



Communication and Information

RECORDS MANAGEMENT

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This instruction establishes policy and assigns responsibility for life-cycle management (creation, maintenance, use, and disposition) of information as records in all media in compliance with applicable laws and statutes. Failure to observe the prohibitions and mandatory provisions of this instruction by military personnel may be a violation of Article 92, Uniform Code of Military Justice. Similarly, failure to observe the prohibitions and mandatory provisions of this instruction by civilian employees may result in administrative disciplinary action under applicable civilian personnel instructions without regard to otherwise applicable criminal or civil sanctions for violations of related laws. This instruction is applicable to United States Transportation Command (USTRANSCOM) and applies to certain records of any contractor operating under a USTRANSCOM contract. It implements Department of Defense Directive (DODD) 5100.3, *Support of the Headquarters of Combatant and Subordinate Joint Commands*, DODI 5015.02-STD, *DOD Records Management Program*, Chairman of the Joint Chiefs of Staff Instruction (CJCSI) 5760.01A, *Records Management Policy for the Joint Staff and Combatant Commands*, and CJCSM 5760.01A Volumes I, *Joint Staff and Combatant Command Records Management Manual Procedures*, and CJCSM 5760.01 Volume II, *Joint Staff and Combatant Command Records Management Disposition Schedule*. The use of a name or mark of any specific manufacturer, commercial product, commodity, or service in this publication does not imply endorsement by USTRANSCOM.

SUMMARY OF REVISIONS

The changes to this instruction provide general updates to procedures, roles, and responsibilities. The guidance for records left by departing employees was added as paragraph 7.4.5. Several revisions have been made to this instruction, asterisks will not be used to identify changes to the material

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1. References and Supporting Information.

References, related publications, abbreviations, acronyms, and terms used in this instruction are listed in Attachment 1.

2. General.

Records play a vital role in managing USTRANSCOM activities, documenting official business, serving as a memory for the organization, a record of past events, and the basis for future actions. Every USTRANSCOM entity must manage its records to comply with legal accountability requirements. The key to an effective records management program is the integrity of the filing system; a system that ensures a standard methodology for filing, storing, retrieving, and ultimately disposing of records according to published retention and disposition schedules.

3. Definition of Records provided by Title 44, United States Code, Section 3301.

“All books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government under Federal laws, or in connection with the transaction of public business, and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and processed documents are not included.”

4. Policies.

4.1. Directorates and Command Support Group (CSG) offices must manage records systematically to make sure they are complete, accurate, trustworthy, and easily accessible. Records must document the organization’s function or activity. They must be preserved by implementing effective life-cycle management procedures within the organization’s area of responsibility.

4.2. All Offices of Record and personnel who create, maintain, dispose of, and use records regardless of physical form or characteristics, will comply with the records management administrative instructions and procedural guidance set forth in CJCSM 5760.01, Volumes I and II. In addition, offices initiating contracts will comply with CJCSM 5760.01A, Volume I, Enclosure B, and paragraph 7 of this Instruction.

4.3. All records created by USTRANSCOM personnel while working for or on behalf of USTRANSCOM are the property of the United States Government. As such, records documenting the mission of the command will not be maintained in an action officer/employee work area unless the location of the records are identified on the Joint Staff (JS) Form 31, *Joint Staff List of Selected File Numbers*.

5. Responsibilities.

5.1. Command Records Manager (CRM) located in USTRANSCOM Command Information Management (TCCS-IM).

5.1.1. Assumes total responsibility for and authority to manage the Records Management (RM) Program within USTRANSCOM and ensure compliance with federal laws, National Archives and Records Administration (NARA) guidelines, and applicable Department of Defense (DOD)/Joint Staff policy; establish procedures; identify problems; and take corrective action on any USTRANSCOM RM issue.

5.1.2. Ensures the life-cycle management process is completed.

5.1.2.1. Provides necessary guidance to establish offices of record and to ensure all records are accountable on the file plan and maintained in accordance with applicable policy.

5.1.2.2. Ensures the local support agreement with host base RM includes staging and shipping services.

5.1.2.3. Manages the transfer and retrieval of records from the base Inactive Storage Facility (ISF) and Federal Records Center (FRC).

5.1.2.4. Preserves records of sufficient value by the proper disposition/retirement of records as appropriate.

5.1.3. Provides management guidance for approval, acquisition, and use of records electronic recordkeeping systems.

5.1.3.1. Ensures electronic recordkeeping system purchases are cost effective and compatible with Local Area Network and other electronic/workflow systems in USTRANSCOM.

5.1.3.2. Ensures electronic recordkeeping systems meet DOD specifications and guidelines.

5.1.4. Establishes a command RM program ensuring continuous operation and training.

5.1.4.1. Ensures all personnel who create, maintain, provide access to, and dispose of records are properly trained.

5.1.4.2. Conducts Staff Assistance Visits (SAV) of CSGs and directorate Functional Area Records Managers (FARM) annually using SAV checklist at attachment 5.

5.1.4.2.1. Ensures discrepancy correction letters are forwarded to each FARM/Records Technician (RT) upon completion of all SAVs. FARMS/RTs will have one calendar month to complete corrections.

5.1.4.3. Assists FARMs, Chiefs of Offices of Record (COR), and RTs in carrying out their responsibilities.

5.1.4.4. Analyzes and recommends improvements in the RM program to maintain records economically and efficiently.

5.1.5. Ensures records generated are filed in accordance with the appropriate records schedule.

5.1.6. Establishes procedures for record management requirements for contracts.

5.1.7. Ensures adequate resources exist to manage electronic records effectively.

5.1.8. Facilitates electronic records management (ERM) implementation throughout USTRANSCOM.

5.2. FARM . Each directorate will appoint a FARM to oversee RM for the directorate. The FARM will make their contact information available to all records custodians in the command. The CRM performs FARM duties for the CSG. The appointment of alternate FARMs may be required based on span of control and size of directorate/CSG functional areas.

5.2.1. Serves as the directorate/CSG Point of Contact for RM.

5.2.2. Furnishes guidance and assistance in the form of short briefings to CORs and RTs for maintaining and disposing of records.

5.2.3. Assists CORs and RTs in preparing and obtaining approval of file plans for each Office of Record under their responsibility.

5.2.3.1. Reviews and maintain copies of Office of Records' file plans within their respective directorates. File plans will be maintained in Part 2 of the FARM's 5-part binder/folder.

5.2.4. Reviews and coordinates each request for nonstandard filing supplies and equipment.

5.2.5. The FARM will make staff assistance visits to all Offices of Record under their purview on an annual schedule, using the SAV checklist.

5.2.5.1. Maintains all SAV documentation pertaining to its directorate's Offices of Record. All SAV documentation will be maintained in Part 4 of the FARM's 5-part binder/folder.

5.2.5.2. Ensures all discrepancies found during SAVs are resolved or the underlying items are scheduled for completion.

5.2.6. Monitors timely retirement of eligible records from functional area. Maintain a copy of shipment lists for records using Standard Form 135, *Records Transmittal and Receipt*, forwarded to base ISF and FRC.

5.2.6.1. Ensures individuals authorized to pick-up and deliver records to FRCs have been identified.

5.2.6.2. Ensure records are shipped to FRCs in accordance with Joint Staff procedures.

5.2.7. Maintains copies of all their RT's RM training information, to include the training certificate. All training information will be maintained in Part 5 of the FARM's 5-part binder/folder.

