

## Information Management INFORMATION MANAGER'S HANDBOOK

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**History.** This pamphlet was originally published 1 Apr 96 with the title, Administrative Procedures Handbook for Information Managers.

**Summary.** This pamphlet describes how to manage records management, publishing and printing; official mail programs; IM equipment, automation, and telecommunications support at the Major Subordinate Command (MSC) level, as well as how to submit Requirements Statements.

**Applicability.** This pamphlet applies to Headquarters (HQ), U.S. Army Reserve Command (USARC), Major Subordinate Commands (MSCs) and USARC installations. Local reproduction is authorized.

**Interim changes.** Interim changes to this pamphlet are not official unless authenticated by the Deputy Chief of Staff, Information Management (DCSIM), USARC. Users will destroy interim changes on their expiration date unless superseded or rescinded.

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**Suggested improvements.** The proponent of this pamphlet is the DCSIM. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Commander, USARC, ATTN: AFRC-IMA, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

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## Chapter 1 Introduction

### 1-1. Purpose

*[USARC Regulation 25-1 prescribes compliance with the procedures and instructions contained in this pamphlet.]*

a. This pamphlet describes how to manage your Records Management, Publishing and Printing, and Official Mail Programs at the MSC (RSC/DRU) level.

b. It also describes procedures for preparation and submission of Requirements Statements, management of IM equipment, automation, and telecommunications support.

### 1-2. References

a. Appendix A lists required and related references.

b. Recordkeeping requirements. This publication identifies file numbers for recordkeeping requirements in appendix A.

### 1-3. Explanation of abbreviations

An explanation of abbreviations and terms are in the glossary.

## Chapter 2 Records Management Programs

### Section I

#### Correspondence Management

##### 2-1. Effective Army writing

a. Your writing should convey its ideas in a single, rapid reading. It should be generally free of errors in grammar, mechanics, and usage. The DA Pamphlet 600-67 outlines the mandated standards for Army writing and sets staff writing guidelines to achieve these standards. Army Regulation 25-50, section IV, provides additional guidance.

b. Use the following guidelines and your communication will be effective. Write only when you must; write so readers will understand you. Do not waste the reader's time by including unnecessary material. Use the voice and tone of the person whose signature will appear on your work. Always put the main idea first and write in the active voice.

(1) Main Idea First. Place any references in the first paragraph. Open with a clear purpose sentence. Put the main idea, request, recommendation, conclusion, next. Sometimes you can combine the purpose and main idea into one sentence.

(2) Active Voice. Use the active voice for your sentences. Put the doer of the action as the subject. The active voice creates shorter sentences.

(3) Passive Voice.

(a) The passive voice uses one of the eight forms of *to be* plus a past participle (verb usually ending in *-en* or *-ed*). For example, was mailed, be completed, is stolen, has worked, and was requested. Passive voice sentences are

longer and slow communications because they hide the doer of the action.

(b) Sometimes the use of the passive voice may be appropriate--if you want to emphasize the object, not the doer of the action. For example: The investigation's findings *were forwarded* to the commander. In this case, the findings are the important information in the sentence. Passive voice is also appropriate in legal documents and in letters of notification of nonselection or condolence when you want to soften the blow.

c. As required by AR 25-50, paragraph 1-42, records managers will conduct periodic reviews of correspondence for compliance with the Army Writing Style. Incorporate this review in your records surveys and command inspections. You may combine quality control spot checks with the periodic check of correspondence for Management Information Control System compliance.

d. Army Regulation 25-50, paragraph 1-42, requires correspondence quality control. To conduct the correspondence quality control checks, you may use a USARC Form 67-R, Correspondence Correction Checklist, or simply mark-up a photocopy of the correspondence and return it to the action officer (blank copy of USARC Form 67-R is at the back of this pamphlet for local reproduction).

e. Use the USARC Form 67-R to record the changes needed before dispatching the correspondence or to record data to evaluate an agency's correspondence for quality or areas needing improvement.

(1) The reviewer completes the form as follows:

(a) Block 1, "TO." Enter agency and office symbol of the correspondence originator.

(b) Block 2, "FROM." Enter the agency and office symbol of the reviewer.

(c) Block 3, "REVIEWER'S NAME." Enter reviewer's name.

(d) Block 4, "DATE." Enter the correspondence review date.

(e) Block 5 through 11, "Types of Errors." Check the blocks which correspond to the types of errors found in the correspondence.

(f) Block 13, "REMARKS." List errors not included in blocks 5-11.

(g) Block 14. Check this block for errors previously reported to the originator.

(2) After completing the review and checklist, the reviewer returns the correspondence and a copy of the checklist to the originating office for correction.

(3) After correcting the correspondence, the originating office completes blocks 15 through 18 and sends the corrected correspondence and checklist to the reviewer.

f. Helpful Hints.

(1) At least 80% of the verbs in your document should be active with no more than 20% passive or linking verbs.

(2) To eliminate the use of he/she, go from singular to plural, e.g., "he/she reviewed" can be changed "to soldiers reviewed."

(3) The verbs in your correspondence show the tone of your document. If they don't, your writing is weak.

(4) Punctuation of Restrictive and Nonrestrictive Clauses.

(a) Do not set a restrictive clause off by commas, i.e., do not place a comma before and after the clause.

Restrictive clauses are essential to the meaning of the word or words they modify; they cannot be omitted without the meaning of the sentence being radically changed; e.g., "Women who are not competitive should not aspire to high corporate office." "The vase that is on the table is very valuable."

(b) Nonrestrictive clauses are set off by commas when they occur in mid-sentence. They are not essential to the meaning of the sentence but instead convey additional information about a word or words in the sentence. For example, "Our guide, who wore a green beret, was an experienced traveler." "The company, which employs a full-time research staff, was founded in 1945."

## **Section II**

### **Files Management**

#### **2-2. General**

Army Regulation 25-400-2 sets policy and procedures for Army recordkeeping. You must file under MARKS a record copy of every document created or received, in the normal course of business that documents the organization, functions, policies, decisions, procedures, operations or other governmental activities. MARKS provides procedural information to help you in creating, maintaining, and disposing of Army records in accordance with legal authority.

#### **2-3. Files list**

There are two purposes for the files list. First it serves as a reference aid to allow office personnel to easily find filed documents. Secondly, it allows record managers to verify that each office's mission is documented and identifies long-term retention documents.

a. Prepare the files list on plain bond paper or FORSCOM Form 350-R, List of Files. Lists prepared on bond paper should have the same information as on FORSCOM Form 350-R. To increase the usefulness of the list, include a brief description of the actual documents contained in the file folders. A sample files list is at figure 2-1.

b. Have directorate/office secretary or administrative personnel collect files lists from all offices in that staff activity and forward a copy to the organization's records manager's office. As the agency records manager in the IM area, you should sign and date each list verifying the appropriateness of the file numbers used and approve the list for implementation. File a copy of the approved list under MARKS FN 1a, Office File Numbers. The IM office may want to put their copy of the lists in the appropriate staff agency's Information Management Survey Background File, FN 25-1h.

c. Provide a copy of the approved files list for installation and MSC headquarters to the USARC, ATTN: AFRC-IMA-R, for use in preparing Records Management surveys.

#### **2-4. File labels**

Accurate preparation of each file label is necessary to properly identify the records and show the proper disposal date under MARKS. Chapters 6 and 7, MARKS (AR 25-400-2), provide labeling procedures and applying disposition instructions. Use table 7-1 in MARKS to convert the abbreviated disposition listed with the file description in MARKS and develop the file label disposition instructions. For example, the disposition for file number 1b reads "Destroy after 1 year." To locate the disposition placed on the file label, find "Destroy after 1 year" in MARKS, table 7-1. This is Rule 4. Move to Column D and type the disposition on the file label as shown, for either fiscal year or calendar year files. Examples of properly prepared file labels are at figure 2-2 of this pamphlet.

#### **2-5. Retirement procedures for unit records**

During the first quarter of each year, the USARC DCSIM provides a list of long-term files the MSC records managers annually collect from their subordinate units, hold for one year, and then retire. It is very important that you collect these records and forward them to the appropriate records centers as outlined in MARKS.

a. During the year you are holding the records, you should check the files received for completeness and purge the files of nonrecord material, such as routing slips and other papers not relevant to the file.

b. Screen the unit's DA Forms 1379, Reserve Unit Attendance Records set, RSC/DRU and ensure that they are complete and contain only the original DA Forms 1379 without the supporting documentation. File these records chronologically. Prepare an SF 135, Records Transmittal and Receipt (original and two copies) to transfer records. Ship the records by the cheapest means. If UPS is cheaper than fourth class mail, use UPS. Do not forward the SF 135 to ARPERCEN for approval before shipping. A sample SF 135 for transmitting records to ARPERCEN is at figure 2-3.

c. Pay particular attention to Reserve Unit Attendance Records Set Files (FN 140-185a). These records are critical to ARPERCEN in determining retirement points for soldiers. During your surveys and Command Inspections, check to make sure that the Reserve Unit Attendance Records Sets are being properly accumulated and forwarded to the MSC in a timely manner each year.

d. You must use the standard Federal Records Center (FRC) box for shipment to Federal records centers and Records Holding Areas (RHAs). However if you are unable to obtain the FRC boxes, ship the DA Forms 1379 to ARPERCEN in any sturdy box that will preserve the records.

e. Hold Incapacitation Pay case files, interim FN 135-381a, at the MSC until disposition instructions are published.

f. Before 1 April each year, screen, consolidate, and prepare all other unit files you are holding, except Publication Records Sets (FN 25-30mm) and Permanent Order Records Sets (FN 310-10c) for shipment to the Washington National Records Center (WNRC). Retire FNs 25-30mm and 310-10c through the USARC Command Historian to the WNRC as outlined in paragraph 2-6 below (a sample SF 135 for WNRC shipments is at figure 2-4).

g. You need to obtain permission from WNRC to ship records. Therefore, before shipping records, send the original and one copy of the SF 135, Records Transmittal and Receipt, to WNRC. The WNRC provides accession number(s) along with their approval. The USARC Records Manager forwards the SFs 135 to WNRC for permission to ship records that have been retired through the USARC Command Historian.

h. After approval is received from WNRC to ship, mark the outside of the box with the box number and the accession number as explained in AR 25-400-2, paragraph 9-12. Ship the records by the cheapest means. Use UPS if it is less expensive than fourth class mail. Do not use certified, registered, or insured mail.

i. In addition to retiring subordinate units' records, records managers should also retire all long-term records at their headquarters.

j. You may keep records with 5 to 7 years' retention at the MSC until destruction. This deviation from MARKS reduces your administrative workload and is not mandatory.

k. Records Storage Area. The MSCs are not authorized to establish official Records Holding Areas; however, installations and MSCs should have an area for storage of records awaiting final disposition. Make sure that the area selected is weatherproof; free of rodents and insects; has adequate light, ventilation and heating; and is fire resistant.

## 2-6. Retiring historically significant records

a. The USARC Command Historian collects historically significant records to serve as the corporate memory of the USARC. Forward records documenting USAR historically significant events to the USARC Command Historian. Prior approval to ship these records is required. Send two copies of the completed SF 135 to HQ, USARC, ATTN: AFRC-IMA-RM (USARC Records Manager). The USARC Records Manager approves the appropriate records for shipment and returns a copy of the SF 135. Include two copies of the approved SF 135 with the shipment.

b. Headquarters, USARC retires or otherwise disposes of the records you send the USARC Historian; therefore, you need not forward a copy of the SF 135 to the WNRC for permission to ship records.

c. Listed below are the file numbers for historically significant records:

## MARKS NUMBERS

<u>NEW</u>	<u>OLD</u>	<u>FILE SUBJECT</u>
10-5a		Organization Plans
25-1pp		Graphic Media
25-30mm	310-2m	Publication Record Sets
220-1a		Readiness Reports
310-10c		Permanent Order Record Sets
350-1d	350-10d	Training Operations
350-1f	350-1f	Training Reports
525a	525a	Command Reports
525n	525n	Operations Planning Files
525p	525p	Operating Procedure Files
870-5a		Organizational Histories
870-5b		Installation Historical Files
870-5c		Annual Historical Summaries
870-5d		Historian's Background
		Material Files
870-5f		Historical Program Progress Reports
870-5g		Personal Papers

d. Not all of the above file numbers are created or maintained at every activity. File numbers identified as having historical information are included should you create these files in the future.

e. Some of the file numbers listed above are not normally retired (i.e., short retention periods or "destroy when no longer needed" disposition). Send these records to the USARC Command Historian on a separate SF 135.

f. Be especially mindful of historically significant records for units undergoing a change of status. Attach a copy of the order that changed the status of the unit to the SF 135 when you retire these records.

g. The USARC Command Historian reviews the records and make copies of historically significant documents for the USARC Historical Research Collection. After the review is completed, we forward the records to the appropriate records center and furnish a copy to the activity that shipped the records. For shipments to the Washington National Records Center (WNRC), we forward the SF 135 for approval to ship the records. When the WNRC accepts the records, we provide you a copy of the approved SF 135 showing the accession numbers for the boxes containing your records.

## 2-7. Special recordkeeping requirements for relief efforts or other operations

We will forward special recordkeeping requirements for relief efforts or other operations periodically. Pay particular attention to the disposition instructions provided, as they often deviate from the disposition published in MARKS. Disseminate these special recordkeeping instructions to all activities involved in these special operations.

## 2-8. Electronic recordkeeping

MARKS provides guidance for electronic and micrographic recordkeeping; however, because of a lack of storage space, you should print a record copy of electronically stored records. Maintain the record (paper) copy in accordance with MARKS.

## 2-9. Records cross reference

Encourage your staff agencies and subordinate units to use the DA Form 1613-R, Records Cross Reference. The last page of MARKS has a reproducible copy of the DA Form 1613-R. The DA Form 1613-R helps you find documents stored in a location other than the main filing cabinet. File a DA Form 1613-R in the main filing cabinet in a properly labeled file folder to show the location of the records. Rather than filing the same record in several locations, it is beneficial to place a cross reference in properly labeled file folders under other common titles.

## 2-10. Records procedures for activities affected by change in status

Be sure to properly dispose of records belonging to a USAR activity that undergoes a change in status.. Provide a copy of all SFs 135 to the records manager of the losing organization's next higher headquarters and the records manager at the gaining organization. By doing so, records officials are able to locate records should questions arise. Attach a copy of the order that initiated the change to the SF 135. The following information will assist you in the orderly transfer, retirement, or disposal of records:

a. Redesignation or reorganization. On redesignation or reorganization without transfer of functions, proceed as if no change had occurred.

b. Transfer of functions. When transferring a function from one Army organization to another, transfer the current records relating to the transferred function to the gaining organization. Transfer inactive (cutoff) records that have little or no reference value, but not eligible for destruction, to the MSC or next higher headquarters to be held until the retention period expires.

c. Discontinuance.

(1) For discontinued organizations with a transfer of function, comply with paragraph 2-10b, above.

(2) For discontinuance of a USAR organization below MSC level without a transfer of function, transfer records not qualified for immediate disposal to the MSC or next higher headquarters for final disposition.

(3) For discontinuance of an MSC or installation, transfer all records not qualified for immediate disposal to the WNRC or ARPERCEN, as appropriate. For installations, keep only the records required for continued maintenance of the installation until they are eligible for disposition. Attach a copy of the inactivating order to the SF 135. If time permits, send the SF 135 to WNRC for approval to ship records. Remember ARPERCEN does not require advance approval for shipment. Send a copy of all SFs 135 to the USARC Records Manager.

d. Movement.

(1) Movement of CONUS units preparing for overseas movement. Immediately before overseas movement, destroy records eligible for destruction; prepare records that are prescribed for retention by the unit for shipment; and transfer all other records to the MSC or next higher headquarters.

(2) Movement of organizations in CONUS. If the movement is without personnel and equipment, cut off records as of the date of the transfer and send immediately to the MSC or next higher headquarters. Obtain records that are essential to the operation of the unit at its new location from the MSC or next higher headquarters.

(3) Movement with personnel and equipment. The records go with the unit.

e. Units entering on active duty. Except as shown below, records created during the current year accompany unit to mobilization station.

(1) Cut off unit attendance records (DA Forms 1379) before the effective date of entry on active duty and transferred to the MSC or next higher headquarters.

(2) Destroy records eligible for destruction.

(3) Transfer all other records to the MSC Records Manager. The MSC Records Manager makes final disposition in accordance with MARKS and guidance from this Headquarters.

