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US Army Armor Center and Fort Knox
Fort Knox, Kentucky 40121-4215
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*Fort Knox Reg 25-400-2

Information Management

THE ARMY RECORDS INFORMATION MANAGEMENT SYSTEM (ARIMS)

Summary. This regulation prescribes responsibilities and policies for maintaining files under the Army Records Information Management System (ARIMS).

Applicability. This regulation applies to all activities in the US Army Armor Center (USAARMC) and Fort Knox, US Army Garrison (USAG), and organizations under Fort Knox installation Records Manager (RM) responsibility. This regulation also applies to all Partners in Excellence who utilize the installation Records Holding Area (RHA).

Suggested Improvements. The proponent of this regulation is the Directorate of Human Resources (DHR), USAG. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) through channels to DHR (IMSE-KNX-HRS), Fort Knox, KY 40121-4215.

Availability. This regulation is available on the Fort Knox Homepage at <http://www.knox.army.mil/garrison/dhr/asd/regs.asp>.

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*This regulation supersedes Fort Knox Circular 25-06-1, 25 Oct 06.

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1. Purpose. This regulation directs policy, procedures, and guidance unique to managing and maintaining records per AR 25-400-2, The Army Records Information Management System (ARIMS), 2 October 2007, and the web-based ARIMS. The purpose of ARIMS is to provide enhanced capabilities for authorized users to create, maintain, transfer, locate, and retrieve official Army records, including tracking documents stored in Army RHAs and the AEA. Fort Knox will utilize the AEA for transmitting all Transfer (T) and Transfer Permanent (TP) records but will maintain all Keep (K) files in the current files area (CFA). This web-based function will ensure long-term and permanent records are kept in compliance with the law and securely stored and retrievable only by authorized personnel. There are some T and TP records that will not be transmitted to the AEA; users are required to understand which records require transmission to the AEA, require transfer to another agency, or maintained in accordance with specific guidance. The ARIMS is focused on minimizing workloads of users involved in the record keeping process.

2. References.

- a. AR 340-21, The Army Privacy Program, 5 Jul 85.
- b. AR 25-55, The Department of the Army Freedom of Information Act Program, 1 Nov 97.
- c. AR 25-400-2, The Army Records Information Management System (ARIMS), 2 Oct 07.
- d. DA Pam 25-403, Guide to Recordkeeping in the Army, 11 Aug 08.
- e. AR 25-1, Army Knowledge Management and Information Technology, 4 Dec 08.
- f. Memorandum, HQ USAARMC, IMSE-KNX-HRS, 12 Mar 09, subject: Transfer of Files to Army Electronic Archives versus Records Holding Area and 2009 Update of Office Records List.

3. Explanation of Abbreviations. Abbreviations used in this regulation are listed in Appendix L.

4. Procedures.

a. The ARIMS Registration, Authentication, and Validation of Users. Users enter their Army Knowledge Online (AKO) user name and password when first registering in ARIMS, and AKO provides ARIMS with much of the user profile information, including category of the users and what organization/unit they are officially assigned to. Before proceeding with ARIMS registration, users must ensure they can log into AKO with their user name and password, verify their AKO personal profile is correct, and coordinate with their records coordinator (RC) for the appropriate office symbol. When users are transferred to another organization, they should maintain records under the gaining organization; DO NOT modify ORLs maintained under the losing organization for gaining organization use. The ARIMS accounts from losing organizations do not transfer to a gaining organization; RCs will notify the RM when a user moves. The RM deactivates users under the losing organization, and users will have an option of

selecting the appropriate office symbol for the gaining organization. Keep in mind that ARIMS accounts are managed by unit identification code (UIC) and office symbol. If users require access to a different UIC and office symbol, they will submit a Unit Access Request for the appropriate ARIMS account. Steps for submitting a unit access request are at Appendix J of this regulation.

b. Labeling Requirements. Labels may be printed directly from ARIMS, but labels may require some modification based on training provided. The action officers (AOs) will have to create folders under the RM-ASSIST option before creating and printing labels (see 5.1.4.1 of the ARIMS User's Guide, Version 3.5, and Appendix M of this regulation for instructions on creating folders). Even though ARIMS prints labels, AOs and RCs still need to understand how ARIMS labels are converted regarding cutoff (COFF) and destruction (DEST) dates. Appendix A of this regulation contains samples of disposition code conversions relating to ARIMS. Effective 2010, all users under installation RM responsibility will either print labels from ARIMS or create labels utilizing COFF, transfer (Trf), and DEST dates. Keep in mind all labels must be either created through ARIMS or manually typed. The format for all labels must be consistent. Basic ARIMS training provided by the installation focuses on printing labels from ARIMS.

c. Transmitting documents to AEA. Before documents are transmitted to the AEA, RCs will have to create electronic folders to place the documents in (see 5.1.4.1 of the ARIMS User's Guide, Version 3.5 and Appendix H of this regulation for instructions on creating folders). If an AO is required to upload files to the AEA, RCs under installation RM responsibility must submit a request for an exception to policy to the installation RM. Under no circumstances will an AO upload files to the AEA without installation RM approval (USAARMC and USAG organizations only).

5. Security, Roles, and Responsibilities. The ARIMS provides the security necessary for official Army records in order to prevent unauthorized access to and retrieval of sensitive information or information subject to the Privacy Act. All new registrants are initially granted AO level access, which permits the use of many ARIMS features. If a user's records management duties require a different level of access, the user must submit a User Role Change Request and receive authorization from the installation RM (USAARMC and USAG organizations only). Instructions for completing a User Role Change Request are at Appendix I of this regulation. Listed below are user roles associated with maintaining files:

a. Records Management Division (RMD), US Army Records Management and Declassification Agency (RMDA). The RMDA is aligned under the Administrative Assistant to the Secretary of the Army and is the HQDA staff agency responsible for records management programs and policy with oversight of the Army Chief Information Officer (CIO)/G-6.

b. Records Administrator (RA). An RA is appointed in writing and serves on the Army command level with command-wide records management program responsibilities. An RA has approval authority for AOs and RCs requesting RM or Records Holding Area Manager (RHAM) privileges. An RA may approve ORLs and serve as the point of contact (POC) for access and release of stored records for which he/she is responsible.

c. Records Manager (RM). An RM is appointed in writing and serves at the subordinate command level or on the installation garrison staff with command- or garrison-wide records management responsibilities. All Fort Knox Partners in Excellence should have an assigned RM within their organization. An RM is responsible for the following:

(1) Approving authority for AOs requesting RC privileges.

(2) Approving submitted ORLs annually. The installation RM will not approve an ORL unless the organization RC has approved the submission.

(3) Serving as a POC for access and release of stored records for which he/she is responsible.

(4) Coordinating new office symbols required for ARIMS with the appropriate RA and adding approved office symbols to the ARIMS database. Only approved office symbols will be authorized for use in ARIMS. If new office symbols are required for USAARMC or USAG organizations, a request for a new office symbol must be submitted to the Editor or Chief, Administrative Services Division (ASD), DHR.

(5) Inspecting units under their responsibility every 3 years.

(6) Tracking RC duty appointments at directorate/brigade, battalion, and higher levels under his/her responsibility.

(7) Conducting six ARIMS classes annually beginning October of each year (installation RM). Additional training will be provided four times annually for transmission of T and TP files to the AEA. The additional training will be required annually for RCs under installation RM responsibility.

(8) Coordinating new ARIMS accounts directly with the RCs. The AOs will coordinate establishment of ARIMS accounts with their assigned RC who will, in turn, coordinate with the installation RM. Beginning January 2010, AOs will coordinate establishment of ARIMS accounts with their assigned RC (organizations under installation RM responsibility). Partners in Excellence should have a separate plan on maintaining ARIMS accounts.

d. Installation RHAM.

(1) Managing and directing operations of the RHA.

(2) Destroying USAARMC and USAG documents transmitted to the AEA once records have reached the full retention period. Once records in the AEA reach the full retention period, the only individuals authorized to destroy records under installation RM responsibility are the installation RMs and RHAM. Organization RMs not under installation RM responsibility will be responsible for destruction of AEA records under their control.

(3) Accepting organization hard copy records for long-term/Permanent storage in the RHA if an exception to policy has been granted by the installation RM.

(4) Conducting record searches for all documents transferred to the RHA.

(5) Performing the same duties as an installation RM and having the same access privileges, if approved.

e. Commander. The commander of a unit or officer in charge of an activity is responsible for designating personnel to manage the records program within his/her unit or activity. For units under installation RM responsibility, RCs are designated at brigade, regiment, battalion, and directorate level to serve as POCs for all files maintenance and disposition matters. Forward a copy of the appointment memorandum in December of each year or when a change of personnel has occurred to the Installation RM, DHR (IMSE-KNX-HRS). Appointment of RCs at all levels indicated above is mandatory. All units/activities will ensure RC appointments are kept current, inform the installation RM of personnel departing the position, and provide duty appointments expeditiously.

f. Records Coordinator (RC). The RC serves one or more offices/units and acts as a liaison between the office/unit and servicing RM and/or RHAM and is responsible for performing the following duties:

(1) Preparing ORLs and verifying AO ORLs are accurate and up to date before submitting to the installation RM for approval. Assisting and ensuring each AO creates an initial ORL, the ORL is submitted through ARIMS for installation RM approval, and ORL is updated and resubmitted annually (accomplished within 30 days of the start of the fiscal year (FY) or calendar year (CY), as applicable). If organizations under RC responsibility do not have updated ORLs during the Records Management inspection, this will be an automatic inspection failure.

(2) Verifying all long-term/Permanent records (T and TP records) are accurate before transmitting files to the AEA/RHA.

(3) Serving as the POC for access and release of office/unit records under their responsibility stored in ARIMS. The individual who uploads files to the AEA will be the only individual, other than RMs, who will have access to the files. If organizations require access to the files, they must submit a Request for Records within ARIMS. If the RC who uploaded the files is no longer assigned to the account, the Request for Records will be provided through the assigned RM.

(4) Serving as the primary POC for all AOs under his/her responsibility.

(5) Coordinating with the installation RM ensuring the appropriate office symbols and UICs are used by AOs who require access to ARIMS accounts and ensuring each AO under his/her responsibility is properly registered and selects the correct office symbol in ARIMS (see paragraph 4a of this regulation).

(6) Uploading T and TP files to the AEA, requesting exceptions to policy for hard copy maintenance in the RHA, and monitoring records maintained on share drives of AOs under their responsibility. If AOs have a large amount of records to be transmitted to the AEA, RCs, at their discretion, may request an exception from the installation RM for a specific AO to transmit files.

(7) Preparing a memorandum for the commander's/director's signature if an exception to policy for maintaining hard copy files in the RHA is required. Exception to policy will be forwarded to the Installation RM (IMSE-KNX-HRS), DHR. If documents can be scanned, more than likely, an exception to policy will not be granted unless there is a specific need for transferring hard copy records to the RHA. If an exception to policy is approved, organization/unit RCs may transfer hard copy files for T and TP files to the RHA. All K files will be maintained in the CFA.

(8) Ensuring records eligible for transfer to the installation RHA are properly labeled, arranged, and transferred on a timely basis per the disposition schedule. Primary and Alternate RCs are the only individuals authorized to deliver/pick up hard copy records from the installation RHA.

(9) Notifying the RM and organizational data manager when personnel who have access to ARIMS accounts and share drives have departed so users will be deactivated under the ARIMS account and removed from the access list for the share drive.

(10) Preparing standing operating procedures for continuity purposes and guidance to AOs.

(11) Conducting ARIMS web-based training within 30 days of appointment and ensuring all AOs conduct the web-based training. All personnel involved in filing must attend ARIMS training conducted by ASD, DHR, and all RCs must attend an additional training session for transmitting files to the AEA, which is conducted by the installation RM. Six classes for all personnel are conducted from October – March each year, and four classes for RCs are conducted March – June each year.

(12) Ensuring files and filing equipment are properly labeled and maintained to facilitate filing, searching, and disposition of records (including share drives) and all appropriate T and TP files are transmitted to the AEA.

(13) Using the Records Retention Schedule-Army (RRS-A), located at <https://www.arims.army.mil>, in conjunction with this regulation, for selecting record numbers (RNs) and conducting proper filing procedures.

(14) Upon receipt of e-mail from installation RM regarding significant recordkeeping changes, disseminate information to all AOs within their activity. To ensure units/activities receive this information, it is imperative that RC appointment orders are kept up to date. Organizations under installation RM responsibility will submit RC duty appointments annually no later than Dec or when personnel changes have occurred.

(15) Coordinating with the organizational data manager for establishment of share drive folders, if required. He/she will monitor the organizational share drive of all accounts under his/her responsibility and ensure documents no longer needed/required are removed at the appropriate time. Beginning January 2010, if files that are not properly labeled or no longer required according to ARIMS are still on the share drive, this will be a Records Management inspection failure.

(16) Ensuring share drive folders are labeled in accordance with (IAW) training provided.

g. Action Officer (AO). The AO is responsible for the following:

(1) Managing records he/she creates and/or receives and using ARIMS to create a draft or proposed ORL. Effective January 2010, proposed ORLs will not be approved by the installation RM unless the AO has completed coordination with the organization RC.

(2) Coordinating with his/her RC for assignment of office symbols within ARIMS.

(3) Directing questions he/she has regarding ARIMS accounts to the servicing RC. If an AO does not know who the RC is, he/she may contact the installation RM to obtain the name and phone number.

(4) Updating ORLs annually (by fiscal or calendar year) and preparing labels for folders. Once an ARIMS account has been established under a specific UIC and office symbol, new users will maintain the account under the same UIC and office symbol. If a user registers in ARIMS and does not have the same UIC as the account, he/she will register in ARIMS and submit a Unit Access Request for the appropriate account. Do not create a new ORL from scratch. When conducting the annual ORL update, do not create ORL from scratch; use the Create by Copy function within ARIMS. If there are no changes to the ORL, it will automatically go to the approved status.

h. Multi-hatted Users. Although users may only register under one account in ARIMS, some users are responsible for other offices/units outside their normal functional organization chain. All RCs should submit a Unit Access Request for each office symbol they are responsible for (i.e., battalion RCs will be responsible for all office symbols and records within the battalion or directorate RCs will be responsible for all office symbols and records within the directorate). If users do not currently have access to all units needed to perform their RC duties, they will submit a Unit Access Request, which will be approved by the installation RM. If a justifiable e-mail is forwarded from the RC to the installation RM, the installation RM will approve the request. See Appendix J of this regulation for instructions on submitting a Unit Access Request.

i. Organizational Data Manager. The organizational data manager is responsible for the following:

(1) Setting up folders in the organizational share drive, if requested by the RC.

(2) Assisting the RC in granting permissions for authorized personnel for access to folders within the share drive.

(3) Monitoring the share drive to ensure the share drive is not overloaded with documents reaching the full retention period and unauthorized personnel do not have access to the files.

6. Requesting Sponsorship. Users register in ARIMS using their AKO user name and password. Contractors with valid AKO accounts still require sponsorship; they must enter their sponsor's username when they log in to ARIMS for the first time.

a. Submitting a Request for Sponsorship. Registrants who do not have an AKO account or need to be approved by a sponsor will not gain access immediately. If users require access to ARIMS, they may be granted access by submitting an AKO user name of a valid ARIMS sponsor. Sponsors must verify the applicant creates, maintains, uses, and/or manages Army records. After requesting a sponsor, he/she will receive an e-mail notification when the sponsorship has been approved and an ARIMS account has been activated. See the ARIMS User's Guide, Version 3.5, paragraphs 4.6.1 and 4.6.2, in determining which users require sponsorship.

b. Requirements for ARIMS Sponsor. An ARIMS sponsor must be registered in AKO under the same UIC as the applicant and possess a full account in AKO. The sponsor must also be authorized to grant the applicant privileges to submit, retrieve, and open/read records within ARIMS.

c. Listed below are instructions for requesting ARIMS sponsorship.

(1) Go to the ARIMS home page and click "Sign into ARIMS." Since the user has no AKO user name and password, a pop-up window will be displayed requesting the user enter a sponsor's AKO user name. Do not type the sponsor's e-mail – type only the user name.

(2) Type the AKO user name of a valid ARIMs sponsor and click "Submit." An e-mail requesting sponsorship will be sent to the requested sponsor. When the sponsor returns the e-mail agreeing to the terms, the user requesting access will receive an e-mail notifying him/her of account activation.

(3) After activation of a sponsored account, users will select an office symbol for their user profile during the first login.

d. New Sponsor Request. See ARIMS User's Guide, Version 3.5, paragraph 4.6.3, for instructions requesting a new sponsor.

7. Inspections. Organizations that fall under installation RM responsibility will be inspected every 3 years. Courtesy inspections will be provided upon unit request; if a unit requests a courtesy inspection after official notification of an inspection, the request will be denied.

a. In-briefing. The purpose of an in-briefing is to present a clear view of what is expected during inspection activities and address any last minute questions. The commander/director or designated representative, supervisor of individual inspected, and individual inspected will attend the meeting unless otherwise directed.

b. Out-briefing. The purpose of the out-briefing is to present findings, discuss and assign responsibility for corrective actions, and recognize efforts taken in the Records Management Program.

c. Inspection Results. Inspection results will be prepared and forwarded to the inspected unit within 30 days after the inspection.

d. Appendix K of this regulation contains inspection checklists for the Fort Knox Records Management Program, which includes ARIMS, Privacy Act, and Freedom of Information Act. Use these checklists to maintain a proactive Records Management Program and prepare for installation program inspections.

