

DEPARTMENT OF THE ARMY
NORTH PACIFIC DIVISION, CORPS OF ENGINEERS
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No. 25-1-3

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Information Management
RECORDS MANAGEMENT PROGRAM

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*This regulation/memorandum supersedes NPPR 25-1-3, 20 June 1990; NPDOM 25-1-3, 20 June 1990; NPPR/NPDOM 25-1-2, 15 December 1987; and NPPR/NPDOM 340-2-25, 15 October 1987.

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SECTION I

INTRODUCTION

History. This printing is a revision of a Headquarters, North Pacific Division (HQNPD) Office Memorandum and a Portland District (NPP) Records Management regulation. This printing contains local policy and guidance from 25 and 340 series publications no longer required to be separate directives. The suppression line identifies those superseded publications.

Summary. This directive is outlined by sections. Section I is an introduction to the directive. Section II outlines responsibilities within Headquarters North Pacific (HQNPD) and Portland District (NPP) elements. Section III defines the different types of files that may be found within an office of record. It provides guidance on how to establish a file plan and includes an example. The section offers guidance on proper storage of Privacy Act and sensitive records. Section II provides an explanation of vital records and instructions on how to complete an inventory list. An example of a vital records listing has been provided as additional guidance. Section III includes guidance on personal papers or files and contractor records. Procedures are outlined on yearly housekeeping requirements and requesting filing equipment. An explanation of why the NPD electronic mail system and the local area network can not be valid recordkeeping systems has been included in this revision. Section IV provides guidance for transferring or retrieving records. Section V discusses requesting deviations from AR 25-400-2 disposition instructions. Section VI provides microfilming records guidance. A list of microfilming disk (MICRODISK) identifiers for microfilmed records is included.

1. PURPOSE. An agency's Records Management Program will be mandated by Federal laws. This directive establishes local policies and procedures for a Records Management Program within Headquarters North Pacific Division (HQNPD) and Portland District (NPP) in accordance with Federal laws and Army directives. The established program will document our agency's business; protect rights and interests of this agency and individuals working for the agency; support litigation (if necessary); and preserve our agency's heritage.

2. APPLICABILITY. The contents of this directive are applicable to all elements within HQNPD and NPP.

3. REFERENCES.

a. Required Publications.

(1) AR 25-400-2 (The Modern Army Recordkeeping System - MARKS). Cited in paragraphs 6d, 7e, 10a and b, 12b, 15, 19a, and 21.

(2) ER 25-1-74 (Electronic Mail). Cited in paragraphs 18a(1) and (2).

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(3) NPDR 25-1-3 (Electronic Document and Mail Delivery). Cited in paragraph 18c.

b. Related Publications.

(1) AR 25-1 (The Army Information Resources Management Program).

(2) AR 25-50 (Preparing and Managing Correspondence).

(3) AR 25-55 (Release of Information and Records from Army Files).

(4) AR 340-21 (The Army Privacy Program).

(5) National Archives and Records Administration (NARA) Management Guide (Agency Recordkeeping Requirements).

(6) National Archives and Records Administration (NARA) Management Guide (Personal Papers of Executive Branch Officials).

(7) National Archives and Records Administration (NARA) Management Guide (Vital Records and Records Disaster Mitigation and Recovery).

4. EXPLANATION OF TERMS. See Appendix A.

5. EXPLANATION OF FORMS. See Appendix B.

SECTION II

RESPONSIBILITIES

6. RECORDS ADMINISTRATOR AND RECORDS MANAGER will:

a. The Records Administrator, Directorate of Information Management (CENPD-IM) and the Records Manager, Information Management Office (CENPP-IM) will direct the records management program within designated area of responsibility.

(1) The Records Administrator is responsible for HQNPD.

(2) The Records Manager is responsible for NPP.

b. Ensure a well defined records management training program is established.

c. Maintain an approved file plan for each HQNPD and NPP office of record.

d. Work with offices establishing records management programs to ensure all records, regardless of medium, are identified according to AR 25-400-2.

e. Review requests for the purchase of standard and nonstandard filing equipment and supplies to include electrically powered files equipment.

f. Review and approve file plans.

g. Perform records surveys every two years on all designated offices of record.

h. Review and approve submitted SFs 135 transferring records.

i. Review and evaluate documenting imaging systems and electronic records systems for their effect on creating, transferring, storing, retrieving, and disposing of records.

j. Review proposed automated information systems (AIS) to ensure recordkeeping requirements are identified and will be managed according to the records management program.

k. Review and submit requests for unscheduled files and deviations from disposition instructions for approval.

