3) Library and museum material made or acquired and preserved solely for reference or exhibition purpose.		
d. Program Records: Records that directly support the mission of the agency (agency's mission is defined in enabling legislation and further delineated in form regulations). <i>Examples: Superfund site assessments, Military after-action reports, NASA's Space Shuttle testing records, etc.</i>		
e. Administrative Records: Records created in performing common facilitative functions that support the agency's mission activities, but do not directly document the performance of the mission functions. <i>Examples: Purchase orders, Official Personnel Folders, Travel vouchers, Payroll databases, Network backup tapes, Bldg utility diagrams, etc.</i>		
f. Permanent Records: Records determined by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government.		
g. Temporary Records: Records approved by NARA for destruction, either immediately or after a specified retention period.		
h. Personal Papers: Documentary materials of a private or nonpublic character that do not relate to, or have an effect on, the conduct of agency business (<i>excluded from the definition of Federal records and are not owned by the Government; however, the maintenance of personal papers in agency space and equipment requires agency approval and compliance with Federal and agency requirements</i>).		
i. Office of Records: An administrative unit within which records are created or received and accumulated in the course of its principal activity.		
j. Office of Primary Responsibility (OPR): The office delegated responsibility for a specific function/action. This office normally maintains the official agency record, including the other copies and related incoming correspondence. The OPR may designate other offices to maintain the official agency record copy for that function/action.		
k. Official Record Copy: The original file or otherwise designated copy maintained by the originating office or OPR. Also includes incoming correspondence used to document a specific function/action.		
2. E-records Repository or 00-RECORDS		Yes No
a. Have you located & reviewed the file plan at "01-FilePlan" folder on shared drive (See Figure 1 below)?		
 <p>Figure 1</p>		
b. Have access controls been set for the folders? Read only for all RUs and Read/Write for RCs?		

RMO FORM 07, Records Creation, Maintenance, and Disposition Guidance-Checklist, 201502 (Supersedes Previous Form)

3. Create or Receive (Distinguish Federal Records)		Yes	No
a. Are you or your organization the creator of the record? And did you generate or receive the information to use for your technical administrative work in conducting agency business?			
b. Does it contain informational value as evidence of your organization's functions, policies, decisions, procedures, operations, mission, programs, projects, or activities?			
c. Is it material that originated in another office or outside your agency, but on which you commented or take action?			
d. Does it document business actions, such as: what happened, what was decided, what advice was given, who was involved, when it happened, the order of events, and decisions?			
e. Is it an original document related to agency business that does not exist elsewhere? <i>NOTE: If unsure, contact your Principal Records Officer, Records Custodians, or Command Records Officers?</i>			
4. Maintenance (Email, Word Processing, Spreadsheet, Database, etc.)		Yes	No
a. Email:			
(1) Paper:			
(a) Printed those messages that are Federal records, and any attachments? If all addressees do not appear on the message, print the header, mail envelope information sheet, status sheet, distribution list, or other screen that shows the full name(s) of addressee(s) and attach this information to message.			
(b) Printed documentation containing information about the receipt of the message when required for recordkeeping purposes, and attach it to the message? (If the sender requested a receipt for recordkeeping purposes in accordance with agency criteria, he or she will retain the printed message and transmission document until receipt is received.)			
