UNITED STATES TRANSPORTATION COMMAND
Scott Air Force Base, Illinois 62225-5357

USTRANSCOM INSTRUCTION 33-32
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Communications and Information

# UNITED STATES TRANSPORTATION COMMAND (USTRANSCOM) RECORDS MANAGEMENT PROGRAM

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*OPR: TCJ6-RII (Cora Holt)*
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*Approved by: TCJ6 (Brig Gen Gilbert R. Hawk)*
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Records play a vital role in managing and operating USTRANSCOM activities, serving as a memory for the organization, a record of past events, and the basis for future actions. 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 is 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. Violations by contractor personnel may result in denied access to systems, contractual remedies against the contractor, or debarment from the installation. This instruction is applicable to USTRANSCOM, Scott AFB, Illinois, and applies to records of any contractor operating under a USTRANSCOM contract. It implements Department of Defense (DOD) Directives (DODDs) 5015.2 and 5100.3. 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

Overall generally updates the text, redefines roles and responsibilities at all levels, adds requirements for Defense Message Systems records, and adds responsibilities for the Electronic Records Manager.
*NOTE: Since this instruction has been revised in its entirety, asterisks will not be used to identify revised material.*

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

**2. Definition of Records.** "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 U.S. Government under federal laws, or in connection with the transaction of public business, and preserved or appropriate for preservation by an 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." (Title 44 U.S.C., Section 3301).

**3. Policies:**

**3.1.** Directorates/Direct Reporting Elements (DREs) must manage records systematically to make sure they are complete, accurate, trustworthy, and easily accessible. Records must document organization's function/activity and will be preserved by implementing effective life-cycle management procedures within their area of responsibility.

**3.2.** The Air Force Records Information Management System (RIMS) will be used to generate file plans and disposition control/file folder labels until the Joint Staff (JS)/Commanders in Chief (CINCs) Records Management Program is implemented.

**3.3.** All records are the property of USTRANSCOM. A single file plan may be created to document the record series for a dual-hat activity, Chief Counsel (TCJA), Command Surgeon (TCSG), and Inspector General (TCIG). The files shall be segregated by separate folders (subdivisions), integrity of ownership preserved, and the dual nature of the file plan noted.

**3.4.** Records documenting the mission of the office will not be maintained in an action officer's/employee's work area unless the location is identified on the file plan.

**4. Responsibilities:**

**4.1.** Command Records Manager (CRM). The Command, Control, Communications and Computer Systems Directorate (TCJ6), Resources, Plans, and Policy Division (TCJ6-R), Resources Information Branch (TCJ6-RI), Resources Information Communications and Records Management Team (TCJ6-RII) is the CRM. TCJ6-RII will:

**4.1.1.** Have total responsibility for and authority to manage the Records Management Program with USTRANSCOM, ensure compliance with Federal Laws, National Archives and Records Administration (NARA) guidelines and applicable DOD/JS policy; establish procedures; identify problems; and take corrective action on any USTRANSCOM records management issue.

**4.1.2.** Ensure the complete life-cycle management process is completed.

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

**4.1.2.2.** Ensure local support agreement with host base records manager includes staging and shipping services.

**4.1.2.3.** Manage the transfer of records and retrieval from the base records storage and staging area, and Federal Records Center.

**4.1.2.4.** Preserve records of continuing value and proper disposition/retirement of records as appropriate.

**4.1.3.** Provide management guidance for approval, acquisition, and use of records equipment/systems including document imaging and electronic recordkeeping.

**4.1.3.1.** Ensure electronic recordkeeping systems (scanners/software) purchases are cost effective and compatible with Local Area Network and other electronic/workflow systems in USTRANSCOM.

**4.1.3.2.** Ensure electronic recordkeeping systems meet DOD specifications and guidelines.

**4.1.4.** Establish a command records management program ensuring continuing operation and training. Conduct staff assistance visits (SAVs) on DREs and directorate functional area records managers (FARMs) every 12 months.

**4.1.4.1.** Annually, train all personnel who create, maintain, provide access to, and dispose of records.

**4.1.4.2.** Assist FARMs, Chiefs of Offices of Record (CORs), and Records Technicians (RTs) in carrying out their responsibilities.