## 2-11. Records management procedures for USAR activities migrating to the Army National Guard (ARNG)

Use SF 135 and SF 135A to transfer the records to the ARNG gaining organization. Provide a copy of all SF 135 which shows records transferred or retired to records management official of the gaining ARNG organization and the records management official of the losing MSC or next higher headquarters.

a. Unit Migration. Destroy records eligible for destruction. Transfer the current records to the gaining organization. Transfer inactive (cutoff) records that have little or no reference value, but not eligible for destruction, to the MSC to be held until the retention period expires.

b. The MSC Migration. Destroy records eligible for destruction. Transfer the current records to the gaining organization. Transfer inactive (cutoff) records that have little or no reference value, but not eligible for destruction, to the USARC (ATTN: AFRC-IMA-RM) to be held until the retention period expires. Contact the USARC Records Manager prior to shipping records. Also, provide the USARC a copy of the SFs 135 listing records transferred to the ARNG or retired.

## 2-12. Records transfer and retirement

Army Regulation 25-400-2 provides detailed guidance for records transfer and retirement. We provide additional guidance for USARC activities:

a. The SF 135, Records Transmittal and Receipt, and SF 135A, Continuation Sheet, is the transmittal and tracking document for records sent out of the office files area. The office that created the records prepares the SF 135 and SF 135A. Keep the forms with the records until destruction or until they become part of the National Archives.

b. The RHA uses the SF 135 as:

(1) A receiving document.

(2) A receipt returned to the creating office.



(3) An inventory tool showing the location of the records in the RHA.

(4) To retire the records to a FRC.

The originating office, information managers (IM), RHA manager, and higher headquarters retains copies of the SF 135 during the life cycle of the records to facilitate retrieving them.

d. Review and purge files of unnecessary documents before sending out of the current files area.

e. Preparing records for transfer or retirement.

(1) The office which created the records being transferred is responsible for organizing, packing, receipting (using SF 135), and sending the records to the USARC Command Historian or RHA/FRC. The creating office remains the legal custodian of retired records and maintains the comeback copy of the SF 135 to facilitate retrieval of the records.

(2) As installation and MSC records managers, you should assist record creating offices in correctly processing their records for transfer. Consolidate records transfers from the different record-creating offices in your organization and sign SF 135 in block 2.

### 2-13. Preparing SF 135 and SF 135A

a. In Item f of the SFs 135 and 135A, describe records in enough detail to permit quick retrieval of specific documents. See figures 2-3, 2-4, 2-5, and 2-6, for examples.

b. Prepare a separate SF 135 for each records shipment. Use SF 135A as a continuation sheet.

c. Make an original and one copy of each form when transferring records. If the shipment contains records of a discontinued unit, send an additional copy of the SF 135 to the records official of the next higher headquarters.

d. Specify on the SF 135 whether the records are on paper, microform or other machine readable media.

e. The records official or RHA manager should prepare a new SF 135 if they remove or add records from or to shipments sent to them for consolidation before retirement. Entries on SF 135 follow:

(1) Item 1. If transferring records to an RHA or an Army records center, cross out "Federal Archives and Records Center, General Services Administration" and enter the appropriate address. When retiring records to the FRC, enter the address of the FRC. (See AR 25-400-2, Table 10-1, for FRC addresses.) Note that the WNRC shipping address differs from their mailing address. For the historical records being sent through the USARC Command Historian, Item 1 should read as follows: Commander, U.S. Army Reserve Command, 3800 North Camp Creek Parkway, SW, ATTN: AFRC-MH, Atlanta, GA 30331-5099.

(2) Item 2. Enter name and title of the record manager or head of the organizational element transferring the records. That person should place his or her signature (no rubber stamp) in this block and enter the current date.

(3) Item 3. Enter name and telephone number of the custodian of the records. Normally, this is the individual who knows the most about the records.

(4) Item 4. Completed by the RHA or FRC.

(5) Item 5. Enter name and address of organizational element transferring the records. Remember to notify the record center when address, telephone number, or records official or custodian change.

(6) Item 6(a), 6(b), and 6(c). Completed by the RHA or FRC.

(7) Item 6(d). Enter total number of boxes in the shipment.

(8) Item 6(e). Enter the number of each records box in relation to the number of boxes in the record shipment (for example 1 of 3, 2 of 3, 3 of 3).

(9) Item 6(f):

(a) If the records are subject to the Privacy Act (PA), the first entry should show the PA System of Records Notice number from the files description in AR 25-400-2.

(b) Enter the name and location of the organization that created the records. For example: 88th U.S. Army Reserve Command, St. Paul, MN; 310th Theater Army Area Command, Fort Belvoir, VA; or 95th Division (Training), Oklahoma City, OK. The name of the organization may differ from that in item 5. Item 6(f) should always show the organization that created the records; item 5 should be the organization that shipped the records; for example the local RHA.

(c) Enter any background or historical information necessary to identify the organization that created the records, or to describe significant events documented by the records. This would include activation, names and locations of next higher headquarters, inclusive dates of command jurisdiction, transfer of functions, dual operating functions, redesignations, discontinuance, and inactivation. Enter the historical data **after the name and location** of each organization when listing records from more than one organization on the same SF 135.

(d) Enter the complete title of the organizational element that created the records, for example: "Training Division, Directorate of Plans and Training, or Personnel Administration Center, 2nd Battalion."

(e) Enter any special classification, such as "Restricted Data" and "Formerly Restricted Data" not listed in the restriction codes on the back of the SF 135.

(f) Enter the file title and year the records were created. The title should be the same as that shown in AR 25-400-2 and may include subtitles or other specific identification. If the files are contained in more than one box, show the contents of each box. **If records being transferred are permanent records, list the title of each folder in the shipment.** Prepare this list on the SF 135, SF 135A, or on plain bond paper. For non-permanent records, you may list beginning and ending numbers in a series, but you must account for any missing numbers. Example: Order 1-1 through 1-97. Missing order numbers 1-3, 1-36, and 1-92.

(g) Item 6(g). Enter the proper code to show any restriction on use of the records. The restrictions are listed and explained on the reverse side of SF 135. Specify any other special restrictions in Item 6(f).

(h) Item 6(h). Enter the MARKS file number for the records opposite the file title. If, due to revision of the MARKS regulation, the MARKS file number changes between the time the records are transferred to the RHA and retired to the FRC, the RHA manager should update the SF 135 before retiring the records. Cross out the old number, enter the new number, and inform the originating office of the change with its copy of the SF 135. Also update the file labels in the same way.

(i) Item 6(i). Enter the month and year the records may be destroyed (such as, Jan 98, Oct 98, or 1/98, 10/98). If the records are permanent, enter PERM.

(j) Item 6(j), (k), (l), and (m). Completed by RHA or FRC. The RHA should show the shelf location of boxes here. When retiring records to an FRC, the RHA manager normally prepares a new SF 135, and the FRC marks its box locations here.

f. Special instructions for classified records. Do not disclose classified information on SF 135 or SF 135A; use unclassified titles. Other receipts may be necessary. Consult with your security manager for specific information.

g. Distributing completed SF 135 and SF 135A when transferring records (under circumstances other than discontinuance of an organization):

(a) When records are transferred to an RHA/FRC, the originating office should place an original and one copy in the first box of a records shipment and keep one copy for its files.

(b) The RHA/FRC maintains one copy and returns one copy to the originator, with location information entered, as acknowledgment of receipt. The originating office keeps this copy and disposes of the former version.

h. On discontinuance of an organization, distribute copies as above and send one additional copy to the IM of the creating organization's next higher headquarters.

i. Distributing completed SF 135 and SF 135A when retiring records:

(1) Offices which create records should keep them in their area until they receive approval from their RHA/FRC to transfer them. If your organization is serviced by an RHA, the SF 135 and SF 135A should be routed through organizational information management channels to the installation IM who operates the RHA. Records transferred to an RHA whose final destination is an FRC are retired from the RHA.

(2) Obtain prior approval to retire records by sending an original SF 135 and one copy to the RHA/FRC. Prior approval is not needed for retiring DA Forms 1379 to ARPERCEN. Send the SF 135 to the FRC in time to arrive approximately 4 weeks prior to desired date of shipment of the records. The organization retiring the files should retain one copy. The FRC should annotate the forms with an accession number, box locations, and a signature, and return

one copy to the organization, giving approval for retirement of the records.

(3) When the approved SF 135 is received from the FRC, CONUS activities have 90 days to retire the records before the FRC's approval expires. If you do not receive an approved SF 135 within 30 working days, contact the FRC to resolve the problem.

j. With a few exceptions, records accessioned into an FRC remain Army property and the originator of the records must know their location. Records coordinators/RHAs must furnish a copy of the SF 135 from the FRC showing the accession number to the office which created the records. If the office of origin no longer exists, send the copy to the organization's next higher headquarters records official. Records officials at MSC/installations should retain the SF 135 for any discontinued organization.

k. Ship records in one or more boxes. When using more than one box, put the SFs 135 in the first box of the shipment.

l. Send one copy of each approved SF 135 listing records retired to an FRC to USAISC-P (ASQNS-OP-F), Crystal Square 2, Suite 201, 1725 Jefferson Davis Highway, Arlington, VA 22202. They should include the records listed in the worldwide locator of Army records holdings.

m. When listing records of a discontinued unit, send one copy of the SF 135 completed by the RHA/FRC to the IM of the discontinued organization's next higher headquarters.

n. Supplemental data when organizational status has changed. Attach to the original SF 135 and SF 135A, a description or chart of the new organizational status, relationships to higher headquarters, and a list of all files sent to another organization in a transfer of functions or retired directly to an FRC, when applicable.

o. Receipts for Secret documents. Commanders or organization heads should decide if Secret documents being retired must be identified individually on the SF 135. The FRC signs the SF 135, but will not sign other types of classified document receipts. The DA Form 3964 (Classified Document Accountability Record) may be used in addition to the SF 135 when transferring records between Army organizations.

#### **2-14. Administrative Services Program Evaluation Checklist (USARC Form 43-R)**

To help you evaluate your records management program an evaluation checklist is at the back of this publication. Records Managers may use this checklist during their evaluations. Fill in the information requested in section 2. Record the information concerning the Records Management Officials in the spaces provided in section 3. For the remainder of the form, fill in the necessary data or circle the appropriate symbol (Y for yes and N for no) to designate the status of a records management program. Leave blank items that do not apply. Section 18 contains a list of references and section 19 contains a typical records management files list.

### **Section III**

## **Freedom of Information Act (FOIA) Requests**

### **2-15. Definition of a FOIA request**

a. The FOIA is a Federal law (Title 5, U.S. Code, Section 552) implemented by DOD Directive 5400.7-R, DOD Freedom of Information Act Program, and AR 25-55, The Department of the Army Freedom of Information Act Program. Written requests for Army records from members of the public, including soldiers and employees acting in their own behalf, fall under the FOIA, even if the requester does not cite the FOIA.

b. Requests for *information* or statistics are not processed under the FOIA, unless a copy of a *record* is used to provide the information.

c. Individuals are entitled to access their own personal records by the PA. Such requests may be verbal. Here too, the requester need not cite the PA for the relevant law to apply.

### **2-16. Agency records versus PA records**

a. Agency Records. Agency records are retrieved by a title that is impersonal in nature, rather than the name or some other identifier for a specific person, or *personal identifier*. Process requests for agency records under the FOIA. Private information, even in an agency record, is still protected by the PA. The PA requires records released under the FOIA have third party personal information deleted.

b. Privacy Act Records. Records retrieved by the name of a person or any other personal identifier are protected by the PA. Process requests for personal records under PA when the request is from the person whose record it is, and under the FOIA when requested from someone else.

### **2-17. Records covered by FOIA**

a. To be subject to the FOIA, a record must *exist* and be *under the control* of your command at the time of the request. A requested record may consist of an entire file or represent just one document in a file. The following are not defined as a *record*.

(1) Anything that is not a tangible or documentary record, such as a memory, an oral conversation, or a supervisor's notes concerning an employee. However, if the supervisor shares the notes with others, then the notes become official records and subject to the FOIA.

(2) Publications, such as Army Regulations. The public may obtain publications from government printing office (GPO) and private sector bookstores.

(3) Files or documents that have not been made final at the time the request arrives. Only those which are *final* are *records* under the law.

b. In order to respond to a FOIA request, you may furnish more than one record, each containing a portion of the requested information. You are not required to create a record or to put the information in any specific format.

### **2-18. Documents created by other agencies**

a. Do not release any document created by another command or agency. Inform the requester that all/part of the request was transferred to the custodian of the record (fig 2-7).

b. Forward the record to the proponent/custodian with a copy of the FOIA request and ask them to make a releasability determination and reply directly to the requester (fig 2-8).

c. For documents created by private companies, give notice to the document originator, and allow the company the opportunity to provide justification for requesting that the document be referred to higher authority for consideration of denial (see para 2-20).

### **2-19. No record responses**

The Freedom of Information Act requires the responding official to refer the response to a request for which responsive records cannot be found to the appropriate Initial Denial Authorities (IDA). The Courts consider a "*no records*" response a form of denial, and only an IDA can deny a FOIA request. When a physical search for a record proves unsuccessful, refer the request with a "no records" certificate to the appropriate IDA. If you are not confident about how to process a referral to the IDA, transfer the request and certificate to the HQ, USARC FOIA Officer (see para 2-30). The IDA requires a "No Records Certificate" (fig 2-9) completed by the person who conducted the search.

### **2-20. The FOIA release and denial authorities**

The FOIA requires the release of records not specifically exempt from release under one of the nine exemptions when requested. Also, records that are exempt from release (i.e., eligible to be withheld under one of the exemptions) may be made available to the public. To do this, the FOIA official, in coordination with the record's proponent staff agency, determines that release of the record would not cause any harm to the government or any individual and confirms this by conferring with the FOIA officials at HQ, USARC. The FOIA exemptions are listed in AR 25-55, paragraph 3-200.

a. All FOIA officials at any level are authorized to release nonexempt documents

b. Only an IDA can *deny* the release of a document. A list of IDAs is at appendix C. The FOIA officials may call the IDA directly to obtain assistance in determining whether a certain exemption applies.

c. If you cannot reach the IDA, call the FOIA officials at HQ, USARC for assistance. See paragraph 2-30 for telephone numbers.

### **2-21. Review of request**

The FOIA sets forth certain requirements for a given request to meet *before* the time limit of 10 working days for processing the request begins: The request must:

- a. Describe the documents being sought well enough that a person familiar with the records can locate them.
- b. Contain a statement of willingness to pay reasonable costs associated with processing the request. The requester may place a limit on this sum.

## 2-22. Control of request

To assure compliance with the time limits of the FOIA, regulations require that a formal control system be established for processing FOIA requests. Each command headquarters must identify an official responsible for processing requests. Disseminate guidance throughout the command to immediately refer to the FOIA Official any requests received.

- a. Use a date-stamp or pen, to indicate the date and time of receipt on the request.
- b. Assign a *Control Number* composed of the year and the order of receipt, e.g., 95-01 for the first FY 95 request, 95-02 for the second. Place this number on all correspondence relating to the request.
- c. Enter the request on a *FOIA register*, a register for tracking the processing of FOIA requests (fig 2-10).
- d. Assign a suspense date of 10 working days from the date of receipt by the FOIA Official. Do not establish the suspense date until you have a clear description of records desired and a willingness to pay statement. A letter of acknowledgment with **optional paragraphs** to request clarification or a statement of willingness to pay is at figure 2-8.
- e. Prepare a folder to store the request. Use FN 25-55a, FOIA Requests, Access, and Denials. If you do not process the request but instead forward it to another command for direct response to the requester, use FN 25-55j, Acknowledgment.
- f. Staple to the right side of the folder a DD Form 2086 (Record of Freedom of Information (FOI) Processing Cost) and DD Form 2086-1, (Record of FOI Processing Cost for Technical Data) for other than paper documents. Blank DD forms used in FOIA processing are in the back of DOD Directive 5400.7-R, DOD Freedom of Information Act Program. We also distribute these with the data call for the Annual FOIA Report by HQ, USARC. Enter the request control number into block 1 of the DD Form 2086. Keep track of all the time various individuals spend working on processing the request. After completing all action on the request, enter the processing time and calculate cost. Use the data on these forms to calculate costs for the DD Form 2564, Annual Report - Freedom of Information Act (para 2-31).
- g. Immediately start a chronology or *log* (fig 2-12) of events relating to the processing of the request. Staple a piece of paper inside the folder on the left side. The date the FOIA Officer received the request should be the first entry. Enter the date and action taken each time *anyone* works on the request. This chronology becomes invaluable if you receive questions later about any actions taken, especially if the requester files a lawsuit against the Army.

## 2-23. Figures

For clarity, we have provided examples of letters used in processing FOIA requests and other figures to illustrate the means used to control the processing of such requests. These figures, which appear at the end of this chapter are as follows:

- a. Figure 2-7 is an acknowledgment of receipt with optional paragraphs to cover common situations.
- b. Figure 2-8 refers a FOIA request to the rightful custodian of the requested record.
- c. Figure 2-9 is a "No Records Certificate."
- d. Figure 2-10 is a "FOIA Control Register."
- e. Figure 2-11 is a "FOIA Case Log."
- f. Figure 2-12 is a records call memorandum to a subordinate command in possession of the requested record.
- g. Figure 2-13 is a letter of informal extension (see para 3-12a) sent after the original acknowledgment sent upon initial receipt.
- h. Figure 2-14 is a memorandum to cover an IDA referral.