5.2.7.1. Conducts regular meetings with RTs to address RM issues/or concerns within their organizations.

5.2.8. Requests RM orientation briefings for newly-appointed CORs.

5.2.9. Assists the CRM in reviewing and evaluating electronic records systems for effects on the creation, transfer, storage, retrieval, and disposition of electronic records.

5.2.9.1. Ensures records not stored in the ERM system are appropriately identified and structured in accordance with the JS Form 31 file plan for that office.

5.2.9.2. Monitors and manages record material located on shared drives and portable electronic storage devices to facilitate moving to the ERM system.

5.2.9.3. Manages the retention and disposition of Directorate records which are located in the ERM.

5.2.10. Prepares and forwards RM appointment letters to the CRM (sample at Attachment 2).

5.2.11. Maintains current RM appointment letters for all Offices of Record in Part 1 of the FARM's 5-part binder/folder.

5.2.12. Establishes and maintains an electronic and/or paper 5-part FARM program folder/binder. Areas to be included are: (the 5-part folder may be in paper or electronic format)

5.2.12.1. Part I – Appointment Letters

5.2.12.2. Part II – File Plans

5.2.12.3. Part III – General Correspondence (e-mail or other documented communication between the FARM and the RT/COR/CRM)

5.2.12.4. Part IV – SAVs/Orientation Visits

5.2.12.5. Part V – RT Training Information

5.2.13. Completes formal RM/ERM training

5.2.14. Maintains current copy of all applicable RM instructions and manuals.

5.3. COR. The COR is the directorate/division/branch chief, deputy, or executive officer, having cognizance over records created to accomplish the mission of that office or a combination of offices.

5.3.1. Is responsible for all records the office creates or receives regardless of physical characteristics, to include identification of appropriate disposition authorities for records maintained.

5.3.2. Appoints the RT responsible for maintenance of office records by submitting a RM appointment letter (sample at Attachment 2) to the FARM.

5.3.3. Ensures only essential records are created, permanent valuable records are preserved, and temporary records are systematically disposed of in accordance with applicable policy.

5.3.4. Ensures the proper procurement and use of filing supplies and equipment to house the paper records in his/her custody.

5.3.5. Ensures RTs receive a thorough briefing on office functions and the reasons records are maintained.

5.3.6. Ensures personnel who maintain, use, and dispose of records receive training within 30 days of appointment and annually from the initial training date.

5.4. RT. The individual appointed by the COR to maintain, service, and dispose of records maintained by the office of record. NOTE: At the directorate level, the FARM can also be appointed as a RT.

5.4.1. Understands the operative function the office's records support.

5.4.2. Understands the purpose of records management and adjust filing practices to furnish efficient and effective reference service to the users of the records.

5.4.3. Establishes the office files.

5.4.4. Follows file plan (JS Form 31) creation and approval procedures as outlined in paragraph 6.1. through 6.1.1.3.2. of this instruction.

5.4.4.1. Maintains a record copy of the file plan, accounting for all records in the office, and submit changes to the file plan as required.

5.4.5. Has access to all electronic office records for the purpose of managing the retention and disposition of those records.

5.4.6. Understands the capabilities and limitations of the equipment used for storing the records and retrieving the information from the files (including electronic records and electronic records management systems).

5.4.7. Understands and implement the records maintenance, use, and disposition policies and procedures for the records maintained.

5.4.8. Briefs and consult COR and FARM and, if necessary, the CRM regarding problems affecting the creation, maintenance, use, and disposition of records.

5.4.9. Assists in reviewing and evaluating automated systems for effective creation, transfer, storage, retrieval, and disposition of electronic recordkeeping.

5.4.10. Obtains RM training within 30 days of appointment and annually from the initial training date.

5.5. USTRANSCOM Personnel. USTRANSCOM military, civilian, and contractor personnel, with approval from their Contractor Officer Representative, must complete training for the ERM system and basic records management training in order to distinguish Federal records (including electronic and e-mail records) from non-record material; maintain Federal records without destroying, removing, concealing, or mutilating them; and assist in the process of filing federal records into a record keeping system for retention and eventual disposition.

5.5.1. Registration for the ERM training is through the Manpower and Personnel Directorate training database.

5.5.2. Basic Records Management Training is located on the TCCS-IM SharePoint page under Records Management.

6. Procedures.

6.1. Each Office of Record will prepare a file plan to identify all records for which the office has responsibility. Small offices, sections, and branches that maintain the continuity of the mission can be combined as a single Office of Record. The appointed COR/RT shall assume full responsibility for maintenance of combined offices.

6.1.1. The RT shall prepare the file plan using JS Form 31 for review by the COR, FARM, and CRM, in turn. Information required on this form shall be taken from CJCSM 5760.01A, Volume II.

6.1.1.1. The RT will complete the file plan and forward an electronic copy for review by the COR. The COR will ensure all records the office generates or receives are identified. After review, the RT will electronically forward it to the FARM. If the Office of Record is a CSG, the RT will forward to the CRM.

6.1.1.2. The FARM will review the file plan for accuracy of file numbers, titles, descriptions, arrangements, disposition instructions, and correct format. If corrections are needed, the FARM will send the file plan back to the RT for correction, after corrections are made, the RT will return the file plan to the FARM for review. If correct after reviewing, the FARM will electronically forward the file plan to the CRM.

6.1.1.3. The CRM will review the file plan for accurate file numbers, titles, descriptions, arrangements, locations (if not filed in main file area), disposition instructions, and correct format. The CRM will approve/disapprove the file plan.

6.1.1.3.1. If disapproved, the CRM will send recommended changes and electronic copy of file plan to the FARM. The FARM will forward recommended changes and file plan to the RT. The RT will make the recommended changes to the forwarded file plan and the approval process is restarted.

6.1.1.3.2. When approved, the CRM will print, sign, and forward the original file plan to the FARM. The FARM will sign the file plan, make a copy, and insert it into part 2 of the 5-part binder/folder. The original will then be sent to the Office of Record for the COR's signature. After all three signatures are on the file plan; it will be placed as the first item in the file drawer. If files are maintained in nonstandard filing equipment or filed electronically, place or attach the file plan in a way that facilitates easy retrieval.

6.2. Annual review of the file plan. The RT will review the file plan as part of end-of-year actions (see paragraph 5.8) and, if necessary, amend the file plan to ensure all records are identified. The RT will submit significant changes to the plan as they occur. Re-accomplishing the file plan each time a change occurs in RM personnel is not necessary; notify the CRM and FARM of changes via e-mail.

6.3. Biennial update of the file plan. The RT will update the file plan biennially and follow the approval procedures as outlined in Para. 6.1.2.1. through 6.1.4. of this instruction. If no changes are required, the file plan must be re-approved every two years.

6.4. Labels (Attachment 3). For physical records, all guide cards, folders, record containers, binders, audiovisual records, decentralized records, and electronic records will be labeled. Labels must be computer-generated.

6.5. Guide cards. Guide cards (light green, tabbed dividers) are used to divide files to facilitate filing and records retrieval, and to provide support for the material in the files. Items on the file plan which are kept in a location, other than the file cabinet or safe, such as an electronic record management system, do not require a guide card as long as the location of the records is annotated on the file plan.

6.5.1. Guide card labels shall be placed in the first position (left tab), arranged in numerical sequence, and contain the category series number and subject. Further breakdown for guide cards is authorized but not recommended.