**4.1.4.3.** Analyze and recommend improvements in the records management program to maintain records economically and efficiently.

**4.1.4.4.** Provide access to RIMS software to create, edit, and approve files plans until such time the JS/CINCs Records Management Program is implemented.

**4.1.4.5.** Maintain a master RIMS database and hard copy of all file plans within USTRANSCOM.

**4.1.5.** Ensure records generated are scheduled with NARA.

**4.1.6.** Establish procedures to review contracts for recordkeeping requirements.

**4.2.** Electronic Records Manager (ERM). This function, located in TCJ6-RII, will have responsibility for and authority to manage the command's electronic recordkeeping efforts. The ERM will recommend electronic recordkeeping software applications, provide demonstrations of applications, recommend solution to meet USTRANSCOM's requirements, and develop an implementation plan.

**4.3.** FARM Responsibilites and Procedures. Each directorate, TCJA, TCSG will appoint a FARM to oversee records management for the directorate. The CRM performs FARM duties for DREs. One or more FARMs may be required based on span of control and size of directorate functional areas. The FARM will:

**4.3.1.** Serve as the directorate/DRE point of contact (POC) for records management.

**4.3.2.** Furnish guidance and assistance to CORs and RTs for maintaining and disposing of records.

**4.3.3.** Assist CORs and RTs in preparing and reviewing file plans. Send electronic/hard copy of file plans to the CRM for final review and approval.

**4.3.4.** Review and coordinate on each request for nonstandard filing supplies and equipment.

**4.3.5.** Coordinate and perform SAVs to offices of record every 12 months and monitor follow up on required corrective action of noted discrepancies.

**4.3.6.** Monitor timely retirement of eligible records from functional area. Maintain a copy of shipment lists for records forwarded to base records storage areas and Federal Records Center.

**4.3.7.** Request training, as required, for personnel who maintain and dispose of records.

**4.3.8.** Assist the CRM and ERM in reviewing and evaluating electronic records systems for effects on the creation, transfer, storage, retrieval, and disposition of electronic records.

**4.3.9.** Maintain an accurate information listing of all offices of record and RTs.

**4.3.10.** Establish and maintain a six-part FARM program folder/binder. Areas to be included are:

**4.3.10.1.** Part I – Appointment Letters

**4.3.10.2.** Part II – File Plans

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

**4.3.10.4.** Part IV – SAVs/Orientation Visits

**4.3.10.5.** Part V – Office of Record Listing

**4.3.10.6.** Part VI – RT Training Information

**4.3.11.** Attend FARM program training provided by the CRM.

**4.4.** Chief of an Office of Record (COR). The COR is the chief of the office having physical custody of records created to accomplish the mission of that office or a combination of offices. The COR will:

**4.4.1.** Be responsible for all records the office creates or receives regardless of physical characteristics; to include, identification of appropriate disposition authorities for records maintained.

**4.4.2.** Appoint the RT responsible for maintenance of office records. Advise FARM/CRM of RT's name, grade, and duty telephone via e-mail.

**4.4.3.** Ensure that only essential records are created, permanent valuable records are preserved, and temporary records are systematically disposed of IAW applicable policy.

**4.4.4.** Ensure the proper and adequate procurement and use of filing supplies and equipment to house the records in their custody.

**4.4.5.** Ensure RTs receive a thorough briefing on the office functions and the reason records are maintained.

**4.4.6.** Ensure that personnel who maintain, use, and dispose of records receive training.

**4.5.** Records Technician (RT). The individual appointed by the COR to maintain, service, and dispose of records maintained by the office of record. The RT will:

**4.5.1.** Know the operative function the records support.

**4.5.2.** Know the purpose the records serve and adjust the filing practices so accurate and effective reference service can be furnished to the users of the records.

**4.5.3.** Maintain an electronic/paper copy of the file plan and Standard Form (SF) 135, Records Transmittal and Receipt, accounting for all records in the office, and submit changes to the file plans as required.

**4.5.4.** Establish the files.

**4.5.5.** Have access to all office files stored electronically. Records in other than paper form include data on optical disks, magnetic tapes, floppy disks, or drums; records on hard disks and in electronic databases; paper tapes, information on microform; and audiovisual records. The same general principles of records evaluation, and the specific disposition instructions prescribed in the applicable disposition schedule apply regardless of physical form or characteristics of the medium used. Retain any of the above media containing records of differing retention periods in a system for the longest periods authorized by and recorded data in the system.