(c) Marked the document (official file copy) on the first page at the upper right corner with the word "File" and below "Records Series No." and place in the hard copy file location (see figure 2 on right side) or give the Records Custodian to file? <i>NOTE: This is not the preferred method as the Federal Government is moving towards fully electronic by December 2016.</i>	 <p>Figure 2</p>		
(2) Electronic:			
(a) Provided the proper naming convention (NC) with the Records Series No. at the front of the NC?	 <p>Record Series Code Abbreviated/ less than 25 characters Date of Record Ext.</p>		
(b) Associated the receipt with the message and transmission document if the sender requested a receipt for recordkeeping purposes in accordance with agency criteria? Figure 3			
(c) Transmitted an electronic copy of the message and related document(s) showing full name(s) of addressee(s) if not on the message, and the receipt (when applicable) to the appropriate directory (04-Inbox) in the electronic recordkeeping system and saving in Portable Document Format (PDF) and must comply with PDF versions 1.0 through 1.4? <i>NOTE: The Records Custodian will file in the 02-Active folder.</i> <i>Permanent records' PDF NOTE: Permanent records for archive must not contain security settings (e.g., self-sign security, user passwords, and/or permissions) that prevent NARA from opening, viewing or printing the record. In addition, PDF records created after April 1, 2004, must have all security settings deactivated (e.g., encryption, master passwords, and/or permissions) prior to transfer to NARA. Deactivating security settings ensures NARA's ability to support long-term migration and preservation of the records.</i>			
b. Word Processing:			
(1) Paper:			
(a) Identified the record status of drafts and other background materials, and print those that are records?			
(b) Generated or ensure that the support staff generates appropriate file copies of final documents?			
(c) Ensured that the final documents and official file copies show the date, approval of the signer, and file classification?			
(d) Ensured that any necessary drafts and related materials are attached to the official file copy?			
(e) Ensured that the file copies of the final document (if the end-user produces one) are placed in a file box or other designated place for such items to be filed?			
(2) Electronic:			
(a) Identify the record status of drafts and other background materials, and save all versions that are records?			
(b) Electronically associated drafts & other background materials that are records w/ the final document, if there is one?			
(c) Ensured that the directory in the electronic recordkeeping system where the document will be maintained is noted on all records?			
(d) Transmitted an electronic copy of all records to the appropriate directory in the electronic recordkeeping system once the document is finalized or when no further action on the document will be taken?			
c. Spreadsheets:			
(1) Paper:			
(a) Identified as a records, determined that formulas for individual cells need to be documented?			
(b) When documentation is required, the spreadsheet creator should perform one of the following tasks:			
• If the spreadsheet program can include this information on a printed copy, printed the spreadsheet with the formulas?			
• If the spreadsheet program cannot print the formulas, printed the spreadsheet and annotate the printout? (When documentation of the formulas is not required, the creator should simply print the spreadsheet.)			
• If it is associated with another record, e.g., if it is an enclosure to a memo or letter, an appendix or exhibit to a report, or background material needed for complete documentation, attached a copy to the related record?			
• If it is not associated with another record, marked the document as the official file copy, wrote the file classification on it, and placed it in a file box or other designated place for such items to be filed?			
(2) Electronic:			
(a) If it is associated with another record, ensured that an electronic copy is part of the related record?			
(b) If it is not associated with another record, transmitted an electronic copy to the appropriate directory in an electronic recordkeeping system?			