## 2-24. Acknowledgment of request

Immediately acknowledge receipt of the request in writing. Since a number of situations commonly pertain when a request arrives, several optional paragraphs are provided. If possible, release the requested documents at the same time that you acknowledge receipt of the request. For example, you receive a request for your staff directory or station list. If the list does not contain home phone numbers or addresses, sending it right away saves time. It is not necessary to prepare another letter to release the records. These sample letters are for guidance; actual requests might require some tailoring to the specific request.

- a. **Always** include the following in your acknowledgment (see fig 2-7):
  - (1) The date the FOIA Official received the request.
  - (2) The Control Number assigned to the request.
  - (3) The date when the requester may expect a response (which is 10 working days later) or use "we will respond in the time specified by law" (fig 2-7). Omit any reference to a response date if the request has no status under the FOIA because it is unclear or lacks an agreement to pay fees. Do not establish the 10 working day response time until the request meets the provisions of paragraph 2-21 above.
- b. Include the following optional paragraphs (fig 2-7) *as applicable* to the actual request:
  - (1) When omitted from the original request, request a statement of willingness to pay, signed by the requester.
  - (2) When not adequately described in the original request, ask for clarification as to exactly what documents the requester wants.
  - (3) Provide the office to which you referred the request, if your command is not the proper custodian of the requested records.

(4) Provide the requested documents, if the FOIA request contained a fees statement and the documents are already available and releasable.

(5) Provide the name and telephone number of the FOIA official who can provide any additional information.

## **2-25. Processing a request**

a. Requesting Responsive Records. If you did not release the documents with the acknowledgment letter, determine which offices (HQ or subordinate commands) have the requested records. Send memos requesting responsive records to all offices that may have records (fig 2-12). Hand-carry or fax the memo saves time.

b. Evaluating Documents Against FOIA Exemptions. Our policy is to release as much as possible at the lowest level.

(1) Evaluate the documents received against the nine FOIA exemptions. A list of exemptions with more detailed information is in paragraph 3-200, AR 25-55. A document that falls under one or more of the exemptions is exempt from mandatory release. You may refer it to the IDA with the recommendation that it be denied. Of the nine exemptions, only five occasionally pertain to the vast majority of requests received by the Army Reserve. These include:

(a) Exemption 1 - Classified matter.

(b) Exemption 2 - Internal rules and practices of an agency.

(c) Exemption 5 - Internal advice, recommendations and subjective evaluations, as contrasted with factual matters.

(d) Exemption 6 - Information protected by the PA.

(e) Exemption 7 - Law enforcement and IG records.

(2) Discretionary Release of Records. Even if a given record is covered by one of the nine exemptions it may be releasable, provided release of the exempt document would not harm the Army or any individual (see para 2-20, above).

c. Forwarding Documents to the IDA. Never risk releasing matter that may be exempt; always confer with the FOIA Officials at HQ, USARC and record their response on a Memorandum for Record (MFR) and place it in the case file. Paragraph 5-104, AR 25-55, requires that FOIA Officials obtain a legal opinion from their servicing judge advocate before they forward a FOIA request to an IDA for action. Paragraph 5-104 lists the required items to include. A sample memo for referring requests to the IDA is at figure 2-14 and the optional paragraph in figure 2-7 apprises the requester of referral to the IDA. Mail the referral memorandum to the IDA and the notification letter to the requester at the same time. Once you forward a request to the IDA, annotate your log to reflect that you have closed the case; place "INACTIVE" on the file label, and store the folder under file number 25-55a. Army Regulation 25-400-2 requires the retention of FOIA case files for 2 years. Since adequate records allow legal challenges to be deterred or overcome, it is important to properly maintain and store these records.

d. Excising third party personal information.

(1) Rather than refer a record to an IDA because the record contains a small amount of personal information relating to someone other than the requester, as the FOIA official, you are authorized to remove clearly personal information and release the rest of the record. Unless a witness in a report of investigation was promised confidentiality, names are not, by themselves, considered private information. Clearly personal information pertains to a named individual, their home phone number, home address, date of birth, social security number, net salary, results of medical examination, proficiency tests, evaluation reports or civilian appraisals, and other sensitive personal information are additionally provided (i.e., information that falls under the PA). To avoid violating the PA, either the identity or the private information about the person(s) must be excised. The former is usually preferable, since excision is minimized.

(2) The best way to excise personal information is to actually snip out the information from a copy of the document and reproduce the snipped out copy for release.

(3) The letter forwarding the records to the requester should inform the requester that third party personal information has been removed to protect the individuals from an unwarranted invasion of their privacy. Also, notify the requesters that they have the right to appeal the removal of third party personal information. Should they so object you should refer their objection to the appropriate IDA (optional paragraph in figure 2-7). Do not excise other types of information. The FOIA requires the referral of all documents containing other types of exempt information to the subject matter IDA.

e. Release of All Requested Records. A sample paragraph to use when all requested documents are releasable is at figure 2-7.

f. Partial Release of Requested Documents. A sample paragraph to use when you make a partial release of documents and send some documents to the IDA is at figure 2-7.

## **2-26. Extensions to response time limits**

There are two types of extensions, informal and formal.

a. Informal Extension. The law assumes an agency should be able to respond to FOIA requests within 10 working days. After 10 working days, a requester may file a lawsuit against an agency if it has not responded to the request. The courts, however, usually understand that sometimes this response date cannot be met when an agency has a large number of requests to be processed or the records are stored at several locations. Provided the agency can demonstrate diligence in processing the request, an interim reply before the 10 days are up should be accepted. To be valid, an interim reply must advise the requester of continued efforts to respond and state the approximate date when the decision on the request should be made (fig 2-13). No longer than 10 additional working days should be stated. Exceptional difficulties in locating or processing the responsive records may justify more than

one such interim response. Such responses should be used only when essential and not to defer response to the requester unnecessarily. Unless the requester objects to the later date for response in writing, the courts should accept such a statement of unavoidable delay as an informal extension to the time limit.

b. Formal Extension. If the requester does object, and circumstances necessitate additional processing time, a formal extension can be requested by appealing to higher authority. No more than one formal extension for an additional 10 working days can be requested.

c. Notify HQ, USARC FOIA officials whenever it appears you will not meet the 10 working day suspense and you cannot negotiate an informal extension (see para 2-30, for the USARC FOIA POC telephone numbers).

## **2-27. Fees for processing FOIA requests**

a. Categories of FOIA requesters.

(1) Charge news media, educational, and scientific purpose requesters for search time and reproduction costs, but not for the review of documents.

(2) Charge commercial use requesters for searching, reviewing and reproduction costs.

(3) Charge all other requesters (individuals, including foreigners) for search time and reproduction costs, but not for the review of documents. (Only fugitives from justice have no rights under FOIA.)

b. Fee Guidance (see app B, para B-1). All except the commercial requesters receive at no charge--

- (1) The first 2 hours of search time.
- (2) The first 100 pages of copies.
- (3) The first \$15 of service.

## **2-28. Coordination with SJA**

Coordination with an SJA for a written legal opinion is required as a part of any FOIA request referred to the IDA (AR 25-55; para 1-504). But it is a good policy to coordinate all FOIA correspondence other than routine acknowledgments with the SJA. Even though, as the FOIA Official, you should be the expert on the provisions of the FOIA, the SJA can keep you from making mistakes relating to stipulations of the law beyond the FOIA. One of the duties of the SJA is to serve as legal counsel to the commander, and as a records access specialist, you are acting in behalf of your commander. If the situation is urgent and the servicing SJA is unavailable, you should contact FOIA officials at HQ, USARC for assistance (para 2-30).

## **2-29. The Annual FOIA Report (RCS: DD-PA(A) 1365)**

Interim Change 1 to AR 25-55 revises guidance for preparing the annual FOIA report. Use the DD Forms 2086 discussed in paragraph 2-22f, above, to gather the figures for this report. Include search and coordination time by other command personnel, such as secretaries who were tasked to produce or copy records and prepare transmittal documents. When numerous requests are processed, time in addition to that spent on individual requests may be justified

for organizing and administering the FOIA program as a whole.

## **2-30. Headquarters, USARC FOIA officials**

a. Headquarters, USARC FOIA and SJA officials process numerous FOIA requests and are familiar with the provisions of the law. You should call upon them for assistance whenever necessary. Furthermore, because higher headquarters bears responsibility for the administration of the FOIA at subordinate headquarters, coordination is a formal requirement whenever it appears that you will not meet the 10 working day suspense or you are not certain how to proceed. You should contact HQ, USARC FOIA officials as soon as you encounter a problem.

b. HQ, USARC FOIA Officials are:

(1) Mr. David Goldsmith, USARC FOIA Officer, (404) 629-8959 or 1-800-359-8483, ext. 8959.

(2) Mrs. Wanda Dickinson, Chief, Admin Policy Branch, (404) 629-8958 or 1-800-359-8483, ext. 8958.

(3) Mr. Hal Lotman, FOIA Coordinator, contact via TDD. To reach the TDD, call 1-800-255-0135 and ask for 1-800-359-8483, ext. 8960.

## **Section IV**

### ***Privacy Act (PA) Administration***

#### **2-31. Verbal requests**

The Privacy Act is a Federal Law (Title 5, U.S. Code, Section 552a) implemented by DOD Directive 5400.11-R, Privacy Program, and AR 340-21, The Army Privacy Program. Unlike the FOIA, which requires that requests for records be submitted in writing, requests under the PA may be oral and by phone. To avoid the possibility of an unlawful release of private information, the receiving official should insist upon sufficient information to establish that the requester is legitimate. Test the identity of the caller by asking questions an impostor could not answer. If any doubt remains, require the caller to appear with a picture ID card. Under the PA, the data subject may obtain one copy of his or her record at no charge (AR 340-21, The Army Privacy Program, para 2-8). Any questions should be directed to the USARC PA administrative officials identified below.

#### **2-32. Privacy Act violations**

a. Impersonating a Data Subject. Is gaining access to another's private record by means of deception.

b. Denial of Access. Is denial of a request from an individual for a record identified by that person's name or other identifier (except in unusual circumstances specified in AR 340-21; e.g., para 2-5 and 2-9). In questionable cases, you may refer the request to an Access and Amendment Refusal Authority (AARA) for resolution; this action does not constitute a denial. The AARAs are identified in AR 340-21, paragraph 1-7.

c. Unlawful Disclosure. Unless the data subject consents or previously consented to the release of his or her own private records, requests from another individual for a record identified by a person's name or other personal

identifier must be denied. Exceptions for unusual circumstances are specified in AR 340-21, paragraph 3-1. The release of private information through negligence, such as discarding the record intact in a recycling bin, represents unlawful disclosure in the absence of a request as such. Also unlawful disclosure is violating the terms of the PA Advisory Statement on the basis of which the individual divulged the private information. Bail bondsmen and attorneys who present a release consent form are the agents of the data subject. Therefore treat them as if they were the data subject, and for this reason, are not levied charges, even though these are clearly commercial concerns.

d. Refusal to Amend (Correct). A PA-protected record that the data subject proves to contain errors of objective fact (as opposed to opinions) must be corrected (AR 340-21, para 2-11). In questionable cases, you may refer the request to an Access and Amendment Refusal Authority (AARA) for resolution. Such action does not constitute a denial. For Reserve military members, the AARA is the Adjutant General, see AR 340-21 (the Army Privacy Program) paragraph 1-7.

e. Tampering. To alter a PA-protected record without substantiating documentation that establishes the record was in error is a violation of the PA. Investigate any evidence of tampering immediately.

f. Unauthorized Recordkeeping. Any record to contain private information must be approved by the Archivist of the United States. The first step in this process is to publish a complete justification with a description and explanation in the Federal Register. If approved, the new "system of records" is assigned a PA Systems Notice Number that becomes a part of the MARKS entry for that record in AR 25-400-2. The PA Systems Notice must be included in the file label. Keeping records on the exercise of rights conveyed by the first amendment is specifically cited by the regulation (AR 340-21, para 4-5) as violating the PA.

g. Unlawful Acquisition of Private Information. Private information solicited from an individual is subject to a PA Advisory Statement. This statement must explain in what manner and to what end the information is requested, whether disclosure is voluntary, and the effect of refusing to respond.

h. Extortion. Demanding payment for services to which the requester is entitled at no charge is unlawful.

### **2-33. Recordkeeping requirements**

a. Disclosure. Record the release of information from a private record in a memorandum for record (MFR). The MFR should state the circumstances surrounding the release and precisely the information or document that was released (AR 340-21, para 3-4). Attach a copy of the MFR to the released record.

b. Amendment. Make an MFR of the change and specify the substantiating documentation the requester presented to prompt the correction. If possible, attach a copy of the documentation used. Attach a copy of the MFR to the amended record.

c. Precision. The PA inherently requires records custodians to ensure accuracy in private records for which they are responsible.

### **2-34. Implementation of the PA**

The key factor in the daily administration of the PA is awareness - awareness based upon an appreciation for privacy that is not limited to specific items on a checklist. Rather than using a long checklist of detailed items, responsible officials develop a broader PA consciousness or frame of mind. That is why the things to be aware of on a daily basis are best stated in more general terms:

a. Alertness. Be privacy conscious - be on the look-out for private information left open to view.

b. Training. Train all personnel in the requirements for and encourage them to be mindful of protecting the privacy of others. Confirm that all personnel are familiar with what information can and cannot be disclosed (AR 340-21, para 3-3, and FORSCOM Poster 113-R, PA Information for Desk Top).

c. Avoid the Unnecessary Collection or Keeping of PA-protected Information. Always question whether the use of social security numbers (SSNs), home telephone numbers and home addresses is really necessary. Locally created forms should never call for information already available.

d. Memory Aid. Place FORSCOM Poster 113-R, Privacy Act Information for Desktop, near every phone.

e. Physical Security (AR 340-21, para 4-4).

(1) Store all records on individuals, including personal, financial, and medical records, in a controlled area and are kept under lock when not in use.

(2) Use "FOR OFFICIAL USE ONLY" (FOUO), DA Label 87, or "PERSONAL IN NATURE" (PIN), USARC Label 1-R, protective coversheets on all private records whenever removed from the controlled area. (A copy of USARC Label 1-R is at the back of this publication for local reproduction.)

(3) Treat other media, such as fax and e-mail, the same as paper records; indicate "FOR OFFICIAL USE ONLY" or "PERSONAL IN NATURE" on transmission cover sheets and at the beginning of your message.

(4) Limit access to controlled areas (MPRJ's; civilian personnel folders; PFRs, medical records) to those assigned to these areas. Prohibit access to others, and document violations of these restrictions.

(5) Never discard PA protected information in waste baskets, recycling bins, or outdoor refuse containers - always shred it. Mount posters on trash and waste receptacles to prevent such disposal.

(6) Use only envelopes that fully conceal contents to mail private information.

(7) Computers. Lock computers with hard disks containing privacy act information in the off position when not in use. If this is not possible, lock the room in which the computer is located. Secure computer "floppy" disks containing privacy act information when not in use.

(8) Copy machines. Ensure that no documents containing privacy act information are left at or disposed of at the copier.

(9) Computer Bulletin Board Systems. Ensure no Privacy Act information is posted on a computer bulletin board system.

f. Lawful Acquisition of Private Information. Assure that a PA Advisory Statement appears on every locally produced form used to solicit private information from individuals.

g. Record Violations. Report breaches in privacy and violations of the PA to your Command Group.

### **2-35. Requests for PA-supporting materials**

Staff agencies within and subordinate to HQ, USARC can obtain any forms or publications they need to implement the PA through normal publications supply channels.

### **2-36. PA-related assistance**

Refer any questions that may arise to PA officials in the Administrative Services Division, Deputy Chief of Staff, Information Management.

## **Section V**

### **Management Information Control System (MICS) Program**

#### **2-37. The USARC Management Information Control System (MICS) Program**

a. Directive: AR 335-15, Management Information Control System.

b. Our MICS program certifies the HQ, USARC need to collect data. The Requirement Control Symbol (RCS) is our "Good House Keeping Seal of Approval." This certifies the information request is necessary and that we are asking for the absolute minimum amount of management information needed to manage our programs. We evaluate each data request against the workload imposed upon the subordinate commands. We determine; if the information requested is mission essential; if the information is available at the headquarters; if the request duplicates already existing data; or, if the frequency of the request is necessary.

c. Our MICS program applies to hard-copy, computer generated, and **telephonic** requests.

#### **2-38. Establishing an effective MICS Program**

a. General.

(1) The following information is provided to help you establish an effective MICS program.