8. Army Electronic Archives.

a. Beginning 2009, the RCs transfer all T and TP files to the AEA. There are some T and TP records that will not be transmitted to the AEA; users are required to understand which records require transmission, require transfer to another agency, or maintained in accordance with specific guidance. Files may be transmitted to the AEA at any time throughout the year; Fort Knox installation RM requires all files for the current year be transmitted no later than 31 January the following year. Beginning with 2009 records, if required T and TP files are not transmitted to the AEA, this is an automatic Records Management inspection failure (USAARMC and USAG organizations).

b. Records will be transmitted to the AEA utilizing the Records Input Processing Module (RIPS) or Bulk Archive Tool (BAT) function. The AEA will only accept T and TP files. If documents are too large for processing through the RIPS, the BAT will be utilized for transmission to the AEA. Only INACTIVE Time Event (TE) files will be transmitted to the AEA – DO NOT transmit ACTIVE TE files to the AEA. The RIPS and BAT accepts files in Portable Document Format (.pdf), Word, Excel, PowerPoint, and PureEdge; the BAT also accepts e-mail files. Documents transmitted must be an exact replica of the original document bearing either a digital or handwritten signature to meet legal requirements.

c. If an organization has a large amount of files, the RC may want to consider utilizing the organization share drive to transmit T and TP files to the AEA. This will allow him/her to have a central location for AOs to place the files pending transmission. The share drive suggestion is an organizational preference, but if an organizational share drive is desired, the RC will need to coordinate with the organizational data manager in establishing a share drive for T and TP files maintained under their responsibility. The share drives will enable RCs to retrieve files for transmission to the AEA and reduce paper copies within the units. Share drive folders must be labeled IAW training provided. Once documents are transmitted and verified in ARIMS, the share drive copy may be deleted.

d. For organizations under the Fort Knox installation RM responsibility, RCs will be the only ARIMS users authorized to upload T-files in the AEA. If approved by the installation RM, an AO may transmit records to the AEA. All other organizations on Fort Knox not under installation RM responsibility may designate personnel they deem appropriate for the AEA uploading process.

e. After T and TP files are transmitted and verified in the AEA (i.e., conduct search), RCs or designated representatives must take the following actions prior to destroying hardcopy records that have been transmitted.

(1) Permanent Records. The RCs must submit FK Form 5095, Request Destruction of Permanent Records After Submission to Army Electronic Archives, to Records Manager/Administrator for approval. The Records Manager/Administrator will, in turn, submit the form to RMDA for approval. The RCs are required to maintain the request on file under record number 1g, Office Record Transmittals. Once approval to destroy the records is obtained from RMDA, the RCs may destroy the original documents that were transmitted and maintain the RMDA-approved copy of the request under record number 1g until the appropriate destruction date. This is a requirement stated in AR 25-400-2.

(2) Transfer Records. The RCs must submit FK Form 5095a, Request Destruction of Transfer Records after Submission to Army Electronic Archives, to their assigned Records Manager/Administrator (RM/RA) for approval. The RCs are required to maintain the request on file under record number 1g, Office Record Transmittals. Once approval to destroy the records is obtained from the RM/RA, the RCs may destroy the original documents that were transmitted and maintain the RM/RA-approved copy of the request under record number 1g until the appropriate destruction date. All Garrison and USAARMC organizations must submit FK Form 5095a to their assigned RM for approval. In order to obtain complete quality control prior to destroying records, it is highly recommended that Partners in Excellence follow the same procedures.

If desired, organizations may keep T-files on the share drive for the time period they would normally maintain files until required shipment of records to the RHA (i.e., a T7 file would be COFF 31 Dec 09, Trf to RHA Jan 12); in this case the records could be maintained on the share drive until Jan 12.) The RC will be responsible for monitoring the share drive and ensuring files that have been transmitted to the AEA and reached the transfer date or full retention period are removed.

f. The installation RHAM is responsible for destruction of records in the AEA once records under installation RM responsibility have reached the full retention period. Once records in the AEA reach their full retention period, the only individuals authorized to destroy records are the installation RMs and RHAM. The installation RHAM will be responsible for destroying USAARMC and USAG records under his/her responsibility. The RMs for other organizations on Fort Knox will be responsible for destruction of their organizational records.

g. If an exception to policy is required to maintain hard copy records in the RHA, the RC will prepare a memorandum for the commander's/director's signature. Forward the Request for

Exception to Policy to the Installation RM (IMSE-KNX-HRS), DHR. If documents can be scanned, more than likely, an exception to policy will not be granted unless there is a specific need for transferring hard copy records to the RHA. If an exception to policy is approved, organizations/units may transmit hard copy T and TP files to the RHA. The RHAM will not accept hard copy records without installation RM approval. Ensure records eligible for transfer to the installation RHA are properly labeled, arranged, and transferred on a timely basis per the disposition schedule. Place extra emphasis on transferring records according to schedule.

h. Policy changes as a result of transmission of T and TP files to the AEA. Beginning with 2006 files, RCs will utilize the schedule below to transmit all T and TP files of 2006 and later to the AEA. All RCs are required to attend training provided by the installation RM prior to transmitting files – It is imperative that RCs DO NOT transmit files until training has been completed. Listed below is the schedule for transmission of files (If desired, units/activities may transmit earlier than the scheduled date.):

(1) **2006 Files** (all T-files with a disposition of 6.25 years or more and all Permanent files).

- 15 or more boxes: Transmit July 2009 – July 2011.
- 14 or less boxes: Transmit July 2009 – July 2010.

(2) **2007 Files** (all T-files with a disposition of 6.25 years or more and all Permanent files). If desired, units may transmit T-files of T4 to T6.

- 15 or more boxes: August 2011 – August 2013.
- 14 or less boxes: August 2010 – August 2011.

(3) **2008 Files** (all T-files with a disposition of 6.25 years or more and all Permanent files). If desired, units may transmit T-files of T3 to T6.

- 15 or more boxes: September 2013 – September 2015.
- 14 or less boxes: September 2011 – September 2012.

(4) **2009 and Future Files** (all T-files and TP-files). Begin transmitting files after RC obtains training from the installation RM.

9. Bulk Archive Tool. If documents are too large for processing through the Document Upload process or users have e-mails that require transmission to the AEA, RCs or designated representatives can upload through the ARIMS BAT. See Appendix O for instructions on processing through the BAT. If desired, all documents, regardless of size, may be transmitted through the BAT.

10. Explanation of Appendices.

a. Appendix A. Disposition Codes/Conversions contains disposition codes and an explanation of each.

b. Appendix B. Clarifications/Exceptions explains the three types of disposition instructions and addresses areas of ARIMS that require additional guidance and changes to RNs. It also provides clarification and further explanation to aid in the maintenance, use, and disposition of records per ARIMS.

c. Appendix C contains model files plans designed to aid unit personnel. Use these plans as a guide for establishing files under ARIMS in conjunction with AR 25-400-2 and RRS-A (<https://www.arims.army.mil/>). Units are neither limited to only those RNs shown in the plans, nor do they have to establish each file if not required to support their mission.

d. Appendix D provides samples of file labels for the various disposition codes used in ARIMS.

e. Appendix E provides exceptions for file labels in ARIMS.

f. Appendix F provides a sample cross reference sheet.

g. Appendix G shows samples of Records Coordinator and Freedom of Information Act/Privacy Act Coordinator duty appointments.

h. Appendix H provides instructions for creating folders for transmission of records to the AEA.

i. Appendix I provides instructions for submitting a User Role Change Request. A User Role Change Request will be required by all RCs to ensure they have access to all accounts under their responsibility.

j. Appendix J provides instructions for submitting a Unit Access Request. A Unit Access Request is required when a user needs access to other accounts within ARIMS. If a user is assigned under a specific UIC but requires access to another UIC, he/she will submit a Unit Access Request.

k. Appendix K provides the Records Management inspection checklist utilized by the installation RM.

l. Appendix L explains all abbreviations used in this regulation.

m. Appendix M explains how to create folders for printing labels.

n. Appendix N explains how to create an ORL.

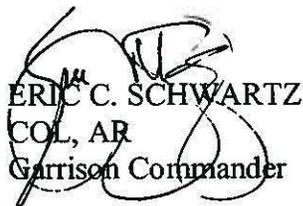
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o. Appendix O provides instructions for transmitting documents through the BAT.

p. Appendix P provides sample files layouts on a share drive.

FOR THE COMMANDER:

OFFICIAL:



ERIC C. SCHWARTZ
COL, AR
Garrison Commander

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DISTRIBUTION:

C

Appendix A
Disposition Codes/Conversion

DISPOSITION CODES SHOWN IN ARIMS	DISPOSITION INSTRUCTIONS SHOWN IN ARIMS	Conversion Examples
K.08	Keep 1 month, then destroy	COFF 31 Jan 09, DEST Mar 09
K.25	Keep 3 months, then destroy	COFF 31 Mar 09, DEST Jul 09
K.5	Keep 6 months, then destroy	COFF 30 Jun 09, DEST Jan 10
K1 through K6	<i>Example of a K3 file:</i> Keep 3 years, then destroy	<i>Example of K3 file conversion:</i> COFF 31 Dec 09, DEST Jan 13
KN	Keep until NLN, NTE 6 years, then destroy	Keep until NLN, NTE 6 years, then DEST
KEN	Keep until the event then until NLN for conducting business	Keep until NLN after supersession or obsolescence, NTE 6 years, then DEST
KE.25 through KE6	<i>Example of a KE2 file:</i> Keep 2 years after the event	<i>Example of a KE2 file:</i> ACTIVE. PIF after date of reply INACTIVE. COFF 31 Dec 09, DEST Jan 12
T	Transfer file	Dispose of according to AR 27-10
T.25 through T6	<i>Example of a T2 file:</i> Transfer and destroy after 2 years	<i>Example of a T2 file if hard copy is maintained in CFA:</i> COFF 31 Dec 09, DEST Jan 12
T6.25 through T75	<i>Example of a T10 file:</i> Transfer after 2 years in CFA	<i>Example of a T10 file if hard copy is maintained in RHA:</i> COFF 31 Dec 09, Trf RHA Jan 12, Ret WNRC Jan 13, DEST Jan 20
TP	Transfer permanent	<i>If hard copy is maintained in RHA:</i> COFF 31 Dec 09, Trf RHA Jan 12, Ret WNRC Jan 13, PERM
TE	Transfer after the event	Forward w/MPRJ IAW AR 600-8-104 when individual is separated.
TE.25 through TE6	<i>Example of a TE5 file:</i> Transfer after event, destroy after 5 years	<i>Example of a TE5 file if maintained in CFA:</i> ACTIVE. PIF after final action INACTIVE. COFF 31 Dec 09, DEST Jan 15
TE6.25 through TE75	<i>Example of a TE10 file:</i> Transfer after event, destroy after 10 years.	<i>Example of a TE10 file if maintained in RHA:</i> ACTIVE. PIF after final action INACTIVE. COFF 31 Dec 09, Trf RHA Jan 12, Ret WNRC Jan 13, DEST Jan 20
TEP	Transfer after event, permanent	ACTIVE. PIF on revision, supersession, or obsolescence <i>If hard copy is forwarded to RHA:</i> INACTIVE. COFF 31 Dec 09, Trf RHA Jan 12, Ret WNRC Jan 13, PERM
U	Unscheduled	Keep in CFA until disposition instructions are published.

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Appendix B Clarifications/Exceptions

B-1. Housekeeping and Mission Files. Housekeeping files are those that each office accumulates and maintains as a result of the day-to-day administration of an office and its personnel. They are identified by the number "1" followed by a letter(s) of the alphabet. Mission files are exactly as the name implies; they relate to the mission or function of the office. Arrange "housekeeping" files either in a separate drawer or preceding all mission files. Do not confuse housekeeping files with the mission files under the series 1, Administration.

B-2. Record Numbers (RNs) with Multiple Dispositions. In ARIMS, RNs that have multiple disposition instructions are now listed as separate RNs (composed of the RN followed by a number 1, 2, 3, etc.). For example, RN 1v, Access Controls, has four separate RNs (1v1, 1v2, 1v3, and 1v4) to accommodate the four different dispositions.

B-3. Types of Disposition Instructions. There are three types of disposition instructions in ARIMS that are based on time, event, and combined time-event.

a. Time. With a time disposition, a record is cutoff at the end of the month for 30-day files, end of quarter for 3-month files, semiannually for 6-month files, or end of the year for a 1-year or more disposition, held for the specified period, then destroyed. Disposition codes of K.08 (Keep 1 month), K.25 (Keep 3 months), K.5 (Keep 6 months), K2 (Keep 2 years), T2 (Transfer 2-year file), T7 (Transfer 7-year file), and TP (Transfer Permanent) are all examples of time disposition. ARIMS labels will show K, T, or TP for these type files.

b. Event. With an event disposition, the records are destroyed upon or immediately after the specified event occurs. Unlike the time disposition, there is no waiting period. Disposition codes of KN (i.e., Keep until NLN, NTE 6 years, then destroy) are event dispositions. Also, KEN files (i.e., Keep until NLN after supersession or obsolescence, NTE 6 years, then destroy) are an exception to the three types of disposition instructions but are to be considered as event dispositions. Event dispositions will always remain in the current year block of files.

c. Combined Time-Event. With a combination time-event disposition, a record is disposed of a certain period of time after an event takes place. For example, destroy 3 years after case is closed. This disposition requires the establishment of two types of files – ACTIVE (prior to the event occurring) and INACTIVE (after event occurs). The occurrence of the event triggers the file to become INACTIVE. Add ACTIVE or INACTIVE, as appropriate, to the record label title you create in ARIMS. The disposition instructions on the label for both the ACTIVE and INACTIVE files will read: Destroy in CFA 3 years after case is closed. Once the event occurs (case is closed), create the INACTIVE file. Cutoff (COFF) the INACTIVE file at the end of the year and destroy after 3 years. Disposition codes of KE1 (i.e., Keep 1 year after event), KE3 (i.e., Keep 3 years after the event), TE2 (i.e., Transfer and destroy 2 years after the event), TE6 (i.e., Transfer and destroy 6 years after event), and TEP (i.e., transfer after the event, permanent) are all examples of combination time-event dispositions. ARIMS labels will show KE, TE, and TEP disposition codes for these type files. See Appendices D and E for appropriate labeling.

B-4. “General Correspondence” Files. Each “General Correspondence” RN has two disposition instructions as explained in the following:

a. The first disposition is for ACTION documents (this means your office originated the correspondence, prepared a reply, filled out a form, or responded to a tasking via phone call). Disposition instruction is “Keep until NLN after 2 years old for action documents or when NLN for nonaction documents, whichever applies, NTE 6 years, then destroy.” Add (ACTION DOCUMENTS) to these labels. Maintain these files for 2 years, then destroy. A sample file label is shown in figure B-1 below:

KEN 600 General Personnel Corres Files (09) (ACTION DOCUMENTS) PA:NA Keep until NLN after 2 years old for action documents or when NLN for nonaction documents; whichever applies, NTE 6 years, then destroy.
--

Figure B-1. Sample label “General Correspondence” RN – ACTION DOCUMENTS

b. The second disposition is for NONACTION documents (your office took no action, but you are retaining for information only). Disposition instructions in ARIMS will read the same as the dispositions instructions for action documents; however, add NONACTION DOCUMENTS to the label. These files should be reviewed at least annually and purged of all correspondence that is obsolete, superseded, or no longer needed. If printing the labels from ARIMS, these files will have a year of accumulation, and the folders will remain in the current year block of files. If copying and pasting information off ARIMS labels to Microsoft Word mailing labels, users may remove the year of accumulation; there is no requirement to prepare this type of label every year if the year of accumulation is removed. A sample file label is shown in figure B-2 below:

KEN 600 General Personnel Corres Files (09) (NONACTION DOCUMENTS) PA:NA Keep until NLN after 2 years old for action documents or when NLN for nonaction documents; whichever applies, NTE 6 years, then destroy.

Figure B-2. Sample label “General Correspondence” RN – NONACTION DOCUMENTS

B-5. Setting up Files for the New Year. Files inspections reveals that many units establish numerous file folders at the beginning of the year, and many folders remain empty throughout the year. Do not establish file folders until the need arises; prepare folders only for files the AO or RC is confident will be used during the year.

B-6. File Label Positions. When using lateral filing equipment, place the label in either the first or third position, whichever provides the best access to identify the folders. The requirement to

place file labels on folders in three positions to indicate final disposition of the records is no longer required.

B-7. “Dummy” Folders. Use a “dummy” folder when two or more folders are required under one record number. Subsequent folder labels behind the “dummy” are only required to show the disposition code, RN, title of the contents, and year of accumulation (if required); title of contents in the folder can read according to what is within the folder. However, labels generated in ARIMS will also show the Privacy Act System Notice and disposition instructions, which will be acceptable. File dividers may be used in lieu of taping an empty file folder together as a “dummy.” Do not use a “dummy” folder or file guide with full label instructions when there is only one file folder for the year.

B-8. Use of Hanging File Folders. When using hanging file folders, label in the same manner as manila folders, and tape “dummy” folders shut. When using hanging file folders in place of file guides, ensure they are taped shut to preclude any filing within. Do not insert file guides and manila folders within the hanging folder; this is a waste of filing supplies. **NOTE: The only exception to this policy is for those records that require transfer to the installation RHA and Federal Records Center (FRC). Since records boxes only accommodate manila folders and standard file guides, the RHA and FRC can only accept records filed with standard supplies.**

B-9. Cross-referencing Files. Maintain files in numerical order (housekeeping followed by mission) within file cabinets. However, in some instances, the size of the record (e.g., computer printouts), volume of records, storage medium (e.g., electronic, CD-ROM, optical disk, or microfilm), or mission may require maintenance of files outside of normal numerical sequence within a file cabinet. In such cases, establish a folder in the correct numerical position in the primary files cabinet and insert a DA Form 1613, Records Cross Reference, in the folder to indicate the exact location of records (see Appendix F of this regulation for a sample). The only exception where a cross-reference is not required is RN 1jj, Reference Publications, which are normally filed in three-ring binders. Records maintained outside the primary files area must also be labeled per ARIMS.

B-10. File Folder Capacity. Standard file folders are designed with a maximum capacity of $\frac{3}{4}$ inch. If contents of a folder exceed this capacity, prepare additional folders per the “dummy” folder concept as explained in paragraph B-7 above.

B-11. Fastening Records. Staple records instead of using paper clips. Paper clips tend to hang on other documents and are pulled off. For records too bulky for staples, use black metal clips, clam clips, or two-hole prong fasteners.

B-12. Preparing Papers for File. Remove extraneous materials such as Option Form 41s, routing slips, “Post-it” notes, cover sheets, etc., which are not a vital part of the record, before filing. Tabs are not considered extraneous materials.