**4.5.6.** Know the capabilities and limitations of the equipment used for storing the records and retrieving the information from the files (including electronic records).

**4.5.7.** Know and implement the records maintenance, use, and disposition policies and procedures for records maintained.

**4.5.8.** Consult with the COR, FARM, and CRM on problems affecting the creation, maintenance, use, and disposition of records.

**4.5.9.** Assist in reviewing and evaluating automated systems for effective creation, transfer, storage, retrieval, and disposition of electronic recordkeeping.

**4.5.10.** Obtain records management training within 3 months of appointment and annually from the initial training date.

**5. Procedures:**

**5.1.** Establishing an office of record:

**5.1.1.** Each office of record will prepare a file plan to identify all records for which the office has responsibility. A combination of small offices, sections, and branches that continue to maintain the continuity of the mission can be combined as one office of record. The appointed COR/RT shall assume full responsibility for maintenance of combination of offices.

**5.1.2.** The RT shall prepare a draft of the proposed file plan for review by the COR and FARM and forward a copy to the CRM for review. Use applicable policy for the appropriate names of the items on the file plan.

**5.1.3.** The CRM or FARM will review the file plan for accurate tables/rules and recommend changes as required. The CRM or FARM (if a directorate) will approve/disapprove the file plan. A copy of the final plan will be furnished to the office of record once the file plan is approved. When a FARM approves a file plan, a copy is sent to the CRM.

**5.1.4.** The office of record should periodically review and amend the file plan to ensure all records are identified. Submit changes to the plan when significant changes occur or when write-in changes become too numerous. Minor changes (pen and ink) may be done on the plan.

**5.1.5.** Do not reaccomplish the file plan each time there is a new RT or COR; notify the CRM and FARM of the changes via e-mail. It is not a requirement to do a new file plan each calendar year.

**5.2.** Locator guide cards (green), file folders, and drawer labels.

**5.2.1.** Locator guide cards. Disposition control labels shall be placed on locator guide cards in the first position. Items on the file plan, which are kept in another location other than the file cabinet, do not need a locator guide card. The disposition control labels for these items are not necessary when the location of these records is annotated on the file plan.

**5.2.1.1.** Place the disposition guide card in front of each series. The guide card shall remain with the active and inactive files as long as they are kept in the main file cabinet/safe.

**5.2.1.2.** Each guide card label cutoff instruction shall be clearly marked with a highlighter or pen/pencil to indicate the cutoff period, either for destruction or removal to the inactive files.

**5.2.2.** File Folders. Use letter or legal size hanging file folders for each records series, if applicable, and each subdivision listed on the file plan when filed in a cabinet or desk. File folder or subdivision labels shall be positioned to document series or subdivision subjects. The file folder has three positions: first (left), second (center), and third (right). You can position all labels on the left side or use all three positions or subdivisions. Positioning of labels shall be consistent throughout the active and inactive files.

**5.2.2.1.** Year of accumulation. Each folder will include the year (calendar or fiscal) on the folder labels or file folder tab for records with a retention period of 1 year or more. If the retention period has no annual cutoff, then the year of accumulation is not necessary.

**5.2.2.2.** For classified files, stamp the highest classification of the records contained in the folder on the folder tab and the outside front and back of the folder.

**5.2.2.3.** For Official Use Only (FOUO) and Privacy Act (PA). Folders shall be marked on the folder tab next to the label (FOUO and/or PA identification) to indicate contents contain such material.

**5.2.3.** Drawer label. File cabinet drawer labels shall indicate the office of record (i.e., TCJ6-RI) and the contents of each drawer: active, inactive, or combination of both. When files expand to more than one drawer, you may add the inclusive record series numbers from the plan on the drawer label.

**5.3.** Filing records:

**5.3.1.** After all actions are completed and records are ready for filing, COR or RT shall apply the file code and their initials in the upper right-hand corner. Remove all paper clips, rubber bands, temporary fasteners, mail control forms, receipts, envelopes, routing/memo slips, except those containing significant record value. Records shall be filed with the most current date toward the front of the folder.