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7. DIRECTOR OR CHIEF OF EACH OFFICE OF RECORD will:

- a. Oversee all records the office creates and receives, regardless of physical characteristics.
- b. Appoint a records coordinator in writing and provide the appointment memorandum to the records administrator or records manager.
- c. Ensure that the records coordinator receives adequate recordkeeping training.
- d. Review and approve a file plan for the office of record to be submitted to the records administrator or records manager.
- e. Ensure the office of record creates only essential records and follows disposition instructions prescribed in AR 25-400-2.
- f. Ensure an annual review of files is completed according to this directive's guidance.

8. RECORDS COORDINATOR will:

- a. Serve as a point of contact for the records management program.
- b. Consult with the director or chief and the records administrator or the records manager on records management issues.
- c. Maintain a current file plan and SF 135s for transferred records.
- d. Practice correct procedures for maintaining and disposing of records.
- e. Perform housekeeping requirements once a year.

9. MICROGRAPHICS MANAGEMENT OFFICER (MMO). The Records Manager (CENPP-IM-R) is the appointed MMO for HQNPD and NPP microfilm programs. The MMO will:

- a. Review and analyze proposals and request for systems.
- b. Maintain records on approved MICRODIS systems to include changes or additions to systems.
- c. Maintain current inventory of all micrographics equipment in HQNPD and NPP.
- d. Review all micrographics programs at least once every 3 years.

SECTION III

RECORDKEEPING PROCEDURES

10. TYPES OF FILES.

a. Housekeeping Files. Files that consist of the internal administration or housekeeping activities rather than the mission of why the office exist. The AR 25-400-2 file category 1 is Office Administrative Housekeeping Files. These files may be maintained together or separate from records that describe the mission's function. One plan can be created listing all file numbers in numerical order. Every office of record will have housekeeping files.

b. Mission Files. These files consist of the records which document the actions and processes taken in performing assigned missions or tasks for which the office exists. The AR 25-400-2 has an established consolidated table list of the various mission file categories. Every office of record will have mission files.

c. Suspense Files. Suspense files may be placed under any record series indicated on an office of record file plan as a reminder that an action is required by a given date. No MARKS file number is required.

d. Working Files. These files will consist of documents such as rough notes, calculations, or drafts that are assembled or created and used in the preparation or analysis of other documents. Working files are also considered records and are filed under the appropriate file number.

e. Case Files. Case files consist of records relating to one specific action, transaction, event, person, place, project, or other subject. A case file may contain several subjects relating to the particular case. Case files provide a complete history of a specific action from beginning to end.

11. ESTABLISHING A FILE PLAN. Upon determining appropriate series, reviewing MARKS file numbers and disposition standards--an office of record can put together the file plan. HQNPD and NPP files will be maintained under a subjective file plan. The list of selected MARKS file numbers for ALL records maintained, regardless of physical form or characteristics, will be submitted to the records administrator or the records manager, for review and approval. Labels will not be created until the file plan has been approved.

a. The file plan will be kept current. It will identify the MARKS file number, description, the Privacy Act system notice (when applicable), disposition, media identification (paper, tape, electronic, etc.), and locations of records not maintained with main files.

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b. A file plan should only be revised when an office of record has numerous file number additions or when write-in changes (such as pen and ink corrections) become too numerous.

c. The original or revised plan will be reviewed and signed by the director/chief of the office of record indicating approval prior to submission. Refer to Appendix C for a sample format. The file plan will then be sent to the records administrator or the records manager for review and final approval. ENG Forms 4346-R and 4346-a-R may also be used to develop a plan.

d. The file plan does not need to be redone when a new director/chief of an office or a records coordinator is appointed. The office of record should notify the records administrator or the records manager of appointment changes. A records coordinator appointment memorandum will be accomplished for a newly appointed records coordinator.