B-13. Electronic Records. Maintain and dispose of electronic records using the applicable ARIMS RN for equivalent information in paper form per Chapter 3, AR 25-400-2 (2 October 2007). Establish routine backup procedures to ensure records integrity and avoid possible loss of valuable information. Cross reference K, KN, and KEN records maintained solely by electronic medium to the primary files area (see paragraph 8 of this regulation for filing of “T” and “TP” electronic records using the ARIMS-BAT feature).

B-14. Labeling Floppy Disks, CD-ROMs, and Computer-generated Records.

a. When floppy disks/CD-ROMs are used to maintain the official record copy, labels should include the disposition code, record number/titles, begin and end dates, PA number (if applicable), software used to create the records, and classification, if classified. Do not use floppy disks to store official records with a retention schedule of more than 2 years.

b. Label binders containing computer-generated reports and information by using the applicable subjective ARIMS RN.

B-15. Filing Unclassified Publications. When publications are available in electronic format (e-Pubs), there is no requirement to maintain the publication in paper format. With the 1 July 1999 implementation of HQDA’s “Less Paper Policy” and increasing cost of printing, users should preferably use the electronic version of publications when available. Most e-Pubs are available through the APD web site at <http://www.apd.army.mil/>. For publications that are not available electronically, or if the user maintains the paper version of publications, the following applies:

a. Generally, publications are separated and filed by type – all Army regulations together, all pamphlets together, all field manuals together, and all technical manuals together. File these publications numerically; when letters are added to publication numbers, file them numerically-alphabetically.

b. Because of the mission or other requirements in some organizations and offices, it may be desirable to file publications functionally rather than by type of publication. If so, file all publications on a given subject together.

c. Most pre-printed DA publications have pre-punched holes for filing in three-ring binders.

d. Label each binder. Examples of binder labels are shown in Figure B-3 below. Show disposition instructions on the lead binder only (the first binder on the left of a row of binders).

e. Do not use permanent marking materials on the spine or cover of the binder. Such markings make reuse of the binder difficult if the contents change. As preferred methods, use metal slip-on binder label holders, if available, or attach labels to the spine of the binder with transparent tape. Avoid using gummed labels since these are difficult to remove when relabeling is necessary.

f. Even though ARIMS prints labels with the year of accumulation, an exception is granted to eliminate it on binder labels. Prepare binder labels as shown below:

KEN 1jj Ref Pubs	KEN 1jj Ref Pubs	KEN 1jj Ref Pubs
ARs 25-50 thru 340-21	ARs 600-8 thru 600-37	ARs 600-38 thru 870-5
Keep until NLN after supersession or obsolescence, then destroy.		
Book 1	Book 2	Book 3

Figure B-3. Sample Label Entries on Binders

B-16. Filing Classified Publications. Store classified publications in security containers that meet the requirements of AR 380-5. Place the publications in binders or each in a separate file folder. If folders are used, label the visible edge of the folder per ARIMS and show the publication number. If placed in binders, the outside of the binder must carry the publication number and the highest security marking of the documents contained within. Prepare a DA Form 1613, Records Cross Reference (see Appendix F) and insert in the proper place in the unclassified files to show where the publication is located and that it is classified. Do not place classified information on cross reference forms filed in unclassified files.

B-17. Filing Changes/Supplements. Per DA Pam 25-40, Appendix E, file changes/supplements to Army regulations in front of the basic regulation to which they pertain after posting. After new pages of a loose-leaf change are inserted, the change instruction sheet is filed in front of the updated basic. The latest change or change sheet is always placed on top.

B-18. Filing Documents in Binders. Do not interfile documents within the same binder that are more appropriately filed under different RNs. File these records under each appropriate individual RN as part of the office's official files. This requirement will preclude the establishment of "subject binders" for Safety, Security, Equal Opportunity, Substance Abuse, etc., because these subject binders often result in interfiling of records having different RNs.

B-19. Authorized Abbreviations. Use abbreviations located at <https://www.rmda.army.mil/abbreviation/MainMenu.asp> in accordance with AR 25-52, in the disposition instructions. Any abbreviations that will be understood by the custodian of the file may be used in the title of the file.

B-20. Block Files. Files with a specific retention period, such as “Destroy after 2 years” will be cutoff and blocked at the end of the year in which action on the record has been completed. Files with a continuing type of disposition such as “Destroy when no longer needed for conducting business” will be reviewed and individual records removed and destroyed at the appropriate time. After review, current records are brought forward to the new annual block.

B-21. RN 1g, Office Record Transmittals. This file contains copies of SF 135s (Records Transmittal and Receipt) for unit/activity records transferred to the installation RHA. Units/activities should maintain the SF 135s until each record category has reached its disposition date – if there are any records transferred on an SF 135 that has a “Permanent” disposition, the unit/activity should also retain the SF 135 permanently or until deactivation/discontinuance of the unit/activity.

B-22. RN 1v2, Access Control – Key and Lock Control Registers. The label within ARIMS shows only K disposition; disposition code should be KE, because the disposition is based on an event (after page is filled). Prepare ACTIVE and INACTIVE labels as shown in Appendix E of this regulation.

B-23. RN 1v3, Access Controls – Forms used to record entry into vaults or containers. Label has been modified to add (except forms involved in an investigation will be kept until the investigation is complete). Prepare labels as shown at Appendix E of this regulation.

B-24. RN 1x1, Office Civilian Personnel Time and Attendance Files – Time and attendance source records and input records.

a. Defense Civilian Pay System (DCPS) (does not apply to Garrison organizations).

(1) The G4/G8 Customer Service Representative maintains the original timesheets used by the office timekeeper to input time into DCPS under RN 1x1, which is a 6-year file. This includes supporting documentation for court, military, law enforcement, and blood donor leave.

(2) Office timekeepers will maintain time and attendance records per RN 1x3, Civilian Personnel Time and Attendance Files – OPM 71 or equivalent: If timecard has not been initialed by employee. However, to alleviate administrative burden on office timekeepers, exception is granted to maintain copies of the timesheets, SF 71s, and other backup documentation in a single file for the 3-year period whether initialed by the employee, in lieu of separating per RN 1x2 and 1x3. Change disposition code from KEN to “K3” to accommodate local deviation from ARIMS.

b. Automation Time and Attendance and Production System (ATAAPS) (applies to Garrison organizations only). If employee inputs time, concurs, and supervisor certifies, no paper timesheet is maintained. If timekeeper inputs time for the employee or if the employee has not concurred after supervisor’s certification, a paper copy of the timesheet must be retained. The CSR will maintain per B-24a(1), and office timekeeper will maintain per B-24a(2) above.

B-25. RN 1hh, Office Temporary Duty Travel Files. Since implementation of the Defense Travel System (DTS), any paper records kept must be maintained on a fiscal year basis for the

full disposition period of 6 years, 3 months. An exception to maintain these files in the CFA for the full retention period in lieu of transferring to the installation RHA was previously granted. The exception is no longer valid; this is a "T" file and requires uploading to the AEA. This is a requirement for all USAARMC and USAG organizations. If a USAARMC or USAG unit/organization requires an exception to maintain this RN in the CFA, submit a request for approval to the installation RM in DHR (IMSE-KNX-HRS). Other organization RMs on Fort Knox may establish a local command policy. Organizations that have no need for an exception must upload records into the AEA. If any organization desires to transfer hard copy files to the RHA, an exception to policy must be submitted to the installation RM for approval.

B-26. RN 1ii, Office Military Personnel Files. The disposition has changed from "Destroy 1 year after transfer or separation of the individual to "KEN. Keep until NLN after transfer or separation of individual, NTE 6 years, then destroy." Treat the new disposition as an "event" file and continue to maintain the INACTIVE records for 1 year after the end of the year the individual transfers or separates. Prepare labels and guides as shown Appendix E of this regulation. INACTIVE files may be maintained in a separate drawer but must be cross-referenced from the main file drawer.

B-27. RN 1jj, Reference Publications. Due to publications constantly changing throughout a reference library, prepare binder labels as shown at Figure B-3 of this regulation.

B-28. RN 1mm, Reading Files. Do not establish the reading file below brigade, regiment, command, or directorate level. It tends to become a "catch-all" file at lower echelons and abused by filing clerks that do not take the time to file subjectively.

B-29. RN 5-10c2, Reduction and Realignment Documentation – Office responsible for submitting documentation for approval. The Garrison Commander's office is responsible for submitting Base Realignment and Closure (BRAC) documentation for approval and maintains the records for 10 years after completion or cancellation of related reduction or realignment. Offices responsible for review, comment, or contribution of information to the Garrison Commander's input will maintain under RN 5-10c3 as a 5-year file.

B-30. RN 15-6b2, Investigative Case Files – Significant cases (those that result in national media attention, Congressional investigation, and/or substantive changes in Army policy or procedures). Due to conflicting information on ARIMS label and disposition instructions, prepare the label as shown in Appendix E of this regulation.

B-31. RN 25-30hh, Publications and Form Requisition (DA Form 17), and RN 25-30ii, Initial Distribution Requisitions (DA Form 12 Series). These RNs are used by the Installation Forms Stockroom only. Use RN 1p1, Office Service and Supply Files – DA Form 12-series to maintain the 12-series, and RN 1p2, Office Service and Supply Files – Other information, to maintain the DA Forms 17 in the units/directorates.

B-32. RN 25-30kk, Internal Distribution Schemes. Use this RN to file Fort Knox Form 5001-E (Internal Distribution Card), which shows the unit's internal distribution of publications received through the pinpoint distribution system.

B-33. RN 27-10d2, Special Courts-martial (BCD), and RN 27-10e2, General Courts-martial. Permission is granted per this regulation for S-1 Legal to use these numbers in addition to the Staff Judge Advocate level.

B-34. RN 37z, Government Credit Card Certifying/Billing Officer's Account Files. The certifying officer for government credit card purchases will use this RN to maintain records in support of certifications for payment of government credit card transaction, to include supporting documentation, monthly statements of account, purchase logs, purchase card receipts, and copies of monthly billing statements. The file must be maintained on a fiscal year basis for the full disposition of 6 years and 3 months. Exception was previously granted to maintain these files in the CFA for the full retention period in lieu of transferring to the RHA. Since this record is a "T" file, the exception is no longer valid; if a unit/organization requires an exception to maintain this RN in the CFA, submit a request for approval to the installation RM in DHR (IMSE-KNX-HRS). Organizations that have no need for an exception must upload records into the AEA. Cardholders will continue to maintain their supporting records under RN 715j1, Small Purchases and Modifications – Other than environmental issues (see paragraph B-57 of this regulation).

B-35. RN 40-66a, Health Records. Change disposition to "Transfer and dispose of IAW AR 40-66." Prepare label as shown in Appendix E of this regulation.

B-36. RN 40-66b, Dental Health Records. Change disposition to "Transfer and dispose of IAW AR 40-66." Prepare label as shown in Appendix E of this regulation.

B-37. RN 58-1b, Equipment Daily Utilization Files. Additional information was added on the label to provide more clarification on disposition instructions. Prepare label as shown at Appendix E of this regulation.

B-38. RN 71-32b, TDA, CTA, and TAADS Files. Permission is granted to use this RN although ARIMS does not include maintenance at unit level.

B-39. RN 190-45d2, Loss, Theft, and Recovery of Firearms Files – TOE units and other offices. Disposition in ARIMS reads: "KEN. Keep in CFA until event occurs (1 year after recovery, or after 5 years, whichever is first) and then until no longer needed for conducting business, but not longer than 6 years after the event, then destroy. To simplify files maintenance and labeling procedures, establish this file for the longest retention period, 5 years, then destroy. Change disposition code to K. Prepare label as shown at Appendix E of this regulation.

B-40. RN 210-130a, Unit and Organizational Laundry Files. Due to multiple dispositions within disposition instructions and printing of only one disposition code, prepare labels as shown in Appendix E of this regulation.

B-41. RN 351a, Individual Academic Records. ARIMS disposition reads, "Keep in CFA until NLN for conducting business, then retire to RHA/AEA. The RHA/AEA will retire the record to NPRC (MIL) ...when record is 10 years old. NPRC will destroy the record when 40 years old." Previous guidance was to ensure preservation of these records, local procedure was to maintain these records for 2 years in CFA, then transfer to RHA. Through use of the AEA,

these records will be transmitted to the AEA when no longer needed for conducting business and NPRC will destroy when 40 years old. Organizations may keep electronic copies on the organization share drive or by other electronic means for 2 years.

B-42. RN 380-67a, Security Clearance Information. (Requiring action) Added disposition code of TE since no code was listed for records requiring action. Disposition for those records requiring action is "Transfer to gaining governmental agency IAW AR 380-67 upon transfer of individual." See Appendix E of this regulation for sample labels for ACTION and NONACTION.

B-43. RN 420-1c2, Energy Conservation Reports – Other offices. RN 420-1c2 is no longer suitable for records maintained in the units. The Directorate of Public Works is the office of record for energy reports and is the only office authorized to use RN 420-1c2, which has an 11-year retention period. Units will use RN 420, General Facilities Engineering Correspondence Files, to maintain information pertaining to annual energy consumption, energy reports, etc.

B-44. RN 600, General Personnel Correspondence Files. Use this RN to file "sponsorship" memorandums originated by your office, Soldier/Noncommissioned Officer of the Quarter/Year, Drill Sergeant of the Year, and Sergeant Audie Murphy Induction correspondence.

B-45. RN 600-8-3e, Postal Directories. Due to specific instructions in DOD 4525.6-M, DOD Postal Manual, 15 August 2002, this file must be maintained alphabetically by last name in one file, regardless of status. The Directory Card (DA Form 3955) is coded for destruction 1 year after departure for permanent party personnel (e.g., Soldier departing in October 2009, card is coded for destruction in November 2010) and 6 months for departure for trainees, students, and other personnel assigned 6 months or less (e.g., individual departing in September 2009, card is coded for destruction in April 2010). Because the Directory Cards are maintained in one file, an INACTIVE file is not established; this file cannot be maintained per the ARIMS disposition schedule since the file must be screened the first week of each month and all expired cards removed and destroyed at that time. Prepare labels as shown in Appendix E of this regulation. (Exception to the disposition instructions granted to Fort Knox per memo, USTAPC RMD, TAPC-PDR, 8 May 1997, subject: Postal Directories, File Number 600-8-3e).

B-46. RN 600-8-22b2 and -22b3, Military Award Cases. Brigade commanders are the approving authority for Army Commendation Medals (ARCOMs) and battalion commanders for Army Achievement Medals (AAMs). The retention period for Military Award Cases at the approval level is 25 years (use RN 600-8-22b2). Therefore, military award case files for approval authorities must be transmitted to the AEA no later than 31 December of the year issued, and maintain hard copies IAW para 8e(1) and (2) this regulation. Transmit these files to ARIMS AEA by a retrievable name (i.e., Last Name, First Name, MI, Rank, and Order Number) on the subject line. If desired, organizations may keep files for 2 years on the share drive or on individual computers after transmission to the AEA. An example would be a file that is normally cutoff on 31 December would be held in the CFA for 2 years then transferred to the RHA. For official recommending the award, but not having approval authority, retain a copy of the award for 2 years (K2) (use RN 600-8-22b3). Arrange these files alphabetically by last name.

B-47. RN 600-8-104a, Informational Personnel Files.

a. Establish this file “by name.” Do not maintain below Personnel Administration Center level. For supervisors of military personnel, use RN 1ii, Office Military Personnel Files.

b. The disposition has changed to “Keep until NLN after transfer or separation of individual, NTE 6 years, then destroy.” Treat the new disposition as an “event” file, and continue to maintain the INACTIVE records for 1 year after the end of the year the individual transfers or separates. Prepare labels as shown in Appendix E of this regulation. INACTIVE files may be maintained in a separate drawer but must be cross-referenced from the primary file drawer.

B-48. RN 600-8-105c, Permanent Order Record Sets. This file contains copies of permanent orders issued. Do not charge out or post these orders (record sets). Transmit these files to ARIMS AEA by Last Name, First Name, MI, Rank, and Order Number on the subject line. If an orders log is used, it will also be transmitted to the AEA under this RN. Orders for the current year must be transmitted to the AEA no later than 31 December. Account for missing, lost, or erroneously destroyed orders by annotating on a MEMORANDUM FOR RECORD and transmit to the AEA under this RN. Organizations who transmit RN 600-8-22b2 to the AEA must also transmit only the award order under this RN.

B-49. RN 600-9a, Weight Controls. Change ARIMS disposition code from KEN to TE. Prepare label as shown in Appendix E of this regulation.

B-50. RN 600-20e, Pregnancy and Family Care Counseling. Change ARIMS disposition code from KE to TE. Prepare labels as shown in Appendix E of this regulation for proper labeling.

B-51. RN 635-200c2, General Counseling Statements – Rehabilitative transfers. Change disposition code from KEN to T. Prepare labels as shown in Appendix E of this regulation.

B-52. RN 635-200c3, General Counseling Statements – For rehabilitative separation/discharge. Change disposition code from TE2 to TE. Prepare labels as shown in Appendix E of this regulation.

B-53. RN 700-19b, Ammunition Status Reporting Files. Permission is granted to use this RN although it does not include retention at local level in ARIMS.

B-54. RN 710-2a, Property Book and Supporting Documents (DA 3643 and DA 3644). To provide more clarification on the disposition instructions, use the disposition code K for DA 3643 (Daily Issues of Petroleum Products) and DA 3644 (Monthly Abstract of Issues of Petroleum Products). See Appendix E of this regulation for proper labeling.

B-55. RN 710-2g6, Soldier Issue Files – Organizational clothing and individual equipment (OCIE): Unit, (DA 3645). Since these records are transferred with the Soldier to the issue point when transferring or separating, the disposition code should be TE. Change disposition code from KEN to TE. See Appendix E of this regulation for proper labeling.

B-56. RN 710-2h3, Property Loss, Theft, and Recovery Cases – Weapons reports. ARIMS code/disposition reads: “KEN. Keep in CFA until event occurs (1 year after recovery of item or after 5 years, whichever is first) and then until no longer needed for conducting business, but not longer than 6 years after the event, then destroy.” To simplify files maintenance and labeling procedures, establish this file for the longest retention period – 5 years, then destroy; change disposition code to K. See Appendix E of this regulation for proper labeling.