(2) Army Regulation 335-15 prescribes policy and procedures for approving and reviewing information requests and products responding to such requests.

b. The Management Information Control Officer (MICO). Your MICO is the heart and soul of your MICS program. The MICO needs tact and patience; so choose your MICO with care. Each MSC-Level command should appoint a MICO and forward a copy of the appointment orders to HQ, USARC, ATTN: AFRC-IMA-R (MICO).

(RCS Exempt, AR 335-15, para 5-2a(1).) The MICO is usually assigned to the DCSIM, ACSIM, or DOIM. The MICO's duties are described in USARC Regulation 25-1, paragraph 8-8c. The purpose of the MICO is to--

(1) Minimize disruptions to subordinate workload by controlling one-time and telephonic requests for management information. The MICO should not allow telephonic requests to circumvent the MICS program.

(3) Streamline workload by ensuring data is requested from the highest level where the consolidated information is available (e.g., SIDPERS-USAR), not from each unit where the information is maintained.

(4) Assure sufficient response time is allowed when submission of management information is requested. Suspenses to USAR units should allow time to work on the suspense during one drill, or more if possible.

(5) Evaluate all locally-generated recurring reporting requirements for current need and uses of the data against the workload and cost impact at all levels. The MICO reviews each requirement at least every 3 years. Results of this review are filed in the specific management information control system case file, file number 335-15a.

c. We recommend that the very first thing the MICO does after appointment is to see the command publications officer. Make sure that the command's DA Form 17 to USARC Publications has FORSCOM Circular 25-XX-9, List of Approved Recurring Management Information Requirements, and USARC Circular 25-XX-13, List of Approved Recurring Management Information Requirements. These two publications contain a wealth of information about recurring requirements. They tell you the RCS, title, frequency, preparing agencies, and action agencies for DA, FORSCOM, and USARC recurring information requirements. We also suggest that the MICO contact their CONUSA MICO and obtain a copy of the CONUSA's List Of Approved Recurring Management Information Requirements.

d. The MICS circular: List of Approved Recurring Management Information Requirements. This circular is an index to all the command's recurring reporting requirements.

(1) As the MICO, you should review the last edition of your MSC's MICS circular and have it staffed for currency, pertinent information, and necessity.

(2) If there is no MICS circular, request the staff to review their recurring reporting requirements. They should provide the following information: RCS, proper title, reporting frequency, prescribing directive, preparing agency, and the proponent or action agency at the MSC headquarters. The staff must include **all** USARC, CONUSA, FORSCOM, other MACOMs, recurring requirements in addition to the MSC's recurring requirements.

(3) After you review the circular, publish it in a form similar to USARC Circular 25-XX-13, List of Approved Recurring Management Information Requirements. Don't forget to provide a copy to USARC,



ATTN: AFRC-IMA-R (MICO). (RCS Exempt, AR 335-15, para 5-2d.) The MICS circular is the most important document in the MICS program. It announces to the world what recurring requirements the MSC has authorized for the headquarters and subordinate commands. The MSC list should contain all MSC, USARC, CONUSA, FORSCOM, and other MACOM recurring information management reports. Publish the circular at least annually.

e. The Management Information Control System Liaison Officer (MICLO). The MICO cannot do it all. We found the best method to manage the program is for each staff agency to designate a MICLO. The best choice for the MICLO would be someone who normally sees most of the staff agency's correspondence before it is signed. . The MICLO's duties are explained AR 335-15, paragraph 1-7e, and include the following:

(1) Serves as the POC between the MICLO's staff agency and the USARC MSC , DRC, or Installation MICO.

(2) Becomes familiar with the procedures in AR 335-15.

(3) Educates personnel in their staff agency, especially those authorized to sign correspondence, that any request for one-time information or recurring requirement must cite an RCS or an AR 335-15, chapter 5, exemption statement. (Exceptions to this policy are published annually in a USARC circular.) This applies to both written and verbal requests.

(4) Reviews and signs their agency's requests for an RCS (DA Form 335-R).

(5) Ensures RCSs are cited in accordance with instructions and procedures in this pamphlet.

f. The MICS Committee. To be effective, each MICLO needs MICS training. An effective method of training is to establish a MICS committee. The committee would meet at stated intervals and at the call of the committee chairperson. The committee would be a forum on MICS problems, new procedures, and sharing knowledge about various databases within the headquarters. Each meeting would also have a short MICS training period and a guest expert who could give a short discussion of a database available within the headquarters. At figure 2-15 is the USARC MICS committee charter.

g. Present an RCS for requests for recurring reports. Place an exemption statement in each exempt request that is not on the list of obviously exempt requirements.

h. Prescribing directives for RCSs. All RCSs must be prescribed by numbered directive publications (i.e., circulars, regulations, supplements, or publication-type memorandums). The USARC, its MSCs, and installations should publish prescribing directives in accordance with procedures in this pamphlet. Do not use directives from other commands as prescribing directives for requirements, unless they are supplemented. Publish all directives as numbered publications (i.e., circulars, regulations, supplements, or publication-type memorandums). Correspondence-type memorandums, electric messages and

similar documents are not authorized directives. However, a correspondence-type memorandum or electric message may be used as a directive for a short period of time (up to 1 year) to allow time for adjustments to fine-tune the requirement and for the directive to be published.

i. The USARC MICO is ready to assist you in establishing or improving your MICS program.. Report abuses of the MICS to HQ, USARC, ATTN: AFRC-IMA-R.

### **2-39. Requesting a Requirement Control Symbol (RCS)**

a. Action officers desiring to initiate a new recurring requirement or revise an already existing RCS need to apply for an RCS or a revised RCS. They do this by completing a DA Form 335-R, Application for Approval of Management Information Requirement (see figure 2-16).

b. The preparing staff's Management Information Control Liaison Officer (MICLO) should review all recurring management information requirements originating within their staff. This review is to ensure the information request is mission essential; does not duplicate information already available; and contains an RCS.

c. Requests for recurring management information that are not exempt from AR 335-15, require a valid RCS approved by you as the Management Information Control Officer.

d. Before implementing any reports, you should validate all recurring reporting requirements using the DA Form 335-R.

### **2-40. How to complete the DA Form 335-R, Application for Approval of Management Information Requirement**

a. Action Officer's instructions for completing the DA Form 335-R.

(1) Block 1 - THRU: Type the staff agency's office symbol and add "(ATTN: MICLO)." If there is no staff MICLO then leave blank.

(2) Block 2 - TO: Type the command's DCSIM/ACSIM/DOIM office symbol and add "(ATTN: MICO)". You may want to add the mailing address, if the MICO is not located at your center.

(3) Block 3 - FROM: Type the name, office symbol, and mailing address of the requesting agency.

(4) Block 4 - TITLE: Enter the title of the requirement.

(5) Block 5 - DATE: Enter the date in the DOD standard format, i.e., YY MM DD.

(6) Block 6 - ACTION OFFICER: Self-explanatory. Do not forget to include the action officer's phone number.

(7) Block 7 - PRESCRIBING DIRECTIVE: Enter your command's directive here. To use a directive from another command as a prescribing directive for your requirements it must be supplemented by your command. Publish all directives as a numbered publication, i.e., a circular, regulation, supplement, or publication-type memorandum. Correspondence-type memorandums, electric messages and similar documents are not authorized directives. However, a correspondence-type memorandum or electric message may

be used as a directive for a short period of time (up to 1 year). This allows staff time for adjustments to fine-tune the requirement and publish a directive.

(8) Block 8 - TYPE OF REQUEST: Check the appropriate box.

(9) Block 9 - Frequency: Type the symbol for the frequency. These symbols are shown below:

- H - Hourly
- D - Daily
- W - Weekly
- SM - Semimonthly
- M - Monthly
- Q - Quarterly
- SA - Semiannually
- A - Annually
- BE - Biennial
- R - As Required

(10) Block 10 - ESTIMATED DURATION OF REQUIREMENT: Self-explanatory.

(11) Block 11 - SUBMISSION DATE: Enter the date(s) the requirement is (are) due, in the DOD standard format, i.e., YY MM DD.

(12) Block 12 - FORM NUMBER: Enter the appropriate form number. If a new form, submit a DD Form 67 for the new form and attach to the DA Form 335-R.

(13) Block 13 - MINIMIZE: If the requirement is to be transmitted electrically, enter "MIN" to indicate continued transmission under MINIMIZE conditions, or "NON-MIN" to signify that the transmission by other than electric means during MINIMIZE. If the requirement is not transmitted electrically then enter "NA." Most requirements should be marked "NA."

(14) Block 14 - MOBILIZATION STATUS: Enter the status of the requirement under mobilization or national emergency. Use one of the following codes:

- NC - No Change
- M - Modify
- R - Rescind
- I - Initiate

(15) Block 15 - SECURITY CLASSIFICATION: Enter the appropriate security classification of the requirement.

(16) Block 16a - STATE NEED FOR REQUESTED DATA: Justify the need for the requirement, including the reporting frequency. Use words like monitor, manage, and control. **The last sentence in this block should always be:** "Information cannot be gathered from command, Inspector General inspection reports, audits, staff visits, surveys, or other management information requirements." The Director of the requesting staff agency is certifying that this information is not available through any source, except the requested requirement.

(17) Block 16b - ACTION TO BE TAKEN ON DATA: State the purpose of the requirement. Explain what will be accomplished and what economies will be effected. The key words for this block are: Manage, control, monitor. You must use the data collected to manage a particular program.

Information gathered "just in case" is not a valid action and will automatically result in disapproval of the request.

(18) Block 17 - APPROVAL REQUESTED BY: Type the director of the agency requesting the requirement name here. The Director of the requesting staff agency is certifying that this information is not available through any source, except the requested requirement. Only the director or deputy director can sign the form.

(19) Block 18 - APPROVAL RECOMMENDED BY: The staff agency MICLO signs here. If there is no staff agency MICLO leave blank.

(20) Block 19 - COORDINATION: List the individuals, their agencies, and telephone number.

(21) Block 20 - REQUIREMENT TO BE REVISED, RESCINDED OR REPLACED: List here any requirement(s) that are revised, rescinded or replaced by the requested requirement.

(22) Block 21 - SOURCE RECORDS: List here source documents for the report, if known.

(23) Block 22 - COST ESTIMATE: Enter the cost estimate developed in accordance with paragraph 5-6, below. An example of a cost estimate is at figures 2-18 and 2-19.

(24) Block 23 - CONFORMANCE WITH DATA ELEMENTS AND CODES STANDARDIZATION PROGRAM: Leave blank.

(25) Block 24 - PREPARING AGENCIES:

(a) Column a, NAME/CLASS/GROUP: list each agency or group of agencies involved in preparing data for the proposed requirement. For example a requirement that all CSS units provide certain information, would state "CSS Units."

(b) Column b, NUMBER: Enter the number of units/groups. In the example above, CSS units, enter the number of CSS units required to provide data.

(c) Column c, SUBMISSIONS PER YEAR: Enter the total number of submissions required per year. For example a quarterly requirement would show "4" in this block, and an annual requirement would show "1."

(26) Block 25 - FOR USE OF MANAGEMENT INFORMATION CONTROL. The preparer leaves these blocks blank.

b. The MICO's instructions for completing the DA Form 335-R.

(1) After review of the request, the you may approve, approve in part, or disapprove the request. Should you approve the request, complete the following blocks on the DA Form 335-R.

(a) Block 25a - APPROVED BY: Sign here as the MICO with jurisdiction.

(b) Block 25b - DATE: Enter the date approved in the standard DOD form, i.e., YY MM DD.

(c) Block 25c - REQUIREMENT CONTROL SYMBOL ASSIGNED: Enter the approved RCS here, using the procedures in para 2-42, below, to construct the RCS.

c. Prepare a transmittal to the requesting agency (see figure 2-19).

d. **Reminder!** We encourage MICOs to negotiate with the requesting agency to obtain the longest reporting intervals and pare the information requested to the minimum needed for mission essential information.

#### **2-41. Determining estimated costs of management information requirements for Block 22, DA Form 335-R**

The following is a simplified method to estimate the costs of a management information requirement (see figures 2-17 and 2-18). Army Regulation 335-15, appendix B, provides a detailed guide.

a. Developmental costs:

(1) These are the one-time costs for actions taken to establish a new requirement or revise an already existing requirement. Developmental costs include all costs incurred in developing the requirement.

(2) Personnel. Determine the actual number of man-hours used to develop the requirement.

(a) Military personnel. Use the current FY Composite Standard Rates to convert military man-hours used in to dollars. The FY Composite Standard Rates are published annually, in the First quarter of each fiscal year, by DFAS message and in the All Points Bulletin. Your local finance office or Resource Management directorate should be able to provide you with a copy. If not available locally, contact the USARC MICO for a copy. The composite standard rates include more than just pay, so do not use the pay chart to determine military costs. If not available locally, contact the USARC MICO for a copy

(b) Civilian personnel. Use the current FY pay chart to determine the actual costs. Your local finance office or Resource Management directorate should be able to provide you with a copy. If not available locally, contact the USARC MICO for a copy.

(3) Requirements which do not involve main-frame ADP equipment should leave column c blank. Otherwise enter the cost of the main-frame time here.

(4) Material cost estimates include computer disks, paper, and other office supplies. Leave column d blank if the cost of these supplies is unknown or estimated to be less than \$10.00.

(5) Other. These are costs other than personnel, ADP, material, and overhead. If unknown, or less than \$10.00 leave this column blank.

(6) Overhead. Overhead includes supervision, operating costs, and approvals. If these costs are unknown, use 25% of the personnel costs.

(7) Total. These are the total costs. Add costs across the row to determine the total for developmental costs.

b. Operational Costs. These are the expenses incurred to collect and transmit the requirement to the proponent or action office.

(1) Compute operational costs are annual expenses incurred.. Biennial, triennial and as required requirements are computed for one report.

(2) Personnel. Estimate the number of man-hours used to compile the report and transmit it to the proponent

or action office. Use the method described in paragraph 2-41a(2), above.

(a) When the military rank of the preparer is unknown use \$30.00 per hour as the base rate.

(b) When the civilian pay grade is known and the step is not known, use step 5 for that grade to compute the hourly base rate. Otherwise use the actual grade and step rate.

(c) When the civilian pay grade is not known use \$30.00 per hour as the base rate.

(d) If the exact number of man-hours required to complete the requirement is unknown, estimate the number of man-hours for the average reporting element. Multiply the estimated average times the number of reporting elements. Then take the sum of that and multiply it by the number of reports to determine the total number of man-hours. Multiply the total number of man-hours times \$30.00 to get the estimated operational personnel costs. Enter this amount in operational personnel (column b).

(3) Requirements which do not involve main-frame ADP equipment should leave column c blank. Otherwise enter the cost of the main-frame time here.

(4) Material costs. Material costs include computer disks, paper, envelops, other office supplies, and postage. Estimate the average material cost for the average reporting element for one report. Multiply this average times the number of reporting elements, times the number of reports required. For example the average reporting element is estimated to consume \$2.00 in materials per report and there are 20 reporting elements, required to make a quarterly report; the cost would be 2 (dollars) X 20 (reporting elements) X 4 (quarterly report) = 160. Enter the total in the operational material (column d). If the report had been an annual requirement the total would have been \$40.00 (2 X 20 X 1 = 40). Leave column d blank if the cost of these supplies is estimated to be less than \$10.00.

(5) Other. These are costs other than personnel, ADP, material, and overhead. If unknown, or less than \$10.00 leave this column blank.

(6) Overhead. Overhead includes supervision, operating costs, and approvals. If these costs are unknown, use 25% of the personnel costs.

(7) Total. These are the total costs. Add costs across the row to determine the total for operational costs.

c. The total row. Add the columns and enter the totals in the appropriate box.

#### **2-42. Construction of Requirement Control Symbols (RCSs)**

a. General: Each MSC MICO reviews and approves; approves in part; or disapproves requests for new or revised controllable management information requirements developed by their MSC.

b. Establishing a new Requirement. When you, as the MSC MICO, approve a new request for management information, assign an RCS. For complex information requests involving various subjects, periods, or submission

dates, you may assign a separate RCS for each element or assign one RCS for the entire complex requirement.

c. Revising an RCS. Assign a revision suffix to an already existing RCS when the data required is expanded, the frequency increased, or additional respondent agencies are added. Revisions which reduce the data required; the frequency; or the number of respondent agencies do not need a revision suffix.

d. One-time requirements. A one-time requirement is signified by (OT) inserted between the prefix and the number, i.e., RC77-(OT)-004.

e. Do not use an already existing or rescinded RCS for another requirement. Should you reinstate a rescinded requirement, assign a new RCS.

f. Construction of RCSs for management information required by the U.S. Army Reserve command and its subordinate MSCs, Direct Reporting Commands (DRCs), and installations.