12. STORAGE OF PRIVACY ACT AND SENSITIVE RECORDS.

a. Records accessible by personal names, social security numbers, or other personal identifiers, and records containing sensitive information must be stored in a secured area to prevent access by unauthorized persons.

b. These records have a Privacy Act (PA) system notice number identified in AR 25-400-2, Appendix B under the pertinent FN. The PA number will be included on the file plan and the folder or container label.

c. When records are eligible for disposal they will be destroyed in such a manner to prevent reconstruction of the record (for example, tearing into pieces or shredding).

d. Paragraph 18b provides additional guidance on proper storage of electronic messages that contain Privacy Act information.

13. IDENTIFYING VITAL RECORDS. Vital records will be identified by an office of record using the sample format in Appendix D. Record series or electronic information systems most critical to emergency operations or the preservation of legal or financial rights will be designated as vital records. Those records can be--records that specify how an element will operate in case of an emergency or disaster; records that provide guidance to ensure continued operations of an element during and after an emergency or disaster; or records that protect the legal and financial rights of the agency or the individuals working for that agency. The inventory list of vital records will include:

a. The name of the office responsible for records series or electronic information system containing vital information.

b. The MARKS file number and title of each record series or information system.

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- c. Identification of each series or system that contains emergency-operating vital records or vital records relating to legal or financial rights.
- d. The medium on which the records are recorded (paper, floppy disk, CADD, etc.).
- e. The off site storage location of the records series or system copies.
- f. The frequency at which the records are to be cycled (how often will they be updated).

14. PERSONAL PAPERS OR FILES.

a. Most employees accumulate and keep some personal papers or files within their office or workstation. Certain materials are clearly personal, but others may not be so easily identified. Personal papers or files should never be intermingled or with office records.

b. An employee's documentary material brought into the office should be identified as personal papers and maintained separately from the office of record's files.

c. The office of record should maintain a record of removal for a departing employee when--extra copies of records and other designated nonrecord materials are removed, along with the documentary materials that have been identified as personal papers. The written record should include a statement that no Federal records were removed by the employee.

d. The following guidance has been extracted from a NARA pamphlet titled: Personal Papers of Executive Branch Officials, dated 1992 to offer a clearer understanding of personal papers/files.

NARA regards personal papers as documentary materials that are not used in the transaction of agency business. . . . personal papers may refer to or comment on the subject matter of agency business, provided they are not used in the conduct of that business. Traditionally, personal papers have included the following categories of material:

Papers created before entering Government service: Examples include previous work files, political materials, and reference files.

Private papers brought into, created, or received in the office: Examples include manuscripts and drafts for articles and books and volunteer and community service records. Although these materials may be created or received while in office, the official claims them as personal, and they are not used in transacting agency business.

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Work-related personal papers that are not used in the transaction of Government business; . . .include diaries, journals, notes, and personal calendars and appointment schedules. Although this material contains work-related information, the official claims it as personal, and its purpose is for the official's personal use, (e.g., as reminders and personal observation on work-related topics), not for the transaction of Government business. . .

15. CONTRACTOR RECORDS. An office of record will want to ensure that records produced by a contractor providing a service are maintained in the same manner as other office records. To help an office of record become more aware of what a contractor should be providing as records upon completion of a service--the following guidance has been extracted from a NARA pamphlet title: Agency Recordkeeping Requirements, A Management Guide, dated 1995. Additional guidance is provided in AR 25-400-2.

The term "contractor records" is frequently applied to paper, audiovisual, and electronic records and data created by contractors working for Federal agencies. Contractors performing agency functions create records essential for effective management and for accurate and complete documentation of these functions. Unless contract provisions explicitly define the documentation to be provided to an agency, contractors are likely to treat needed documentation as private property. Agencies should ensure that contract provisions require the submission of program and administrative documentation needed by the agency, including background data and technical documentation. Contracts should also specify which records need to be kept by the contractor for audit or other administrative purposes and the length of time they are to be maintained.

16. YEARLY HOUSEKEEPING REQUIREMENT. Once a year an office of record will review and purge files (31 December for calendar year or 30 September for fiscal year).

- a. Perpetual type files will be reviewed to ensure only current records remain in the file.
- b. Previous year's noncurrent files with a retention period of one year that have been kept for the required time will be destroyed.
- c. Noncurrent records with a retention period of two years or more should be placed in a noncurrent file area until appropriate action has been taken to relocate them to the records holding area (RHA) or the Federal records center (FRC).
- d. Permanent noncurrent records no longer required in the office of record will be transferred to the FRC.