6.5.2. Place the guide card in front of each series, and related file folders if further breakdown is used. The guide card shall remain with the active and inactive files as long as they are kept in the main file cabinet or safe.

6.6. File Folders. File folders are used to group related records together. Use letter or legal size file folders for each file number and each subdivision listed on the file plan when filed in a cabinet or desk. Hanging file folders may be used to hold the guide cards and file folders.

6.6.1. File folder labels will include the file number, file title, disposition instruction and, when appropriate, the year of accumulation. Each folder will include the year (calendar or fiscal) of accumulation on the folder labels for records with a retention period of 1 year or more. If the retention period has no annual/fiscal cutoff, then the year of accumulation is not required.

6.6.2. The disposition standards in CJCSM 5760.01, Volume II, are mandatory. When the standards state retention periods (i.e., cut off annually/end of fiscal year, hold 2 years, then destroy) the file labels must show an actual cut off and destruction date and/or transfer and retirement date (e.g. for 2007: Cut Off 31 Dec or 30 Sep, destroy Jan 10). Refer to Attachment 4 of this instruction for matrix in converting retention periods to actual dates and the disposition standards wording for the file folder label.

6.6.3. Position the label according to the final disposition of the file. The left position is for records that will be destroyed in the current files area. The center position is for records that will be transferred to the ISF and destroyed. The right position is for permanent records that will be retired to the National Archives.

6.6.4. For classified records, stamp the highest classification of the records contained in the folder on the folder tab and the outside top and bottom of the front and back of the folder.

6.6.5. For Official Use Only (FOUO) and Privacy Act. Folders shall be marked on the folder tab next to the label (FOUO and/or Privacy Act identification) to indicate folder contains such material. For Privacy Act information, place Air Force Visual Aide 33-276, *Privacy Act Label*, next to the file folder label. For FOUO and Privacy Act records maintained in an electronic records management system, the records or folders shall be marked to identify such material and access to the records or folders shall be limited to persons who require access.

6.7. Record containers. File cabinet drawer and all nonstandard filing equipment labels shall indicate the inclusive file numbers of records contained in the drawer (e.g. 0222-01 - 0944-01) The record container may also show Office of Record (i.e. TCCS-IM) and should include the contents of each drawer: Active, Inactive, or both. Follow the sample label formats as shown in Attachment 3 according to what is filed in the cabinet drawer or nonstandard filing equipment.

6.8. Binders and Folder. For physical records, ensure binder and folder labels are placed correctly. Follow the sample label formats at Attachment 3 according to how records are filed in binder or folder. Ensure all labels contain appropriate cut off dates and retention periods.

6.9. Audiovisual Records. Audiovisual records are records in pictorial or oral form including still and motion pictures, sound and video recording, and combinations of media such as slide-tape.

6.9.1. Each still photograph will contain a caption consisting of the date, location, names of people, and event. To avoid damage, do not attach the caption directly to the photograph. File both the caption and photograph in an appropriate file folder.

6.9.2. For all other types of audiovisual records, the label will indicate the file number, subject, date, and disposition instruction.

6.10. Filing Records:

6.10.1. After all actions are complete and records are ready for filing, the RT will apply the file code, consisting of the word “file” and the file number, in the upper right-hand corner. Remove all paper clips, rubber bands, temporary fasteners, mail control forms, receipts, envelopes and routing/memo slips, except those containing significant record value. Binder clips may be used in certain circumstances (e.g., legal case files, Freedom of Information Act files). This will be addressed during annual SAVs. Records should be filed with the most current date toward the front of the folder, depending on the type of file arrangement. Ensure all folders filed are arranged according to the arrangement of the file plan. All duplicate copies of correspondence and reports (other than those needed for cross-reference) will be removed prior to filing records.

6.10.2. Once a physical or electronic record is stored within the official files, it cannot be altered. Any revisions made to records stored within the official files constitute the creation of a new record. Accurate and complete records will be filed on a daily basis or as required.

6.10.3. For physical records, when the contents of a file folder reaches 1 inch in width, add a new folder with the same file number, title, and inclusive dates, or subdivide the contents into subfolders. This restriction does not apply to files containing bound records or fastened together to maintain continuity of records series.

6.10.4. A record series with indefinite disposition instruction, such as “destroy when superseded, obsolete, or no longer needed,” “purpose has been served,” etc., will be reviewed annually for disposition action.

6.10.5. Unofficial or personal papers relating solely to an individual’s own conduct must be clearly designated as such and kept separate from the agency’s records and will not be filed into the electronic record keeping system.

6.10.6. Active and inactive paper/hardcopy files will be stored in an area safe from environmental dangers (water, fire, insects, etc.) with appropriate temperature and humidity controls.

6.10.7. Active and inactive audiovisual records and records on electronic storage devices (compact disks, digital video disks, floppy diskettes, external hard drives, etc.) will be stored

physically apart from paper files with appropriate temperature and humidity controls and periodically reviewed for obsolescence and, if needed, migrated to new storage media.

6.11. Filing classified records:

6.11.1. Safeguard classified files according to DOD 5200.1-R. Records will be filed in approved safes or electronic records management systems approved for storing classified files. Physical folders will be marked with the highest classification on the top and bottom of the front and back and on the file folder tab next to the label, with the highest classification contained therein. Electronic folders or records will be marked with the highest classification of the information contained therein. The location of classified records maintained in a safe, separate from the main file cabinet or in the approved electronic records management system, will be indicated on the file plan.

6.11.2. File classified material separately from unclassified, except when necessary to maintain continuity of a particular transaction or event, or volume of unclassified material is too small to justify establishing separate files.

6.11.3. Classified records will be maintained the same as unclassified records. The degree of protection will be the only difference.

6.12. Privacy Act Records. The COR/RT is responsible for securing Privacy Act records. Records will be protected from unauthorized disclosure, alteration, or destruction. The level of protection should be tailored to the sensitivity of the information.

6.12.1. Affix AFVA 33-276 to file folders containing Privacy Act records next to the disposition label. Affix AF Form 3227, *Privacy Act Cover Sheet*, to documents that are hand carried and/or retained in the file, with supervisor personnel case files.

6.13. FOUO Records. FOUO is not a security classification. FOUO information should be safeguarded so that the information is used only for official government business. Labels on records containing FOUO information will be marked "FOUO" on the folder tab next to the disposition label.

6.14. Training. All personnel whose duties include filing, maintenance, and disposition of official records must be trained within 30 days of assignment. Contact the CRM for information on RM training.

6.15. End of Year RM Procedures. As of 31 December for calendar year (CY) records, or 30 September for fiscal year (FY) records, as appropriate, take these actions to prepare the files for the coming year:

6.15.1. Establish and review inactive files. Destroy records as scheduled. Prepare eligible records to be transferred to the base ISF and/or FRC.

6.15.2. Cut off standards.

6.15.2.1. Files maintained on a CY basis will be cut off by 31 December of each year and new CY files established.

6.15.2.2. Files maintained on a FY basis will be cut off by 30 September and new FY files established.

6.15.2.3. Files with a retention period of less than 1 year are maintained on a daily, weekly, or monthly basis. These files are cut off and disposed of after their authorized retention period.

6.15.2.4. Files maintained as case, action, or project files are cut off upon the occurrence of a triggering event, kept in the inactive files area, and disposed of in accordance with disposition standards (see Attachment 4).

6.15.2.5. Review perpetual-type records (records destroyed when superseded, obsolete, or no longer needed) to ensure only active records remain in file and remove and destroy those documents no longer needed, superseded, or obsolete. Do not transfer perpetual-type records to the inactive files.

