

CESAS-IM-PR
DEPARTMENT OF THE ARMY
SAVANNAH DISTRICT, CORPS OF ENGINEERS
P. O. BOX 889
SAVANNAH, GEORGIA 31402-0889

DISTRICT REGULATION
NO. 25-1-1

15 March 1998

Information Management
RECORDS MANAGEMENT POLICY

1. Purpose. This regulation prescribes policies and procedures, and assigns responsibilities for the administration of the Savannah District Records Management Program. The program includes all files maintained in the District regardless of media, physical location, function or security classification.
2. Applicability. This regulation applies to all organizational elements and field offices of the Savannah District.
3. References:
 - a. AR 25-1, The Army Information Resources Management Program.
 - b. AR 25-400-2, The Modern Army Recordkeeping System (MARKS).
 - c. DA PAM 25-1-1, Installation Information Services.
 - d. AR 340-21, The Army Privacy Program.
4. Responsibilities.
 - a. The Records Administrator is responsible for executing the District's Records Management Program in accordance with policies outlined in Chapter 8 of AR 25-1, and executing technical supervision over all District files.
 - b. The Records Custodian is responsible for coordinating program activities with organizational elements in preparing records for transfer into the Records Holding Area.

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c. Staff Chiefs are responsible for:

(1) The proper maintenance and disposition of all records/documents created and/or maintained by their element.

(2) Appropriate identification and maintenance of records of historical significance.

(3) Ensuring that all filing equipment is properly utilized.

(4) Retaining information necessary for the retrieval of records transferred to the Records Holding Area or retired to the Federal Records Center.

(5) Ensuring that individuals involved with files maintenance and disposition in their element are provided adequate training and time to perform these functions.

(6) Preparing, updating, as necessary, and furnishing copies to the Records Administrator lists of file numbers used in their elements.

(7) Appointing a qualified Records Management Coordinator to coordinate program activities within their element to the Records Administrator to insure compliance with procedures prescribed in the above referenced regulations and this regulation. Designations and changes thereto will be reported in writing (by memorandum) to the Records Administrator.

(8) Appointing a qualified Alternate Records Management Coordinator. The Alternate Records Management Coordinator will coordinate with the Records Management Coordinator on the selection and transfer of those records/documents necessary to insure the capability of the Savannah District to perform minimum essential missions/functions under conditions of national emergency, and those records/documents necessary to plan for and implement reconstitution of District once the situation has been stabilized. Designation and changes thereto will be furnished by memorandum to the Records Administrator.

d. Records Management Coordinators/Alternate Records Management Coordinators are responsible for:

(1) Coordinating the records management activities in their organizational element, and will supervise, oversee and/or perform the duties necessary to meet the requirement of paragraphs 4c, (1) and (6) above, and the attached appendixes.

(2) Coordinating the selection and transfer of records from their organizational element to the Records Custodian, and will perform the duties necessary to carry out this program as outlined in attached appendixes.

5. Procedures. The attached appendixes contain procedural guidance on the provisions of this regulation.

5 Appendixes
APP A - RHA & FRC Operations
APP B - List of File Numbers
APP C - Duties of RMC
APP D - Duties of ARMC
APP E - Filing Equipment and Supplies

/s/
GRANT M. SMITH
COL, EN
Commanding

DISTRIBUTION A
Plus IM-PR (5)
IM-PL (1)