17. FILING EQUIPMENT.

a. Request for standard and nonstandard filing equipment to include electronically powered filing equipment will be sent to the Records Manager, CENPP-IM-R, for review and approval.

b. Request will include reasons for the purchase of the filing equipment, description of file, MARKS numerical designation, document size, present volume of files to be housed in the requested equipment, and a description of the proposed equipment.

18. NOT VALID RECORDKEEPING SYSTEMS.

a. The NPD electronic mail system is not an electronic recordkeeping system.

(1) Signed paper copies of electronically transmitted correspondence will be retained by the originating office as official record copies for the appropriate life cycle of the documents (dictated by MARKS). See ER 25-1-74 for additional guidance.

(2) Received message traffic considered to be records will be printed, including the header information, reflecting the From line and the To line with addressee(s), and the date and time of message release. See ER 25-1-74 for additional guidance.

b. The NPD electronic mail system can be used to send social security numbers (SSN) identified within a message directly to an office or an individual. A statement on the bottom of the outgoing electronic mail message will indicate that the message is for official use only (FOUO). Destruction will be required by deleting the message from the system after taking required action. Message traffic containing PA data will not be stored within an electronic mail folder. If an office or individual is required to save the information, it must be printed out on paper, and disposed of when no longer required. The printed information will be filed under a MARKS file number according to the office of record's file plan.

c. The NPD local area network (LAN) servers will not be used as recordkeeping systems. Documents maintained on LAN servers will not be considered official records. An office of record creating documents within the computer (such as letters, memorandums, reports, or spreadsheets) will not store record copies on LAN servers. Storage of documents on LAN servers will be for "convenience" and will be destroyed the same time as the paper is destroyed—if not sooner. A record copy will be managed in an established file that has been identified on the file plan. See NPDR 25-1-3 for additional guidance.

d. The NPD electronic mail system and local area network servers are not designed to control the creation, maintenance and disposition of records. The systems cannot ensure document security and integrity, preservation for required time, or migration to other data systems or subsequent systems. They are not valid recordkeeping systems.

SECTION IV

RECORDS TRANSFER AND RETRIEVAL

19. TRANSFERRING RECORDS.

a. Transfer of records to the RHA will be coordinated with the records manager. A commercially contracted records holding facility has been established within the greater downtown Portland area. The office of record requesting the service will complete a SF 135 (see AR 25-400-2) and forward it to the records manager for approval. The records manager will provide specific instructions for transferring records to the local RHA.

b. Transfer of records to the FRC will be coordinated with the records manager. The office of record will complete a SF 135 and route it to the records manager for review and forwarding to the Seattle Federal records center. The FRC will annotate an accession number and location number on the SF 135 and return it to the records manager after approval. Upon receipt of the SF 135, the records manager will coordinate the shipping of boxes with the office of record. Upon receipt of boxes, the FRC will send a signed SF 135 to the records manager indicating receipt. In turn, the records manager will send the office of record a copy of the signed SF 135 to maintain as a record.

20. RETRIEVING RECORDS.

a. Requests for records to be retrieved from the RHA will be coordinated through the records manager, unless an office of record has designated an individual to retrieve records directly from the RHA. The request may be submitted by electronic mail or telephone.

(1) The office of record requesting the records will refer to the SF 135 that was completed to transfer the records. The information to be provided to the records manager will consist of the records being requested, the department number, and the box number, and a location of where the records will be delivered. A point of contact should also be provided.

(2) The office of record will state the urgency of the request. A normal request should be allowed one to two days to process. Requests required to be filled immediately should be clearly identified as such--to ensure a satisfactory response.

(3) Records that have been retrieved from the RHA will be returned upon completion of need. The office of record will contact the records manager (electronic mail or telephone) for pickup service.

(4) An office of record removing records permanently from the RHA will need to contact the records manager to ensure proper annotation is accomplished by the records manager and at the RHA.

b. A request for records to be retrieved from the FRC will be sent to the records manager. The request may be submitted by electronic mail or telephone.

(1) The office of record requesting the records will identify the accession number, records center location number, agency box number(s) or folder(s), and a point of contact.