6.15.3. For physical records, prepare new file folders and/or reuse serviceable folders and guide cards for files in the new year.

6.15.4. Review the file plan. Update, if necessary, and submit for approval.

6.15.5. FARMS/RTs will submit volume of records destroyed on site and volume of records transferred to ISF. See JS Form 31 (reverse side) for volume equivalents.

6.16. Transferring records to base ISF, FRC, or NARA:

6.16.1. Fill out SF135, *Records Transmittal and Receipt*. Assistance in preparing SF135 is available from the FARM or CRM. Send completed SF135 to the CRM, through the FARM, for review and approval. Once approved, the CRM will return the form to the FARM/RT. FARM/RT transferring records must get the approved SF135 to the Base RM office. The Base RM office will contact FARM/RT to set up appointment time for records delivery. Contact the CRM/FARM for the Base RM offices contact information.

6.17. Program evaluation:

6.17.1. The CRM/FARM will conduct SAVs of each Office of Record annually to determine compliance with prescribed RM policies and procedures. The CRM will perform SAVs for CSGs and the FARMS Office of Record/overall program. The FARM will perform SAVs on the Offices of Record within their directorate (see checklist at Attachment 5).

6.17.2. Upon completion of the SAV, the CRM/FARM will report findings to the RT indicating major findings that could not be corrected during the visit and recommendations to improve the overall program. The CRM/FARM will send a SAV corrections letter to the respective

FARM/RT. A reply indicating corrective action has been taken is required. FARMS will send information copies of their findings and RT responses to the CRM.

7. Electronic Records Management (ERM).

TCCS-IM provides guidance to ensure electronic records are available and protected to support USTRANSCOM business operations and meet statutory requirements to provide appropriate access through the lifecycle of all electronic records.

7.1. Electronic Records. An electronic record is any information stored in a form that only a computer can process and that satisfies the definition of a record. Electronic records include, but are not limited to, magnetic tapes, disks, drums, video files, optical disks, data files, databases, machine-readable indexes, word processing files, electronic spreadsheets, and electronic mail and messages. Basic records management policy and disposition instructions apply to all information determined to be official records regardless of the media.

7.2. ERM. The use of automated techniques to manage records regardless of format. Electronic records management is the broadest term that refers to electronically managing records or varied formats, whether electronic or paper. It is important to note the term “electronic” in ERM refers to automation of the manual records management process and not to the nature of the record media. The ERM process can be used to manage records in non-digital form. The ERM process will enable USTRANSCOM to transfer electronic records to NARA in a variety of data types and formats so that they may be preserved for future use by the government and citizens.

7.3. Electronic Record Keeping System (ERKS). ERKS is an electronic information system by which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. An approved Records Management Application (RMA) will provide USTRANSCOM the necessary means to manage its records in both electronic and non-electronic form. Upon implementation of a RMA, official records will be stored electronically and paper duplications will be destroyed. Upon implementation of an approved RMA, business rules, user guides and tactics, techniques, and procedures will be in place and available to all USTRANSCOM personnel.

7.4. ERKS training is mandatory for USTRANSCOM personnel. Directors, supervisors, and CORs will ensure personnel are trained in the ERKS to ensure sustainability of their ERM process and RMA. Records management personnel will receive sufficient training and resources necessary for implementing ERM solutions.

7.5. Metadata. Metadata is a term that describes or specifies characteristics that need to be known about a specific record for record keeping purposes. All metadata will have an accepted, precise meaning that reflects a common understanding among its creators and its users allowing users to select the information being sought from all the information available.

7.6. Legacy and Electronic Records.

7.6.1. Legacy Records. Legacy paper or other media based records (fiche, data cards, etc.) are converted (document imaging or scanning) to electronic format by exception only. Legacy

records needed for current activities may be converted. At the end of their lifecycle, legacy data will be disposed of according to the records disposition schedule.

7.6.2. Electronic mail(e-mail) records. E-mail messages meeting the definition of a record will be filed and disposed of in accordance with the approved procedures for electronic records. Retention of records created or received on e-mail systems must be identified and properly retained as part of the official record. Copies of record e-mails will not be stored in Microsoft Outlook or any uncertified record keeping system.

7.6.3. Web Content. Web sites contain records that document government activity and the use of tax dollars. Government agencies must, therefore, manage web content with a carefully developed and implemented policy. Web content must be trustworthy, complete, accessible, admissible in court, and durable for as long as an approved records retention schedule requires. Manage records created for, and published on, web sites at each point in the records continuum, rather than as discrete elements in a set life cycle. A web content management policy must address web site planning, development, and maintenance with an emphasis on records management.

7.7.4. Retention of records created or received on e-mail systems must be identified and properly retained as part of the official record. E-mail that meets the definition of a record will be filed electronically in the approved ERM or will be converted to a paper copy, filed, and disposed of in accordance with the approved paper-based records management procedures for e-mail records. Disciplined management is the key to identification and retention of vital record e-mail materials and destruction of non-record e-mail, when practical, or within 180 days of creation; whichever occurs first. Command, Control, Communications, and Computer Systems Directorate (TCJ6) back up e-mail daily for both the classified and unclassified networks for operational reasons. Additionally, back-ups to tape of e-mail file servers are performed monthly. Retention period for back-ups is one year for date of creation.

7.7.5. Records or non-records left behind on workstations or network shares, by departing employees, will be unavailable once the member out processes. Employees are to practice due diligence by properly managing their records to ensure they do not leave documents behind on workstations or network shares.

8. Adopted forms:

JS Form 31, *Joint Staff List of Selected File Numbers*

SF 135, *Records Transmittal and Receipt*

JOLYNN J. BIEN
Chief, Command Information Management

Attachment 1

REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS

Section A – References

Title 18 U.S.C. 2071, *Concealment, Removal, or Mutilation of Records*
Title 36, Code of Federal Regulations (CFR), Chapter XII, *National Archives and Records Administration, Subchapter B, Records Management*
Title 44, United States Code (U.S.C.), *Chapters: 29 – Records Management by the Archivist of the United States and by the Administrator of General Services; 31 – Records Management by Federal Agencies; and 33 – Disposal of Records*
DOD Directive 5015.02-STD, *DOD Records Management Program*
DOD Directive 5100.3, *Support of the Headquarters of Combatant and Subordinate Joint Commands*
DOD Instruction 5200.1, *Information Security Program and Protection of Sensitive Compartmented Information*
CJCSI 5760.01A, *Records Management Policy for the Joint Staff and Combatant Commands*
CJCSM 5760.01A, Vol I, *Joint Staff and Combatant Command Records Management Manual: Volume I – Procedures*
CJCSM 5760.01, Vol II, *Joint Staff and Combatant Command Records Management Manual: Volume II – Disposition Schedule*
USTRANSCOMI 31-11, *USTRANSCOM Security Program*
USTRANSCOMI 33-26, *USTRANSCOM Freedom of Information Act Program*
USTRANSCOMI 33-35, *USTRANSCOM Privacy Act Program*

Section B – Abbreviations and Acronyms

COR – Chief Office of Record
CRM – Command Records Manager
CSG – Command Support Group
DOD – Department of Defense
DODD – Department of Defense Directive
DODI – Department of Defense Instruction
e-mail – Electronic Mail
ERKS – Electronic Record Keeping System
ERM – Electronic Records Management
FARM – Functional Area Records Manager
FOUO – For Official Use Only
FRC – Federal Records Center
ISF – Inactive Storage Facility
NARA – National Archives and Records Administration
PA – Privacy Act
RDS – Records Disposition Schedule
RM – Records Manager
RMA – Records Management Application

RT – Records Technician
SAV – Staff Assistance Visit
USTRANSCOM – United States Transportation Command

Section C – Terms

Active Record. Records necessary to conduct the current business of an office and, therefore, generally maintained in office space and equipment (includes records located outside of main file cabinet(s) until cutoff period is met). Records remain active until their disposition date when they are cutoff from the active files and disposed of in accordance with CJCSM 5760.01A, Volume II.