B-57. RN 715j1, Small Purchases and Modifications – Other than environmental issues.

a. Maintain records created as a result of use of US Government credit cards under this RN. The file establishes an audit trail for each transaction made. The cardholder must maintain all copies of the charge slips and vendor invoice or cash register receipt (or delivery ticket) with their statement of account. The retention period for this file is 3 years after final payment or 3 years after acceptance of goods or services if notice of payment is not furnished by the servicing Finance and Accounting Office. When disposition date occurs, destroy by shredding to preclude fraudulent use of charge card.

b. For records maintained by the certifying officer for government credit cards, use RN 37z (see paragraph B-34 of this regulation).

B-58. RN 725-50b1, Requisition Suspense and Status Files. This file is for use in unit supply rooms to file copies of requisitions for supplies and equipment. All other areas use RN 1p2, Office Service and Supply Files – Other information.

B-59. RN 870-5a, MTOE Organizational History Files. Due to conflict of ARIMS label printed and disposition instructions, prepare label as shown in Appendix E of this regulation. Garrison directorates will use RN 870-5b, Installation Historical files, which requires transmission to the AEA.

B-60. Labeling File Drawers. Figure B-4 below shows proper labeling of file drawers.

KEN 1a (09)
thru
KEN 58-1b

Sample label for drawer that contains two or more record numbers. No disposition is shown, because it varies among the several record numbers in the drawer.

KEN 600-8-104a Informational Personnel (09)
Files
PA Sys A0600-8-104AHRC & A0001bAHRC
DEST when NLN for conducting business after trf
or separation of individual

Sample label for drawer containing only one file number. NOTE: Drawer label is identical to first folder label.

KEN 600-8-104a Informational Personnel (09)
Files (A thru L)
PA Sys A0600-8-104AHRC & A0001bAHRC
DEST when NLN for conducting business after trf
or separation of individual

Sample label entries for drawers that contain only part of one record number. Note the division (A thru L and M thru Z) is indicated on each label. Disposition instructions and Privacy Act system notice number is required only on the lead drawer label.

KEN 600-8-104a Informational Personnel (09)
Files (M thru Z)

KEN 1a thru K5 600-8-19b2 (09)
thru
K5 600-8-19b2 (08)

Sample labels where all files for multiple years are maintained in drawers.

K5 220-15a2 thru K5 600-5-19b2 (08)
K5 220-15a2 thru K5 600-8-19b2 (07)

Figure B-4. Labeling of File Drawers

Appendix C

Model Files Plans

C-1. Tables C1-C11 contain model files plans designed for use by units. Use these plans as a guide for establishing files under ARIMS. Units are neither limited to only those RNs shown, nor do they have to establish each file if their mission does not require it. "General Correspondence" RNs are not listed in the plans; however, this does not preclude their use.

C-2. Records which require transmission to the AEA are indicated by a "YES" in the appropriate column.

C-3. Records subject to the Privacy Act (PA) are indicated by the appropriate PA Systems Notice Number. These numbers are found in the records detail within the ARIMS RRS-A, when applicable.

Table C-1. Sample Files Plan for S-1/PAC.

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1d	Duty Reports		
1e	Housekeeping Instructions		
1f	Office Organization Files		
1g	Office Record Transmittals		
1n1	Office Mail Controls - Accountable mail receipts		
1n2	Office Mail Controls - Documents other than accountable mail receipts		
1o	Office Financial Files		
1p1	Office Service and Supply Files - DA Form 12-series		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1t	Office Space Assignments		
1v1	Access Controls - Appointment documents, access rosters, and local control procedures		
1v2	Access Controls - Key and lock control registers		
1v3	Access Controls - Forms used to record entry into vaults or containers		
1v4	Access controls - Other information		
1w	Office General Personnel Files		A0001SAIS

Table C-1. Sample Files Plan for S-1/PAC (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1x3	Civilian Personnel Time and Attendance Files - OPM 71 or equivalent		T7335DFAS
1z	Office Personnel Locator		A0001DAPE
1aa4	Office Supervisory or Manager Employee Records - Current employees		OPM/GOVT-1; OPM/GOVT-2
1bb	Office Job Descriptions		
1ee	Duty Rosters		
1ff	Office Standards of Conduct Files		A0001bAHRC; OPM/GOVT-1
1hh	Office Temporary Duty Travel	YES	T7333DFAS
1ii	Office Military Personnel Files		A0001bAHRC
1jj	Reference Publications		
1kk	Technical Material References		
1mm	Reading Files		
1nn	Office Message References		
1oo	Policies and Precedents		
1-20e	Congressional Correspondence		A0001-20SALL
1-201a	Inspection, Survey, and Staff Visit Coordination Files - Office performing survey		
1-201c	Command Inspection Program - Office performing inspection		
11-2a3	Management Control Program - Other than office with Army-wide responsibility: Management control evaluations (MCEs)		
11-2a4	Management Control Program - Other than office with Army-wide responsibility: Documents other than management control evaluations (MCEs)		
25-1e1	Capability Validations and Request for IT Resources - Approved requirements		
25-30c	Numerical Files (External)		
25-30kk	Internal Distribution Schemes		
25-30zz	Office Copier Files		
25-55a1	FOIA Requests, Access, and Denials - Replies granting access, replies to requests for nonexistent record, or replies to those failing to pay fees		A0025-55SAIS
25-55a2	FOIA Requests, Access, and Denials - Replies denying access to all or part of the request		A0025-55SAIS
25-55b	FOIA Administrative Files		

Table C-1. Sample Files Plan for S-1/PAC (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
37a	Individual Travel Charge Card Program Administration		GSA/GOVT-3
37z	Government Credit Card Certifying/Billing Officer's Accounts Files	YES	
37aa	Certifying/Accountable Officials Appointments		T1300
215-1d	NAF Accounts	YES	T7290 (DFAS)
215-1bb2	Recreation and Entertainment Cases - TOE units and offices other than office having Army-wide responsibility		A0215-2bCFSC
220-1b	Personnel Readiness Files		A0001bAHRC
385-10c	Safety Awareness Files		
600-8b	Personnel Information System Reports		A0600-8-23AHRC
600-8c2	Personnel Strength Zero Balance Reports - Offices other than Personnel Automation Section		A0600-8-23AHRC
600-8e1	Transmittal Letters - JUMPS active Army		
600-8-2b	Flagging System Management		A0600-8-23AHRC
600-8-6a	Military Personnel Registers		
600-8-6b3	Army Strength Reports - TOE units and other offices		A0680-31bAHRC; A0600-8aDAPE
600-8-10a	Leave of Absence Files		A0001bAHRC
600-8-10b	Leave Control Logs		A0001bAHRC
600-8-19a	Promotion Eligibility Rosters	YES	A0600-8-104bAHRC
600-8-19b2	Enlisted Selection Board Reporting Files - Other office and TOE units		A0600-8-104bAHRC
600-8-22b2	Military Award Cases - Approval and disapproval authority: Approved peacetime awards and all disapproved awards	YES	A0600-8-22AHRC
600-8-22b3	Military Award Cases - Offices other than approval and disapproval authority		A0600-8-22AHRC
600-8-22c	Award Ceremonies		
600-8-22e2	Unit Award Cases - Offices other than offices exercising awarding authority		
600-8-101a	Departure Clearances		A0600-8-101AHRC
600-8-104a	Informational Personnel Files		A0600-8-104AHRC; A0001bAHRC

Table C-1. Sample Files Plan for S-1/PAC (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
600-8-104e	Qualification Record Extracts		A0600-8-104AHRC
600-8-105a3	Personnel-type Orders - Offices other than approving or issuing authority		
600-8-105c	Permanent Order Record Sets	YES	
600-20a2	EO Reports - TOE units and other offices		
600-20c2	EO Complaint Cases - TOE units and other offices		A0690-600SAMR
600-20e	Pregnancy and Family Care Counseling		A0001bAHRC
600-38a1	Meal Card Management Files - Active Army: Meal card control registers and control logs		
600-38a2	Meal Card Management Files - Active Army: Other than meal card control registers and control logs and all records for Reserve units		
600-85a2	Alcohol and Drug Abuse Management Files - Other offices and TOE units		
600-85b3	Alcohol and Drug Abuse Statistics - Other offices and TOE units		
630-10a2	AWOL Statistical Reports – TOE units and other offices		
635-200c1	General Counseling Statements - Except for rehabilitative transfers		A0001bAHRC
635-200c2	General Counseling Statements – Rehabilitative transfers		A0001bAHRC
635-200c3	General Counseling Statements – For rehabilitative separation/discharge		A0001bAHRC
870-5a	MTOE Organizational History Files		

Table C-2. Sample Files Plan for S-1/Legal Clerk

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v3	Access Controls - Forms used to record entry into vaults or containers		
1jj	Reference Publications		
1oo	Policies and Precedents		
15-6b1	Investigative Case Files	YES	A0027-1DAJA
15-6b2	Investigative Case Files - Significant cases (those that result in national media attention, Congressional investigation, and/or substantive changes in Army policy or procedures)		A0027-1DAJA
27-10a2	Summary Courts-martial – Office of summary court-martial convening authority and table of organization and equipment (TOE) units		A0027-10bDAJA
27-10c2	Special Courts-martial - Offices other than the SJA of the general court-martial jurisdiction		A0027-10bDAJA
27-10d2	Special Courts-martial (BCD)		A0027-10bDAJA
27-10e2	General Courts-martial		A0027-10bDAJA
27-10f	Nonjudicial Punishments		A0027-1DAJA
27-10h3	Court-martial Statistics - TOE units and other offices		
635-200a2	Discharge Board Proceedings - Information on other individuals		A0635-200AHRC

Table C-3. Sample Files Plan for S-2

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1h	Information Access Files		A0380-67DAMI
1j1	Office Classified Document Register or Controls - General	YES	
1j2	Office Classified Document Register or Controls - NATO	YES	
1k	Office Temporary Internal Receipts		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1r	Office Classified Material Inventories		A0001DAMI
1v3	Access Controls - Forms used to record entry into vaults or containers		
1gg	Office Security Awareness		
1jj	Reference Publications		
1kk	Technical Material References		
1nn	Office Message References		
1oo	Policies and Precedents		
25-2d1	Accreditation of Automated Information Systems - Approvals		
25-2d2	Accreditation of Automated Information Systems - Disapprovals		
25-2e	Personnel Security and Surety (PSSP) Files		A0025-2SAIS
25-2j	Password User Identification and Equipment Identification		A0025-2SAIS
25-30nn2	Training Media Files - Records other than lesson plans		
220-1a3	Readiness Reports - TOE units and other offices		
350-1d2	Training Operations - TOE units and other offices		
350-28a2	Emergency Tests and Exercises - Offices below MACOM level		
380-5a	Security Briefings and Debriefings		A0380-67DAMI
380-5b	Security Inspections and Surveys		

Table C-3. Sample Files Plan for S-2 (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
380-5k2	Security Classification Files – TOE units and other offices		
380-5n1	Office Nonregistered Classified Document Destruction Certificates - Other than NATO records		
380-5n2	Office Nonregistered Classified Document Destruction Certificates - NATO records	YES	
380-5dd	Activity Entry and Exit Inspection Program		
380-67a	Security Clearance Information		A0380-67DAMI
381a	Intelligence Reports		
500-3a2	Emergency Plans - Offices below HQDA		

Table C-4. Sample Files Plan for S-3

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v3	Access Controls - Forms used to control entry into vaults or containers		
1jj	Reference Publications		
1kk	Technical Material References		
1nn	Office Message References		
1oo	Policies and Precedents		
5-12i2	Radio Frequencies - TOE units and other offices: Correspondence relating to concurrence of the Federal Communications Commission		
5-12i3	Radio Frequencies - TOE units and other offices: Other information		
25-30nn1	Training Media Files - Lesson plans		
25-30nn2	Training Media Files - Records other than lesson plans		

Table C-4. Sample Files Plan for S-3 (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
220-15a2	Daily Journal, Staff Journal, and Tactical Operations Center (TOC) Logs - Mobilization other offices and TOE units and peacetime		
350-1a2	Training Inspections - TOE units and other offices		
350-1d2	Training Operations - TOE units and other offices		
350-10d2	Army Training Requirements and Resources System (ATRRS) Report Files - Other than office performing Army-wide responsibility		A0351DAPE
350-28a2	Emergency Tests and Exercises – Offices below MACOM level		
351a	Individual Academic Records	YES	A0351aTRADOC; A0351-1aTRADOC
385-10g	Target Practice Safety Files		
500-3a2	Emergency plans - Offices below HQDA		
600-25c3	Ceremonies - Offices other than office having Army-wide responsibility		A0600-25MDW

Table C-5. Sample Files Plan for S-4

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1t	Office Space Assignments		
1v1	Access Controls - Appointment documents, access rosters, and local control procedures		
1v2	Access Controls - Key and lock control registers		
1v3	Access Controls – Forms used to record entry into vaults or containers		
1v4	Access Controls - Other information		
1jj	Reference Publications		
1nn	Office Message References		

Table C-5. Sample Files Plan for S-4 (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
100	Policies and Precedents		
37z	Government Credit Card Certifying/Billing Officer's Accounts Files	YES	
37aa	Certifying/Accountable Officials Appointments		T1300
71-32b	TDA, CTA, and TAADS Files		
71-32g	Equipment Tables		
420-1ppp2	Fire Prevention Files - TOE units and offices other than office having Army-wide responsibility		
600-8-1k	Personal Effects Cases		A0600-8-1cAHRC
700-19b	Ammunition Status Reporting Files		
710-2a	Property Book and Supporting Documents		
710-2b	Document Registers - Office conducting inspection	YES	
710-2c	Hand Receipts		A0710-2bDALO
710-2d	Property Record Inspection and Inventory Reports		
710-2h1	Property Loss, Theft, and Recovery Cases - No discrepancies	YES	
710-2h2	Property Loss, Theft, and Recovery Cases - Discrepancies noted	YES	
710-2h3	Property Loss, Theft, and Recovery Cases - Weapons reports		
710-2m	Receipting Authorities		
715h	Contracting Officer Designations		
715j1	Small Purchases and Modifications - Other than environmental issues		
725-50b1	Requisition Suspense and Status Files		
735-5r1	Financial Liability Investigation of Property Loss Files - Files involving pecuniary liability	YES	A0027-1DAJA
735-5r2	Financial Liability Investigation of Property Loss Files - Other than pecuniary liability files		A0027-1DAJA
735-5s	Financial Liability Investigation of Property Loss Control Register Files		
735-5t1	Relief from Responsibility (Liability Admitted) Files - DD Form 1131		A0027-1DAJA
735-5t2	Relief from Responsibility (Liability Admitted) Files - DD Form 362		A0027-1DAJA

Table C-6. Sample Files Plan for Battalion Aid Station

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v1	Access Controls - Appointment documents, access rosters, and local control procedures		
1v2	Access Controls - Key and lock control registers		
1v3	Access Controls - Forms used to record entry into vaults or containers		
1v4	Access Controls - Other information		
1jj	Reference Publications		
1oo	Policies and Precedents		
40-66a	Health Records		A0040-66bDASG
500-3a2	Emergency Plans - Offices below HQDA		
600-85a2	Alcohol and Drug Abuse Management Files - Other offices and TOE units		
600-85b3	Alcohol and Drug Abuse Statistics - Other offices and TOE units		
710-2b	Document Registers - Office conducting inspection	YES	
710-2c	Hand Receipts		A0710-2bDALO
710-2m	Receiving Authorities		

Table C-7. Sample Files Plan for Dining Facility

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v1	Access Controls - Appointment documents, access rosters, and local control procedures		
1v2	Access Controls - Key and lock control registers		
1v3	Access Controls - Forms used to record entry into vaults or containers		
1v4	Access Controls - Other information		
1w	Office General Personnel Files		A0001SAIS
1ii	Office Military Personnel Files		A0001bAHRC
1jj	Reference Publications		
1oo	Policies and Precedents		
25-30nn2	Training Media Files - Records other than lesson plans		
30-22a	Cash Receipts	YES	
30-22b	Menus Files		
30-22c	Dining Facility Reviews		
30-22d	Dining Facility Operations		
30-22h	Ration Request, Issue, Delivery, and Account Status Files		
30-22m	Unsatisfactory Subsistence Files		
710-2m	Receipting Authorities		
750-8b	Maintenance Request Registers		
750-8d	Preventive Maintenance Schedules		

NOTE: Maintain all dining facility files on a fiscal year (FY) basis versus calendar year.

Table C-8. Sample Files Plan for Battalion Mailroom

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v1	Access Controls - Appointment documents, access rosters, and local control procedures		
1v2	Access Controls - Key and lock control registers		
1jj	Reference Publications		
1oo	Policies and Precedents		
600-8-3a	Postal Personnel Designations		A0065AHRC
600-8-3c	Postal Activity Inspections and Audits		
600-8-3d	Postal Directory Sources		A0065AHRC; A0001DAPE
600-8-3e	Postal Directories		A0065AHRC; A0001DAPE
600-8-3f	Standing Delivery Orders		A0065AHRC
600-8-3g	Post Office Accountable Mail Receipts		
600-8-3h	Mail Call and Hours of Collection Files		
600-8-3j	Postal Lockbox Assignments		A0065AHRC
600-8-3p	Delivery Service Controls		
600-8-3q	Postal Activity Reports		

Table C-9. Sample Files Plan for Battalion Maintenance

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v1	Access Controls - Appointment documents, access rosters, and local control procedures		
1v2	Access Controls - Key and lock control registers		
1jj	Reference Publications		
1oo	Policies and Precedents		
58-1a	Dispatcher Organizational Control Records		
58-1b	Equipment Daily Utilization Files		
385-10c	Safety Awareness Files		
750-1a3	Maintenance Summary and Management Files - Active Army and Reserve components: Materiel Condition Status Reports (DA Forms 2406)		
750-1m	Maintenance Technical Assistance Files		
750-8a	Maintenance Requests		
750-8b	Maintenance Request Registers		
750-8c	Maintenance Tags		
750-8d	Preventive Maintenance Schedules		
750-8e	Equipment Inspection and Maintenance Worksheets		
750-8f	Historical Records or Logbooks		
750-8j2	Calibration Data Cards - Other than master file entries		

Table C-10. Sample Files Plan for Orderly Room/Training NCO at Company or Troop Level

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1d	Duty Reports		
1e	Housekeeping Instructions		
1f	Office Organization Files		
1h	Information Access Files		A0380-67DAMI
1o	Office Financial Files		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v4	Access Controls - Other information		
1y	Office Personnel Registers		A0001aAHRC
1z	Office Personnel Locator		A0001DAPE
1ee	Duty Rosters		
1ii	Office Military Personnel Files		A0001bAHRC
1jj	Reference Publications		
1kk	Technical Material References		
1oo	Policies and Precedents		
20-1d	Physical Inspections		
25-30nn1	Training Media Files - Lesson plans		
25-30nn2	Training Media Files - Records other than lesson plans		
40-66b*	Dental Health Records		A0040-66bDASG
215-1aa	Recreation and Entertainment Details		A0215CFSC
350-1a2	Training Inspections - TOE units and other offices		
350-1j2	Individual Training Files - CTT		OPM/GOVT1; A0600-8-104AHRC
350-1j3	Individual Training Files - Other records than CTT		OPM/GOVT1; A0600-8-104AHRC
351a	Individual Academic Records	YES	A0351aTRADOC; A0351-1aTRADOC
500-3a2	Emergency Plans - Offices below HQDA		

*Companies with trainees.