(2) The office of record will indicate the urgency of the request. A normal request is given three to five days response. A request required to be filled immediately should be clearly identified as such--to ensure a satisfactory response.

(3) Records that have been retrieved from the FRC will be returned to the FRC within 90 days. An extension will be submitted to the records manager by the office of record for any records required for longer than 90 days. The records manager will update files to ensure the status of retrieved FRC material is always correct.

(4) An office of record removing records permanently from the FRC will need to contact the records manager to ensure the proper annotation can be accomplished within CENPP-IM-R and the FRC.

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SECTION V

RECORDS DEVIATIONS

21. UNIDENTIFIED (UNSCHEDULED) RECORDS. Records that can not be identified in Appendix B of AR 25-400-2 will need to be considered unscheduled records and brought to the attention of CENPP-IM-R. The records administrator or the records manager will assist the office of record in scheduling those records in question. Requests will be sent to CENPP-IM-R in a formal memorandum format signed by the appropriate director or chief of that particular office of record. The following requirements will be addressed in the memorandum:

a. Identification of the prescribing directive and MARKS file number (if available). If no MARKS number is available--the records manager will determine appropriate number according to prescribing directive.

b. Justification will identify the specific need for the record and information on the continuing administrative, legal, or fiscal value to the United States Government.

c. Physical location of the record, including information on whether the record will be transferred to the RHA or the FRC.

d. Records will remain within the office of record until a response is provided from higher headquarters. Exception: Noncurrent records may be stored at the RHA when an office of record does not have sufficient office space—pending decision from higher headquarters. A SF 135 will be prepared using the proposed deviation submitted to higher headquarters.

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SECTION VI

OTHER TYPES OF RECORDKEEPING

22. MICROFILM PROGRAMS AND EQUIPMENT.

- a. New microfilm programs, changes, modifications or extensions of existing programs, must be coordinated and approved by the MMO. Only those records under an approved MICRODIS will be filmed (see Appendix E).
- b. Offices currently filming under an approved MICRODIS will appoint an individual as a point of contact for all program requirements and follow all parameters established in the original approval document.
- c. Requests for microfilm equipment in excess of that specified in an existing program will be forwarded to the MMO along with a justification.
- d. No procurement action will be initiated for equipment until the MMO has reviewed and approved the request. The statement "Approved IAW NPPR/NPDOM 25-1-3," the date, and the signature of the MMO will be on the requisition.
- e. The MMO will be contacted before any micrographics equipment is transferred or loaned to any office other than the one to which it was originally assigned.

FOR THE COMMANDER:


 CHRIS L. COTTRELL
 Major, EN
 Deputy Commander

FOR THE COMMANDER:


 CLIFTON P. JACKSON, JR.
 Executive Assistant

5 Appendices

- App A: Explanation of Terms
 App B: Explanation of Forms
 App C: Example of File Plan
 App D: Sample List of Vital Records
 App E: Approved MICRODIS

DISTRIBUTION:

- Electronic (Internet and Local LANs)
 X - Records Coordinators for HQNPD and NPP

APPENDIX A

EXPLANATION OF TERMS

1. Contractor Records. Paper, audiovisual, and electronic records and data created by contractors working for Federal agencies.
2. Electronic Recordkeeping System. An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.
3. Emergency-Operating Record. A vital record essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency.
4. File Plan. A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained, and the activity having custodian responsibility.
5. Federal Records Center (FRC). A facility used for storage and servicing of records pending their disposal or transfer to the National Archives and Records Administration (NARA). The records center is operated by NARA. The FRC used by HQNPD and NPP is located in Seattle, Washington.
6. Legal and Financial Rights Record. A vital record essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records.
7. Life Cycle of Records. The management concept that records pass through three stages: creation, maintenance and use, and disposition.
8. Nonrecord Material. Information materials that are not part of the legal definition of a record. Includes extra copies of documents kept only for convenience, stocks of publications and of processed documents, catalogs, trade journals, and library or museum materials intended solely for reference of exhibitions.
9. Office of Record. An office having primary responsibility for records it creates and receives in performing its official function (regardless of physical characteristics).

10. Records. All books, papers, maps, photographs, machine-readable materials or other documentary materials, regardless of physical form or characteristic, created 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 information value of data in them. (Federal Law - Title 44 United States Code 3301).