(1) **Construction of HQ, USARC RCSs.** The prefix for HQ, USARC-approved RCSs is "RC" followed by the fifth and six letters of the proponent agency's office symbol. The number of the RCS is separated from the prefix by a dash. Number each RCS in sequence, i.e., RCEN-001, RCOP-002, RCCH-003.

**Examples of HQ, USARC-approved RCSs:**

- **RCOP-002** - This is the second HQ, USARC requirement assigned an RCS. DCSOPS is the proponent for this RCS.
- **RCCH-003(R1)** - This is the first revision of the third HQ, USARC requirement assigned an RCS. The Office of Chaplain is the proponent. The revision is signified by (R1). Other revisions are indicated by (R2), (R3), and so on.
- **RCFD-(OT)-016** - This one-time requirement was the 16th HQ, USARC requirement assigned an RCS. DCSFOR was the proponent. A one-time requirement is signified by (OT) between the prefix and the requirement number.

(2) **Requirement Control Symbol construction for MSCs, and DRCs.** These RCSs are composed of the prefix "RC" followed by the numerical designation of the unit or the Brevity code for the DRC. The number of the RCS is separated from the prefix by a dash. Each RCS is numbered in sequence, i.e., RC90-001, RC90-002, RC90-003.

**Hypothetical Examples:**

- **RC19-001(R4)** - Fourth revision of the first 19th Theater Army Area Command approved RCS.
- **RC65-001** - First 65th ARCOM approved RCS.
- **RC75-OT-009** - Ninth 75th Division (Exercise) approved RCS. "OT" signifies This as a one-time requirement.

(3) **Construction of USARC Subordinate Installation RCSs.** The RCS is composed of the prefix "RC-" followed by the initials of the installation. The three letters after RC

signifies these as Installation rather than HQ, USARC requirements. (Remember USARC requirements have only 4 letters before the dash, i.e., RCCH-003(R1), RCOP-007.) The number of the RCS is separated from the prefix by a dash. Each RCS is numbered in sequence, i.e., RCFMC-001, RCFMC-002, RCFMC-003.

**Hypothetical Example:**

- **RCFMC-001(R4)** - Fourth revision of the first Fort McCoy approved RCS.
- **RCFD-002** - Second Fort Dix approved RCS.

g. You do not have to change your already existing RCSs that do not conform with the conventions in paragraph 2-42f, above. Change them to conform with these conventions after you reviewed and found them current (see paras 2-38b and d above).

**2-43. Citing an RCS or exemption statement**

a. Citing an RCS Number. Assign an RCS number to validated recurring reports and one-time reports that impose a significant workload (more than 30 minutes to complete). The RCS number is composed of the prefix "RC" followed by the numerical designation of the unit, and a sequence of numbers that would apply for both one-time and recurring data requests; for example, RC87-001, RC123-(OT)-002, RCARTTC-003, and RC311-004. (*The "(OT)" in the second example signifies a one-time requirement.*) Installations use the "RC-" prefix with the initials of the installation vice the numerical designation., for example: RC-CP-001, RC-FHL-002, RC-FM-003, and RC-FP-004 for requirements from Camp Parks, Forts Hunter Liggett, McCoy and Picket. Do not reissue or transfer an already existing or rescinded RCS to another requirement. Should the MICO approve the need to reinstate a rescinded requirement, a new RCS is assigned.

b. Citing an exemption statement. Evaluate one-time information requests not imposing a significant workload (less than 30 minutes to complete) and, if approved, state that the request for the management information is exempt from the requirement to cite an RCS number; for example: **"This information requirement is RCS exempt: AR 335-15, paragraph 5-2a(4)."** A complete list of exemptions is found in AR 335-15, chapter 5.

c. Citing RCS numbers and exemption statements in publications. All publications that require management information be provided **are required to** contain either an RCS number (if the requirement is recurring), or a statement that the reporting requirement is exempt from the need to assign an RCS number (see para (2) above).

**Section VI**

**Nonstandard Filing and Storage Equipment**

**2-44. Nonstandard file equipment**

As installation and MSC records managers, you should review requests for nonstandard filing equipment. During this review, you should perform a cost comparison to validate the effectiveness and efficiencies realized using

nonstandard filing equipment over standard filing cabinets. Forward a memorandum requesting administrative approval of the equipment, together with a copy of the cost comparison, to the USARC, ATTN: AFRC-IMA-RM, before initiating procurement action. Upon written approval from the USARC, use this Requirements Statement Number to procure the required item(s). Items costing in excess of \$24,999 are capital investments and require OPA dollars.

## ***Section VII***

### ***Construction of Office Symbols***

#### **2-45. General**

a. Directives:

- (1) AR 340-9, Office Symbols.
- (2) USARC Suppl 1 to AR 340-9, Office Symbols.

b. Follow the guidance in USARC Suppl 1 to AR 340-9 to construct your office symbols. For RSGs, RSCs, ARCOMs, Divisions, NAAD and ARRTC, see paragraph 7.10. For functional commands, see paragraph 7.11. For installations and sub-installations see paragraph 7.12.1.

#### **2-46. Common errors**

During our Records Management surveys, we found the following common office symbol construction errors:

- a. Too long.
- b. Had hyphens incorrectly placed.
- c. Contained numbers.

#### **2-47. Guidelines for construction of office symbols**

a. The USARC assigns the first seven or eight letters. The maximum number of letters are:

- (1) Twelve letters for Direct Reporting Commands.
- (2) Ten letters for installations (i.e., Fort McCoy).
- (3) Eleven letters for sub-installations.

b. The location of the hyphens varies. See USARC Suppl 1 to AR 340-9 for their exact placement.

c. Do not use numbers.

d. Use "X" only for executive officers or executive assistants. Examples: AFRC-ACA-XO (63d ARCOM chief executive officer) and AFRC-APR-IMX (65th ARCOM DCSIM executive officer).

e. Office symbols for "G" staffs use USARC Staff element in construction of their office symbols, i.e., G-1 corresponds to DCSPER, HQ, USARC

## ***Section VIII***

### ***Control of TOP SECRET and NATO Material***

#### **2-48. TOP SECRET accountability and control**

a. TOP SECRET Control Officers and alternates.

(1) All TSCOs and alternates must possess a final TS clearance.

(2) The TSCO appointed within each element that handles TS material must be a properly cleared commissioned or warrant officer, SFC, or GS-7. Exceptions to this policy are contained in FORSCOM Supplement 1 to AR 380-5, paragraph 7-300a. A SGT or above, or a civilian GS-4 and above, can be appointed as the alternate TSCO.

b. The USARC Headquarters TSCO (and/or alternate) should--

(1) Establish a TS subregistry for the control of all TS documents and material received.

(2) Receive, dispatch, and maintain accountability register of all TS documents and material.

(3) Maintain an up-to-date access roster indicating individuals who have been granted access to TS documents and material.

(4) Maintain a current, accurate system of accountability, within the Headquarters, of all TS documents and material.

(5) Maintain the lowest number of TS documents possible consistent with requirements. Destroy non record and reading file copies as soon as practical.

(6) Ensure an annual review of all record copies of TS documents and material (if any) for possible destruction, downgrading, declassification, or retirement.

(7) Conduct a 100 percent inventory of all TS documents by 31 December of each year to reconcile all documents and material on hand with those listed on the TS accountability register.

c. Commanders of MSCs that possess or might receive TS documents or material should appoint a TSCO and at least one alternate in accordance with USARC Regulation 25-1, paragraph 2-3b(3).

d. The MSC and reporting installation TSCO (and/or alternate) should--

(1) Receive, dispatch and maintain an accountability register of all TS documents and material.

(2) Maintain an up-to-date access roster indicating individuals who have been granted access to TS documents and material.

(3) Maintain the lowest number of TS documents possible consistent with requirements. Destroy non-record and reading file copies as soon as practical.

(4) Ensure an annual review of all record copies of TS documents and material (if any) for possible destruction, downgrading, declassification, or retirement.

e. Inventories. Conduct inventories of 10 percent of TS documents monthly. File monthly inventories under AR 25-400-2 or DA Pam 24-400-2, as appropriate. This will ensure that by the tenth month, a 100 percent reconciliation will be made of all documents or material on hand with those listed on the TS accountability register, DA Form 455 (Mail and Document Register). A 100 percent inventory conducted on or about 1 April each year is permissible when compliance with the 10 percent monthly inventory requirement creates a hardship due to personnel shortages, training requirements, and/or participation in maneuvers/exercises.

f. Accountability.

(1) Account for all TS documents using DA Form 455, in accordance with AR 380-5, para 7-300. The DA Form 3964 (Classified Document Accountability Record) may be used as a single entry register. These forms will be used in subordinate elements to show the receipt, dispatch, downgrading or destruction of all TS material.

(2) Account for TOP SECRET documents and material in non-erasable ink with a continuous chain of receipts on DA Form 969 (TOP SECRET Document Record). Maintain the DA Form 969 for a period of 5 years.

g. Destruction. Use DA Form 3964 (Classified Document Accountability Record) as a record of destruction. Serial number the DA Form 3964 by calendar year. Note the serial number and the date of destruction record on the TS register (DA Form 455) to indicate the material to be destroyed. Do not destroy, downgrade, declassify or retire TOP SECRET material without the approval of the activity/installation TSCO or Alternate. Maintain records of destruction for 2 years.

**2-49. NATO control subregistry and control points**

a. Procedures for processing and maintaining NATO classified documents are contained in USSAN Instruction 1-69 (see AR 380-15).

b. The USARC Headquarters NATO Control Officer (and/or alternate) should--

(1) Establish and maintain a NATO Control Subregistry for the command.

(2) Establish and disestablish NATO control points for the command.

(3) Receipt for and log in all NATO classified material addressed to NATO control points on USARC Form 50-R, NATO Document Register. A blank copy of the form is provided at the back of this regulation for reproduction purposes.

(4) Send NATO classified documents to the appropriate NATO control point as required.

(5) Destroy outdated NATO documents when no longer needed in accordance with the instructions contained in USSN Instruction 1-69.

(6) Ensure that the combination to the safe containing NATO classified material is changed at least once a year and upon departure or reassignment of individuals having access to classified containers.

(7) Conduct a joint inventory of all COSMIC TOP SECRET, ATOMAL and NATO SECRET material upon change of NATO Control Officers.

(8) Conduct an inventory of all COSMIC TOP SECRET, ATOMAL, and NATO US-SIOP material on hand at the end of each calendar year. The results of the inventory must be sent to the U.S. Registry, Washington D.C.

c. The MSC and reporting installation NATO Control Officer (and/or alternate) should--

(1) Receipt for and log in all NATO classified material on the USARC Form 50-R, NATO Document Register.

(2) Destroy outdated or no longer needed documents or material in accordance with the instructions contained in USSAN Instruction 1-69.

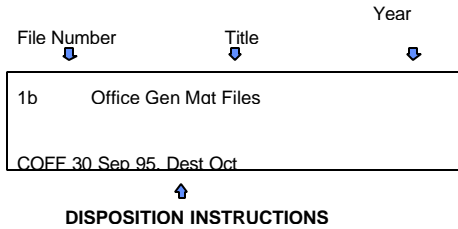
(3) Ensure that the combination to the safe containing NATO classified documents or material is changed at least once a year.

(4) Provide HQ, USARC with an updated copy of DAAG 29 (Subregistry/Control Point Signature List) and an inventory of all NATO classified documents and material on hand as of 31 Dec of each year.

<b>DCSPER, RPD, EM BRANCH</b>			
<b>File media number</b>	<b>Privacy Act Title/brief description</b>	<b>System Notice</b>	<b>Media</b>
1a	Office file numbers Approved list of numbers	NA	Paper
1e	Housekeeping instructions Copies of documents directing internal administrative procedures within the branch	NA	Paper
1f	Office organization files Copy of Branch TDA	NA	Paper
1z	Officer Personnel Locator Copy of document listing home address and telephone number of employees	A600DAIM	Paper
1aa	Office supervisory or manager employee records Copies of information or documents pertaining to employees training, evaluation, and work hours	OPM GOVT-1	Paper
1bb	Office job descriptions Copies of approved employee job descriptions	NA	Paper
1dd	Office pending requests Copies of SF 52 requesting certain employee personnel action	NA	Paper
1hh	Office temporary duty travel Copies of requests for temporary duty	AO037-107SAFM	Paper

**Figure 2-1. Sample Files List**

**ELEMENTS OF A FILE LABEL**



**GENERAL FILE LABELS**

25 General Info Mat Corres Files    FY  ACTION  COFF 30 Sep 95. Dest Oct	For documents that require some action but do not fit any of the specific subject files in a series
25 General Info Mat Corres Files    FY  Nonaction  Dest when no longer needed for current ops	For documents received for information only that pertain to that series in general

**STRAIGHT EVENT LABEL**

1a    Office file

Destroy when superseded

Records disposed of when a specific event occurs.

**COMBINATION TIME EVENT**

<p><b>DISPOSITION</b></p> <p>Destroy 2 years after next comparable visit or survey</p>  <p>When event happens, place previous survey in an inactive folder and assign cutoff and disposition</p>	<p style="text-align: center;"><b>LABEL</b></p> <p>25-1g Info Mgt</p> <p>ACTIVE</p> <p>PIF after next visit or survey</p>
<p>25-1a Info Mat Surveys    FY</p> <p>INACTIVE</p> <p>COFF 30 Sep 95. Dest Oct</p>	

**STRAIGHT TIME DISPOSITION**

<p><b>DISPOSITION</b></p> <p>Destroy after 1 year</p>  <p>Destroy after 3 years</p>  <p>Destroy after 5 years</p>	<p style="text-align: center;"><b>LABEL</b></p> <p>1b Office General Mgt Files    FY</p> <p>COFF 30 Sep 95. Dest Oct</p>
<p>145-1a ROTC Enrollment Repts    FY</p> <p>COFF 30 Sep 95, Dest Oct</p>	
<p>70-35c Info-to-Industry Briefings    FY 95</p> <p>COFF 30 Sep 95. trf WNRC Oct 97. Dest Oct 2000</p> <p style="text-align: center;"><b>Records cutoff and disposed of at a specific time</b></p>	

Figure 2-2. Examples of file labels.

Figure 2-3. Records Transmittal and Receipt for a Single Series Transfer to ARPERCEN.

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.			PAGE 1	OF 1 PAGES	
1. TO <i>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150)</i> Commander ARPERCEN, ATTN: ARPC-SFR-SSD 9700 Page Boulevard St Louis, MO 63132-5200					5. FROM <i>(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)</i>  Commander 81st Regional Support Command ATTN: (Office Symbol) 255 West Oxmoor Road Birmingham, AL 35209-6383										
2. AGENCY TRANSFER AUTHORIZATION		TRANSFERRING AGENCY OFFICIAL <i>(Signature and title)</i> DCSIM Official			DATE										
3. AGENCY CONTACT		TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No.)</i> Records Custodian													
4. RECORDS CENTER RECEIPT		RECORDS RECEIVED BY <i>(Signature and title)</i>			DATE										
Fold Line															
6. RECORDS DATA															
ACCESSION NUMBER		VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(With inclusive dates of records)</i>	RESTRICTION	DISPOSAL AUTHORITY <i>(Schedule and item number)</i>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER							
RG	FY							NUMBER	LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.			
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)			
		1	1/1	Privacy Act Systems Notice AO600-8DAPE  81st U.S. Army Reserve Command East Point, GA 30344-6904 Historical Data: (if any) Reserve unit attendance record sets Jan-Dec 90. Filed chronologically.	N	AR 25-400-2  140-185a	1/2091								
		1	1/1	9 FA BN 7/9 BTRY B Port Charlotte, FL Historical Data: (if any) Reserve unit attendance record sets Jan-Dec 90. Filed chronologically.	N	140-185a	1/2091								



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.		PAGE 1	OF 1 PAGES
1. TO <i>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</i>  —Federal Records Center— Washington National Records Center Washington, DC 20409			5. FROM <i>(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.)</i>  Commander U.S. Army Armor Center and Fort Knox ATTN: (Office Symbol) Fort Knox, KY 40121-5000		
2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL <i>(Signature and title)</i>  DCSIM Official	DATE			
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No.)</i>  Records Custodian				
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <i>(Signature and title)</i>	DATE			

Fold Line

6. RECORDS DATA														
ACCESSION NUMBER				VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(With inclusive dates of records)</i>	RESTRICTION	DISPOSAL AUTHORITY <i>(Schedule and item number)</i>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER				
RG <i>(a)</i>	FY <i>(b)</i>	NUMBER <i>(c)</i>								LOCATION <i>(j)</i>	SHELF PLAN <i>(k)</i>	CONT. TYPE <i>(l)</i>	AUTO. DISP. <i>(m)</i>	
				1	1 of 1	Privacy Act Systems Notice A0027-60aDAJA U.S. Army Armor Center & Fort Knox Fort Knox, KY Historical Data: (if any) Staff Judge Advocate		AR 25-400-2						
					1 of 1	Data Releases. Filed chronologically. 1990.	N	27-60j	1/2011					
					1 of 1	Government Asserted Claims. Filed chronologically. 1990	N	27-60u	1/2011					
					1 of 1	Infringement Allegations. Filed chronologically. 1990	N	27-60v	1/2011					

Figure 2-4. Records Transmittal and Receipt for a Mixed Series Retirement to a Federal Records Center (FRC).