4. Maintenance (Email, Word Processing, Spreadsheet, Database, etc., Cont'd)		Yes	No
<p>d. Database Reports:</p> <p>(1) Paper:</p> <p>(a) Determined whether the report is a Federal record or a nonrecord working or background document, and print those that are Federal records?</p> <ul style="list-style-type: none"> If it is associated with another record, e.g., if it is an enclosure to a memorandum or letter, an appendix, or exhibit to a report, or background material needed for complete documentation, attached a copy to the related record? If it is not associated with another record, mark the document as the official file copy, write the file classification on it, and place it in a file box or other designated place for such items to be filed? <p>(2) Electronic:</p> <p>(a) Identified record status, then take one of the following steps:</p> <ul style="list-style-type: none"> If it is associated with another record, e.g., if it is an enclosure to a memorandum or letter, an appendix or exhibit to a report, or background material needed for complete documentation, ensured that an electronic copy is part of the related record? If it is not associated with another record, transmitted an electronic copy to the appropriate directory in an electronic recordkeeping system? 		<input type="checkbox"/>	<input type="checkbox"/>
<p>e. Drafts & Working Files:</p> <p>(1) Support documents such as drafts and working files for reports, special studies, memorandums, and correspondence that support major program policy development may not be incorporated into office files.</p> <p>(a) These support documents may be needed to fully understand the alternatives and options considered for high-level program initiatives, and the basis for deciding on a course of action.</p> <p>(b) Some drafts contain unique information in substantive annotations or comments added during circulation for comment or approval.</p> <p>(c) Agencies should maintain such drafts, with the file copy of the final document, if any, when the drafts relate to formulation and execution of high-level policies, decisions, actions, or responsibilities.</p> <p>(2) In addition to drafts, working files and background materials may be needed to adequately document agency activities.</p> <p>(a) Agencies should evaluate the documentation practices of senior officials and staff, engineers, scientists, and other professionals and specialists, particularly those who manage unique agency programs and major contracts, and provide guidance for ensuring adequate documentation.</p> <p>(b) Special attention should be given to notebooks, notes, calculations, and other background materials that may contain information needed to supplement formal records.</p> <p>(c) Drafts and working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations should be preserved.</p> <p>(3) Background materials or drafts that are records according to agency recordkeeping guidelines should be maintained in agency recordkeeping systems.</p> <p>(a) Senior officials or their staff members should not keep such Federal records as personal papers.</p> <p>(b) Drafts and working papers or files that relate to routine program or administrative operations or that contain only corrections or editorial or stylistic changes may be disposed of as non-record materials.</p>		<input type="checkbox"/>	<input type="checkbox"/>
<p>f. Documentation of Formal Meetings (Meetings of formal bodies such as boards, commissions, advisory groups, committees, and task forces, as well as high-level staff meetings at which agency business is transacted or discussed, should be properly documented):</p> <p>(1) At a minimum, documentation in a meeting file should include the names and organizational titles of participants, an agenda, a list of materials distributed to participants, a summary of discussion of significant policy or procedural matters, decisions reached and actions decided upon, actions to be taken following adjournment, and assignments of responsibility.</p> <p>(2) If the meeting is taped and a transcription subsequently made and filed, all speakers should be identified on the transcript.</p>		<input type="checkbox"/>	<input type="checkbox"/>
<p>g. Documentation of Policy & Decision Making Accomplished Orally or Electronically (In most agencies, policies, decisions, and commitments are frequently made in meetings, over the telephone, or by electronic mail or facsimile transmission.)</p> <p>(1) To ensure that such policies and decisions are adequately documented, agencies should establish procedures that require personnel at all levels to document conversations and meetings dealing with significant program business by preparing a dated and signed memorandum or form identifying the participants and summarizing the conversation or meeting.</p> <p>(2) All personnel should ensure that records of policy and decision making made or received through electronic mail and facsimile are retained in appropriate recordkeeping systems.</p>		<input type="checkbox"/>	<input type="checkbox"/>
5. Disposition		Yes	No
<p>a. Destruction (Temporary or Temp records are destroyed upon meeting disposition date):</p> <p>(1) Completed RMO Form 08, Records Destruction Certificate with approval to destroy records from the USFK Command Records Officer? Click the following hyperlink to access the form on USFK Records Management Intelink Site: https://intelshare.intelink.gov/sites/usfk-dcs-recordsmanagement/CollaborativeCtr/FormsTemplates/FormRMO08RecordsDestructionCertificate.pdf</p> <p>(2) Maintained a copy and forwarded a copy to the USFK Command Records Officer?</p> <p>(3) Filed RMO Form 08 under 0900-2H, Records Management (copies of correspondence, reports, authorizations, and other records that relate to records management, including such matters as forms, correspondence, reports, mail, and files management maintained by any USFK activity).</p> <p><i>NOTE: 6-month disposition does not require an RMO Form 08.</i></p>		<input type="checkbox"/>	<input type="checkbox"/>
<p>b. Transfer (Permanent or Perm records are transferred to the National Archives):</p> <p>(1) Completed SF 135, Records Transmittal and Receipt, and submitted to USFK Records Management Office?</p> <p>(2) Upon approval from NARA, properly packed records and shipped to National Archives? Click the following hyperlink to access RMO Form 05, Records Relocation and Transfer Checklist on USFK Records Management Intelink Site: https://intelshare.intelink.gov/sites/usfk-dcs-recordsmanagement/CollaborativeCtr/FormsTemplates/FormRMO05RecordsRelocateTransferChecklist.pdf</p>		<input type="checkbox"/>	<input type="checkbox"/>
Name/Rank:	Signature:	Date:	