Table C-10. Sample Files Plan for Orderly Room/Training NCO at Company or Troop Level (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
600-8c2	Personnel Strength Zero Balance Reports - Offices other than Personnel Automation Section		A0600-8-23AHRC
600-8-104e	Qualification Record Extracts		A0600-8-104AHRC
600-9a	Weight Controls		A0600-8-104AHRC
600-20a2	EO Reports - TOE units and other offices		
600-85a2	Alcohol and Drug Abuse Management Files - Other offices and TOE units		
600-85b3	Alcohol and Drug Abuse Statistics - Other offices and TOE units		
635-200c1	General Counseling Statements - Except for rehabilitative transfers		A0001bAHRC
635-200c2	General Counseling Statements - Rehabilitative transfers		A0001bAHRC
635-200c3	General Counseling Statements - For rehabilitative separation/discharge		A0001bAHRC

*Companies with trainees.

Table C-11. Sample Files Plan for Supply/Arms Room at Company or Troop Level

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
1a	Office Records List		
1b	Office General Management		
1c	Office Inspections and Surveys		
1e	Housekeeping Instructions		
1p2	Office Service and Supply Files - Other information		
1q	Office Property Records		
1v1	Access Controls - Appointment documents, access rosters, and local control procedures		
1v2	Access Controls - Key and lock control registers		
1v3	Access Controls - Forms used to record entry into vaults or containers		
1v4	Access Controls - Other information		
1jj	Reference Publications		
1oo	Policies and Precedents		
71-32b	TDA, CTA, and TAADS Files		

Table C-11. Sample Files Plan for Supply/Arms Room at Company or Troop Level (Continued)

RECORD NUMBER	TITLE	TRANSMIT TO AEA	PA SYSTEM NOTICE NO.
71-32g	Equipment Tables		
190-14b	Registrations and Permits		A0190-14DAMO
190-45d2	Loss, Theft, and Recovery of Firearms Files - TOE units and other offices		
210-130a	Unit and Organizational Laundry Files		A0210-130DALO
600-8-1k	Personal Effects Cases		A0600-8-1cAHRC
700-19b	Ammunition Status Reporting Files		
700-84a	Personal Property Accounts (Clothing bag items)		A0710-2cDALO
710-2c	Hand Receipts		A0710-2bDALO
710-2d	Property Record Inspection and Inventory Reports		
710-2g1	Soldier Issue Files - Hand receipts		A0710-2dDALO
710-2g3	Soldier Issue Files - Personal clothing: Unit: Active Army (DA 3078)		A0710-2dDALO
710-2g6	Soldier Issue Files – Organizational clothing and individual equipment (OCIE): Unit (DA 3645)		A0710-2dDALO
710-2h1	Property Loss, Theft, and Recovery Cases - No discrepancies	YES	
710-2h2	Property Loss, Theft, and Recovery Cases - Discrepancies noted	YES	
710-2h3	Property Loss, Theft, and Recovery Cases – Weapons reports		
710-2m	Receipting Authorities		
715h	Contracting Officer Designations		
715j1	Small Purchases and Modifications - Other than environmental issues		
735-5t1	Relief From Responsibility (Liability Admitted) Files - DD Form 1131		A0027-1DAJA
735-5t2	Relief From Responsibility (Liability Admitted) Files - DD Form 362		A0027-1DAJA
750-8a	Maintenance Requests		
750-8c	Maintenance Tags		
750-8e	Equipment Inspection and Maintenance Worksheets		
750-8f	Historical Records or Logbooks		
750-8j2	Calibration Data Cards - Other than master file entries		

**Appendix D
Sample Labels**

HOUSEKEEPING FILES

KEN 1a Office Records List (09)
PA:NA
Keep until NLN after supersession or obsolescence,
NTE 6 years, then destroy.

KN 1b Office General Management (09)
PA:NA
Keep until NLN, NTE 6 years, then destroy.

K 1d Duty Reports (Jan – Jun) (09)
PA:NA
Destroy in CFA when 0.5 years old.

K 1d Duty Reports (Jul – Dec) (09)
PA:NA
Destroy in CFA when 0.5 years old.

KE 1h Information Access Files (09)
ACTIVE
PA:A0380-67DAMI
Destroy in CFA 2 years after authorization expires.

KE 1h Information Access Files (09)
INACTIVE
PA:A0380-67DAMI
Destroy in CFA 2 years after authorization expires.

**K 1n1 Office Mail Controls – Accountable
mail receipts** (09)
PA:NA
Destroy in CFA when 2 years old.

K 1n2 Office Mail Controls – Documents (09)
other than accountable mail receipts (Jan-Mar)
PA:NA
Destroy in CFA when 0.25 years old.

K 1n2 Office Mail Controls – Documents (09)
other than accountable mail receipts (Apr-Jun)
PA:NA
Destroy in CFA when 0.25 years old.

K 1n2 Office Mail Controls – Documents (09)
other than accountable mail receipts (Jul-Sep)
PA:NA
Destroy in CFA when 0.25 years old.

K 1n2 Office Mail Controls – Documents (09)
other than accountable mail receipts (Oct-Dec)
PA:NA
Destroy in CFA when 0.25 years old.

MISSION FILES

KEN 1 Gen Admin Correspondence Files (09)
(ACTION DOCUMENTS)
PA:NA
 Keep until NLN after 2 years old for action documents or when NLN for nonaction documents; whichever applies, NTE 6 years, then destroy.

KEN 1 Gen Admin Correspondence Files (09)
(NONACTION DOCUMENTS)
PA:NA
 Keep until NLN after 2 years old for action documents or when NLN for nonaction documents; whichever applies, NTE 6 years, then destroy.

TE 15-6b1 Investigative Case Files (09)
ACTIVE
PA:A0027-1DAJA
 Keep in CFA until 5 years old after completed investigation is accepted by appointing authority, TRF RHA/AEA

INACTIVE FILES WILL BE UPLOADED TO AEA

U 27-10c2 Special Courts-martial – Offices (09)
other than the SJA of the general courts-martial jurisdiction
PA:A0027-10bDAJA
 Retain in CFA until disposition instructions are published.

K 58-1a Dispatcher Organizational Control Records (Jan) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Feb) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Mar) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Apr) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (May) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Jun) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Jul) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Aug) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Sep) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Oct) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Nov) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (Dec) (09)
PA:NA
 Destroy in CFA when 0.08 years old.

K 58-1a Dispatcher Organizational Control Records (09)
PA:NA
 Destroy in CFA when 0.08 years old.

*Establish “dummy folder” as shown,
followed by individual (by-name” folders
for each Soldier:*

KN 350-1j2 SMITH, Aaorn A.	(09)
-----	-----
KN 350-1j2 JONES, Timothy R.	(09)
-----	-----
KN 350-1j2 DOE, James K.	(09)
-----	-----
KN 350-1j2 Individual Training Files - CTT	(09)
<i>PA:OPM/GOVT 1; A0600-8-104AHRC</i>	
Keep until NLN, NTE 6 years, then destroy.	

K 600-8-3p Delivery Service Controls	(09)
<i>PA:NA</i>	
Destroy in CFA when 1 year old.	

K 600-8-3q Postal Activity Reports	(09)
<i>PA:NA</i>	
Destroy in CFA when 6 years old.	

K 600-8-6a Jan – Jun	(09)
<i>PA:NA</i>	
Destroy in CFA when 0.5 years old.	
-----	-----
K 600-8-6a Jul – Dec	(09)
<i>PA:NA</i>	
Destroy in CFA when 0.5 years old.	
-----	-----
K 600-8-6a Military Personnel Registers	(09)
<i>PA:NA</i>	
Destroy in CFA when 0.5 years old.	

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Appendix E
Exceptions for File Labels

KE 1v2 Access Controls – Key and Lock Control Registers: ACTIVE (09)
PA:NA
 Destroy in CFA 0.25 years after page is filled.

KE 1v2 Jan – Mar (09)
PA:NA
 Destroy in CFA 0.25 years after page is filled.

KE 1v2 Apr – Jun (09)
PA:NA
 Destroy in CFA 0.25 years after page is filled.

KE 1v2 Jul - Sep (09)
PA:NA
 Destroy in CFA 0.25 years after page is filled.

KE 1v2 Oct – Dec (09)
PA:NA
 Destroy in CFA 0.25 years after page is filled.

KE 1v2 Access Controls – Key and Lock Control Registers: INACTIVE (09)
PA:NA
 Destroy in CFA 0.25 years after page is filled.

KEN 1v3 Access Controls – Forms used to record entry into vaults or containers (09)
PA:NA
 Keep until NLN after first entry on new form completed, NTE 6 years, then destroy. (Except forms involved in an investigation will be kept until the investigation is completed).

KEN 1jj Reference Publications
PA:NA
 Keep until NLN after supersession or obsolescence, then destroy.

KEN 1ii JOHNSON, Roxanne L. (08)

KEN 1ii HARRIS, Samuel K. (08)

INACTIVE 2008

KEN 1ii JONES, John R. (09)

KEN 1ii DOE, Samantha K. (09)

INACTIVE - 2009

KEN 1ii SMITH, Joe A. (09)

KEN 1ii ADAMS, Alexis J. (09)

KEN 1ii Office Military Personnel Files (09)
PA:A0001bAHRC
 Keep until NLN after individual is transferred or separated, NTE 6 years, then destroy.

TEP 15-6b2 Investigative Case Files - Significant cases (those that result in national media attention, Congressional investigation, and/or substantive changes in Army policy or procedures) (09)
PA:NA
 Keep in CFA until completed investigation accepted by appointing authority, submit to NARA for case-by-case disposition schedule, PERM.

TE 40-66a Health Records (09)
PA:A0040-66bDASG
 Trf and dispose of IAW 40-66.

RN 40-66b applies only to companies with trainees

TE 40-66b Dental Health Records (09)
PA:A0040-66bDASG
 Trf and dispose of IAW 40-66.

KEN 58-1b Equipment Daily Utilization Files (09)
 PA:NA
 Keep until NLN after information is transferred to other records, NTE 6 years, then destroy. (Except when required for accident investigation or state gasoline tax purposes).

K 190-45d2 Loss, Theft, and Recovery of Firearms Files – TOE units and other offices. (09)
 PA:NA
 Keep 5 years, then destroy.

Other information:

K 210-130a Unit and Organizational Laundry Files (09)
 PA:A0210-130DALO
 Destroy in CFA when 1 year old.

DA Forms 3799 and other related control documents:

KE 210-130a Unit and Organizational Laundry Files (DA Forms 3799): ACTIVE (09)
 PA:A0210-130DALO
 Destroy in CFA 0.25 months after individual terminates use of the service.

KE 210-130a Unit and Organizational Laundry Files (DA Forms 3799) (Jan – Mar): INACTIVE (09)
 PA:A0210-130DALO
 Destroy in CFA 0.25 months after individual terminates use of the service.

KE 210-130a Unit and Organizational Laundry Files (DA Forms 3799) (Apr - Jun): INACTIVE (09)
 PA:A0210-130DALO
 Destroy in CFA 0.25 months after individual terminates use of the service.

KE 210-130a Unit and Organizational Laundry Files (DA Forms 3799) (Jul - Sep): INACTIVE (09)
 PA:A0210-130DALO
 Destroy in CFA 0.25 months after individual terminates use of the service.

KE 210-130a Unit and Organizational Laundry Files (DA Forms 3799) (Oct - Dec): INACTIVE (09)
 PA:A0210-130DALO
 Destroy in CFA 0.25 months after individual terminates use of the service.

Files requiring action per AR 380-67:

TE 380-67a Security Clearance Information (09)
 PA:A0380-67DAMI
 Trf to gaining government agency IAW AR 380-67 upon trf of individual.

Files requiring no action per AR 380-67:

KEN 380-67a Security Clearance Information (09)
 PA:A0380-67DAMI
 Keep in CFA until NLN after individual is transferred or separated, NTE 6 years, then destroy.

**Maintain in alphabetic order by last name.
 Do not create an INACTIVE file.**

KE 600-8-3e Postal Directories (09)
 PA:A0065AHRC; A0001DAPE
 Permanent party personnel: DEST in CFA 1 year after departure. Trainees, students, and other personnel assigned 6 months or less: DEST in CFA 6 months after departure.

KEN 600-8-104a JOHNSON, Roxanne L. (08)

KEN 600-8-104a HARRIS, Samuel K. (08)

INACTIVE - 2008

KEN 600-8-104a JONES, John R. (09)

KEN 600-8-104a DOE, Samantha K. (09)

INACTIVE - 2009

KEN 600-8-104a SMITH, Joe A. (09)

KEN 600-8-104a ADAMS, Alexis J. (09)

KEN 600-8-104a Informational Personnel Files (09)
 PA:A0600-8-104AHRC; A0001bAHRC
 Keep until NLN after transfer or separation of individual, NTE 6 years, then destroy.

TE 600-9a Weight Controls: ACTIVE (09)
PA:A0600-8-104AHRC
 File in MPRJ on transfer, separation, or completion of the program.

KE 710-2a Property Book and Supporting Documents: INACTIVE (FY09)
PA:NA
 Destroy in CFA 6 years after property is turned in or destroyed.

TE 600-20e Pregnancy and Family Care Counseling: ACTIVE (09)
PA:A0001bAHRC
 Destroy in CFA 0.25 years after transfer or separation of individual. (If individual is transferred on post, fwd file to gaining organization.)

DA Form 3643:

K 710-2a Property Book and Supporting Documents (DA Form 3643) (FY09)
PA:NA
 Keep 1 year, then destroy.

TE 600-20e Pregnancy and Family Care Counseling (Jan - Mar): INACTIVE (09)
PA:A0001bAHRC
 Destroy in CFA 0.25 years after transfer or separation of individual. (If individual is transferred on post, fwd file to gaining organization.)

DA Form 3644:

K 710-2a Property Book and Supporting Documents (DA Form 3644) (FY09)
PA:NA
 Keep 2 years, then destroy.

TE 600-20e Pregnancy and Family Care Counseling (Apr - Jun): INACTIVE (09)
PA:A0001bAHRC
 Destroy in CFA 0.25 years after transfer or separation of individual. (If individual is transferred on post, fwd file to gaining organization.)

Discontinuance of Unit:

KE 710-2a Property Book and Supporting Documents: ACTIVE (FY09)
PA:NA
 Destroy in CFA 6 years after reduced to zero balance and accounting for property.

TE 600-20e Pregnancy and Family Care Counseling (Jul - Sep): INACTIVE (09)
PA:A0001bAHRC
 Destroy in CFA 0.25 years after transfer or separation of individual. (If individual is transferred on post, fwd file to gaining organization.)

KE 710-2a Property Book and Supporting Documents: INACTIVE (FY09)
PA:NA
 Destroy in CFA 6 years after reduced to zero balance and accounting for property.

TE 600-20e Pregnancy and Family Care Counseling (Oct - Dec): INACTIVE (09)
PA:A0001bAHRC
 Destroy in CFA 0.25 years after transfer or separation of individual. (If individual is transferred on post, fwd file to gaining organization.)

Rehabilitative transfers:

Establish "dummy folder" as shown, followed by individual "by-name" folders for each Soldier:

T 635-200c2 General Counseling Statements - Rehabilitative transfers (09)
PA:A0001bAHRC
 Forward documents, such as DA Form 4856, to gaining activity, whether it is an on or off post trf.

Rehabilitative separation/discharge:

TE 635-200c3 General Counseling Statements - For rehabilitative separation/discharge (09)
PA:A0001bAHRC
 Place with individual's discharge case file (RN 635-200a2) after execution of rehabilitative separation/discharge.

TE 710-2g6 Jones, Alex L. (09)
PA:A0710-2dDALO
 Send with Soldier to issue point upon trf or separation.

TE 710-2g6 Jones, Alex L. (09)
PA:A0710-2dDALO
 Send with Soldier to issue point upon trf or separation.

TE 710-2g6 Davis, John A. (09)
PA:A0710-2dDALO
 Send with Soldier to issue point upon trf or separation.

KE 710-2a Property Book and Supporting Documents: ACTIVE (FY09)
PA:NA
 Destroy in CFA 6 years after property is turned in or

TE 710-2g6 Soldier Issue Files - Organizational Clothing and individual equipment (OCIE): Unit (DA Form 3645) (09)
PA:A0710-2dDALO
 Send with Soldier to issue point upon trf or separation.

K 710-2h3 Property Loss, Theft, and Recovery (09)
Cases – Weapons reports
PA:NA
Keep 5 years, then destroy.

TEP 870-5a MTOE Organizational History (FY09)
Files: ACTIVE
PA:NA
Trf to HQDA (SAMH-FPO), Bldg 35, 103 Third Ave., Ft
McNair, DC 20319-5058 when unit is discontinued,
disbanded, inactivated, or reduced to zero strength, PERM.

TEP 870-5a MTOE Organizational History (FY09)
Files: INACTIVE
PA:NA
Trf to HQDA (SAMH-FPO), Bldg 35, 103 Third Ave., Ft
McNair, DC 20319-5058 when unit is discontinued,
disbanded, inactivated, or reduced to zero strength, PERM.