Category Series. Major functions such as personnel, security, legal, operations, etc.

Chief of an Office of Record (COR). The individual in charge of an Office of Record. The COR controls an office's records including both physical possession (physical custody) and legal responsibility (legal custody).

Command Records Manager (CRM). The individual responsible for planning, organizing, directing, training, and controlling associated with the creation, maintenance and use, and disposition of USTRANSCOM information.

Cutoff. Breaking or ending files at regular intervals, usually at the close of fiscal year or calendar year, to permit their disposal or transfer in complete blocks. Other record series are cutoff upon completion of project, special event, or when no longer needed, or otherwise specified in CJCSM 5760.01A, Volume II.

Electronic Records. Records stored in a form that only a computer can process.

Functional Area Records Manager (FARM). Serves as the point of contact and monitors the Records Management Program within his or her functional area.

File Code. Consists of the word "File" and the item number where the record is to be kept.

File Plan. A document containing the identifying number (record series), title or description, and disposition of files held in an office of record; constitutes the inventory of command records. This document is the JS Form 31.

Inactive Record. Records that an office no longer needs for current business or that are in a retention period after cutoff awaiting final disposition.

Office of Record. An office responsible for keeping and disposing of records it creates, records, or receives in performing its official function. These records are a history of the office.

Personal Papers. Non-official, or private papers relating solely to an individual's own conduct. They must be clearly designated as such and kept separate from the agency's records. Also called personal files or personal records.

Records Technician (RT). Individual appointed by the COR, responsible for applying records management principles and techniques to filing practices in order to organize and maintain records properly, retrieve them rapidly, ensure their completeness, and make their disposition easier.

Records Series. A group of records or other record media relating to the same subject that is identified with a particular table and rule.

Attachment 2

**SAMPLE DIRECTORATE/CSG RECORDS MANAGEMENT
RESPONSIBILITIES LETTER**

DATE

MEMORANDUM FOR TCCS-IM

FROM: TCXX-X

SUBJECT: Appointment of Records Management Responsibilities

1. TCXX-X appoints/delegates the duties to the following personnel:
 - a. Functional Area Records Manager for TCJX is (individual rank and full name, telephone number, building number, room number) (or NA if a CSG)
 - b. Chief Office of Records:
 - (1) TCXX-XX: (individual rank and full name)
 - (2) TCXX-XXX: (individual rank and full name)
 - c. Records Technicians:
 - (1) TCXX-XX: (individual rank, full name, telephone number, Bldg number, room number, and indicate if person requires training)
 - (2) TCXX-XXX: (individual rank, full name, telephone number, Bldg number, room number, and indicate if person requires training)
2. POC for TCXX-X is (rank, full name, telephone number)
3. This memo supersedes our previous memo dated DD MON YEAR.

DIRECTOR/EXECUTIVE OFFICER SIGNATURE

Attachment 3 LABELING INSTRUCTIONS

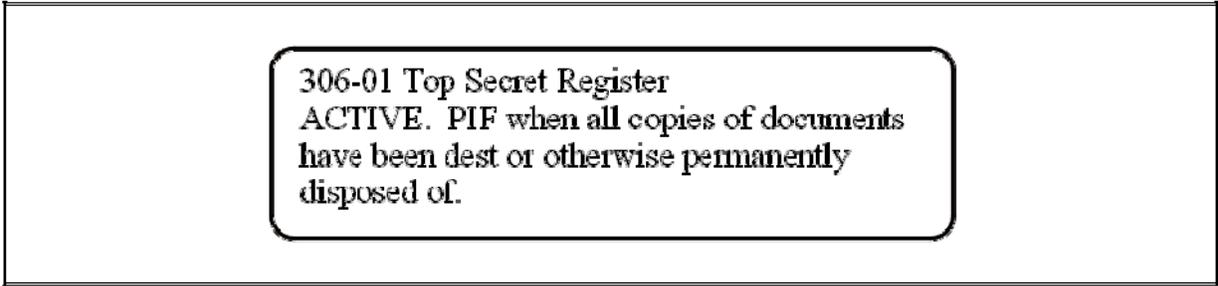


Figure F-1. Label for File Cut Off (Inactive)
on Occurrence of an Action or Event

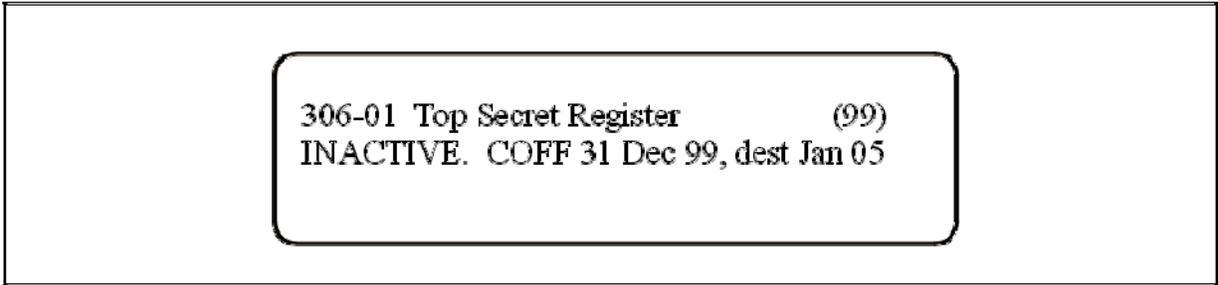
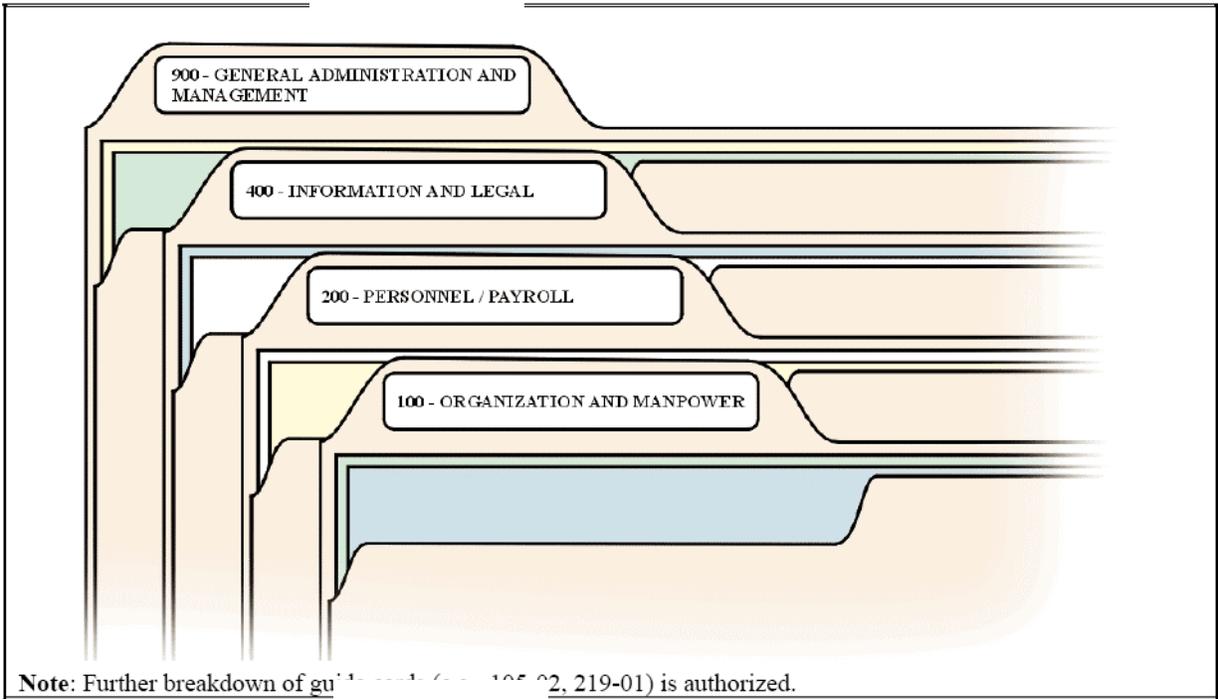