Appendix S
RMO Form 10, Vital Records (VR) Protection Plan and Checklist

Vital Records Protection Plan and Checklist				
SECTION I – GENERAL INFORMATION				
Org/Off Sym:		Chief Office of Records (COR):		
Records Custodian (RC):		Phone:		
<p>Purpose: This Vital Records (VR) Protection Plan & Checklist outlines actions to be taken to prevent damage to an office of records' VR, and the recovery of these records if necessary. The following records are deemed VR:</p>				
Series No.	Title	Location	POC Name & Emergency Phone No.	Type (Electronic, Tape, Film, etc.)
<p>Form available at USFK Records Management SharePoint site under "Records Management, Main, Forms": https://8a.korea.army.mil/sites/USFK/COS/RecM/Forms/FormRMO10VRProtectionPlanChecklist.pdf NOTE: Plan must be handled as a "VR" with a naming convention of "vVRProtectionPlan_FKXX_20140801.pdf" or "vFormRMO10_FKXX_20140801.pdf".</p>				
SECTION II – DISASTER PREVENTION				
No.	Title			
1	Storage of Records. Records will not be stored in contact with electrical or fire alarm systems or where they will obstruct any exit, access panel, or fire extinguisher. Precaution will be taken while eating/drinking around records. Any water leaks, rodents, insects will be reported immediately to the facility manager to be fixed.			
2	Fire Prevention. Good housekeeping and prompt elimination of fire hazards are essential. Electrical outlets will not be overloaded, and extension cords should not be used on a permanent, and/or constant basis. All office personnel are expected to be familiar with the location and operations of all fire alarms, fire extinguishers, emergency exits, and evacuation plans.			
3	Monitoring for Water Leaks. Water leaks will be reported immediately to the facility/building manager. If records are at risk of being damaged, remove them to an alternate location to ensure proper care.			
4	Insects/Rodents. All food/beverages will be stored properly to reduce the possibility of insect or rodent infestation.			
SECTION III – PLAN OF ACTION FOR EMERGENCY SITUATIONS				
<p>In the event of any natural or manmade disasters, human life must be the number one priority. Take all necessary precautions to protect human life, prior to office resources.</p>				
1	Cyclone/Severe Storm. When cyclone or destructive winds are imminent, place all VR in plastic bags to protect them from potential water damage.			
2	Fire. When a fire is discovered, the proper authorities should be contacted. The utmost important safety precaution is to ensure the safety of human life. Once the fire has been extinguished and the building is safe to be occupied again, every attempt should be made to recover Vital Records. Water damage may have occurred due to a fire (see #3 below).			
3	Water Damaged Records. Short of destruction from fire or explosion water damage is considered the most severe to records. Place pieces of paper towels or unprinted newsprint under each damaged sheet. If damage is only slight, records may be fanned or air-dried. For more severe damage, the records may have a need to be frozen. Contact the base records manager to determine the best method to recover records after water damage has occurred; freezing or drying.			
4	Bomb Threats. The individual receiving the bomb threat phone call should make every attempt to write down the exact words of the caller by utilizing the local form that should be located at every telephone.			
5	Information Technology/Cyber Attacks. Follow your local network incident reporting procedures and notify your information security officer and chain of command.			
Name/Rank:		Signature:		Date:

RMO FORM 10, Vital Records (VR) Protection Plan and Checklist, 201501 (Supersedes Previous Form)

SECTION IV- CHECKLIST		
Action No.	Category of Emergency Title	Date Completed
CYCLONE/SEVERE STORM WARNING		
1	Place records into plastic bags for protection	
2	Monitor situation for water leakage, flooding, sewer blockage, or other water related	
FIRE		
1	Alert personnel of fire	
2	Contact emergency personnel by dialing: a. PMO: 724-3004 / 3005 / 3601 b. Ambulance: 116 / 119 c. Fire Dept: 911 or 738-5020 / 5200	
FOLLOWING THE FIRE/WATER DAMAGED RECORDS		
1	Enter building once building is cleared	
2	Handle charred or water damaged records with extreme care	
3	Place records on paper towels or newspaper. Move records by corners of paper towels or	
4	Divide records into 3 categories; 1) records to be frozen 2) records to be fan dried, and 3) records requiring no special treatment	
5	Make arrangements for possible relocation of records	
BOMB THREATS		
1	Write down exact wording of the caller. Utilize the Bomb Threat Aid, (located next to each telephone) to request specifics about the device	
INFORMATION TECHNOLOGY/CYBER ATTACKS		
1	Follow local network incident reporting procedures. Also, notify your information assurance officer and chain of command of the attack.	
2	Ensure the information assurance officer runs the latest anti-virus/cyber attack software.	
Comments:		

Glossary

Section I. Abbreviations

CJCSM	Chairman, Joint Chief of Staff Manual
COR	Chief Office of Records
CRM	Command Records Manager
CRO	Command Records Officer
DoD	Department of Defense
DoDD	Department of Defense Directive
EJMAPS	Electronic Joint Manpower and Personnel System
EMO	Electronic Media Only
HO	History Office
ISF	Inactive Storage Facility
J/OA	Joint Organization or Activity
JS	Joint Staff
NARA	National Archives and Records Administration
NC	Naming Convention
PDF	Portable Document Format
PRO	Principal Records Officer
RC	Records Custodian
RMO	Records Management Office
SAV	Staff Assistance Visit
SF	Standard Form
SRO	Senior Records Officer
U.S.C.	United States Code
USPACOM	United States Pacific Command
USPACOMINST	United States Pacific Command Instruction

Section II. Terms

Accession.

a. (v.) To transfer physical and legal custody of documentary materials to an archival institution.

b. (n.) Materials transferred to an archival institution in a single accessioning action.