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Appendix G
Sample Duty Appointments for Records Coordinator

(Office Symbol)

(date)

MEMORANDUM FOR *(Individual's Name)*

SUBJECT: Additional Duty Appointment

1. Effective *(date)*, *(name)*, is assigned the additional duty of Records Coordinator for *(unit/activity)*. Duty phone number is *(4-xxxx)*.
2. Authority: AR 25-1, para 8-2e(7)(f)9, AR 25-400-2, and Fort Knox Reg 25-400-2.
3. Purpose: To serve as the unit/activity Records Coordinator.
4. Period: Until officially released or relieved from appointment.
5. Special Instructions:
 - a. Ensure each Action Officer within the unit/activity has been properly registered in ARIMS.
 - b. Assist each Action Officer in developing an ORL for their section and ensure the ORL is updated annually.
 - c. Ensure files and filing equipment are properly labeled and maintained to facilitate filing, searching, and disposition of records.
 - d. Ensure records eligible for transmission to the Army Electronic Archives or for transfer to the installation Records Holding Area are properly transmitted, arranged, and transferred in accordance with the disposition schedule.
 - e. Ensure all personnel engaged in filing are properly trained and have attended an ARIMS course.

(Name)
(Rank, branch)
Commanding

CF:

- 1 – Duty Appointment File
- 1 – DHR (IMSE-KNX-HRS)

Sample Duty Appointment for FOIA/PA Coordinator

(Office Symbol)

(date)

MEMORANDUM FOR *(Individual's Name)*

SUBJECT: Additional Duty Appointment

1. Effective *(date)*, *(name)*, *(unit)*, is assigned the additional duty as Freedom of Information Act (FOIA) and Privacy Act Coordinator.
2. Authority: AR 25-55, AR 340-21, and Fort Knox Pam 25-4.
3. Purpose: To perform duties IAW applicable directives.
4. Period: Until officially released or relieved from appointment.
5. Special Instructions: Appointee will become familiar with current directives governing the above duties.
6. Point of contact is *(name)* *(phone number)*.

(Name)
(Grade, rank)
Commanding

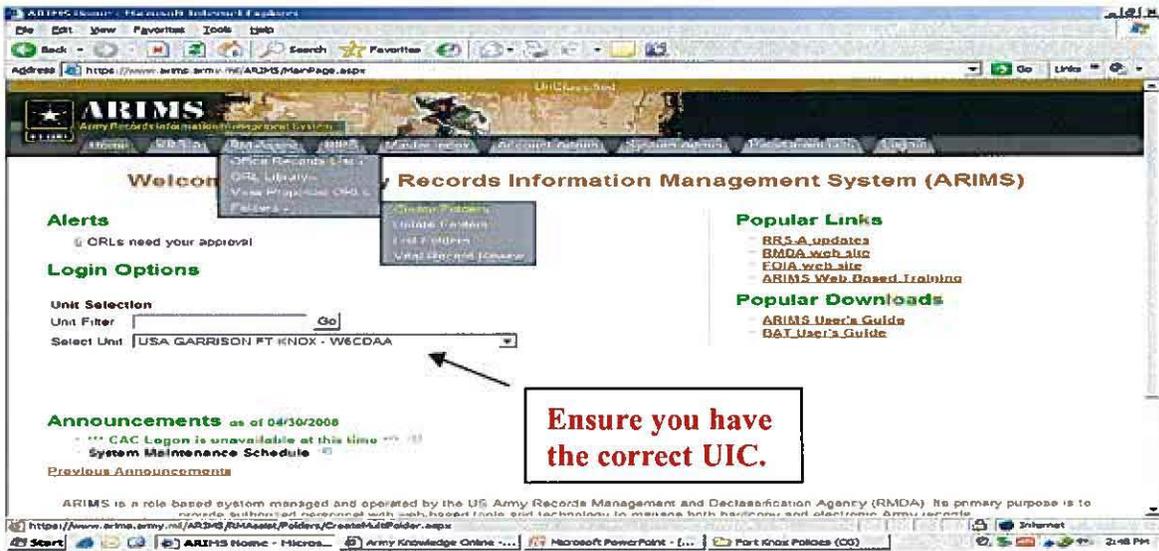
CF:

1 - Duty Appointment File

1 - DHR (IMSE-KNX-HRSA/Mrs. Trump)

Appendix H Instructions for Creating Folders for Transmission to Army Electronic Archives (AEA)

H-1. Go to RM-Assist, Folders, and Create Folders.

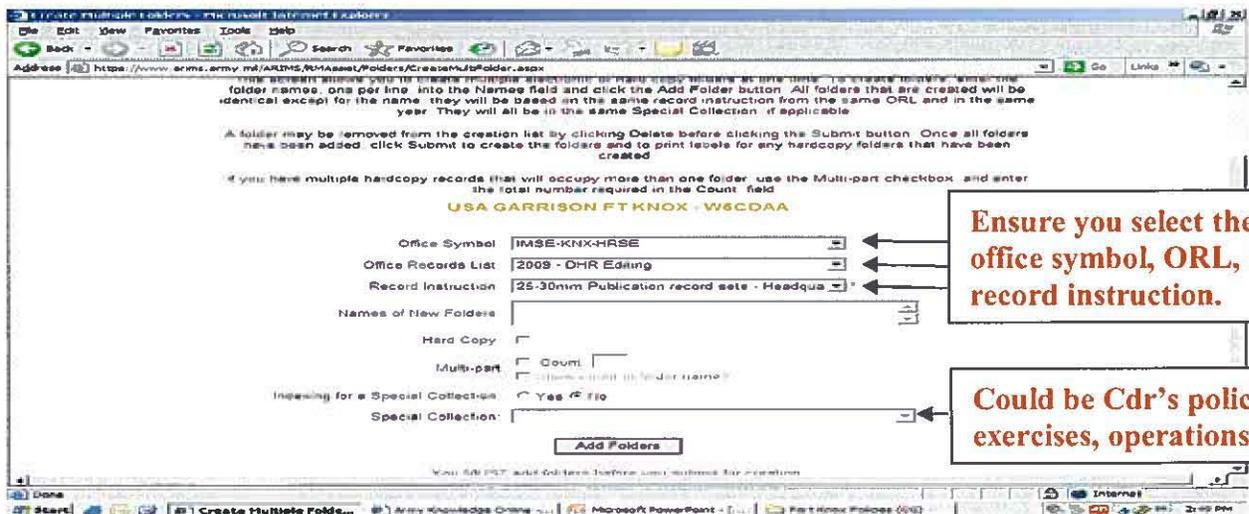


H-2. Select the office symbol, ORL, and record instruction you will be transmitting to (T and TP files only).

H-3. Do not select “Hard Copy” since you will be submitting electronically.

H-4. If desired, you can create subfolders within the folders.

H-5. Click “Add Folders.”



Fort Knox Reg 25-400-2 (6 Jan 10)

H-6. Under “Add Folders,” the folder created will show.

H-7. Click “Submit.”

H-8. The RC or designated representative can now transmit record(s) to the AEA.

if you have multiple hardcopy records that will occupy more than one folder, use the Multi-part checkbox, and enter the total number required in the Count field

USA GARRISON FT KNOX - W6CDAA

Office Symbol: IMSE-KNX-HRSE
Office Records List: 2006 - DDIM Editing
Record Instruction: 25-30mm Publication record sets - Headquar...
Names of New Folders:
Hard Copy:
Multi-part: Count:
 Show count in folder name?
Indexing for a Special Collection: Yes No
Special Collection:

Title	Record Instruction	Special Collection	Media Type
25-30mm Publication record sets - Headquarters, Department of the Army, Chief of Staff, HQDA staff agency, major command and subcommand	25-30mm Publication record sets - Headquarters, Department of the Army, Chief of Staff, HQDA staff agency, major command and subcommand	None	Electronic Details

Appendix I
Instructions for Submitting a User Role Change Request

I-1. Go to “Account Admin.”

I-2. Access Request.

I-3. User Role Change Request.

I-4. Select “Records Coordinator” from the dropdown arrow.

I-5. Reason for request will be that you are the RC. Enter what unit you are the RC for.

I-6. Click “Submit.”

I-7. For USAARMC and Garrison organizations, the request will go to the installation RM for approval.

I-8. If you have submitted the additional duty appointment for RC, your Role Change Request will be approved.

I-9. Once approved, go to Account Admin and Profile to verify your User Class has been changed from AO to RC.

I-10. The same steps will be performed for AOs or RCs requesting RM privileges.

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Appendix J
Instructions for Submitting a Unit Access Request

J-1. Go to “Account Admin,” “Access Request,” and “Unit Access Request.”

J-2. Select the appropriate ACOM/ASCC/DRI.

J-3. Select the UIC you will need access to. USAARMC RCs have a listing of UICs to select from; UIC listings are at the top of the account spreadsheet that was e-mailed to all RCs.

J-4. Select the office symbol you will need access to.

J-5. Enter the appropriate Request Role.

J-6. Enter reason for request.

J-7. Request will go to the installation RM for approval (USAARMC and Garrison organizations).

J-8. If the correct UIC, office symbol, and the reason for request is justified, the request will be approved.

J-9. To verify you have access, select the drop down to view UICs you have access to from the Home screen.

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**Appendix K
Inspection Checklists**

INSPECTION CHECKLIST			
For use of this form see Fort Knox Reg 25-21			
FUNCTIONAL AREA		SCHEDULE	
Records Management		Army Records Information Management System	
PRICING/PHONE NO			DATE OF REVISION (MM-DD-YYYY)
IMSF-KNX-HRS, 4-732575(0/634)			12-10-2009
UNIT/RS-PC/BU		DATE (MM-DD-YYYY)	INSPECTOR'S NAME/PHONE NO
YES	NO	N/A	INSPECTION ITEM
			<p>1. Is a copy of AR 25-400-2, The Army Records Information Management System (ARIMS), 2 October 2007, and Fort Knox Reg 25-400-2 on hand or available electronically?</p> <p>2. Has a Records Management Coordinator been appointed and a copy of the appointment memo furnished to the installation Records Manager (IMSE-KNX-HRS)? (AR 25-1, para 8-2a(7)(F), and Fort Knox Reg 25-100-2, para 5(14)) If duty appointment is not current, this will be an automatic Records Management inspection failure.</p> <p>3. Is the OUL current, and has it been approved by the installation Records Manager for the current calendar/fiscal year? (AR 25-400-2, para 5-1(b), and Fort Knox Reg 25-400-2, para 5(1)) If ORL is not current, this will be an automatic Records Management inspection failure.</p> <p>4. Have all ORLs under Records Coordinator responsibility been updated annually? (Fort Knox Reg 25-400-2, para 5(1)) If ORLs are not current, this will be an automatic Records Management inspection failure.</p> <p>5. Are all record containers and file folders labeled? (AR 25-400-2, para 6-2a, and Fort Knox Reg 25-400-2, Appendices B and D) If labels are not prepared, this will be an automatic Records Management inspection failure.</p> <p>6. Do all labels include the disposition code, record number, record title, Privacy Act System Notice number (if applicable), disposition instructions, and where appropriate, the year of accumulation? (AR 25-400-2, para 6-2a, and Fort Knox Reg 25-400-2, para 4b)</p> <p>7. If the 'dummy folder' concept is used, is it in accordance with Fort Knox Reg 25-400-2, para B-7.</p> <p>8. Have all labels been annotated with the proper disposition standards and generic retention periods or converted to the exact cutoff, transfer, retirement, and disposition dates? (Fort Knox Reg 25-400-2, para 4b) In order to pass the Records Management inspection, files must be created in only one of the formats.</p> <p>9. Are folders used to keep related records together, to assist in retrieval of records by label identification, and protect the records? (AR 25-400-2, para 5-1b)</p> <p>10. Are files in proper sequence within appropriate filing arrangement (i.e., alphabetical, date, numerical, etc.) that permits quick retrieval? (AR 25-400-2, para 5-5)</p> <p>11. Are correspondence/documents under the "general correspondence" categories filed per applicable disposition instructions based on whether the correspondence is an ACTION or NONACTION document (received for information only)? (Fort Knox Reg 25-400-2, para 11-4)</p> <p>12. Are files with a specified retention period, such as "Destroy after 2 years," cutoff and blocked at the end of the year in which action on the record has been completed? (Fort Knox Reg 25-400-2, para 11-20)</p> <p>13. Are files with a continuing type of disposition, such as "Destroy when no longer needed for conducting business," reviewed and individual records removed and destroyed at the appropriate time? After review, are the current records brought forward to the new annual block? (Fort Knox Reg 25-400-2, para 11-26)</p> <p>14. Are records received for file complete and has unnecessary material been eliminated? Has correspondence for file been assembled as shown in AR 25-507 (AR 25-400-2, para 5-3, and AR 25-50, Figure 4-2)</p> <p>15. If a record cannot be identified for filing has it been brought to the attention of the installation Records Manager? (AR 25-400-2, para 2-2a)</p>

INSPECTION CHECKLIST (continued)			
FUNCTIONAL AREA			SUBJECT AREA
Records Management			Army Records Information Management System
YES	NC	NA	DEFLECTION ITEM
			<p>16. Are files destroyed or transferred per disposition standards? (ARTRM RRR-A and Fort Knox Reg 25-400-2, para 8 and Appendices B and D) If files are not destroyed, transmitted, or transferred per disposition standards, this will be an automatic Records Management inspection failure.</p> <p>17. Are <i>FOR OFFICIAL USE ONLY</i> records and those subject to the Privacy Act properly destroyed? (AR 25-55, para 4-5G1)</p> <p>18. Have all eligible records been transferred to the installation Records Holding Area or Army Electronic Archives (AEA) within the required timeframe? (AR 25-400-2, Table 7-1, and Fort Knox Reg 25-400-2, para 8) If this task had not been completed, this is an automatic Records Management inspection failure.</p> <p>19. If records have been transferred to the Records Holding Area, is one copy of each SF 135 maintained under RN 1g, Office Record Transmittals, until the record has reached its disposition date? (AR 25-400-2, para 9-5a, and Fort Knox Reg 25-400-2, Appendix B, para 13-21)</p> <p>20. Are records maintained by "electronic means only" maintained, used, and destroyed per Chapter 3, AR 25-400-2 and guidance provided during Digitization Training?</p> <p>21. Has the Records Coordinator or Action Officer attended an ARTRM Training Class? (Fort Knox Reg 25-400-2, para 2(11))</p> <p>22. Has the Records Coordinator begun transmission of 2006 and later Transfer and Transfer Permanent files in accordance with established guidelines? (Fort Knox Reg 25-400-2, para 8h) This is an automatic Records Management inspection failure.</p> <p>23. Has all 2009 Transfer and Transfer Permanent files been transmitted to the Army Electronic Archives? (Fort Knox Reg 25-400-2, para 8h(4) Beginning January 2010, this will be an automatic Records Management inspection failure if Records Coordinator or designated representative has not transmitted files to the AEA by 31 January 2010.</p> <p>24. Has the Records Coordinator submitted a "User Role Change Request?" (Fort Knox Reg 25-400-2, para 10i)</p> <p>25. Has the Records Coordinator submitted a "Unit Access Request" for those organizations he/she is responsible for? (Fort Knox Reg 25-400-2, para 10j) This will be an automatic Records Management inspection failure if Records Coordinator does not have access to all units he/she is responsible for.</p> <p>26. Are all files maintained on a share drive labeled IAW Fort Knox Reg 25-400-2, Appendix P and Digitization Training?</p> <p>27. Are files on the share drive that have reached the full retention period removed? (Fort Knox Reg 25-400-2, Appendix P, para P-3) Beginning January 2010, this will be an automatic Records Management inspection failure if outdated files are on the share drive.</p> <p>28. Are all forms originating from the organizational Forms Coordinator filed under RN 25-30c, Numerical Files (Internal)?</p> <p>29. Are all forms under Forms Coordinator responsibility accounted for and on file?</p> <p>30. Is the Forms Coordinator duty appointment up to date?</p>

INSPECTION CHECKLIST (continued)			
FUNCTIONAL AREA			SUBJECT AREA
Records Management			Privacy Act (PVA)
YES	NO	N/A	INSPECTION ITEM
			1. Are AR 340-21 and Fort Knox Pam 25-4 on hand for reference? 2. Has a Freedom of Information Act (FOIA)/Privacy Act (PVA) coordinator been appointed? (AR 340-21, para 1-9a) 3. Is there a statement shown on all masters containing personal information cautioning that the information is protected from unauthorized disclosure under the PVA? (AR 340-21, para 4-4) 4. Are social security numbers and other data elements of PVA-protected personal information being included on rosters only when absolutely necessary? (AR 340-21, para 1-5b, 1-5h, and 4-1c) 5. Are key personnel or similar personnel masters being provided or accessed only by DOD personnel who have a "need to know" in the official performance of their duties? (AR 340-21, para 3-1a) 6. Are personnel with access to records aware of what type of personal information may and may not be released about an individual? (AR 340-21, para 3-3) 7. Is a PVA statement being provided when personal information is solicited directly from a Soldier or Army employee? (AR 340-21, para 4-2) 8. Are records containing personal information properly protected/destroyed? (AR 340-21, para 4; Fort Knox Pam 25-4, para 3-2, 3-5, and 3-6) 9. Is PK Form 150-E (Personal Data Card) used to collect personal information directly from the individual? (Fort Knox Pam 25-4, para 3-11a)