Figure F-2. Label for Inactive File



014-04 Jt Pub (Jt Admin Pub 1.1)
Dest when ss or canc

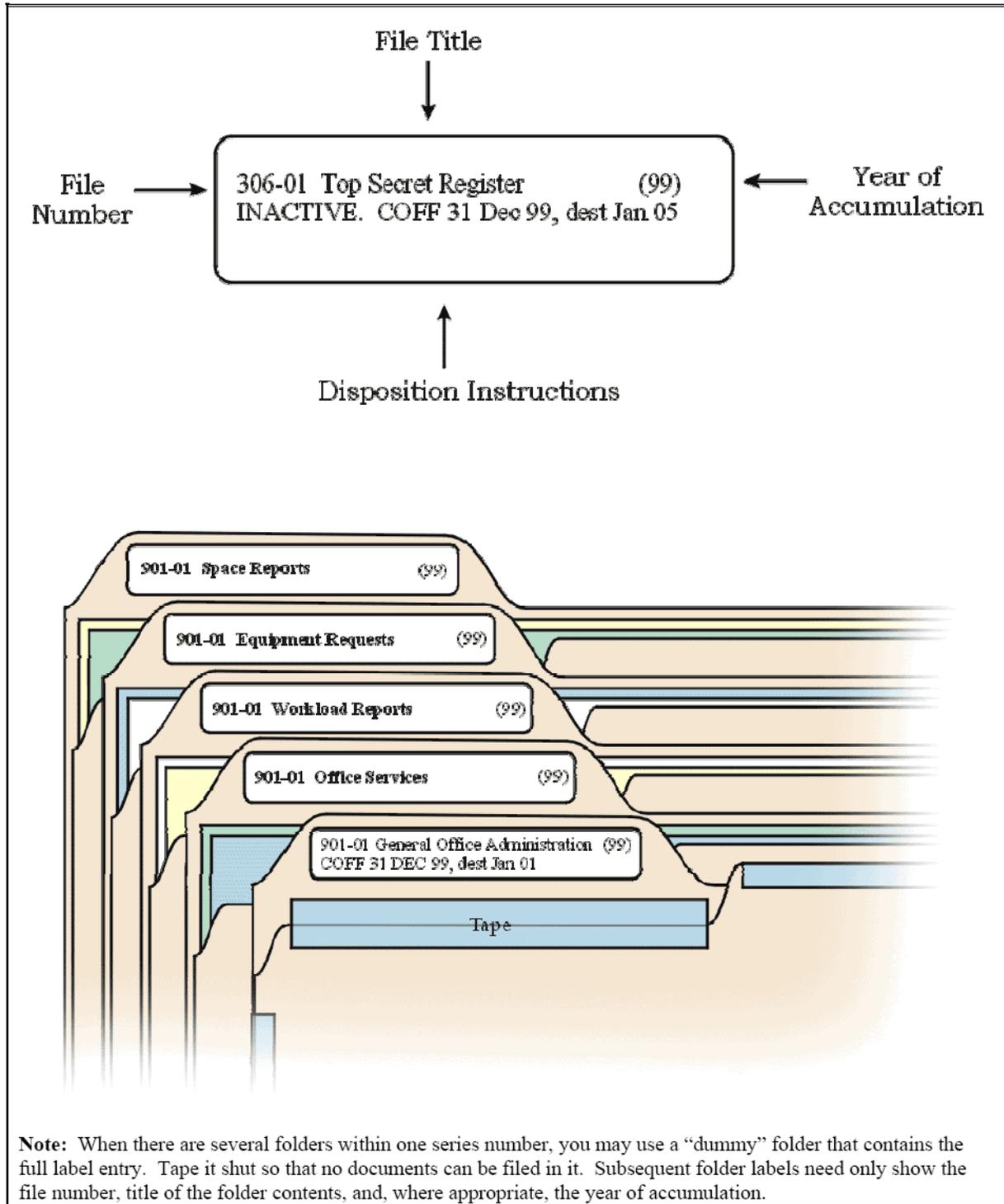
Left Position: Temporary records to be destroyed in the current files area.

022-01 J-3 MEMORANDUMS (99)
COFF 31 Dec 1999, trf to WNRC
Jan 2002, dest Jan 2010

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

001-01 Joint Staff Official Case File (99)
COFF 31 Dec 1999, trf to ISF Jan 2007
perm trf to NARA Jan 2020

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



Use of a “Dummy” folder

<div style="border: 1px solid black; border-radius: 10px; padding: 10px; margin: 0 auto; width: 80%;"> <p>201-01 thru 630-01 (99)</p> </div>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; margin: 0 auto; width: 80%;"> <p>302-01 Security Administrative (99) Correspondence COFF 31 Dec 99, dest Jan 02</p> </div>
<p>Sample label entry for drawer that contains two or more record series. No disposition is shown on the label because it varies among the several record series in the drawer</p>	<p>Sample label entry for drawer that contains one (and only one) record series, and contains all of that record series. Note that the drawer label is identical to folder label in this case.</p>
<div style="border: 1px solid black; border-radius: 10px; padding: 10px; margin: 0 auto; width: 80%;"> <p>227-01 Official Military Personnel Records (A-L) Dest Upon Trf of Personnel</p> </div>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; margin: 0 auto; width: 80%;"> <p>227-01 Official Military Personnel Records (M-Z) Dest Upon Trf of Personnel</p> </div>
<p>Sample label entries for drawers that contain only part of one record series. Note that the division (A-L, M-Z) is indicated on each label.</p>	

Drawer Labels

<p>Note: When one record series of documents is filed in more than one binder, the disposition instruction is required only on the first binder. Subsequent binders need only show the file number and title of the contents.</p>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; margin: 0 auto; width: 80%;"> <p>015-03 Ref JSIs</p> <p>JSIs 1130.01Q thru 5760.02</p> <p>Dest when ss or canc</p> </div>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; margin: 0 auto; width: 80%;"> <p>903-01 Ref Pub Files</p> <p>DOD Directives 5000.1 R thru 5700.1</p> <p>Dest when supsd, obs, or no longer needed for ref.</p> </div>	<div style="border: 1px solid black; border-radius: 10px; padding: 10px; margin: 0 auto; width: 80%;"> <p>903-01 Ref Pub Files</p> <p>DOD Directives 5800.1 thru 7500.2</p> </div>
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Binder Labels