11. Records Coordinator. Appointed individual responsible for the maintaining, servicing, and disposing of records of the office to which assigned.

12. Records Management. 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 economical management of agency operations.

13. Records Holding Area (RHA). A controlled access storage facility for records awaiting transfer to a Federal Records Center (FRC) or awaiting destruction. Records maintained in this facility are available for staff offices to have ready access to when needed in the conduct of official business.

14. Unidentified (Unscheduled) Files. Unscheduled records are those records which do not have a disposition schedule approved by the NARA.

15. Vital Records. Essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (see: Emergency-Operating Records) or to protect the legal and financial rights of the Government and those affected by Government activities (see Legal-and-Financial-Rights Records).

APPENDIX B

EXPLANATION OF FORMS

1. Engineer Form 4346-R (Selected File Numbers) and Engineer Form 4346a-R (Selected File Numbers, continuation). The ENG Form 4346-R indicates the files maintained in an office of record, and is a guide in filing and retrieving records.
2. Standard Form 135 (Records Transmittal and Receipt) and Standard Form 135a (continuation). The SF 135 is used for the transfer of noncurrent records to the Records Holding Area (RHA) and to retire records into the Federal Records Center (FRC). Electronic version is available within the local forms program.
3. Optional Form 11 (Reference Request-Federal Records Center). This form will be used to secure the loan of, or gain access to, agency records retired into the FRC system. The records manager uses this form to make the request. An electronic version is available within the local forms program.
4. Optional Form 23 (Chargeout Record). The OF 23 is used for a record being charged out within an office of record for a minimum amount of time. The OF 23 is completed and placed in the record's location until it is returned. The OF 23 is removed and entries are lined out and reused another time after the record is returned.
5. Optional Form 24 (Shelf File Chargeout Record). The OF 24 is used for shelf type files charged out requiring no suspense.
6. DA Form 43 (Request for Records). This form is used as a suspense for the record being removed from an office of record for an extended period of time. The form is produced a set of three. The top sheet (original) is attached with the records and serves as a routing sheet. The second sheet (first carbon copy) is maintained in the file area and filed in a follow up or suspense file. The bottom sheet (second carbon copy) is placed in the filing location of where the record was removed.
7. DA Form 1613 and 1613-2 (Cross-Reference). The cross-reference form is used for records that have more than one file number or subject under which they should be filed. The cross-reference sheet is more cost effective than putting a copy of the record in each pertinent file.

APPENDIX C

EXAMPLE OF FILE PLAN

OFFICE SYMBOL: CENPP-OC

PREPARED: Current Date

PREPARED BY: Records Coordinator's Name

APPROVED BY: Records Administrator or Records Manager

RECORDS COORDINATOR: Name

APPROVING SUPERVISOR: Director / Chief of the Office of Record

TYPE OF EQUIPMENT: Lectriver/Cabinet

TYPE OF MEDIA: Paper and Electronic

<u>MARKS # TITLE</u>	<u>DISPOSITION</u>	<u>MEDIA</u>	<u>LOCATION</u>
1a File Numbers	Destroy when superseded.	Electronic	Secretary's Desk
1b Office General Housekeeping 1 - OC Office Facilities Standards 2 - QIP's	Destroy after 1 year.	Paper	
1f Office Organization Files 1 - FY Work Year Allocations (1984-85) 2 - Manpower Report & FTE Allocations 3 - Reorganization 4 - Reorganization - USACE Study 5 - Workload & Manpower Analysis Report	Destroy when no longer needed for current operations.	Paper	
1g Office Record Transmittals	Destroy when no longer needed for administrative or reference purposes.	Paper	
1p Office Service and Supply Files 1 - ADP Services 2 - Work Order 3 - IM Requests for Services 4 - MIPRs 5 - Requisitions	Destroy upon completion of action or when no longer needed for current operations. Electronic	Paper	
1q Office Property Records	Destroy when superseded, obsolete, or when the property is turned in.	Paper	
1aa Office Supervisory or Manager Employee Records (Privacy Act # OPM GOVT-1) 1 - Training - Executive Development 2 - Non-Government Training 3 - Employee Records 4 - Civilian Performance Ratings 5 - Job Descriptions 6 - Voluntary Leave Transfer Program 7 - Productivity Excellence Award	Review at the end of each year and destroy documents when superseded or no longer applicable.	Paper	
1hh Office Temporary Duty Travel	Destroy after 1 year.	Electronic	
1mm Reading Files	Destroy after 1 year or when no longer needed.	Paper	
1x Time Keeping Files (Privacy Act # AO037-105aSAFM)	Destroy 3 years after close of CY involved.	Paper	