INSPECTION CHECKLIST (continued)			
FUNCTIONAL AREA			SUBJECT AREA
Records Management			Freedom of Information Act (FOIA)
YES	NO	N/A	INSPECTOR ITEM
			<p>1. Are AR 25-55 and Fort Knox Pam 25-4 on hand for reference?</p> <p>2. Has a FOIA coordinator been appointed? (Fort Knox Pam 25-4, para 2-5h)</p> <p>3. Has a copy of the appointment memo been furnished to the installation FOIA Advisor (IMSE-KNX-IRSA)? (Fort Knox Pam 25-4, para 2-5c)</p> <p>4. Have procedures been established within the organization for actions to be taken under the FOIA? (Fort Knox Pam 25-4, para 2-5d)</p> <p>5. Is the FOIA request date and time-stamped upon receipt? Is the request responded to within 20 working days? (AR 25-55, para 5-204b; DOD 5400.7-R, para C1.5.4)</p> <p>6. Is the FOIA coordinator aware that the installation FOIA FOC (4-7425) must be notified within 8 working hours upon receipt of an FOIA request to provide the following: (Fort Knox Pam 25-4, para 2-5d)</p> <ul style="list-style-type: none"> a. Date the FOIA request was received for action. b. Identification of the reporting activity or unit. c. Name, grade, and telephone number of person submitting the report. d. Identification of the requestor. e. Amount of anticipated charges, if any. f. Actions taken thus far regarding the request. <p>7. Is the installation FOIA FOC provided a copy of each completed FOIA request and related correspondence immediately upon completion of all actions required? (Fort Knox Pam 25-4, para 2-5d(5))</p> <p>8. Is DA Label 87 (FOR OFFICIAL USE ONLY) coversheet or similar coversheet being used to safeguard "FOR OFFICIAL USE ONLY (FOUO)" and Privacy Act protected information when not in file or storage? (AR 25-55, para 4-40c; AR 340-21, para 4-4c, and Fort Knox Pam 25-4, para 3-5n)</p> <p>9. Is DA Form 1948-R (Freedom of Information Act (FOIA)/Operations Security (OPSEC) Desk Top Guide) posted on the desk top of personnel who routinely deal with the public (by phone, letter, or in person)? (AR 25-55, para 1-501b, and Fort Knox Pam 25-4, para 2-6)</p>

Appendix L

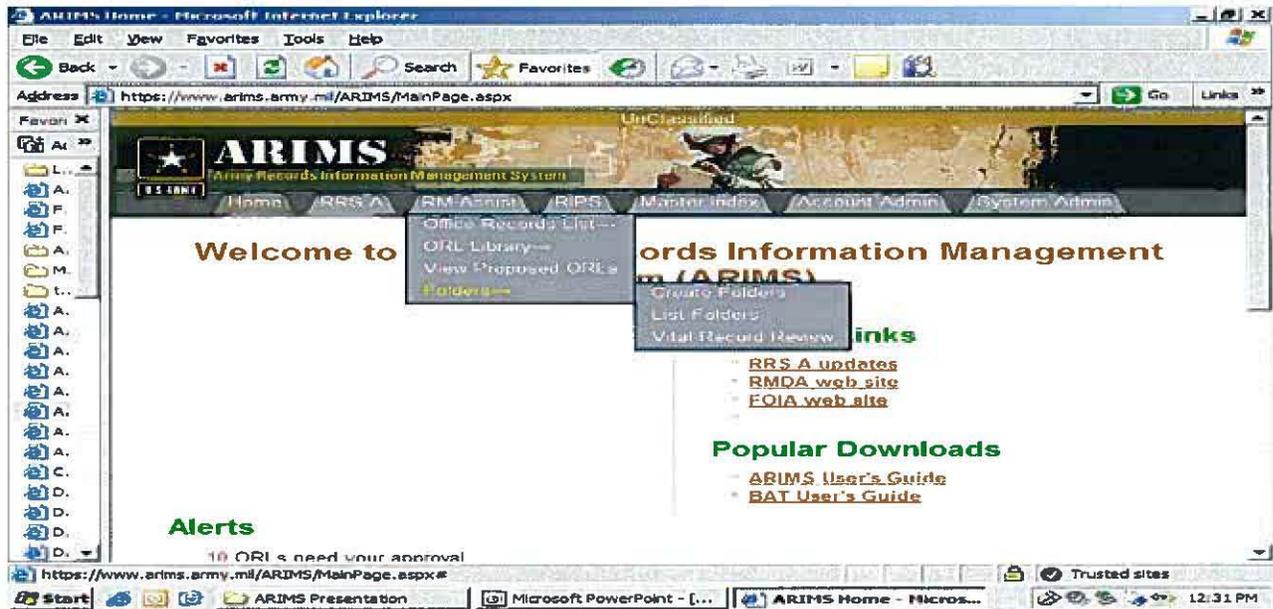
Explanation of Abbreviations

AAM	Army Achievement Medal
AEA	Army Electronic Archives
AKO	Army Knowledge Online
AO	action officer
ARCOM	Army Commendation Medal
ARIMS	Army Records Information Management System
ASD	Administrative Services Division
BAT	Bulk Archive Tool
CFA	current files area
COFF	cutoff
DEST	destroy
DHR	Directorate of Human Resources
FRC	Federal Records Center
K	keep
NLN	no longer needed
NTE	not to exceed
ORL	Office Records List
PA	Privacy Act
POC	point of contact
RA	records administrator
RC	records coordinator
RHA	Records Holding Area
RHAM	Records Holding Area Manager
RIPS	Records Input Processing Module
RM	records manager
RMD	Records Management Division
RMDA	Records Management and Declassification Agency
RN	record number
RRS-A	Records Retention Schedule-Army
T	Transfer
TP	Transfer Permanent
Trf	transfer
UIC	unit identification code
USAARMC	US Army Armor Center
USAG	US Army Garrison

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Appendix M
Creating Folders for Folder Labels (Hard Copy)

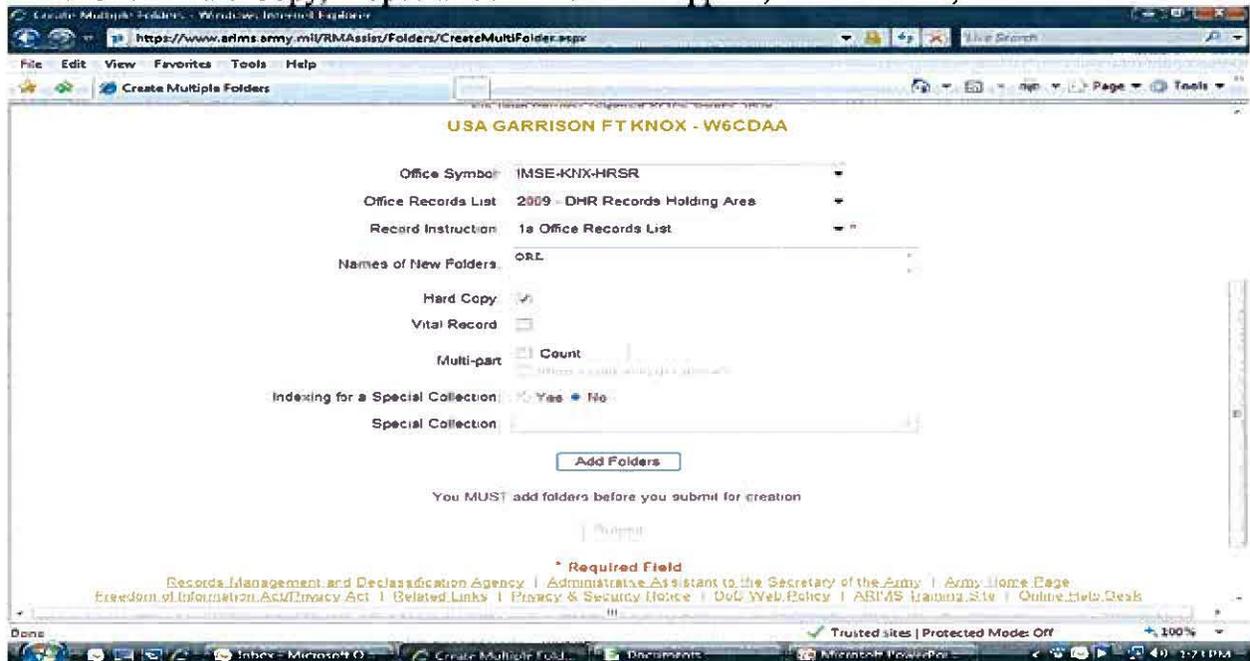
M-1. Click “RM-Assist” button on the menu, select “Folders” and “Create Folders.”



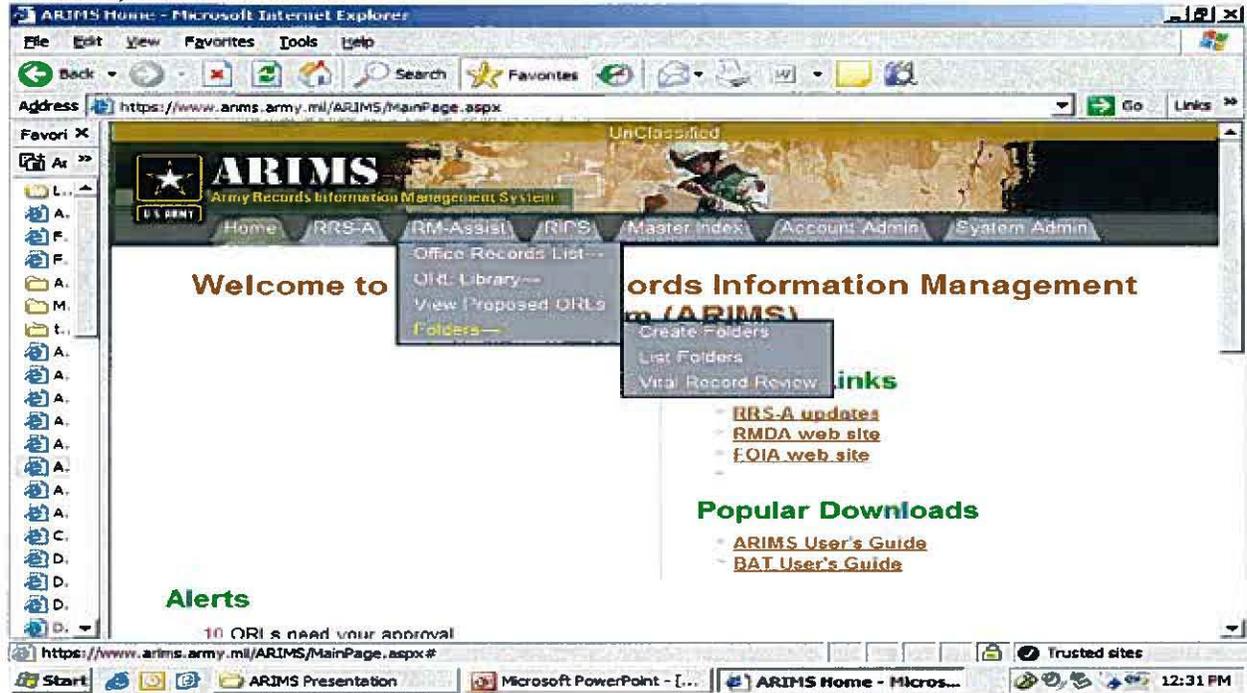
M-2. Select Office Symbol and ORL you wish to create a folder for.

M-3. Select the appropriate record instruction ORL and enter a name for the new folder.

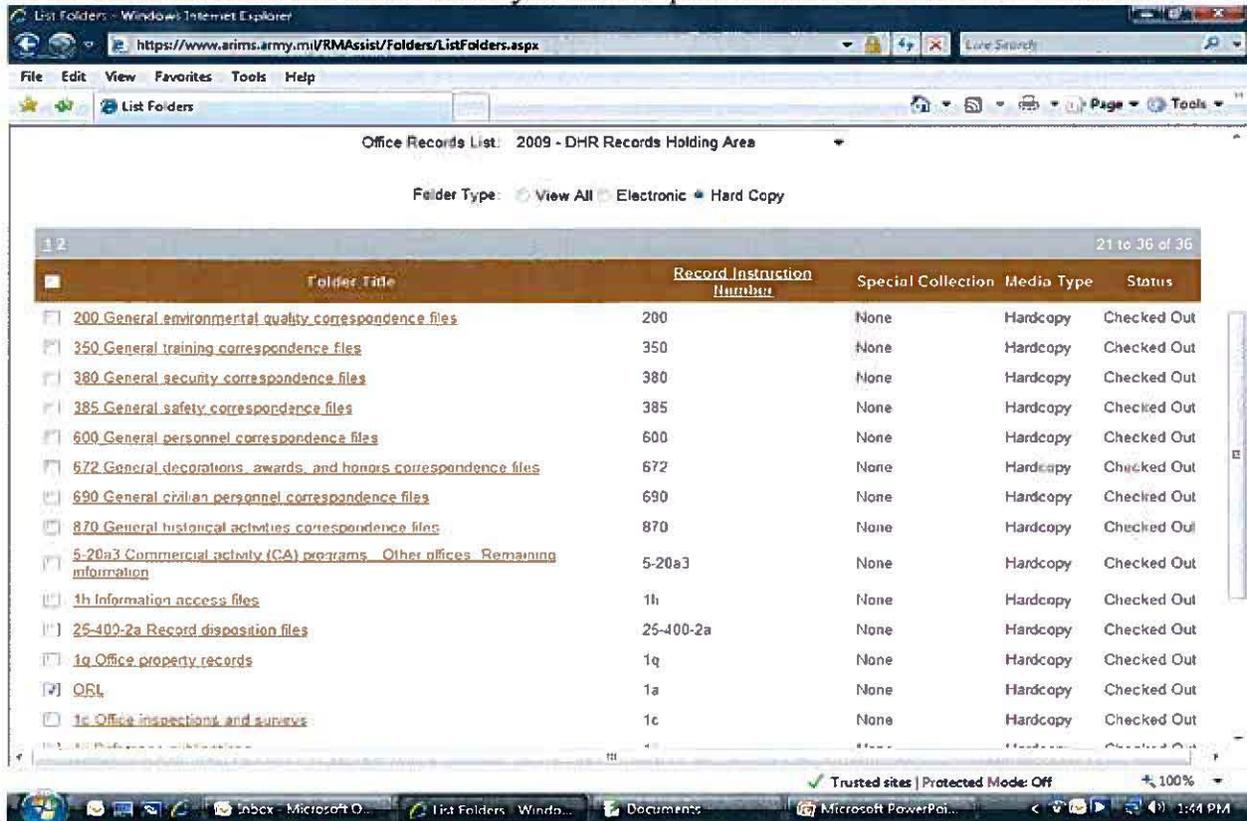
M-4. Click “Hard Copy,” “Special Collection” if it applies, “Add Folders,” and “Submit.”



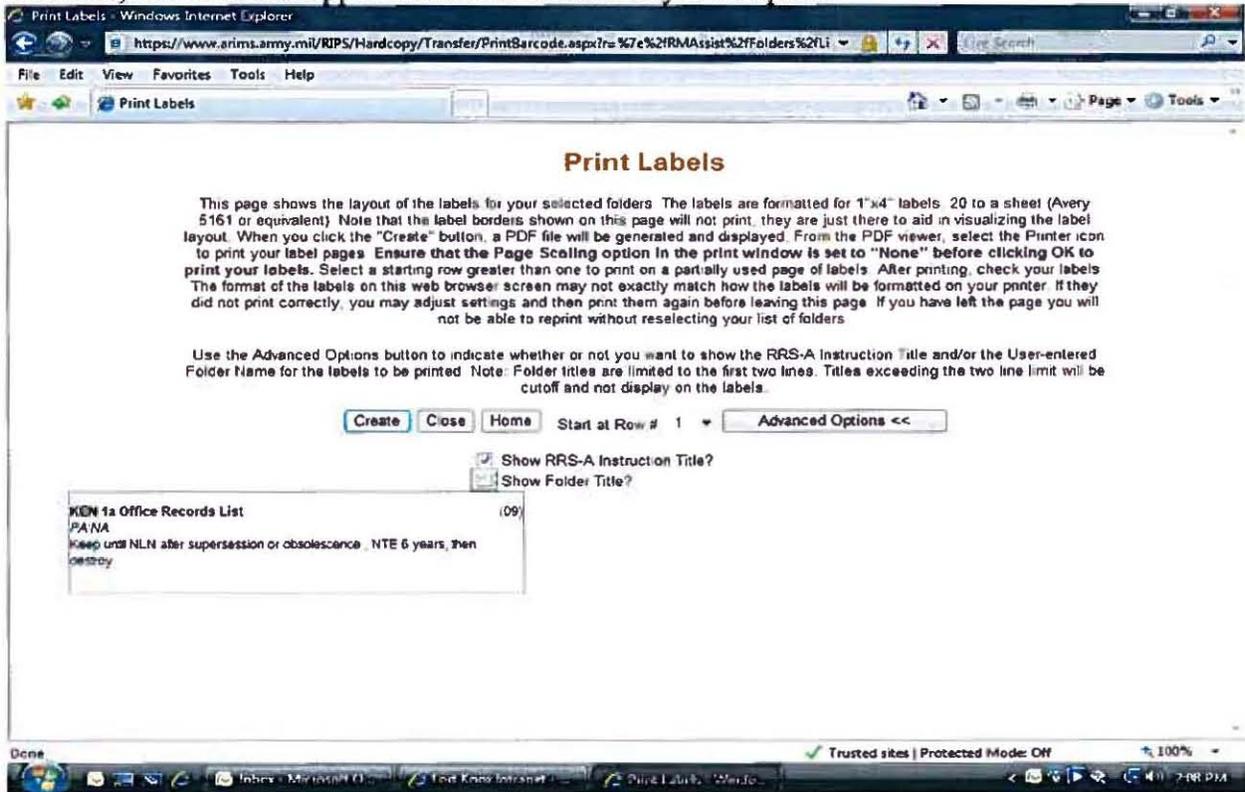
M-5. After folders have been created, labels can be printed. To print labels, click “RM-Assist,” “Folders,” and “List Folders.”



M-6. Click the white box of the folder you want to print a label from and click “Print Label.”



M-7. Before printing, click “Advanced Options.” After selecting “Advanced Options,” you will have the option of choosing to “Show RRS-A Title” or “Show Folder Title.” After making the selection, the label will appear on the screen the way it will print.



M-8. Follow directions on the page before printing labels.