**5.3.2.** When the contents of a file folder reach ¾ of an inch, add a new folder with the same file number, title, and inclusive dates, or subdivide the contents into folders. This restriction does not apply to files that contain bound records or are fastened together to maintain continuity of records series.

**5.3.3.** 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.

**5.3.4.** Nonofficial or personal papers relating solely to an individual's own affairs must be clearly designated as such and kept separate from the agency's records.

**5.4.** Filing classified records:

**5.4.1.** Safeguard classified files according to DOD 5200.1-R. Records will be filed in authorized approved safes. 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. The location of classified records maintained in a safe, separate from the main file cabinet, will be indicated in the file plan's location column.

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

**5.4.3.** When classified and unclassified records series are maintained in separate locations (cabinet/safe), place a guide card with the disposition in front of the series in both locations.

**5.4.4.** Label the folders for identification purposes and file code the documents the same way you would for unclassified records.

**5.4.5.** The only difference between maintaining classified as opposed to unclassified files in the degree of protection that must be given to classified records.

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

*NOTE: Affix AF Visual Aid 33-207, Privacy Act Label, to file folder tabs that contain PA material, and AF Form 3227, Privacy Act Cover Sheet, to documents that are hand carried and/or retained in the file, with supervisor personnel case files.*

**5.6.** For Official Use Only (FOUO) records. Although FOUO is not a security classification, FOUO information should be safeguarded so that the information is used only for official government business.

**5.7.** Training. All personnel whose duties include filing, maintenance, and disposition of official records must be trained within 3 months of assignment. Contact the CRM (TCJ6-RII, 229-3828) for information on records management training.

**5.8.** End of Year Records Management Procedures. As of 31 December (CY) or 30 September (FY), as appropriate, take these actions to prepare the files for the coming year:

**5.8.1.** Destroy those series in the previous year's inactive files with a retention period of 1 year.

**5.8.2.** If appropriate, transfer those series in the previous year's inactive files with a retention period of 9 years or more to the base records storage area and/or Federal Records Center after coordination with the FARM and CRM.

**5.8.3.** Cutoff closed-active series that have a retention period of 1 year or more and place in the inactive files. Be sure disposition control labels remain with the cutoff files.

*NOTE: Review perpetual-type series 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.*

**5.8.4.** Prepare new file folders or reuse serviceable folders, and if necessary, disposition guide cards for the new year's files.

**5.9.** Transferring records to base records storage area or Federal Records Center:

**5.9.1.** Records with a retention period of 9 years or more will be transferred to the base records storage area and records with a retention of 8 years or less may be retained in the current files area until eligible for disposal, unless additional space or equipment is needed.

**5.9.2.** Forward two copies of SF 135, Records Transmittal and Receipt, to the CRM through the FARM for review and approval. Assistance in preparing SF 135 is available from the FARM or CRM.

**5.10.** Program evaluation:

**5.10.1.** The CRM or FARM normally conducts a SAV of each office of record every 12-24 months to determine compliance with prescribed records management policies and procedures. The evaluation includes questions identified in Attachment 2. The FARM will do SAVs within their directorate and the CRM will do SAVs for DREs and the FARMs office of record/overall program.

**5.10.2.** Upon completion of the evaluation, the CRM or FARM reports findings to the RT indicating major findings that could not be corrected during the visit and recommendations to improve the overall program. A reply indicating corrective action taken is required. FARMs will send information copies of their findings and RT responses to the CRM.

**6. Contractor Records.** Records management oversight of a contractor's records is necessary to ensure all USTRANSCOM recordkeeping requirements are met. Agencies or organizations initiating contracts must coordinate with the CRM.

**6.1.** Contractors performing congressionally mandated program functions must create and maintain records to document these programs. The contract must include requirements for the delivery of all pertinent documentation of contractor program execution to the designated government/DOD official.

**6.2.** USTRANSCOM will require the delivery of any background data that may have value to the government in addition to a final product. The contractor assigns the appropriate file identification and disposition instructions to all records delivered to the government.

**6.3.** Electronic data and records specified for delivery to the contracting agency must be accompanied by sufficient technical documentation to permit USTRANSCOM to use the data. The contractor must report what, if any copies, of the electronic data and records specified for delivery are being retained by the contractor, their location, and projected disposition date.