CAPTIONS AND LABELS FOR AUDIOVISUAL RECORDS



The Chairman, Vice Chairman, and the Joint Chiefs of Staff," 15 June 1998, - from right to left General Michael E. Ryan, Admiral Jay L. Johnson, General Charles C. Krulak, General Dennis C. Reimer, General Henry H. Shelton, General Joseph W. Ralston , in the Joint Staff Gold Room in the Pentagon



CINCS' Conference, 23-24 September 1999, First Row - Left to Right, - ADM J.M. Loy, Coast Guard; Gen E. K. Shinseki, CSA; ADM J.L. Johnson, CNO; The Honorable W. L. Cohen, SECDEF; Gen H. H. Shelton, CJCS; Gen J. W. Ralston, VCJCS; Gen M. E. Ryan, CSAF; Gen J.L. Jones, CSMC; Second Row - Gen C. T. Robertson, CINCTRANSCOM, Gen P. J. Schoolmaker, CINCSOC; Gen R. B. Myers, CINCSPACE; Gen W. K. Clark, CINCEUR; Gen J. H. Tilelli, Jr, USFK; Gen A.C. Zinni, CINCENT; Gen C.E. Wilhelm, CINCSO; ADM H.W. Gehman, Jr, USJFCOM; ADM D.C. Blair, CINCPAC; at George C. Marshall Hall, Ft McNair, Washington, D.C.

Labels for Still Photographs

**Attachment 4
DISPOSITION STANDARDS AND INSTRUCTIONS**

If the full disposition standard is:	Then the disposition instructions on the label would be:
1 Cut off at end of month, hold 1 month in current files area, then destroy	COFF 30 Apr 2003, dest Jun 2003
2 Destroy after 6 months Cut off twice a year, hold 6 months in current files area, then destroy	COFF 30 Jun 2003, dest Jan 2004 COFF 31 Dec 2003 dest Jul 2004
3 Destroy after 1 year Cut off at end of CY or FY, hold 1 year in current files area, then destroy	CY: COFF 31 Dec 2003, dest Jan 2005 FY: COFF 30 Sep 2003, dest Oct 2004
4 Destroy a certain time after occurrence of a specific action or event, such as:	
Cut off on transfer or separation of individual, hold 2 years in current files area, then destroy	ACTIVE FILE: PIF upon separation or transfer INACTIVE FILE: COFF 31 Dec 2003, dest Jan 2006
Cut off on resolution of case, hold 2 years, then destroy	ACTIVE FILE: PIF after resolution of case INACTIVE FILE: COFF 31 Dec 2003, dest Jan 2006
Cut off on termination of assignment, when lease is canceled, or when plans are superseded or obsolete; hold 2 years, then destroy	ACTIVE FILE: PIF upon termination of assignment, when lease is cancelled, or when plans are ss or obs INACTIVE FILE: COFF 31 Dec 2003 dest Jan 2006
Cut off on publication in Joint Admin Pub 1.1, hold 2 years, then destroy	ACTIVE FILE: PIF after publication in Joint Admin Pub 1.1 INACTIVE FILE: COFF 31 Dec 2003 dest Jan 2006
5 Destroy upon occurrence of a specific action or event, such as:	
Destroy when superseded or obsolete	Destroy when superseded or obsolete
Destroy when superseded or canceled	Destroy when superseded or cancelled
Destroy when no longer needed	Destroy when no longer needed
Destroy on publication and receipt of Joint Staff/combatant command paper	Destroy upon publication and receipt of Joint Staff/combatant command paper
Destroy after announcement closes	Destroy after announcement closing date
6. Destroy a certain time after transfer to	

inactive storage facility (ISF), such as:	
Cut off annually by CY, hold 2 years, then retire by CY block to ISF. Destroy by CY block 10 years after cutoff	COFF 31 Dec 2003, trf to ISF Jan 2006, destroy Jan 2014
Cut off annually by CY, hold 7 years, then retire by CY block to ISF. Destroy by CY block 20 years after cutoff	COFF 31 Dec 2003, trf to ISF Jan 2011, destroy Jan 2024
7. Destroy a certain time after occurrence of a specific action or event after transfer to ISF	
Cut off when superseded or obsolete, hold 2 years, then retire by CY block to ISF. Destroy by CY block 10 years after cutoff	ACTIVE FILE: PIF when superseded, or obsolete INACTIVE FILE: COFF 31 Dec 2003, trf to ISF Jan 2006,dest Jan 2014
8. Retire to NARA after 20 years	
Permanent. Cut off annually by CY, hold 7 years, then retire by CY block to ISF. Transfer entire CY block to NARA 20 years after cutoff	COFF 31 Dec 2003, trf to ISF Jan 2011, permanent transfer to NARA Jan 2024
9. Retire to NARA a certain time after occurrence of a specific action or event after transfer to ISF after 20 or 30 years old perm trf to NARA Jan 2024	
Permanent. Cut off when superseded or rescinded, hold 1 year, then retire to ISF. Transfer to NARA 20 years after cutoff	ACTIVE FILE: PIF when superseded or rescinded INACTIVE FILE: COFF 31 Dec 03, transfer to ISF Jan 05,
Permanent. Cut off at expiration of CJCS tour of duty, hold 2 years, then retire entire block through R&A Br to JS RHA. Transfer entire block to NARA 20 years after cutoff	ACTIVE FILE: PIF at expiration of CJCS tour of duty INACTIVE FILE: COFF 31 Dec 2003, transfer thru R&A Br to JS RHA Jan 2006, permanent transfer to NARA Jan 2024
10. Documents in special control channels	
Permanent. In accordance with Intelligence Community policy for SCI documents, retain JS record copy 30 years, then review for removal from SCI channels. When removable from SCI channels, transfer by CY block to NARA	COFF 31 Dec 03, review Jan 2034, if removable from SCI ch trf to NARA
11. Action officer case files	
Review annually, purging extraneous papers and duplicate copies; transfer to R&A Br those background materials pertaining to joint actions that have not been previously provided for inclusion in official JS case file (disposition then	Review annually, dest when no longer needed, trf joint action-related background materials to R&A Br for inclusion in official JS case file

becomes 0001-01); destroy other materials when no longer needed	
Documents in SCI channels will be disposed of IAW 324-01	SCI DOCUMENTS: Cite appropriate disposition instruction from IC directive
NATO documents will be disposed of IAW 801 category and USSAN 1-69	NATO DOCUMENTS: Cite appropriate disposition instruction from 801 category