Figure 2-5. Records Transmittal and Receipt for Records Retired through the USARC Historian to a Paper Federal Records Repository.

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.				PAGE 1	OF 1 PAGES					
<b>1. TO</b> (Complete the address for the records center serving your area as shown in 36 CFR 1228.150) <p style="text-align: center;"><del>Federal Records Center</del></p> Cdr, U.S. Army Reserve Command, ATTN: AFRC-MH 3800 North Camp Creek Parkway SW Atlanta, GA 30331-5099		<b>5. FROM</b> (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)  Commander 90th Regional Support Command ATTN: (Office Symbol) 8000 Camp Robinson Road North Little Rock, AR 72118-2205										
<b>2. AGENCY TRANSFER AUTHORIZATION</b>	TRANSFERRING AGENCY OFFICIAL (Signature and title)  DCSIM/ACSIM Official	DATE										
<b>3. AGENCY CONTACT</b>	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)  Records Custodian											
<b>4. RECORDS CENTER RECEIPT</b>	RECORDS RECEIVED BY (Signature and title)  USARC Records Official	DATE										
<b>6. RECORDS DATA</b>												
ACCESSION NUMBER		VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER				
RG	FY							NUMBER	LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
			3	1 of 3 2 of 3 3 of 3	90th U.S. Army Reserve Command, San Antonio, TX 78209-6097  Historical Data: (See para 3e(9)(c), Records Transfer and Retirement Instructions)  Administrative Services Division  Organization Plans FY 94 Filed alphabetically  Publication Record Sets FY 94  Perm Order Record Sets FY 94 (filed numerically)  NOTE: Attach folder title list when records being transferred are Permanent. The list may be prepared on SF 1335, SF 135-A, or bond paper.	N  N  N	AR 25-400-2  10-5a 25-30mm 310-10c	  PERM PERM PERM				

**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.

PAGE 1 OF 2 PAGES

1. TO <i>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</i>		5. FROM <i>(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.)</i>	
Federal Records Center Records Holding Area Fort Jackson, SC 29207-6070		Commander RSG, 81st RSC ATTN: (Office Symbol) Bldg 9810, Lee Road Fort Jackson, SC 29207-6070	
2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL <i>(Signature and title)</i>	DATE	
	DCSIM OFFICIAL		
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No.)</i>		
	RECORDS CUSTODIAN		
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <i>(Signature and title)</i>	DATE	

Fold Line

**RECORDS DATA**

ACCESSION NUMBER			VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(With inclusive dates of records)</i>	RESTRICTION <i>(a)</i>	DISPOSAL AUTHORITY <i>(Schedule and item number)</i>	DISPOSAL DATE <i>(i)</i>	COMPLETED BY RECORDS CENTER		
RG <i>(#)</i>	FY <i>(b)</i>	NUMBER <i>(c)</i>							LOCATION <i>(j)</i>	SHELF PLAN <i>(k)</i>	CONT. TYPE <i>(l)</i>
					Privacy Action Systems Notice: A0037-105aSAFM  120th U.S. Army Reserve Command, Resource Management Directorate, Finance and Accounting Division, Fort Jackson, SC 29207-6070 Historical Data (if any): Civilian Pay Section  Payroll Substantiating Document Folders (FY 90) filed alphabetically		AR 25-400-2				
			9	1 of 9	A thru C	N	37-105q	Oct 95			
				2 of 9	D thru F						
				3 of 9	G thru I	N	37-105q	Oct 95			
				4 of 9	J thru L						

Figure 2-6. Records Transmittal and Receipt for a Single Series Records Transfer to a Records Holding Area.

Figure 2-6. Continued.

RECORDS TRANSMITTAL AND RECEIPT (Continuation)				This form is to continue listing of Records Data when space on SF 135 is not adequate. Instructions for completion of SF 135 apply.			TRANSFERRING AGENCY'S NAME Commander RSG, 81st RSC Bldg 9810, Lee Road Fort Jackson, SC 29207-6070		DATE	PAGE OF 2 2 PAGES			
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusion dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER				
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.	
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	
				5 of 9	M thru O	N	37-105q	Oct 95					
				6 of 9	P thru R	N							
				7 of 9	S thru U								
				8 of 9	V thru X								
				9 of 9	Y thru Z								



DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
3800 NORTH CAMP CREEK PARKWAY SW  
ATLANTA, GA 30331-5099

REPLY TO  
ATTENTION OF

Deputy Chief of Staff,  
Information Management

(The paragraphs in this memo are not intended for actual use. The drafter should tailor each paragraph of the response to a specific case.)

(Requester's Name and address)

Dear :

We received your request for Army records under the provisions of the Freedom of Information Act (FOIA) on (date - use civilian-style date). Please cite Case Number XX-XX whenever referring to your request. We will process your request within the time frame specified by law.

**[If applicable]** We have already called for the record you requested. Once we receive the record, we will have to review it for exempt matter and obtain a legal opinion concerning our releasability determination from our Staff Judge Advocate. Allowing sufficient time for us to receive the record and process your request, we believe that we will be able to respond to your request by the (date).

**[If applicable]** Your request was favorably considered. Enclosed please find a copy of the record you requested.

**[If applicable]** Occasionally we excised personal information to protect the privacy of others. Should you object to these deletions, we will refer your request to the Initial Denial Authority for a releasability determination.

**[If applicable]** One of the records you requested was exempt from mandatory disclosure, because it consists of guidelines for the use of law enforcement officials that criminals might use to evade apprehension. Such internal guidance is exempt under the FOIA, and had to be referred to the Initial Denial Authority (IDA). The IDA for your request is ATTN: DAJA-AL, Room 2E433, The Judge Advocate General, 2200 Army Pentagon, Washington, DC 20310-2200.

**[If applicable]** Before we can respond, you need to specify exactly what records you wish. Once we receive this, we will process your request within the time frame specified by law.

Figure 2-7. Letter acknowledging receipt of request with commonly needed optional comments.

**[If applicable]** We do not know whether you will actually be charged a fee for the search and reproduction of FOIA records. Regulations require that you agree to pay for fees in excess of two hours of search time and the first 100 pages of reproduction. The law requires that such a statement be on file before the statutory period for providing a response commences (Department of Defense Regulation 5400.7-R, para 6-104b3). If you agree to such payment, please provide us with a written statement to this effect. If you state a limit to the amount you are willing to pay, we will notify you if it appears we will exceed this amount. Once we receive this statement from you, we will process your request within the time frame specified by law.

**[If applicable]** The record you requested belongs to the (agency such as Defense Logistics Agency). Under the FOIA, only the proper custodian of a record is authorized to act on a request for that record. Accordingly, we have referred your request to the (Agency address of records originator, such as Director, U.S. Army Severe Climate Testing Division, Nattuck Laboratories, Nattuck, Massachusetts 02116-4087). You should hear from that office in the near future.

For additional information or assistance, contact (FOIA Official's name and telephone number).

Sincerely,

Signature Block

Enclosure(s)

**(The paragraphs in this memo are not intended for actual use. The drafter should tailor each paragraph of the response to a specific case.)**

**Figure 2-7 (continued). Letter acknowledging receipt of request with commonly needed optional comments.**



DEPARTMENT OF THE ARMY  
 HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
 3800 NORTH CAMP CREEK PARKWAY SW  
 ATLANTA, GA 30331-5099

REPLY TO  
 ATTENTION OF

AFRC-IMA-RM (25-55a)

Date

MEMORANDUM FOR Commander, (Unit and address)

SUBJECT: Freedom of Information Act (FOIA) Request - (name of requester),  
 Request No. XX-XX

1. We refer the FOIA request at enclosure 1 to you as custodian of the record requested.
2. Please reply directly to the requester.
3. A copy of our letter notifying the requester of this referral is at enclosure 2.
4. For additional information or assistance contact [FOIA Official] at [phone number].

2 Encls  
 as

SIGNATURE BLOCK

**Figure 2-8. Memo Forwarding Request to Proponent Headquarters**

AFRC-(Office Symbol) (25-55a)

(Date)

"NO RECORDS CERTIFICATE"

FOR: Office of the Staff Judge Advocate, U.S. Army Safety Center

FOIA REQUESTER: (Requester's Name and address)

DATE OF REQUEST: (date)

I hereby certify that on \_\_\_\_\_, I, \_\_\_\_\_, Records Custodian for (Staff Agency or Unit) performed a (physical)(mental) search of the (Staff Agency or Unit) records located in Building, (address), for records identified in the above listed requests.

If such records existed, it is likely they would be found within the jurisdiction of the area searched. All files which reasonably could be expected to contain the requested records were searched; however, no records responsive to the request were found.

Signature Block of the Staff  
 agency or unit

**Figure 2-9. "No Records Certificate"**

Figure 2-10. FOIA Control Register.

FOIA REQUEST REGISTER - CY 99													
NO.	DATE RECEIVED	REQUESTER	REQUEST REC'D FROM	MSC INVOLVED	RECORDS REQUESTED FROM	DATE REC'S Requested	DATE TO SJA	DATE RTN SJA	DATE TO IDA	DESCRIPTION OF FINAL ACTION TAKEN	SUSPENSE DATE	DATE ACTION COMPLETED	REMARKS
99-34	17 May 99	Marley	Requester	79th	79th & DCSPER	Many times	20 May 99	22 May 99	31 May 99	R no longer needs records		CLOSED	Need another WTFS - Cost over \$200
99-36	26 May 99	Slijnick	Requester	99th	99th	21 Jun, until 19 Aug	20 Aug 99	25 Aug 99	9 Jun 99	MAILED TO R	30 Aug 99	25 Aug 99	Many requests to 99th for records. Had to wait until Cdr took action on invest.
99-40	21 Jun 99	Schreck	Requester	USAONE	DCSOPS	23 Jun 99	NA	NA	2 Jul 99	MAILED TO R.	28 Jun 99	25 Jun 99	
99-41	28 Jun 99	Knuckles	79th	79th	79th	NA	NA	NA	14 Jul 99	To ARPERCEN	13 Jul 99	16 Jul 99	R trans to IRR, ARPERCEN is Records Holder.
99-42	30 Jun 99	CW5 Skeeter	425TC Bde	425 TC Bde	came with request	NA	28 Jul 99	30 Jul 99	15 Jun 99	MAILED TO R	4 Aug 99	2 Aug 99	Transmuted to PA
99-43	2 Jul 99	Sen. Shredder	Requester	30th Hosp Ctr	IG, DCSPER, SJA, AVN	21 Sep 99	22 Oct 99	25 Oct 99	23 Sep 99 to TIG by IG	Referred to TIG/requester notified of referral.	21 Jul 99	23 Sep 99	Req for Clarification - Received 16 Sep 99; closed out as referred to TIG directly by USARC IG.
99-44	7 Jul 99	Polarete	Requester	ARRTC	DCSPER	15 Jul 99	16 Aug 99	16 Aug 99	NA	Transmuted to PA	18 Aug 99	17 Aug 99	2d call for recs to per & ARRTC - 6 Aug 99
99-45	16 Jul 99	Whining	Requester		DCSPER	16 Jul 99	28 Jul 99	28 Jul 99	NA	MAILED TO R.	11 Aug 99	28 Jul 99	On 19 Aug requested further docs. Sent board instructions on 25 Aug.
99-46	19 Jul 99	Daily Guardian	Requester	79th ARCOM	DCSPER & 79th	22 Jul 99	25 Jul 95	3 Aug 99	3 Aug 99	send IO-5 to R. Other Pubs to IDA	3 Aug 99	3 Aug 99	The Cdr's inquiry transmuted to PA. PA portion mailed to R on 26 Aug.
99-47	3 Aug 99	Ma Shanks Jam & Jelly Company	94th	94th ARCOM	94th	5 Aug 99	25 Aug	26 Aug 99	NA	rec'd req from agency chief 25 Aug	9 Sep 99	26 Aug 99	
99-48	3 Aug 99	Med Copy Svcs	79th	79th ARCOM	79th	NA	NA	NA	NA	ASKED 79TH FOR RELEASE	15 Aug 99	14 Sep 99	Requester abandoned request.
99-49	13 Aug 99	Army Times	Requester	USARC	DCSPOR	17 Aug 99	18 Aug 99	19 Aug 99	19 Aug 99	To OCAR	31 Aug 99	19 Aug 99	
99-50	16 Aug 99	Sezjimonosce	DAIG	86th ARCOM	DCSPOR Received w/Request	NA	18 Aug 99	20 Aug 99	23 Aug 99	To ARPERCEN	31 Aug 99	19 Aug 99	



**98-87 (Rep. Fixxer)**

**10 Apr 98** - CPT Downes, Special Actions/Congressionals DCSPER phoned for consultation on request for report of investigation IAW AR 15-6 of 399th Maint Co, 279th ARCOM to determine whether allegations of prejudice have any basis in fact.

**12 Apr 98** - Report of Investigation IAW AR 15-6 received from DCSPER for processing under FOIA as advised 10 Apr 98.

**13 Apr 98** - 15-6 investigation returned to DCSPER for correction of pagination and completion of Photostatted copy; that originally submitted was unusable.

**14 Apr 98** - 15-6 received back from PER in usable form.

**15 Apr 98** - Responsive 15-6 reviewed twice for excision exempt matter (Privacy/Federal drug enforcement guidelines under Exemption 2).

**16 Apr 98** - Package for referral to IDA (TJAG) prepared IAW AR 25-55, para 5-104. FONECON with CXO of subject ARCOM. Concerned with image of command in public eye given misconduct on the part of 2 junior grade officers. Explained sensitivity attributable to embarrassment nonexempt; however names of individuals concerned were eradicated.

**17 Apr 98** - Forwarded to SJA with recommendation for referral to and release by IDA as excised.

**20 Apr 98** - SJA concurrence obtained. Last check to be certain all essential copies on hand. Mailed to TJAG/referred.

**Closed.**

Figure 2-11. Sample FOIA Case Log



DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
3800 NORTH CAMP CREEK PARKWAY SW  
ATLANTA, GA 30331-5099

REPLY TO  
ATTENTION OF

(OFFICE SYMBOL) (25-55a)

Date

MEMORANDUM FOR (Subordinate Command or HQ Office)

SUBJECT: Request for Records to Respond to FOIA, Request No. \_\_\_

1. Reference Freedom of Information Act (FOIA) request from (name of requester) dated (date of request) (encl 1).
2. Please provide to us one copy of all records within your office that relate to the referenced request. Do not send the original documents.
3. We must have a copy of all relevant records even if these are not released. The only legal bases for the nonrelease of records are the nine exemptions from mandatory disclosure delineated in AR 25-55. Please include a written statement as to whether you think the records should be released. We will evaluate the records and your statement by comparing these with the exemptions, and refer exempt documents to the Initial Denial Authority with a recommendation to deny the request.
4. If you know of other locations where pertinent records may be found, please notify the FOIA Officials in this office, extension (number).
5. Keep track of the time spent working on this request. Fill out the attached DD Form 2086, Record of Freedom of Information (FOI) Processing Cost (encl 2), and return it with your response.
6. Please provide the requested documents to us by the suspense date shown above. You must meet this suspense so we can respond to the requester in the time required by law.
7. For additional information of assistance, contact (FOIA Officials name) at (phone number).

2 Encls  
as

SIGNATURE BLOCK

Figure 2-12. Memo Requesting Documents to Use to Respond to FOIA Request.



DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
3800 NORTH CAMP CREEK PARKWAY SW  
ATLANTA, GA 30331-5099

REPLY TO  
ATTENTION OF

Administrative Policy Branch

(Requester's Name & Address)

Dear :

We are continuing our efforts to provide you with the records that you requested under the Freedom of Information Act. We have requested records from several organizations and expect to receive their responses in the next few days (or whatever your circumstances are). Once we receive these records, we will finish processing your request. You should hear from us by (date).

Contact (FOIA Official's name and phone number) if you need additional information.

Sincerely,

SIGNATURE BLOCK

Figure 2-13. Letter notifying requester of informal extension to suspense date.



DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
3800 NORTH CAMP CREEK PARKWAY SW  
ATLANTA, GA 30331-5099

REPLY TO  
ATTENTION OF

AFRC-IMA-RM (25-55a)

14 Aug 94

MEMORANDUM FOR (Name and address of IDA)

SUBJECT: Referral of FOIA Request - (name of requester)

1. Reference AR 25-55, The Department of Army Freedom of Information Act Program, 10 Jan 90.
2. We are referring this request to you as the Initial Denial Authority. Recommend the request be denied (indicate whether in whole or in part). Exemptions \_\_\_ and \_\_\_ support withholding of this information.
3. We are enclosing the following items as required by AR 25-55, para 5-104:
  - a. Original FOIA request (encl 1).
  - b. Unexcised copy of the requested record (encl 2).
  - c. Excised copy of the requested record. We have deleted the items that we recommend be denied (encl 3).
  - d. Copy of documents we released to the requester (encl 4). (Omit if no documents were released and renumber enclosures.)
  - e. Copy of letter notifying the requester of this referral to you (encl 5).
  - f. Copy of our Staff Judge Advocate's legal opinion (encl 6).
4. Please provide us with a copy of the correspondence you send to the requester.
5. Contact (FOIA Official's name and phone number) if you need additional information.

6 Encls  
as

SIGNATURE BLOCK

Figure 2-14. Memo to IDA Forwarding Request to be Denied in Whole or in Part

**HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
MANAGEMENT INFORMATION CONTROL (MIC) COMMITTEE CHARTER**

1. **PURPOSE:** This charter establishes the Management Information Control (MIC) Committee for the U.S. Army Reserve Command (USARC).
2. **AUTHORITY:** AR 335-15, Management Information Control System.
3. **GENERAL:** Information is a resource to be shared by all. Because time spent responding to requests for information is a distraction from time available for training, requirements to the USAR for management information must be controlled. The MIC Committee must, therefore, address the total management information needs of the command vice the need to maximize unit training time to obtain the best balance between required reports and available training time.
4. **COMPOSITION:**
  - a. The MIC Committee is comprised of:
    - (1) The Management Information Control Liaison Officer (MICLO) from each HQ, USARC staff agency, who represents the staff principle.
    - (2) The Management Information Control Officer (MICO) from the Records Management Branch, Administrative Policy and Services Division, DCSIM
    - (3) The Chief of the Records Management Branch, Administrative Policy and Services Division, DCSIM.
    - (4) The MIC Committee will be chaired by the Chief, Administrative Policy and Services Division, DCSIM.
  - b. Voting privileges are reserved for the MICLOs, MICO, Chief Records Management Branch, and the Committee Chair.
5. **MIC COMMITTEE OBJECTIVES:**
  - a. Identify problems and recommend solutions for HQ, USARC Management Information Control System issues.
  - b. Identify data elements in existing automated and manual databases.
  - c. Coordinate to reduce reporting requirements to our subordinate commands.
  - d. Recommend procedures to assure that information requests are valid and are not duplicated and that the requests are addressed to the highest echelon possible.
  - e. Identify MIC System training needs for functional personnel.
  - f. Advise the chair of MIC System issues of command interest.
  - g. Conduct formal studies and mission analyses as determined by the Chief of Staff.
6. **ADMINISTRATION:** The MIC Committee will meet at least once a quarter or at the call of the chairperson, at a time and location determined by the chair. Minutes of each meeting will be recorded by a DCSIM representative and furnished to each staff agency. An agenda reflecting issues for discussion will be distributed at the beginning of each meeting.
7. **MICLO RESPONSIBILITIES:** The MICLO is the resident expert and cornerstone of the staff agency for all management information requests. MICLOs will:
  - a. Advise their staff principle on Management Information Control System and reduction in administrative workload (RAW) matters.
  - b. Reviews outgoing correspondence to assure that if a reporting requirement is present, a valid Requirement Control Symbol (RCS) or appropriate exemption statement is included.
  - c. Reviews requests for RCS to assure that the information is needed and does not duplicate other data.
  - d. Participate in MIC Committee meetings and briefings to identify problems. develop policy, and discuss other items of common interest.

/s/ Sandra M. Smith  
SANDRA M. SMITH  
Chief, Administrative Policy  
and Services Division  
U.S. Army Reserve Command

**Figure 2-15. HQ, USARC Management Information Control Committee Charter.**

## APPLICATION FOR APPROVAL OF MANAGEMENT INFORMATION REQUIREMENT

For use of this form, see AR 338-15; the proponent agency is OACSIM.

<b>1. THRU (Include Zip Code)</b> STAFF AGENCY MICLO	<b>2. TO (Include Zip Code)</b> HQ, MICO	<b>3. FROM (Include Zip Code)</b> ORIGINATING STAFF OFFICE																													
<b>4. SUBJECT (Proposed title of Information Requirement)</b> TITLE OF PROPOSED REQUIREMENT		<b>5. DATE (YYMMDD)</b> 950425	<b>6. ACTION OFFICER (Name and telephone number)</b> fill in																												
<b>7. PRESCRIBING DIRECTIVE (AR, letter, message, etc.)</b> Use official directive (i.e., supplement to higher HQ reg, numbered memorandum, local reg, local Cir.)																															
<b>8. TYPE OF REQUEST</b> <input checked="" type="checkbox"/> NEW <input type="checkbox"/> EXTENSION <input type="checkbox"/> REVISED	<b>9. FREQUENCY OF SUBMISSION</b> See note 1	<b>10. ESTIMATED DURATION OF REQUIREMENT</b> fill in	<b>11. SUBMISSION DATE (YYMMDD)</b> fill in																												
<b>12. FORM NUMBER</b> If new form, must attach a DD Form 67	<b>13. MINIMIZE</b> See note 2	<b>14. MOBILIZATION STATUS</b> See note 3	<b>15. SECURITY CLASSIFICATION</b> Fill in																												
<b>16. JUSTIFICATION OF NEED FOR INFORMATION REQUIREMENT</b>																															
<b>a. STATE NEED FOR REQUESTED DATA</b>  Complete justification of the requirement. The "magic words" are manage, re-allocate, move. Requirements for monitoring program compliance are not approved. The last sentence in this block is always: "Information cannot be gathered from command, IG inspection reports, audits, staff visits, surveys, or other management information requirements."																															
<table style="width: 100%; border: none;"> <tr> <td style="width: 25%;">NOTE 1: Frequency</td> <td style="width: 25%;">Symbol</td> <td style="width: 25%;">Frequency</td> <td style="width: 25%;">Symbol</td> </tr> <tr> <td>daily</td> <td>D</td> <td>Annually</td> <td>A</td> </tr> <tr> <td>weekly</td> <td>W</td> <td>Biennial</td> <td>BE</td> </tr> <tr> <td>Semimonthly</td> <td>SM</td> <td>As Required</td> <td>R</td> </tr> <tr> <td>Monthly</td> <td>M</td> <td>Initial</td> <td>I</td> </tr> <tr> <td>Quarterly</td> <td>Q</td> <td>One-time</td> <td>OT</td> </tr> <tr> <td>Semiannually</td> <td>SA</td> <td></td> <td></td> </tr> </table>				NOTE 1: Frequency	Symbol	Frequency	Symbol	daily	D	Annually	A	weekly	W	Biennial	BE	Semimonthly	SM	As Required	R	Monthly	M	Initial	I	Quarterly	Q	One-time	OT	Semiannually	SA		
NOTE 1: Frequency	Symbol	Frequency	Symbol																												
daily	D	Annually	A																												
weekly	W	Biennial	BE																												
Semimonthly	SM	As Required	R																												
Monthly	M	Initial	I																												
Quarterly	Q	One-time	OT																												
Semiannually	SA																														
<b>b. ACTION TO BE TAKEN ON DATA (Could this be delegated to preparing agencies in item 24)</b>  Explain what will be accomplished and what economies will be effected.																															
<b>NOTE 2</b> If a report is not transmitted electrically enter NA. For electronically transmitted reports, enter MIN when the report must continue to be sent electronically during MINIMIZE; enter NON-MIN if it can be sent by other means during MINIMIZE.		<b>NOTE 3</b> Enter status of report upon mobilization. NC - No change M - Modify R - Rescind I - Initiate																													

DA FORM 335-R DEC 82

EDITION OF 1 OCT 76 IS OBSOLETE.

Figure 2-16. DA Form 335-R, Application For Approval of Management Information Requirement.

<b>17. APPROVAL REQUESTED BY</b> (Signature and title of responsible person of requesting agency) Only staff principle or deputy can sign.			<b>18. APPROVAL RECOMMENDED BY</b> (Signature of MICLO/MICO of initiating agency) Staff agency MICLO signs here.			
<b>19. COORDINATION</b>					<b>20. REQUIREMENT TO BE REVISED, RESCINDED OR REPLACED</b>  List if requirement is changed, rescinded or replaced. Otherwise leave blank.	
PERSON <small>a.</small>	AGENCY <small>b.</small>	TELEPHONE NUMBER <small>c.</small>				
Indicate coordination required/accomplished within HQ and other agencies.						
<b>22. COST ESTIMATE</b>						
ACTIVITY <small>a.</small>	PERSONNEL <small>b.</small>	ADP <small>c.</small>	MATERIAL <small>d.</small>	OTHER <small>e.</small>	OVERHEAD <small>f.</small>	TOTAL <small>g.</small>
DEVELOPMENTAL	Complete.	See Attached	example.			
OPERATIONAL						
TOTAL						
<b>23. CONFORMANCE WITH DATA ELEMENTS AND CODES STANDARDIZATION PROGRAM (AR 18-1, AR 18-12)</b>  Leave blank						
<b>24. PREPARING AGENCIES</b>						
NAME/CLASS/GROUP <small>a.</small>	NUMBER <small>b.</small>	SUBMISSIONS PER YEAR <small>c.</small>	NAME/CLASS/GROUP <small>a.</small>	NUMBER <small>b.</small>	SUBMISSIONS PER YEAR <small>c.</small>	
List						
<b>25. FOR USE OF MANAGEMENT INFORMATION CONTROL</b>						
<b>a. APPROVED BY</b> (Name and signature)			<b>b. DATE</b> (YYMMDD)		<b>c. REQUIREMENT CONTROL SYMBOL ASSIGNED</b>	
Command MICO completes block 25.						

REVERSE OF DA FORM 335-R, DEC 82

Figure 2-16. Continued. DA Form 335-R.

Figure 2-17. Determining Estimated Costs for a Management Information Requirement.

22. COST ESTIMATE						
ACTIVITY a.	PERSONNEL b.	ADP c.	MATERIAL d.	OTHER e.	OVERHEAD f.	TOTAL g.
1. DEVELOPMENTAL	\$600		Unknown		\$150	\$750
2. OPERATIONAL	\$1200		\$120		\$300	\$1620
3. TOTAL	\$1800		\$120		\$450	\$2370

23. CONFORMANCE WITH DATA ELEMENTS AND CODES STANDARDIZATION PROGRAM (AN 18-1, AN 18-12)

### ROW 1

Your operations sergeant spent 20 hours developing a reporting requirement. We know he is a Sergeant First Class. So 20 hours @ \$30 per hour gives us a total of \$600 for block 22b, developmental personnel costs. He used a stubby pencil and some paper so we do not know what the material costs were, list unknown in that block. There were no ADP or other costs, so the blocks are left blank. The operations sergeant did not keep track of the overhead costs, so we estimate those costs by dividing the personnel costs by 4 for an estimated cost of \$150. Adding across row 1 we get \$750 for developmental costs.

### ROW 2

For operational costs, the operations sergeant guided by his experience, intelligence and knowledge of the USAR, determined that it will take 10 man-hours to complete the report at each HQ. However, he does not know if the preparers are civilian or military. We will use \$30 per hour, which is about the composite rate for an SFC. \$30 per hour times the number of reporting agencies (10) times the number of submissions (4 for a quarterly report) we arrive at an estimated operational personnel cost of \$1200. The sergeant does not know the material costs so we estimate the material costs a \$3 per report (\$1 for transmittal and \$2 for supplies). There are 10 reporting commands and each makes 4 reports a year which gives us \$120 ( $\$3 \times 10 \times 4$ ) for material costs. Overhead is 1/4 the operational personnel costs, \$300.

### ROW 3

Add the blocks across and down to determine the total costs.



<b>Formula</b> $(L + M) \times R = C$
--

**Where:**

L = labor Costs (L = H x F x \$30 x 1.25)

H = estimated man-hours to complete one report.

F = number of reports per year.

\$30 = constant (when the actual pay grades of the preparer are unknown).

1.25 = constant for supervisory time (1/4 of the action officer's time).

**Where:**

M = Material Costs (M = T + S)

T = Transmittal Costs. Transmittal costs are a constant (if the actual costs are unknown) and represent delivery costs such as faxing or mailing. Unknown transmittal costs are estimated at \$1 x the number of annual reports.

S = Supplies & Other Costs. Material costs are paper, graphics, computer mainframe time and other supplies. If unknown they are estimated at \$2 x the number of annual reports.

R = Reporting agencies/commands.

C = Annual Estimated Cost of the report.

*[For example: A quarterly report that requires about 1 hour to complete and mail; material costs are estimated at \$2.00 per report; ten agencies must complete the report. We don't know the pay grade of the preparers or transmittal costs.]*

$(L + M) \times R = C$  $[(1 \text{ hr} \times 4 \text{ rpts} \times \$30 \times 1.25 \text{ Supv}) + (\$1 \text{ Trans} + \$2 \text{ sup})] \times 10 \text{ agencies} =$  $[(1 \times 4 \times 30.00 \times 1.25) + (1 + 2 \times 4)] \times 10 =$  $[(120 \times 1.25) + 12] \times 10 =$  $162 \times 10 =$  $1620$
---

**Figure 2-18. Formula to determine operational costs of a new reporting requirement.**

Appropriate Office Symbol (335-15a)

(Date)

MEMORANDUM FOR (Requesting agency)

SUBJECT: Requirement Control Symbol (RCS) for (Name of the requirement)

1. We have assigned the RCS RCXX-XXX for your "(Name of requirement)." Approval is for a (quarterly, semiannual, annual) reporting requirement as requested. We will include this new RCS in our Circular 25-XX-XX, List of Approved Recurring Management Information Requirements.

2. This RCS will remain valid until (date is one year from approval date) IAW para 2-5a(2), AR 335-15. In order to sustain this requirement beyond (date is one year from approval date), your office must publish a numbered prescribing directive (i.e., regulation, supplement or circular) before that date. Please provide a copy of your directive to the Management Information Control Officer (MICO) when published.

3. **Your directive and all correspondence pertaining to this RCS requirement must cite the RCS. You may place the citation in parentheses behind the subject or in the text immediately following the report requirement. Use a sentence similar to:**

**RCXX-XXX is the RCS assigned to this information request.**

4. If you have any questions or need assistance contact the command MICO, (MICO's name and phone number).

Encl  
DA Form 335-R

Signature Block

**Figure 2-19. Sample approval & transmittal for a Requirement Control Symbol (RCS).**

## Chapter 3 Publishing and Printing Programs

### Section I Management of the Self-service Copier Program

#### 3-1. General

a. AR 25-30, The Army Integrated Publishing and Printing Program, is the DA-governing directive for the management of self-service copiers.

b. Self-service copying machine is the classification for an automatic copy processing machine that has a rated speed of up to 69 copies per minute.

c. See AR 25-30, paragraph 11-49, for the objectives of copier management and the mandatory controls imposed by DA.

d. The FORSCOM goal is that the cost of copies produced on a self-service copier does not exceed 2.5 cents per impression.

e. The USARC's goal is for Reserve commanders to have the most economical self-service copier support that meets their mission. Therefore, approving authority for self-service copying support has been delegated to the MSC commander and USARC Installation commander. (This approval delegation does not include duplicating equipment such as copiers with a speed of 70 or more copies per minute or color copiers because DA has retained approval authority for this type of equipment.) The USARC MSCs and installations should--

(1) Identify all office copying equipment in the IMA Requirement Statements and the Command Operating Budget. Include projections in the earliest possible submission to allow sufficient lead time for procurement action.

(2) Ensure the requester sends a memorandum to the appropriate Information Management official (see sample at fig 11-5, AR 25-30).

(3) Ensure that, for each copier being considered, the requester attaches a DA Form 4951-R, Lease/Purchase Analysis for Copying/Duplicating Machines, to the memorandum.

(4) The Information Management official should--

(a) As the validation authority, conduct a technical review of the administrative request. This review is to determine the most cost-effective solution to satisfy a valid requirement. First consideration is to meet a valid need with current available copier equipment in the command, to include duplicating/printing capabilities available to the command.

(b) Once it is determined that existing copying resources cannot satisfy the requirement, consider procuring new equipment based on cost-effectiveness and availability of vendor maintenance support.

(5) Assign a Requirement Statement Audit ID Number to approved requests.

(6) Keep a copy of the validation documentation in MARKS file number 25-30zz, Office copier files; the file

remains active for the entire period the equipment is on hand.

(7) Execute another analysis on DA Form 4951-R in the event a copier is to be purchased following an initial introduction period of leasing or rental.

(8) Ensure that government-owned copier equipment is recorded in the unit property book.