**6.4.** A deferred ordering and delivery data clause should be included in the contract to acquire any data and records that may have value to USTRANSCOM but were not identified in advance.

**6.5.** Contracts and task orders must list records management instructions and directives for contractor compliance.

**7. Electronic Mail (e-mail) and Defense Message System (DMS) Records.** E-mail and DMS records must be printed in paper copy and filed in the appropriate file folder based on the table and rule they fall under according to applicable disposition schedule. This procedure will remain in effect until implementation of an approved electronic records management system by the CRM. DMS messages (incoming and outgoing), to include permissions, access lists, end-user registration, FORTEZZA card programming documentation, records related to placing certificates in directories, the local control center trouble tickets, operational control records, and performance records will be maintained and disposed of in the same manner as other official government records in accordance with applicable policy. DMS specific business rules include:

**7.1.** Once a record is stored within the official files, it cannot be altered due to legal requirements. Any revisions made to records stored within the official files create new records.

**7.2.** The minimum retention period for all records associated with DMS (incoming and outgoing) is 10 days plus the current day.

**7.3.** All components (messaging, directory and system management audit trails, and logs) must be available on line for 30 days and off line for at least 1 year. On-line records must be accessible within 10 minutes and off-line records accessible within 4 hours.

**7.4.** All header information and attachments should be retained with the message as part of the complete record.

**7.5.** Preserve receipts and acknowledgements that show delivery and disposition status of a message. Maintain them with the original official record copy of the message.

GILBERT R. HAWK, Brigadier General, USAF
Director, Command, Control, Communications
and Computer Systems

Attachments:
1. References and Supporting Information
2. Office of Record Staff Assistance Visit Checklist
3. FARM Program Staff Assistance Visit Checklist

# REFERENCES, ABBREVIATIONS, ACRONYMS, AND TERMS

## Section A—References

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

Title 36, Code of Federal Regulations (CFR), Chapter XII, National Archives and Records Administration, Subchapter B, Records Management

Applicable parts of 41 CFR, Chapter 201, Federal Information Resources Management Regulation (FIRMR)

Title 18 U.S.C. 2071, Concealment, Removal, or Mutilation of Records

DOD Directive 5015.2, Records Management Program

DOD Directive 5100.3, Support of the Headquarters of Unified, Specified, and Subordinate Joint Commands

DOD Regulation 5200.1/USTRANSCOMR 205-1, Information Security Program Regulation

AFMAN 37-139, Records Disposition Schedule

USTRANSCOMI 33-26, USTRANSCOM Freedom of Information Act (FOIA) Program

USTRANSCOMI 33-35, USTRANSCOM Privacy Act (PA) Program

## Section B—Abbreviations and Acronyms

AFI – Air Force Instruction

AFMAN – Air Force Manual

CINC – Commander in Chief

COR – Chief of an Office of Record

CRM – Command Records Manager

CY – Calendar Year

DOD – Department of Defense

DODD – Department of Defense Directive

DRE – Direct Reporting Element

ERM – Electronic Records Manager

FARM – Functional Area Records Manager

FOUO – For Official Use Only

FY – Fiscal year

IAW – In accordance with

JS – Joint Staff

NARA – National Archives and Records Administration

PA – Privacy Act

POC – Point of contact

RIMS – Records Information Management System

RT – Records Technician

SAV – Staff Assistance Visit

TCIG – Inspector General

TCJA – Chief Counsel

TCSG – Command Surgeon

TCJ6-RII – Command, Control, Communications and Computer Systems Directorate (TCJ6), Resources, Plans, and Policy Division (TCJ6-R), Resources Information Branch (TCJ6-RI), Resources Information Communications and Records Management Team (TCJ6-RII)

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 IAW AFMAN 37-139.

**Chief of an Office of Record (COR).** The individual in charge of an office of record. An office of record is an office, which maintains records as a history of their operations. 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 (30 Sep) or calendar year (31 Dec), to permit their disposal or transfer in complete blocks and, for correspondence files, to permit establishment of new files. Other record series are cutoff upon completion of project, special event, or when no longer needed, whichever is sooner or later as specified in AFMAN 37-139.