APPENDIX A

Records Holding Area and Federal Records Center Operations

1. Location. The Records Holding Area is located at the Engineers Depot on Hutchinson Island. Routine daily pickup and delivery services are provided by the Records Custodian. Special services and/or emergency retrievals can be arranged by contacting the Records Custodian at ext 5769 (see para 4 below for details).
2. Standard Record Storage Containers will be used to transfer both letter and legal sized records to Records Holding Area. A supply of the standard boxes is available in Records Management, 1st floor, behind the mail room. When odd-size documents (or drawings/maps) are to be transferred, contact the Records Custodian at extension 5769 for an acceptable box.
3. Preparation and Distribution of Standard Forms (SF(s))135 and 135a. SFs 135 and 135a, (Records Transmittal and Receipt), will be prepared when retiring records. See page A-3 of this Appendix for sample. See page A-3 for Sample SF 135. Instructions on how to complete the forms are contained on the reverse side of the form and in Chapter 9 of AR 25-400-2. The following information supplements those instructions.
 - a. Transmittal forms (SF 135 and 135a, or continuation sheet of bond paper) will be prepared in triplicate. Submit the original and one copy of transmittal forms through supervisor and Records Management Coordinator to Records Custodian for review. **DO NOT SEND BOXES WITH THE FORMS**. Upon receipt of forms, the Records Custodian will review them for accuracy. The original SF 135 will be filed by the Records Custodian and the copy will be returned to the element transferring the records. The Records Custodian will arrange to have the boxes picked up and delivered to the RHA.
 - b. A sheet of plain bond paper may be used when the shipment list and contents descriptions are lengthy. This sheet is attached to SF 135.
4. Retrieving Records From the Records Holding Area or Federal Records Center. DA Form 543 (Request for Records) will be submitted to the Records Custodian. View Sample on Page A-4 of this appendix.
 - a. The DA Form 543 will indicate date records retired and box records are to be retrieved from.

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b. Describe requested records in sufficient detail to permit accurate and prompt retrieval of the documents. For example:

(1) If an entire box of records is requested, indicate "entire box" on the DA Form 543.

(2) Provide a description of the file requested (i.e.: project name; contract number; etc.).

c. List the name, office organization, room number and telephone number of the person requesting loan of the records (Block 2).

d. Have the DA Form 543 signed by the Records Management Coordinator or Alternate to authorize the loan of the records.

e. Handcarry or route the DA Form 543 through normal mail channels to Records Custodian. If next day delivery of records is required, the DA Form 543 should be hand-carried to the Records Custodian. Retrieval of records from Federal Records Center typically takes 3 -5 workdays from the time the request is received in Records Management. In the event of an emergency requirement, contact the Records Custodian at ext 5769 for assistance.

f. Records Custodian will retrieve the record and call requester to pickup. The custodian will attach the original DA Form 543 to the loaned record. To assure that records are easily identified as loaned, and therefore not misfiled, **THE ORIGINAL DA FORM 543 MUST NOT BE REMOVED FROM THE LOANED RECORDS.**

g. Paper/documents of any kind WILL NOT be added or removed from the files which are on loan. Contact the Records Custodian if the need arises to add or remove any papers from these files.

h. When the requestor is finished using the loaned records, they will return them to the Records Custodian; or if the records consist of one or more boxes, call extension 5769 to arrange to have the boxes picked up.

5. Storing Microform and Electronic Media Records. Contact the Records Administrator at ext 5966 for guidance in appropriately preparing SF 135s, preparing the media for shipment, and retrieval/refile procedures.

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150)

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5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)
U.S. ARMY CORPS OF ENGINEERS
SAVANNAH GA OFFICE SYMBOL
P O BOX 889
SAVANNAH GA 31402-0889

2. AGENCY TRANSFERING AGENCY OFFICIAL (Signature and title)
NAME OF PERSON TRANSFERRING FILES
DATE

3. AGENCY CONTACT
TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)
SANDRA F. JORDAN
RECORDS ADMINISTRATOR, CESAS-IM-PR, 5966