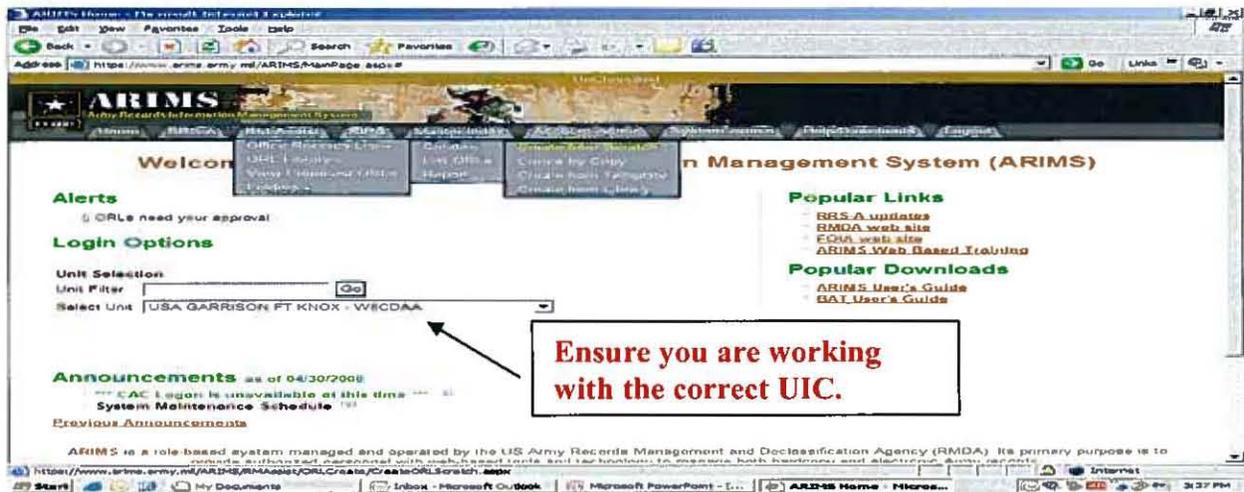
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Appendix N Creating an Office Records List (ORL)

N-1. Ensure there is not an ORL for the year you are creating. If there is not an ORL, create one from scratch.

N-2. Go to “RM-Assist,” “Office Records List,” “Create,” and “Create from Scratch.”

N-3. Ensure you create an ORL under the correct UIC.



N-4. Select the appropriate office symbol.

N-5. Type ORL name (mandatory).

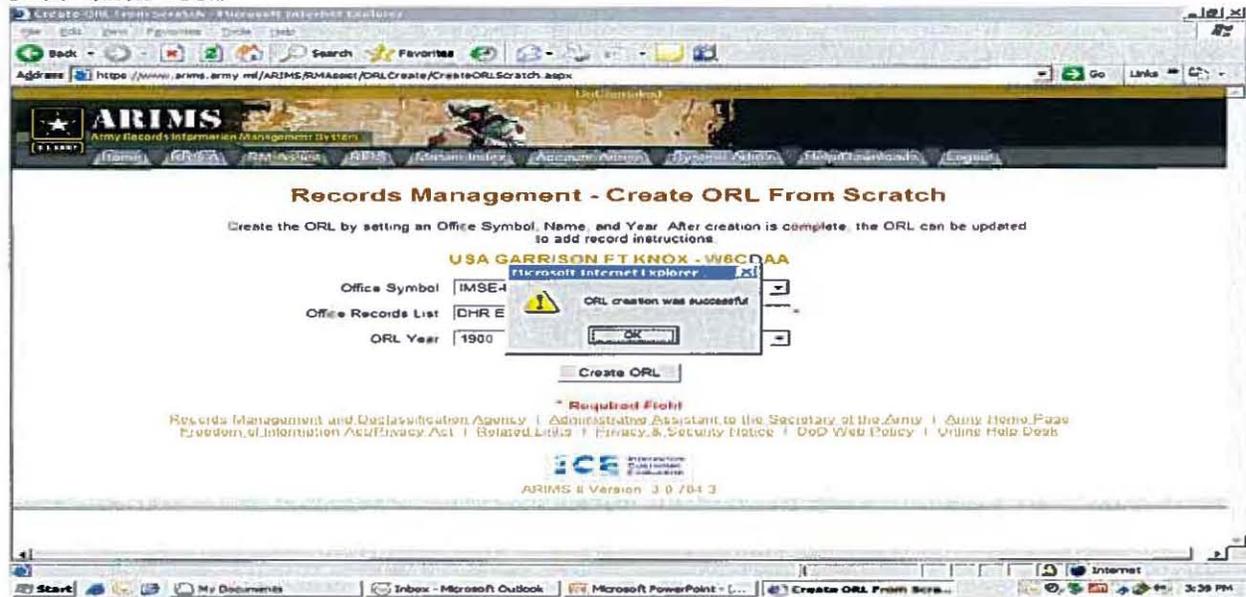
N-6. Select ORL year from the drop down. ORLs can be created dating back to 1900.

N-7. Click “Create ORL.”



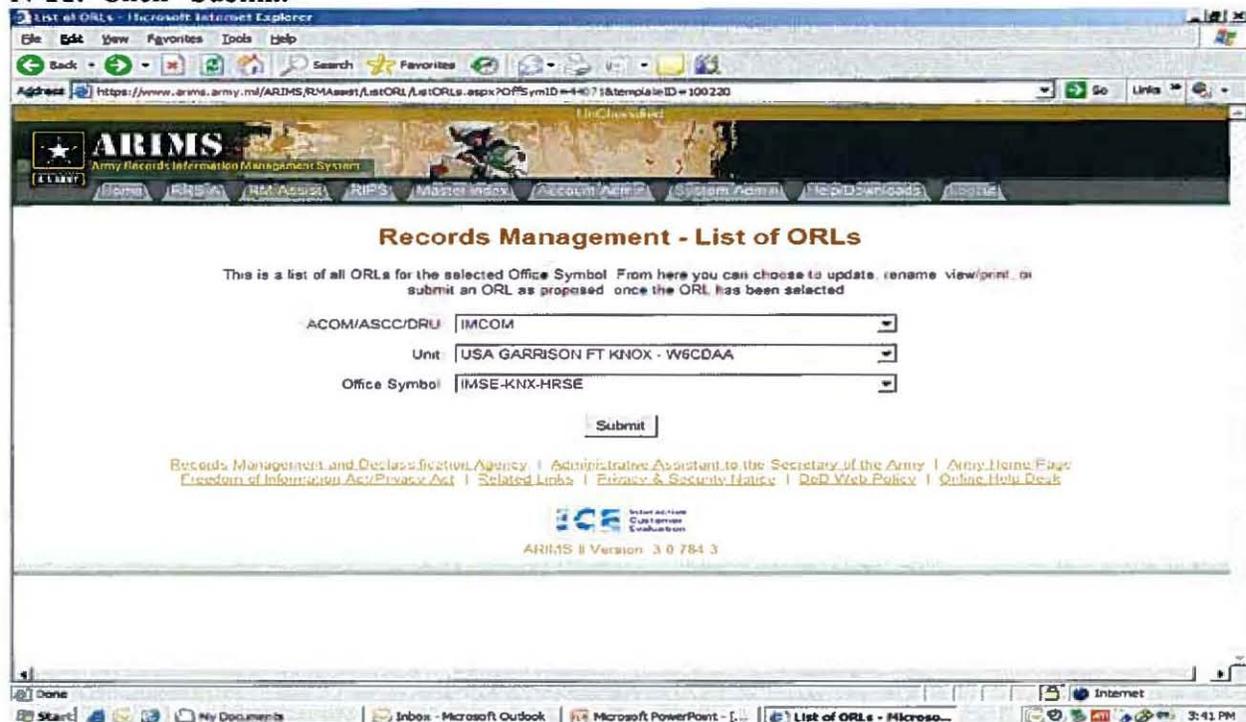
N-8. You will receive a notification that ORL creation was successful.

N-9. Click “OK.”



N-10. The List of ORLs screen will appear showing the UIC and office symbol. Select the appropriate UIC and office symbol.

N-11. Click “Submit.”



N-12. You will see a screen showing ORLs and years for all ORLs created under this UIC and office symbol.

Records Management - List of ORLs

This is a list of all ORLs for the selected Office Symbol. From here you can choose to update, rename, view/print, or submit an ORL as proposed once the ORL has been selected.

ACOM/ASCC/DRU:

Unit:

Office Symbol:

ORL Name	Year	Status	ACOM/ASCC/DRU	Unit	Office Symbol
DHR Editing	2009	Approved	IMCOM	USA GARRISON FT KNOX	IMSE-KNX-HRSE
DHR Editing	2008	Approved	IMCOM	USA GARRISON FT KNOX	IMSE-KNX-HRSE
DHR Editing	2007	Approved	IMCOM	USA GARRISON FT KNOX	IMSE-KNX-HRSE
DOIM Editing	2006	Approved	IMCOM	USA GARRISON FT KNOX	IMSE-KNX-HRSE
DOIM Editing	1999	Draft	IMCOM	USA GARRISON FT KNOX	IMSE-KNX-HRSE
DHR Editing	1900	Draft	IMCOM	USA GARRISON FT KNOX	IMSE-KNX-HRSE

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Appendix O

Instructions for Transmitting Documents Through the Bulk Archive Tool (BAT)

1. To install the ARIMS-BAT, click “RIPS,” “Electronic Records,” and “Bulk Archive Tool.”
2. Click “Run the Bulk Archive Tool (File System) link. If BAT has never been installed on the user’s computer, he/she will receive a message stating, “Do you want to install this application?” Click “Install.”
3. Under “Root Folder,” specify the root directory of where the records will be uploaded from. Recommend using the C drive under “My Documents” or a share drive.
4. Select the appropriate office symbol and ORL. Before having the option of selecting an ORL, an ORL must be created. Use caution when selecting the correct ORL and office symbol to ensure files are uploaded to the correct account and year.
5. After you have selected the appropriate directory, office symbol, and ORL, click, “Update Folders.” After selecting “Update Folders,” ARIMS creates the folder in the root directory designated for placing the files to be transmitted in. Do not attempt to manually create folders in the directory; ARIMS will not recognize the folders you manually create.
6. After the folders are created in the directory, place files (with retrievable names) in the designated folder(s) in the root directory. After placing files in the folders, go back to the BAT and click “Update Folders” again. After this update, the documents added to the folder should appear on the user’s screen. Any time new documents are added to the folders, the user will have to click the “Update Folders” option.
7. After all files have been placed in the folders and an update has been conducted, click “Begin Upload.” A progress bar will show while files are being uploaded.
8. Once files have been uploaded, the user will receive a notification stating, “Upload Complete.” Click OK.
9. As with the Document Upload process, conduct a search to verify documents are in the AEA. Once documents are verified, user may delete/shred the hard copy documents.
10. Once documents have been uploaded to the BAT, they will not be loaded the next time you upload unless there have been changes/modifications to the documents.
11. Follow the same steps as above for e-mail files. The ARIMS folders will be created under the User’s Outlook folders.

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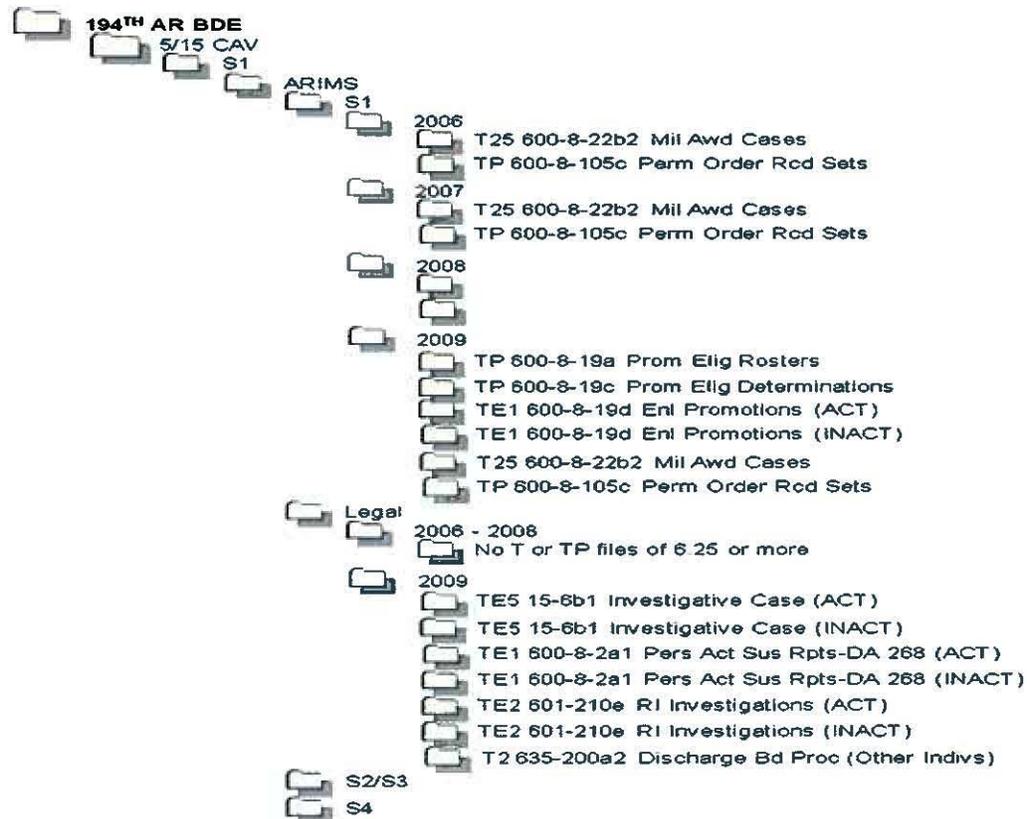
Appendix P
Sample Files Layouts for Share Drives

P-1. Many commands/directorates are under the assumption that if files are maintained on a share drive versus hard copy in a cabinet, they are not required to maintain files. If users are filing electronic documents (i.e., pdf or electronically signed), e-mails, and other documents on the share drives, they must assemble files in accordance with ARIMS.

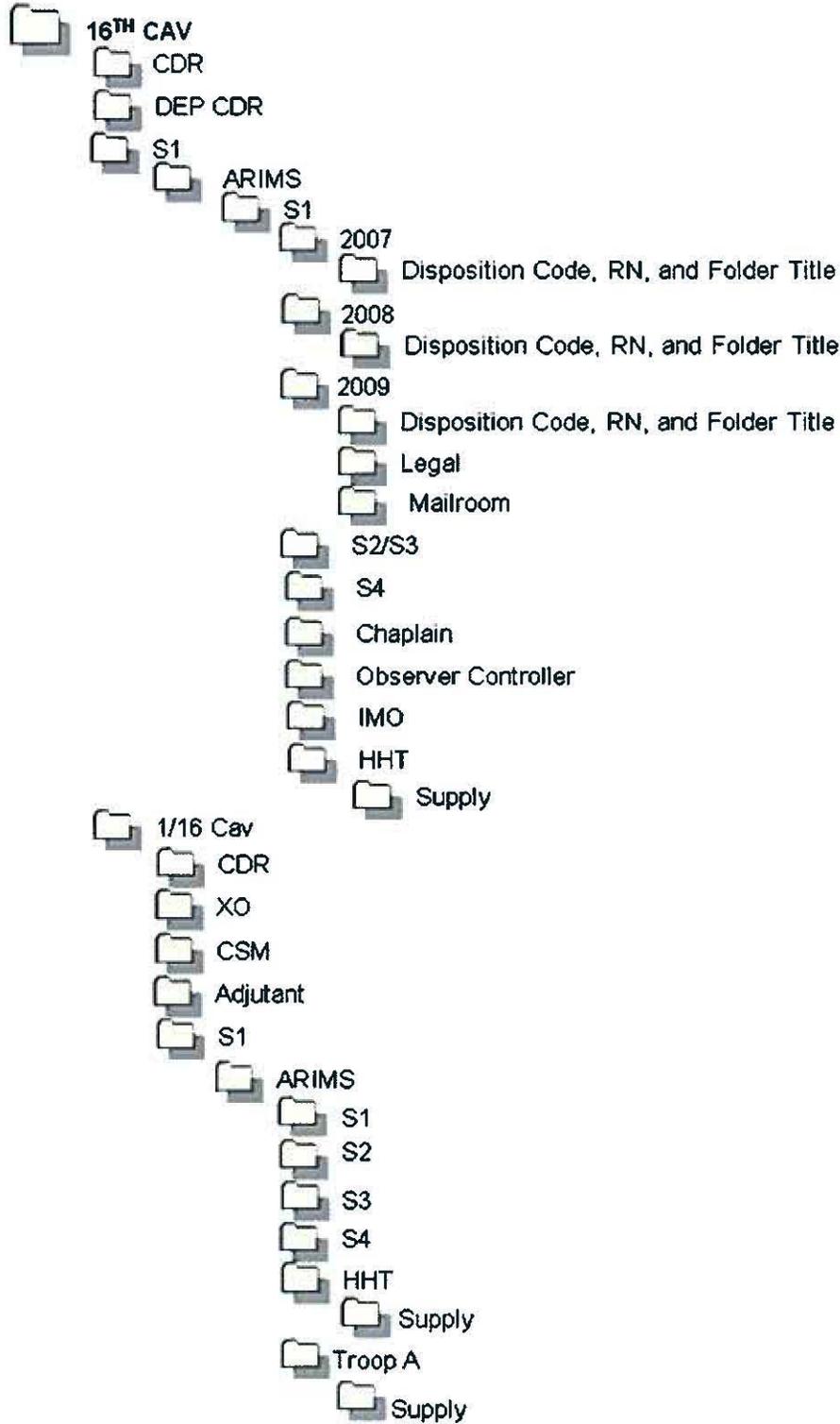
P-2. If K files are maintained on the share drive, there must be a cross reference sheet in the primary files area indicating, in detail, where the records are located on the share drive. The AOs, RCs, and data managers are responsible for monitoring the share drive, ensuring documents are removed after reaching the full retention period, and ensuring only authorized personnel have access to the files.

P-3. During Records Management inspections, share drive files will be inspected to ensure files are properly maintained in accordance with ARIMS and share drives are not overloaded with documents no longer required for filing. If records are not properly maintained and documents no longer required are on the share drive, this will be an automatic Records Management inspection failure.

P-4. Listed below is a sample of how a share drive could be set up at 194th Armored Brigade. This is only an example; units may set up a share drive any way they desire but must have the year of accumulation, disposition code, RN, and record/folder title:



P-5. Listed below is a sample of how a share drive could be set up at 16th Cavalry Regiment.



P-6. Listed below is a sample of how a share drive could be set up at a directorate.