**Electronic Records.** Records stored in a form that only a computer can process (Federal Records Management Glossary: 1993).

**Functional Area Records Manager (FARM).** Serves as the point of contact (POC) and monitors the Records Management Program within their functional area. (Example: USTRANSCOM directorates.)

**File Code.** Consists of the word "File," the item number where the record is to be kept, and the initials of the person doing the file coding (usually the records technician or chief of the office of record).

**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 produced using (RIMS) software.

**For Official Use Only (FOUO).** Information that does not warrant a security classification, but may be withheld from the public for one or more of the reasons cited in FOIA exemptions 2 through 9 (listed in DOD 5400.7-R and USTRANSCOMI 37-8).

**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 and records it receives in performing its official function. These records are a "history" of the office.

**Personal Papers.** Nonofficial, or private papers relating solely to an individual's own affairs 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.

## OFFICE OF RECORD STAFF ASSISTANCE VISIT CHECKLIST

| | | | |
|---|---|---|---|
| **1.** Has the Records Technician (RT):<br><br>a. Been trained in Records Management (RM) duties within the past 12 months (or within 3 months if newly appointed)?<br><br>b. If so, has a letter of appointment been established by the Chief of the Office of Record (COR)? | | | |
| **2.** Have all paper/binder clips been removed from the files? | | | |
| **3.** If the folder is more than ¾" thick, has another been started? | | | |
| **4.** Does the drawer label distinguish between active and inactive files? | | | |
| **5.** Are documents filed within each folder arranged with the most recent date on top? | | | |
| **6.** Are disposition labels and file folder labels properly affixed to the appropriate folders/file container? | | | |
| **7.** Is the RT properly file coding all documents within a folder? | | | |
| **8.** If applicable, have inactive files been established and maintained properly? | | | |
| **9.** Is a file plan cover sheet attached to the file plan and has the COR signed it? | | | |
| **10.** Are folders containing FOUO and Privacy Act information marked on the folder tab next to the label? | | | |
| **11.** Are record series with indefinite disposition instructions, such as "destroy when superseded, obsolete, or no longer needed" being reviewed annually for disposition action? | | | |
| **12.** When records are decentralized, is a guide card with the disposition label placed in front of the records? | | | |
| **13.** Is the location of classified records stored separate from the main filing cabinet identified in the file plan? | | | |
| **14.** Do folders containing records with a retention period of 1 year or more have the year (calendar or fiscal) on the folder or file folder tab? | | | |

## FARM PROGRAM STAFF ASSISTANCE VISIT CHECKLIST

| | | | |
|---|---|---|---|
| **1.** Has a six-part FARM program folder been established and identified on the appropriate file plan? The folder will be divided as follows:<br><br>PART I – Appointment Letters<br>PART II – File Plans<br>PART III – General Correspondence (E-mail or other documented communication between the FARM and the RT/COR/CRM)<br>PART IV – Staff Assistance Visits (SAV)/Orientation Visits<br>PART V – RIMS Office of Record Listing<br>PART VI – RT Training Information | | | |
| **2.** Does the FARM have the Records Information Management System (RIMS) database on the computer and is the office information within the database accurate? | | | |
| **3.** Is a copy of USTRANSCOMI 33-32 readily available? | | | |
| **4.** Have all Records Technicians (RTs) received training through the CRM office (TCJ6-OII) within the past 12 months? If not, have they been scheduled for training? | | | |
| **5.** Has each office of record received a SAV within the last 12 months? | | | |
| **6.** Are there any offices of record requiring records to be staged permanently? | | | |
| **7.** Has the Chief of the Office of Record (COR) been offered a short RM orientation briefing provided by the COR? | | | |
| **8.** Are there offices of record that have submitted a request for an updated file plan? | | | |
| **9.** Is the FARM providing additional disposition and file labels for offices of record maintaining individual files for more than 1 year? | | | |
| **10.** Are discrepancies found in orientation or SAVs for each office of record completely resolved and/or scheduled for completion date? | | | |
| **11.** Does the FARM have a current file plan and signed cover sheet in Part II of the program folder for each office of record? | | | |
| **12.** Does the FARM hold meetings or conduct similar forms of communication to promote RM responsibilities and identify general problem areas within the directorate? | | | |