4. RECORDS CENTER RECEIPT
RECORDS RECEIVED BY (Signature and title)
CHERYL C. GORDON
RECORDS CUSTODIAN, X5769
DATE

RECORDS DATA

ACCESSION NUMBER		VOLUME	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	CONTROL	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER	FILED	DATE	
RG	FY	NUMBER	(cu. ft.)	(e)	(f)	(g)	(h)	LOCATION	(i)	(j)	
*	*	*	# OF BOX S IN SET	BOX #	OFFICIAL FILES TITLE FROM AR 25-400-2	**	AR 25-400-2 DATE OF AR 25-400-2 GOVERNING FILES AND FILE#	DATE WHEN RECORD COFF TRF RHA TRF FRC DEST DATE	*	*	*

* LEAVE BLANK
** LISTED ON BACK OF THIS FORM. CHOICE ONE APPLICABLE TO FILES BEING RETIRED

135-107

REQUEST FOR RECORDS

For use of this form, see AR 25-400-2; the proponent agency is ODISC4

PLEASE READ THE FOLLOWING BEFORE COMPLETING THIS FORM

- These records will be used for official purposes only.
- Do not remove, permit to be removed, add to, or reveal the contents to unauthorized persons.
- The requester is responsible for return of these records intact to the office of record.

SECTION I - TO BE COMPLETED BY THE REQUESTER

1. RECORD(S) REQUESTED *(Give file classification, subject, date, and other identifying information. If records of personnel are requested, give name (LAST NAME FIRST), grade, SSN, type of file requested, and purpose for which records are to be used.)*

DATE RECORDS RETIRED:

BOX NUMBER RECORD/S ARE IN:

DESCRIPTION OF RECORD (project #, project name, contract #, etc)

2. REQUESTER'S ADDRESS

SELF EXPLANATORY

3. ESTIMATED NO. OF DAYS RECORDS ARE NEEDED
SELF EXPLANATORY4. TELEPHONE NO.
SELF EXPLANATORY5. DATE
SELF EXPLANATORY

6. NAME AND SIGNATURE OF REQUESTER

SELF EXPLANATORY

SECTION II - TO BE COMPLETED BY THE RECORDS CUSTODIAN

7. SEARCHER'S REPORT

a. RECORDS ATTACHED FOR DELIVERY TO ADDRESS IN
ITEM 2.b. RECORDS CURRENTLY ON LOAN *(Complete block 7d.)*

c. UNABLE TO IDENTIFY RECORDS

d. NAME, ADDRESS, TELEPHONE NO., AND DATE LOANED

8. DATE RECORDS MUST RETURNED

9. ADDRESS OF CUSTODIAN

10. TELEPHONE NO.

11. DATE

12. NAME AND SIGNATURE OF CUSTODIAN

SECTION III - TO BE COMPLETED BY THE OFFICE OF RECORD

13. DATE RETURNED

14. SIGNATURE OR INITIALS OF INDIVIDUAL TO WHOM RECORDS WERE RETURNED

APPENDIX B

List of File Numbers

1. All elements maintaining files are required to prepare a list of file numbers in accordance with paragraph 5-13 of AR 25-400-2. The following supplements those instructions:

a. Lists should be preceded with the identification of the element office name (Division, Branch, Section, Unit, etc.); name and telephone number of person who prepared the list; name of approving supervisor (with space for signature and date); name of review/approving Records Management Coordinator (with space for signature and date); and space for Records Administrator review/approval (with space for signature and date).

b. Lists will include file number, file title, brief description of actual documents included under that number, and the disposition appropriate for the office maintaining those files.

c. Those files subject to Privacy Act should be annotated with the Privacy Act System Notice Number indicated at the file number description in AR 25-400-2. Records maintained in other than paper form (i.e.: microforms; magnetic media; etc.) should also be identified as such on the list.

d. See pages B-2 & B-3 of this appendix for a suggested format.

e. Records Management Coordinators will provide guidance to individuals within their elements responsible for preparation of lists and will review all lists for accuracy and compliance with records management procedures prior to submitting them in duplicate to the Records Administrator for approval. Records Administrator will review submitted lists, and return approved original through Records Management Coordinator to the submitting office.

f. New lists of selected file numbers will be prepared and submitted as above to the Records Administrator for approval when changes occur in the files maintained.