APPENDIX D

SAMPLE LIST OF VITAL RECORDS

MARKS #	TITLE	1	2	3	MEDIA	STORAGE LOCATION (On / Off Site)
1z	Office Personnel Locator			X	Paper	Stored on site in Emergency Readiness Kit - Reviewed every 30 days
25-1c	Information Management Plans	X			Floppy Disk	Stored on site in Emergency Readiness Kit - Reviewed every 12 months.
25-1d	Information Manager Designation/Appointments	X			Floppy Disk	Stored on site in Emergency Readiness Kit - Reviewed every 90 days.
25-1ccc	Telephone Equipment and Service Control Files		X		Paper	Stored on site in Emergency Readiness Kit - Reviewed every 6 months.
25-1fff	Automated System and Program Design and		X		Tapes	Stored off site in Commercial Storage Site - Reviewed every 12 months.
380-19k	Continuity of Operations Plans		X		Floppy Disk	Stored on site in Emergency Readiness Kit - Reviewed every 12 months.
380-19m	Password User ID and Equipment ID		X		Floppy Disk	Stored on site in Emergency Readiness Kit - Reviewed every 12 months.
500-4a	Emergency Plans	X			Paper	Stored on site in Emergency Readiness Kit - Reviewed every 12 months.

1 = Emergency Operating: Group 1 - Directives, Policy, etc.
2 = Emergency Operating: Group 2 - Program Status, Production, etc.
3 = Rights and Interests, Including Research Records.

APPENDIX E

APPROVED MICRODIS

HQNPD

MICRODIS #6090

Description - Computer Output Microfilm (COM) system generated microfiche microfilm system covering Architect - Engineer Contract Administration Support System (ACASS) under MARKS 1180-1-1m. Microfiche produced at HQNPD and distributed Corps-wide.

Parameters -

- a. Computer Output Microfilm (COM) system.
- b. Original microfilm production.
- c. Film production specifications.
MIL - STD - 399 & 399A
MIL - F - 80242
- d. Reduction Ratio - 48X
- e. Residual thiosulfate testing required. (DA Form 4488).
- f. Image quality testing required.
- g. Two microfilm sets for National Archives Records Center required.

MICRODIS #6069

Description - A Computer Output Microfilm (COM) generated microfiche microfilm system covering Hydrological and Hydraulic Data files under MARKS 1110-2-1403a.

Parameters -

- a. COM System.
- b. Original microfilm production involved.
- c. Film production specifications.
MIL - STD - 399 & 399A
MIL - F - 80242
- d. Reduction Ratio - 48X
- e. Destruction of original documents required.
- f. Residual thiosulfate testing required (DA Form 4488).
- g. Image quality testing required.
- h. Two microfilm sets for NARS required.

MICRODIS #3054

Description - This is a 16mm roll or microfiche system covering all documents, except construction/engineering drawings, falling under MARKS # 1105-2-10b, Civil Works Project Files. (Note: Construction/Engineering Drawings are covered under MICRODIS 3055).

Parameters -

- a. Source document systems.
- b. Original microfilm production involved.
- c. Film production specifications.
MIL - STD - 399 & 399A
MIL - M - 46849
- d. Reduction Ratio - 24X.
- e. Destruction of original documents required.
- f. Residual thiosulfate testing (DA Form 4488) - required.
- g. Image quality testing - required.
- h. Two microfilm sets for NARS.

MICRODIS #3055

Description - This is a 35mm aperture card microfilm system covering all construction/engineering drawings falling under MARKS numbers 210-20b, Military Construction Project Files; 415-20a, Completed Military Project Reference Files; 1105-2-1150a; Civil Works Project Files; 415-10c, Military Construction Contract files 1180-1-1q, Civil Works Construction & Maintenance Contract Files; 11-2-240a, Project Operation & Maintenance Basic Files; and 1125-2-303b. Marine Design & Construction Files. (Note: This MICRODIS is used primarily as an engineering tool with archival aspects as side benefits).