Administrative Value. The value of records for the ongoing business of the agency of records creation or its successor in function.

Archives.

a. The noncurrent records of an organization or institution preserved because of their continuing value.

b. The agency responsible for selecting, preserving, and making available records determined to have permanent or continuing value.

c. The building in which an archival institution is located.

Active (current) record. A record that is currently used to fill the need for which it was originally produced or acquired.

Administrative records. Records concerning the routine operation of any office, common to any agency or locality.

Administrative value. The value of a record based on a continuing need to use the record for daily operations - the administrative usefulness of the records.

Chief Office of records (COR). The chief or lead member of an office of record (an administrative unit within which records are created or received and accumulated in the course of its principal activity).

Command Records Manager (CRM). CRM is responsible for the entire records management program for USPACOM and its Direct Reporting Units (DRUs) and Sub Unified Commands and provides the planning, directing, controlling, organizing, training, promoting and managing of records.

Command Records Officer (CRO). CRO is the responsible for the entire records management program for USFK and provides the planning, directing, controlling, organizing, training, promoting and managing of records.

Cut Off. The date that marks the periodic closing of an old set of files and the start of a new set of files of a records series. May be done annually, quarterly, monthly or other. Cut off is usually at the end of a calendar or fiscal year.

Discovery. In law, the pre-trial process of fact finding to discover what was previously unknown or hidden. In a practical sense, the process of discovery opens all of an agency or locality's records to litigants in a suit against that agency or locality.

Disposition. Those actions taken regarding records no longer needed for the conduct of the regular current business of the agency.

Disposition Authority. The legal authorization for the retention and disposal of records. For Federal records, it is found on SF 115, Request for Records Disposition Authority, which has been approved by the Archivist of the United States. For non-record materials, the disposition is established by the creating or custodial agency. See also records schedule.

Disposition Schedule. The instructions governing retention and disposition of current and noncurrent recurring records series of an organization or agency. Also, called a Records Control Schedule.

Documentary Materials. A collective term that refers to recorded information, regardless of the medium or the method or circumstances of recording.

Duplicate Copies. Copies of original records. May be convenience copies or copies made at intermediate stages of performing a function. Some duplicates may be copies of record for a specific office.

Electronic Mail (e-mail, Email, etc.). Any communication that requires an electronic device for storage and/or transmission. E-mail often refers to a package of services designed to automate office communications.

Electronic Record. Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act. The term includes both record content and associated metadata that the agency determines is required to meet agency business needs.

Federal Agency. Any executive agency or any establishment in the Legislative or Judicial branches of the Government (except the Supreme Court, Senate, the House of Representatives, and the Architect of the Capitol and any activities under his direction). (44 U.S.C. 2901(14)).

File. An arrangement of records. The term denotes papers, photographs, maps, electronic information, or other recorded information regardless of physical form or characteristics, accumulated or maintained in filing equipment, boxes, on electronic media, or on shelves, and occupying office or storage space.

File Number or Code. The chief identifier for a record in a file plan.

File Plan. A records management-planning document identifying all records on hand showing where records are located along with their retention periods.

Filing. The process of arranging and sorting records so that they may be retrieved rapidly when needed.

Filing System. A set of policies, procedures, and methods used for organizing and identifying files or records to increase their speed of retrieval, use, and disposition.

Fiscal Year. An accounting period of twelve months.

Freeze. Created when the agency records officer receives a hold notice for records not in their physical custody but in the custody of an FRC and asks NARA to create a freeze to halt premature disposition of the records. Since most litigations deal with relatively current agency activity, the number of freezes is significantly smaller than the number of holds since the agency still has physical custody of the most records affected by holds.

Historical Value. The value of a record based on its uniqueness, age, significance or ability to convey an understanding of the operation of the government.