Attachment 5
STAFF ASSISTANCE VISIT CHECKLISTS

OFFICE OF RECORD STAFF ASSISTANCE VISIT CHECKLIST	YES	NO	N/A
OFF. OF REC.: _____ RT: _____ DATE: _____			
ADMINISTRATIVE			
1. Has the Chief of Office of Record (COR) been briefed concerning ongoing or significant records issues?			
TRAINING			
2. Has the Records Technician been trained and/or been briefed regarding his/her recordkeeping responsibilities within the past 12 months (or within 3 months if newly appointed)?			
3. Have all personnel completed basic records management training? 3a. Have all personnel completed TRIM training? <i>NOTE: (N/A for USTRANSCOM personnel not physically located at Scott AFB)</i>			
FILE PLANS			
4. Is an <u>approved</u> file plan the first item in the file drawer or attached to the container if files are maintained in nonstandard filing equipment?			
RECORDS MAINTENANCE			
5. Are active and inactive paper/hardcopy files stored in an area safe from environmental dangers (water, fire, insects, etc.) with appropriate temperature and humidity controls?			
6. Are active and inactive audiovisual records and records on electronic storage devices (CDs, DVDs, Floppy diskettes, external hard drives, etc.) stored physically apart from paper files with appropriate temperature and humidity controls periodically reviewed for obsolescence, and if needed, migrated to new storage media?			
7. Is there a cross-reference for copies kept in other media (for coordinated disposition)?			
HARDCOPY RECORD FILING			
8. Is a drawer label properly affixed and does it identify items contained within the drawer?			
9. Are guide, folder, binder, container, audiovisual, and electronic labels properly affixed?			
10a. Are file folders labels correctly positioned?			
10b. Do all file labels (folders, binders, audiovisual, electronic) contain required information (i.e., file number, title, disposition instructions, year)?			
10c. Are cut off dates and destruction dates correctly reflected?			

10d. Do folders containing records with a retention period of 1 year or more have the year of accumulation (calendar or fiscal) on the folder?			
11. Is the RT properly file coding all current documents within the file folder?			
12. Are documents filed in each folder arranged according to arrangement on file plan?			
13. If the folder is more than 1inch thick, has another been started?			
14. Have all paper/binder clips been removed from the files?			
15. If applicable, have inactive files been established and maintained properly?			
16. Are folders containing FOUO and Privacy Act information marked on the folder tab next to the disposition label?			
17. Are record series with indefinite disposition instructions, such as “destroy when superseded, obsolete, or no longer needed” being reviewed annually for disposition action?			
18. Are decentralized records labels properly affixed?			
19. Is the location of classified records stored separate from the main filing cabinet identified in the file plan?			
20. Are file folders containing classified records properly marked?			
21. Are accurate and complete records filed on a daily basis or as required?			
22. Before filing, are the following materials removed from the records? - Envelopes? - Routing slips, cover sheets, and control forms that contain no significant information? - Superseded drafts showing no substantive changes? - Duplicate copies of correspondence and reports (other than those needed for cross-reference)?			
E-MAIL REQUIREMENTS			
23. Are personnel filing record-worthy e-mails appropriately?			
24. Are electronic copies of e-mails purged after the hard record copy has been stored?			
25. Are electronic copies of e-mails stored in Outlook or in any other uncertified recordkeeping system?			
ELECTRONIC INFORMATION SYSTEMS (EIS)			
26. Are EIS (i.e. access databases or other databases unique to your office) identified as record series and scheduled, with current copies on file with JS IMD?			
27. If records are created or maintained on web-based information systems (portals, e-rooms, wikis, blogs, etc.) are they identified as such and dispositioned according to approved retention schedules?			

<p>Results of Last Inspection Date: _____ Rating: _____</p> <p><input type="checkbox"/> No discrepancies noted – no corrective action required <input type="checkbox"/> Discrepancies noted and: <input type="checkbox"/> Have been corrected <input type="checkbox"/> No corrective action taken <input type="checkbox"/> Other</p> <p>DIRECTORATE: _____ FARM: _____ DATE: _____</p>			
<p>OVERALL EVALUATION</p> <p><input type="checkbox"/> Outstanding – Files are in excellent condition and in compliance with the current records management instruction. No discrepancies noted.</p> <p><input type="checkbox"/> Excellent – Files are well organized and in compliance with the current records management instruction except for minor discrepancies noted above.</p> <p><input type="checkbox"/> Satisfactory – Files are organized and in compliance with the current instruction except for discrepancies noted above.</p> <p><input type="checkbox"/> Marginal – Several major discrepancies noted – see above – additional work required before files are in compliance with the current records management instruction.</p> <p><input type="checkbox"/> Unsatisfactory – Several major discrepancies noted – see above and below – overall records management is below acceptable standards.</p>			

FARM PROGRAM STAFF ASSISTANCE VISIT CHECKLIST				YES	NO	N/A
DIRECTORATE: _____ FARM: _____ DATE: _____						
ADMINISTRATIVE						
1. Has a Function Area Records Manager (FARM) been designated and contact information made available to all applicable organizations?						
2. Does the FARM conduct periodic assistance visits to subordinate offices?						
3. Has a five-part FARM program folder been established? The folder will be divided as follows: PART I – Appointment Letters PART II – File Plans PART III – General Correspondence PART IV – Staff Assistance Visits (SAV)/Orientation Visits PART V –Records Technician (RT) Training Information						
4. Does the FARM have current appointment letters for each Office of Record?						
5. Has each office of record received a SAV within the last 12 months?						
6. Has the Chiefs of the Office of Record (CORs) been offered a short RM orientation briefing provided by the CRM?						
7. Are copies of CJCSM 5760.01, Vols I/II and USTCI 33-32 readily available?						
8. Are discrepancies found in SAVs for each office of record completely resolved and/or scheduled for completion date?						
TRAINING						
9. Has the FARM been trained and/or been briefed regarding his/her recordkeeping responsibilities?						
10. Are Senior Leaders briefed concerning ongoing or significant records issues?						
11. Have all personnel completed basic records management training in the past 12 months? If not, have they been scheduled for training?						
12. Does the FARM hold meetings or conduct similar forms of communication to promote RM responsibilities and identify general problem areas within the directorate?						
FILE PLANS						
13. Has JS Form 31 (or equivalent) been prepared to reflect all files/records (paper and electronic) maintained by the office?						

14. Has the JS Form 31 been approved by the CRM? Is it available for all personnel to use?			
17. Does the FARM review and keep copies of current/approved file plans for each Office of Record?			
CONTENT MANAGEMENT			
18. Are records stored on shared drives appropriately identified, accessible to users, and structured IAW the JS Form 31 file plan for that office?			
19. Are shared drives and portable electronic storage devices periodically reviewed for record material and managed according to approved retention periods?			
RECORDS DISPOSITON			
20. Has the FARM identified individuals authorized to pick-up and deliver agency records to Federal Records Centers?			
21. Is an SF 135 prepared for records eligible to be retired to a FRC in accordance with the JS/HQ instructions and manuals?			
22. Are records shipped to the FRC in accordance with JS/HQ procedures?			
23. Does the FARM review, and keep copies of, SF 135 for records being staged/retired?			
Results of Last Inspection Date: _____ Rating: _____ <input type="checkbox"/> No discrepancies noted – no corrective action required <input type="checkbox"/> Discrepancies noted and: <input type="checkbox"/> Have been corrected <input type="checkbox"/> No corrective action taken <input type="checkbox"/> Other DIRECTORATE: _____ FARM: _____ DATE: _____			
OVERALL EVALUATION <input type="checkbox"/> Outstanding – Files are in excellent condition and in compliance with the current records management instruction. No discrepancies noted. <input type="checkbox"/> Excellent – Files are well organized and in compliance with the current records management instruction except for minor discrepancies noted above. <input type="checkbox"/> Satisfactory – Files are organized and in compliance with the current instruction except for discrepancies noted above. <input type="checkbox"/> Marginal – Several major discrepancies noted – see above – additional work required before files are in compliance with the current records management instruction. <input type="checkbox"/> Unsatisfactory – Several major discrepancies noted – see above – overall records management is below acceptable standards.			