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LIST OF FILE NUMBERS
DIVISION, BRANCH, SECTION, UNIT
PAGE __ OF __

Prepared by _____ Ext. No. _____.

REVIEWED/APPROVED: (name, title, and signature of RMC, and date)

REVIEWED/APPROVED: (name, title, and signature of supervisor, and date) APPROVED:
(signature of RA and date)

<u>FILE NUMBER</u>	<u>TITLE, BRIEF DESCRIPTION</u>	<u>DISPOSITION</u>
1a	OFFICE FILE NUMBERS	Dest when superseded
1g	OFFICE RECORDS TRANSMITTAL	Dest when no longer needed(cys of SF 135s) for admin or ref purposes
1x PVA A037-105aSAFM	OFC CIV PER TIME & ATTENDANCE.)	Dest after 6 yrs (TA reports, job cards, applications for leave, sign-in/sign-out logs, OT requests, etc
1aa PVA OPM GOVT-1	SUPERVISORY OR MANAGER EMPLOYEE RECORDS (records employee duty actions, performance accident reports, etc.)	Send to servicing pers offc when employee id trf'd or separated; or send to gaining official ofc when employees trf'd within the Same auth on installation
1jj	REFERENCE PUBLICATIONS (some on microfiche)	Dest when s/s, obs, or no longer needed for ref

LIST OF FILE NUMBERS
DIVISION, BRANCH, SECTION, UNIT
PAGE __ OF __

Prepared by _____ Ext. No. _____.
REVIEWED/APPROVED: (name, title, and signature of RMC, and date)
REVIEWED/APPROVED: (name, title, and signature of supervisor, and date)
APPROVED: (signature of RA and date)

<u>FILE NUMBER</u>	<u>TITLE, BRIEF DESCRIPTION</u>	<u>DISPOSITION</u>
1110	CE ENGINEERING AND DESIGN ACTION - CORRESPONDENCE FILES	Dest after 2 yrs NON- ACTION - Dest when no longer needed for current operations
1110-2-1150a	CIVIL WORKS PROJECTS	PERMANENT

APPENDIX C

Duties of Records Management Coordinators

1. Coordination. The Records Administrator will provide the Records Management Coordinators guidance in program activities and will keep them informed of program and/or procedural changes. Coordinators will coordinate records management program activities within their organizational element to insure compliance with prescribed policies and procedures.

2. Specific duties of Records Management Coordinators are as follows:

a. Act as the liaison between the Records Administrator and personnel within their elements. Provide all individuals involved with files maintenance and disposition in their elements with records management guidance and training supplemental to formal training.

b. Ensure that all areas maintaining files have copies of applicable MARKS regulations, directives, etc., and that they are kept current.

c. Ensure that lists of file numbers are prepared and updated, as necessary, for all offices within their elements maintaining files. Submit copies to the Records Administrator for review and approval. Retain a "master copy" of all approved lists maintained by their elements.

d. Ensure proper identification and labeling of all files and filing equipment under the provisions of the MARKS regulation, AR 25-400-2.

e. Ensure that all files are systematically reviewed, cutoff, destroyed or transferred to the Records Holding Area as prescribed in AR 25-400-2 and this regulation.

f. Supervise, oversee or accomplish the packing of files, and review transmittal documents (SF 135) for accuracy and completeness, prior to submittal to Records Custodian.. Ensure that completed SF 135s returned by Records Custodian are appropriately retained for retrieval purposes.

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g. Advise the Records Administrator, when it is known, that records/files are to be transferred to or from the Savannah District, or between organizational elements of the Savannah District.

h. Prior to submittal to Records Administrator, review and confirm all requests for standard and nonstandard filing equipment and/or nonstandard filing supplies for essentiality.

i. Review their elements file plan on a continuing basis, and notify the Records Administrator of any changes as they occur.

j. Assist the Records Administrator in conducting surveys, inventories, or other special projects on records management activities.