Holds. Simply the implementation of the litigation hold issued by your Counsel's Office. When received, the records officer suspends the normal disposition cycle of the records mentioned in the hold notice to prevent their early/premature disposal. Holds are placed on the records that in your agency's physical custody.

Inactive Record. A record that is no longer actively used, has fulfilled its original purpose, but is being retained for other administrative, fiscal, legal or historical purposes.

Informational Value. The value of a record based solely on the raw information of data contained in the records.

Legal Value. The value of a record based on its ability to document and protect the state and the rights of its citizens or to provide legal proof of a transaction.

Litigation. Refers to any judicial action or preliminary step toward judicial action involving the agency (also see "Freeze and Holds").

Metadata. Consists of preserved contextual information describing the history, tracking, and/or management of an electronic document.

Non-record Materials. Those federally owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

Office of Origin or Office of Records (see Chief Office of Record). The administrative unit within which records are created or received and accumulated in the course of its principal activity.

Permanent Record. Any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody. Permanent records are those for which the disposition is permanent on SF 115, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973. The term also includes all records accessioned by NARA into the National Archives of the United States.

Personal Files (also called personal papers). Documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the Government.

Preservation. The act of stabilizing storage environments and records to prevent deterioration and/or reformatting records to a more easily preserved format.

Principal Records Officer (PRO). The staff principals designated records officer responsible for overseeing the records management program under their principal's purview.

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.

Records Center. Defined in 44 U.S.C. 2901(6) as an establishment maintained and operated by the Archivist (NARA Federal Records Center) or by another Federal agency primarily for the storage, servicing, security, and processing of records which need to be preserved for varying periods of time and need not be retained in office equipment or space. See also records storage facility.

Records Custodian (RC). The COR's designated individual to execute the RM program within an office of record.

Recordkeeping Requirements. All statements in statutes, regulations, and agency directives or other authoritative issuances, that provide general or specific requirements for Federal agency personnel on particular records to be created and maintained by the agency.

Recordkeeping System. A manual or electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use, and disposition.

Records Disposition. The ultimate destination of records, such as transfers to records center and archives, reformatting, or outright destruction.

Records Management. The profession concerned with achieving economy and efficiency in the creation, use, and maintenance of current records.

Records Managers or Officers. Those designated individuals responsible for the RM program. Example: SRO, CRM, CRO, PRO, and RC.

Records Management System (RMS). A manual or automated system that creates, receives, maintains, use, and dispose of records. There are three categories of RMS: (1) Records-keeping System (RKS); (2) Electronic RKS; and (3) Electronic RMS or Records Management Application (RMA).

Records Schedule or Schedule. Any of the following:

- a. A Standard Form 115, Request for Records Disposition Authority that has been approved by NARA to authorize the disposition of Federal records;
- b. A General Records Schedule (GRS) issued by NARA; or

c. A published agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS. See also comprehensive schedule.

Records Storage Facility. A records center or a commercial records storage facility, as defined in this section, i.e., a facility used by a Federal agency to store Federal records, whether that facility is operated and maintained by the agency, by NARA, by another Federal agency, or by a private commercial entity.

Retention or Retention Period. The length of time that records must be kept.

Records Retrieval. The process of locating and delivering records.

Records Series. A group of identical or related records that are normally filed together and document a particular function, transaction or activity.

Records Transfer. The physical relocation and transfer of control or custody of records to another entity.

Senior Records Officer. USFK's designated individual responsible for the overall USFK Records Management Program which is the USFK Chief of Staff.

Social Media. Refers to the various activities integrating web technology, social interaction, and user-generated content. Social media includes blogs, wikis, social networks, photo libraries, virtual worlds, location-based services, and video sharing sites.

Temporary Record. Any Federal record that has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration. This determination may take the form of:
(1) Records designated as disposable in an agency records disposition schedule approved by NARA (SF 115, Request for Records Disposition Authority); or
(2) Records designated as disposable in a General Records Schedule.

Unscheduled Records. Federal records whose final disposition has not been approved by NARA on a SF 115, Request for Records Disposition Authority. Such records must be treated as permanent until a final disposition is approved.

Vital Records (VR). Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). Two categories: Emergency Operating and Rights and Interest.

VR Program. The policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency conditions or to protect the Government's rights or those of its citizens. This is a program element of an agency's emergency management function.