Parameters -

- a. Source document systems.
- b. Original microfilm production involved.
- c. Film production specifications.
MIL - STD - 399 & 399A
MIL - M - 9868D
- d. Reduction Ratio - 16X, 24X, and 30X
- e. Destruction of original documents - Original drawings - no.
- f. Residual thiosulfate testing (DA Form 4488) - required.
- g. Image quality testing required.
- h. Two microfilm sets for NARS - required.

MICRODIS #3062

Description - This is a 35mm aperture card microfilm system covering Real Estate Maps falling under MARKS numbers 405-90h, Realty Historical Files; Division Realty Historical Files, and OCE Realty Historical Files. (Note: all other Realty Historical Files are covered under MICRODIS 3063).

Parameters -

- a. Source document systems.
- b. Original microfilm production involved.
- c. Film production specifications.
MIL - STD - 399 & 399A
MIL - M - 9868D
- d. Reduction Ratio - 20X & 24X
- e. Destruction of original documents required.
- f. Residual thiosulfate testing (DA Form 4488) - required.
- g. Image quality testing - required.
- h. Two microfilm sets for NARS - required.

MICRODIS #3063

Description - This is a 16mm roll and microfiche system covering all Realty Historical Files under MARKS numbers 405-90h, Realty Historical Files, Division Realty Files, and OCE Realty Historical Files. (Note: Real Estate Maps are covered under MICRODIS 3062).

Parameters -

- a. Source document systems - yes.
- b. Original microfilm production involved - yes.
- c. Film production specifications.
MIL - STD - 399 & 399A
MIL - M - 46849
- d. Reduction Ratio - 24X
- e. Destruction of original documents required.
- f. Residual thiosulfate testing (DA For 4488) - required.
- g. Image quality testing - required.
- h. Two microfilm sets for NARS - required.

MICRODIS #4017

Description - This is a 16mm roll (cartridge) source document microfilm system covering Permit Files under MARKS number 1145-2-303b Standard Permit Files, Fill and Bank Protection Permit Files, Dock Permit Files, Dredging and Dumping Permit Files. Uses random retrieval system access and reference.

Parameters -

- a. Source document systems - yes.
- b. Original microfilm production involved - yes.
- c. Film production specifications.
MIL - STD - 399 & 399A
MIL - M - 46849
- d. Reduction Ratio - 24X.
- e. Destruction of original - required.
- f. Residual thiosulfate testing (DA Form 4488) - required.
- g. Image quality testing - required.
- h. Two microfilm sets for NARS - required.

MICRODIS #4099

Description - This microfilm system authorizes the CE libraries to obtain library documents and reference materials, in microfilm, from various sources in various formats and reduction ratios. It also includes the following equipment to use the microfilm:

- a. One reader-printer capable of handling 16mm cartridge microfilm.
- b. One reader-printer capable of handling 16mm and 35mm roll film and 105mm microfiche.
- c. One low volume fiche-to-fiche copier.
- d. Three microfiche readers capable of handling both 24X and 48X microfiche.

MICRODIS #4100

Description - This microfilm system authorizes CE FOAs to lease catalogs, in microfilm, to support their engineering, construction, and procurement programs from Showcase Corporation or Information Handling Service.

MICRODIS #5039

Description - This is a microfiche microfilm system covering all COEMIS Finance & Accounting Subprogram output falling under MARKS number 37-26-1c, COEMIS F&A Site Audit Output Files; 37-26-16F COEMIS F&A External Output Files; 37-26-1a. COEMIS F&A Internal Output Files; 37-26-1e, COEMIS F&A Utility Files; 37-2-1d, COEMIS F&A Magnetic Tape Data Base Files, and 37-2-1e, COEMIS F&A Audit Trail Tape Files.

Parameters -

- a. Computer Output Microfilms (COM) system.
- b. Original microfilm production involved.
- c. Film production involved.
MIL - STD - 399 & 399A.
MIL - F - 80242
- d. Reduction Ratio - 48X
- e. Residual thiosulfate testing (DA Form 4488) - required.
- f. Image quality testing - required.
- g. Two Microfilm sets for NARS.
- h. Privacy Act applies.