APPENDIX D

Duties of Alternate Records Management Coordinators

1. Coordination. Alternate Records Management Coordinators will coordinate with the Records Management Coordinator within their organizational element the selection and transfer of documents to the Records Custodian in compliance with prescribed policies and procedures.

2. Specific Duties of Alternate Records Management Coordinators. Assist the Records Management Coordinators in the management of the organizational records. To include:
 - (1) preparation of SF 135, Records Transmittal and Receipt and SF 135a, continuation sheet;
 - (2) ensure lists of file numbers are prepared and updated for all offices within their organizational elements and are submitted to the Records Administrator for review and approval;
 - (3) maintain copies of all approved lists and SF 135s; (4) ensure that all files are systematically reviewed, cutoff, destroyed or transferred as prescribed in AR 25-400-2 and this regulation; (5) ensure proper identification and labeling of all files and filing equipment under the provisions in AR 25-400-2 and this regulation; (6) assist the Records Management Coordinator in conducting surveys, inventories, or other special projects on records management activities.

APPENDIX E

Filing Equipment and Supplies

1. Requests for Filing Equipment. The Records Management Coordinators will review all requests for filing equipment to insure proper utilization. Proper utilization is defined as ensuring existing file equipment is being managed to insure that all documents eligible for retirement have been transferred to the Records Custodian; and that all documents eligible for destruction have been destroyed. All file equipment requests (standard and nonstandard) will be submitted to the Records Administrator, by memorandum, for approval prior to submitting to supply or taking procurement action. Memorandum should include justification for filing equipment.

a. Standard Filing Equipment is defined as that equipment which is available through the US General Services Administration Federal Supply Service. Requests for standard equipment will include a justification as to why additional or replacement equipment is required. The Records Administrator will evaluate the needs and return the memorandum with comments and recommendations (i.e.: recommend a non-purchase solution, or concur with purchase requirements).

b. Nonstandard Filing Equipment. All requirements for nonstandard filing equipment will be submitted to the Records Administrator in a memorandum containing the following information:

(1) A description of the files to be housed in the requested equipment (MARKS file number(s); title(s); size of documents).

(2) Present volume of files, and estimated annual expansion, if anticipated.

(3) A description of present equipment, its condition, and total maximum capacity expressed in linear feet.

(4) A description of requested equipment and accessories (include a copy of, or an extract from, the manufacturer's catalog or brochure), total maximum capacity expressed in linear feet, and weight of equipment when loaded to capacity.

(5) The unit and total cost of requested equipment.

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(6) A scale (1/4 or 1/8 inch) drawing showing the floor plan, overhead obstacles, electrical outlets, and location of files equipment. If construction or modification of existing space is required, explain details and cost.

(7) Benefits and savings anticipated from the acquisition of requested equipment. The Records Administrator will evaluate the request, and will return the requesting memorandum with concurrence for procurement. A copy of the requesting memorandum, and concurrence from the Records Administrator must be maintained by the requesting office along with all acquisition information to document compliance with this directive.

2. Filing Supplies.

a. Standard filing supplies are considered as those available under a Federal Supply Schedule. Most standard filing supplies are available in the GSA Supply Catalog.

b. Requests for nonstandard filing supplies will be reviewed by Records Management Coordinators to insure that the requirement is valid, and then submitted to the Records Administrator for review and approval prior to supply action. Requests for nonstandard filing supplies may be made to the Records Administrator via e-mail, and will contain the following information:

(1) A complete description of the supplies, costs, and the source from which the supplies are to be obtained.

(2) Justification for the nonstandard supplies, and the specific reasons why standard filing supplies cannot be used.

3. The Records Administrator will respond e-mail with recommendations and/or concurrence. A copy of this electronic correspondence must be printed out and maintained along with all acquisition information to document compliance with this directive.