(9) Conduct copier surveys at least every 2 years to evaluate the management, efficiencies, and cost effectiveness of the program.

f. The USARC assesses the management of the self-service copying program at the MSC by conducting periodic Records Management Surveys and as an integral part of IG inspections conducted by the USARC. Documentation of all approvals must be on file for these reviews.

g. It is imperative that the DCSIM/ACSIM/DOIM at the MSC/installation maintain an up-to-date inventory of copying equipment at all times.

h. The copier manager should maintain a practical suspense file for actions related to the copier program, such as the annual renewal of lease contracts, annual renewal of maintenance contracts and the biannual survey required under the provisions of AR 25-30, paragraph 11-49b.

#### 3-2. Approval of copying equipment

a. Approval authority for office copiers and duplication/printing equipment. Detailed guidance on this subject is contained in AR 25-30, as supplemented by FORSCOM Supplement 1 and USARC Supplement 1.

(1) For copiers able to do one color copying in a single pass and with a speed not to exceed 69 copies per minute, the USARC has delegated approving authority to the MSCs/USARC installations.

(2) For color copiers (able to do copying in two or more colors in a single pass) the U.S. Army Publishing and Printing Command (USAPPC) is the approving authority.

(3) Duplicating/printing equipment (copiers with a speed of 70 or more copies per minute) and all of the items listed in AR 25-30 (tables 11-6, 11-7, 11-8 and 11-9), require administrative approval by USAPPC. Submit requests through HQ USARC, ATTN: AFRC-IMA-P, on DA Form 5695-R, Information Systems Project Document.

(4) Microfiche Reader/Printers. The RSCs, DRCs and installation IMs (or their designated alternates) and the RSC commanders (or their designated alternates) are authorized to approve requests for microfiche readers and readers/printers. Address requests to the MSC, ATTN: DCSIM/ACSIM/DOIM (Copier Manager), on DA Form 5695-R, Information Systems Project Document, for administrative review and approval prior to procurement action.

(a) You should identify all micrographics systems and equipment in the IMA Requirement Statements and the Command Operating Budget. Include projections in the earliest possible submission to allow sufficient lead time for procurement action.

(b) Accounting for micrographics systems and equipment. As the USARC MSC and installation Information Management officials, you should maintain a current inventory of micrographic equipment on hand throughout the USARC MSC/installation area of responsibility and ensure that all micrographic equipment is recorded in the responsible unit's property book records.

(c) Disposal of excess micrographic equipment.

Ensure that notification is provided to Commander, USARC through AFRC-IMP-S, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099 before equipment is transferred to another facility, disposed of, or determined to be excess.

Ensure each action clearly identifies the equipment including the item description, serial number, size, age, condition, year purchased, and current authorization number. The USARC issues appropriate disposition instructions upon receipt of the notification.

b. Copier Managers must accomplish the following actions:

(1) Ensure that the requester has submitted with the administrative request, a completed DA Form 4951-R (Lease/Purchase Analysis for Copying/Duplicating Machines) for each proposal from two different vendors, as a minimum.

(2) Ensure a technical review of the administrative request is accomplished. This review is to determine whether the proposal is cost-effective and that a valid need exists which can not be satisfied by currently available copiers or duplicating/printing capabilities. The DCSIM/ACSIM/DOIM, as the validation authority, is charged with the responsibility to conduct the technical review for all self-service copiers; that is, machines up to a maximum rated speed of 69 copies per minute.

(3) After the validation process is completed, the following additional actions must be taken:

(a) Record the Information Mission Area Modernization Plan (IMP) authorization control number.

(b) Before recommending a substitute copier, find out from the requesting activity if the recommended substitute meets the needs of the user. Is maintenance readily available in that area for the recommended vendor?

(c) Retain a copy of the validation documentation until the copier/microfiche reader/printer is replaced or disposed of in file number 25-30zz. This file should substantiate the database containing your inventory of self-service copiers and microfiche reader/printer.

c. In addition, AR 25-30, paragraph 11-49, directs the following mandatory controls:

(1) After leasing a copier, prepare another DA Form 4951-R prior to purchase or lease renewal.

(2) Conduct copier surveys at least every 2 years to evaluate the management, efficiencies, and cost effectiveness of the program.

(3) Replace a copier with a more efficient one in a lower or higher group when--

(a) The old copier fails to produce the minimum number of copies provided in the basic plan.

(b) The old copier exceeds the manufacturer's recommended maximum monthly number of copies.

### **3-3. Assessment of your Copier Management Program**

Assessment of your Copier Management Program is an integral part of the Records Management Surveys and IG inspections. Keep documentation of all approvals on file for these reviews.

## **Section II**

### **Printing and Duplicating Operations**

#### **3-4. Establishing duplicating facilities**

Before an MSC obtains printing/duplicating equipment listed in AR 25-30 (tables 11-6 through 11-9), **which includes electrostatic duplicators having a speed of 70 or more copies per minute**, it must obtain approval from USAPPC to establish a duplicating facility. (See para 11-35, AR 25-30). The DA Form 5695-R (Information Systems Project Document) (RCS CSGPO-344) is used for this purpose. Instructions for completion of this form are contained in AR 25-30, Table 11-5.

##### **a. Records.**

Once a duplicating facility has been approved, you must maintain the records stipulated in AR 25-30, paragraph 11-51a. Also, you must maintain a historical record of all printing/duplicating equipment on hand, reflecting original cost, minus depreciation taken (if any), and current book value. The original cost of printing/duplicating equipment is depreciated during a period of 8 1/3 years (100 months). At the conclusion of the 100th month, the book value of the item is none.

##### **b. Reports.**

AR 25-30, paragraph 11-51b and table 11-16, lists printing facility reports and their frequencies. Timeliness and accuracy of these reports are paramount. The information on these reports is included in an annual report that the Department of the Army submits to the Joint Committee on Printing. It also becomes part of the Joint Financial Management Program.

##### **c. End-of-the-Fiscal Year Reports.**

(1) Each year the USARC assigns a suspense date for your submission of the following annual reports, which are prepared and submitted as a single reporting packet:

(a) DA Form 5394-R (Printing/Duplicating Facility Report) (RCS DD-COMP(AR)1467).

(b) DA Form 5394-1-R (Printing Facility Productivity Report) (RCS DD-COMP(AR)1467).

(c) DA Form 5395-R (Commercial Printing Report) (RCS DD-COMP(AR)1467).

(d) DA Form 5465-R (Inventory of Stored Printing, Duplicating, and Related Equipment) (RCS DD-COMP(AR)1467).

(e) DA Form 5466-R (Inventory of Printing, Duplicating, and Related Equipment) (RCS DD-COMP(AR)1467).

(2) If your MSC has a duplicating facility, you must submit all of the above listed reports, even if there is no

activity to report. For instance, "negative report for Commercial Printing Report."

### **3-5. Programming and budgeting**

a. To obtain equipment validation to cover the actual requirements for the current Modernization Plan initiative--

(1) For printing and duplicating equipment listed in AR 25-30 (tables 11-6 through 11-9), send a DA Form 5695-R (Information Systems Project Document) per item through HQ USARC, ATTN: AFRC-IMA-P, to the USAPPC, in May of each year.

(2) Identify new and replacement equipment 4 years in advance of the current Modernization Plan initiative. For this element of the report, use DA Form 4821-R (Printing, Duplicating, and Related Equipment Projections). See instructions in AR 25-30, paragraph 11-40.

b. Funding. Items with a unit cost of \$50,000 or more are OPA funded by USAPPC. Those with a unit cost of less than \$50,000 are OMAR funded at the local level.

c. The MSC Deputy Chief of Staff for Information Management should validate office copiers (non-color rated at 69 or less copies per minute) and microfiche readers/printers. Accomplish a technical review using DA Form 4951-R, prior to procurement action. Use local OMAR funds for the procurement of these items.

## **Section III**

### ***Publications Management and Distribution Systems***

#### **3-6. DA Publications (Routing of DA-12 Series)**

The Deputy/Assistant Chief of Staff for Information Management (DCSIM/ACSIM/DOIM) is the approving authority for requests from subordinate elements for the establishment of DA publications accounts. Ensure that each USAR unit submit a DA Form 12-R (Request for Establishment of a Publications Account) and supporting DA 12-series forms through their MSC to: Commander, U.S. Army Publications Distribution Center (USAPDC), ATTN: ASQZ-SDC, 1655 Woodson Road, St. Louis, MO 63114-6181. Ensure the requesting unit enters in block 5 of DA Form 12-R, the pertinent MSC's address, including the office symbol for the DCSIM/ACSIM.

#### **3-7. USARC/FORSCOM publications**

a. The USARC Pamphlet 25-30 contains procedures for establishing and maintaining publications accounts to ensure receipt of USARC/FORSCOM publications on initial distribution or resupply.

b. **Other agencies' publications and blank forms.** The USARC Publications and Distribution Center (USARCPDC) only stocks USARC and FORSCOM publications and forms. Order DA and DOD publications from USAPDC, Baltimore, MD as stated in paragraph 3-6 above. Order all other agencies' publications/forms (e.g., CONUSA, TRADOC) directly from the issuing agency. Consult DA Pamphlet 25-30, AR 25-30, and other appropriate indices for ordering information. If unable to determine ordering information for a particular item, contact Headquarters, USARC, ATTN:

AFRC-IMA-PD/(404) 629-8980/8974/8981 or 1-800-359-8483 ex 8981/8980/8974.

## **Section IV**

### ***Coordination and Editing of Command Publications***

#### **3-8. Headquarters, USARC staff agencies procedures**

Headquarters, USARC staff agencies follow procedures and guidance in USARC Memorandum 25-1, chapter 8. Guidance for MSCs is in the following paragraphs.

#### **3-9. Responsibilities**

a. The DCSIM/ACSIM/DOIM is responsible for numbering and publishing all MSC/installation directives.

b. Directors/staff office chiefs are responsible for ensuring that all policies issued by the MSC are documented in the proper administrative publication format, properly coordinated and published.

c. Each staff agency's administrative point of contact acts as the publications officer/NCO for the agency.

#### **3-10. Types of MSC/installation publications**

The following types of publications are authorized for issue by the MSC.

a. *Command-wide application.*

(1) Supplements to Army Regulations. Supplements publish implementing guidance unique to the command. Use supplements to publish text or information that is inserted or added to existing portions or paragraphs of the AR being supplemented. The DA proponent of the AR must approve supplements (see format at figure 3-1).

(2) Regulations. These are directive in nature. Issued regulations only when there is not a higher headquarters' regulation covering the subject or when more than one higher headquarters' regulation covering a single subject is implemented. Use regulations to publish MSC-unique missions, policies, responsibilities, and procedures (see format at figure 3-2).

(3) Circulars. Temporary directives or informational publications that expire 2 years or less after date of issue (see format at figure 3-3).

(4) Pamphlets. Permanent instructional or informational "how to" publication (see format at figure 3-4).

(5) Automated data systems manuals (ADSMs). Permanent instructional, informational, technical publications relating to a specific automated system developed by or for the MSC; usually a user's "how to" manual.

(6) Command bulletin. Used to publish official and unofficial items of information. Not for taskings.

b. *HQ, MSC/Installation application*

(1) Memorandums. Permanent directives that apply only to the MSC/installation headquarters. Memorandums are directive in nature and are in effect until canceled (see format at figure 3-5).

(2) Staff agency standing operating procedures (SOPs). Issued by the staff agency director/chief to

establish procedures applicable to his/her staff agency (see format at figure 3-6).

c. *Functional or service bulletins/newsletters (AR 25-30, para 9-18).*

(1) The USARC, MSC, and installations staff sections may publish a functional bulletin only when approved by the DCSIM/ACSIM/DOIM.

(2) The DCSIM/ACSIM/DOIM reviews annually all functional bulletins to determine their essentiality and need for continued publications.

(3) Newsletter-type publications (AR 25-30, chapter 10) are not approved at the local level. The DCSIM/ACSIM/DOIM must ensure requests for a newsletter-type publication are thoroughly reviewed for compliance with chapter 10, AR 25-30. Submit requests to Commander, USARC, ATTN: AFRC-IMA-P, for further review and forwarding to Commander, FORSCOM, who is the approving authority.

### **3-11. Preparing and publishing MSC publications**

a. The DCSIM/ADCSIM determines the format and style of MSC directives in accordance with AR 25-30 and DA Pamphlet 310-20. The proponent staff agency should coordinate the publication early on in draft with the DCSIM/ADCSIM/DOIM, for assignment of the publication number and for advice on the correct format and style practices.

b. When writing, use simple language and the active voice to improve readability.

c. Publications must conform with formats shown at figures 3-1 through 3-7 and with the following guidelines:

(1) Spell check all publications prior to submission to DCSIM/ACSIM/DOIM.

(2) Subparagraphs should not go beyond a letter enclosed in parentheses, i.e., 1a(1)(a).

(3) Do not put the date and publication number at the top of the page.

(4) Explain more than 10 terms or abbreviations in a glossary at the back of the publication.

(5) List more than 10 combined "required" or "related" references at appendix A.

(6) Distribution.

(a) Only consider distributing publications to unit level if they affect mobilization/readiness. Put mobilization statement in "Applicability." (e.g., "This regulation impacts on unit readiness and mobilization.")

(b) Include written justification for Distribution A with first draft of publication submitted to the DCSIM/ACSIM/DOIM for editing. The justification must show what the unit commander is expected to do that requires possession and maintenance of the publication, why the commander cannot be expected to obtain directions from the next higher headquarters, what regulation is being eliminated or consolidated, and what distribution change is taking place in conjunction with the new publication.

d. Coordinate directives with **affected** staff agencies in your headquarters, as well as the action staff's Management

Information Control Liaison Officer (MICLO), if any, and/or the MSC/installation Management Information Control Officer (MICO), located in DCSIM.

e. The DCSIM/ACSIM/DOIM forwards finalized directives to the Chief of Staff for approval to publish.

f. Once approved, the DCSIM/ACSIM/DOIM authenticates, publishes, and distributes the directive.

### **3-12. Changes to and revisions of MSC publications**

a. Coordinate with DCSIM/ACSIM/DOIM, if you need to revise a previously published MSC publication. The DCSIM/ACSIM should determine if an MSC publication should be republished in its entirety or if a change to the publication should be published. Generally, an MSC publication is only revised (republished) when 50% or more of the publication has changed, however, the DCSIM determines which method to use on a case-by-case basis.

b. In most cases, you should publish a change to the directive rather than revising an entire publication. Changes consist of pen and ink changes or insertion, deletion (removal), or replacing pages in the original publication.

c. Publication changes require the same coordination as the basic directive and should be prepared using the guidelines provided above (see format at figure 3-7).

### **3-13. Recordkeeping requirements in MSC/installation directives**

a. Proponents of prescribing directives must address recordkeeping requirements in publications. This applies to new or revised directives. Directives or memorandums which require users to create and maintain records must--

(1) Advise the reader in the body of the publication where the records requirement is stated, the type records that must be maintained, and the AR 25-400-2, Modern Army Recordkeeping System (MARKS) file number the records should be filed under.

(2) List the file numbers that are to be used either in the reference paragraph or in appendix A of the publication.

b. Use MARKS to obtain the file numbers under which the records should be kept. If the file numbers for records created as a result of the directive or memorandum cannot be identified, contact your records manager for assistance. If the subject matter is a new area not addressed in MARKS, coordinate the recordkeeping needs with the Files Management Program Manager in DCSIM/ACSIM/DOIM.

## **Section V**

### **Forms Management.**

#### **3-14. General**

a. The USARC Regulation 25-1, paragraph 9-8, prescribes USARC forms management policies and responsibilities.

b. A "form" is defined as an officially prescribed document which has blank spaces on it for recording information.

c. There are three categories of forms used in the Army: local, command or agency, and Army-wide forms.

(1) A local form is designed for use within the headquarters.

(2) A command form is for use by the headquarters and its subordinate activities.

(3) Army-wide forms are DA Forms, DD Forms, SFs, OFs, and other government agencies' forms, e.g., VA Forms, and Treasury Forms.

d. In addition to the local and command categories of forms, there are various types of forms that may be developed in each category: locally reproducible, electronic, test, one-time, form letter, overprint, label, and poster).

[Note: all forms are either command or local.]

### 3-15. Responsibilities

a. The DCSIM/ACSIM/DOIM (Forms Management Officer) is responsible for the maintenance and control of the forms generated in the headquarters.

b. Each proponent of a form coordinates with the Forms Management Officer (FMO) to ensure all requirements for forms approval are met.

### 3-16. Creating forms

a. Do not develop a local or command blank form when there is a higher echelon form in existence that should accomplish the same purpose. Higher headquarters' forms may be overprinted with constant data to reduce administrative workload.

**b. Do not generate or send unnumbered blank forms outside the staff agency/office to be filled in.**

c. Required form elements.

(1) Form number. The form number consists of the command or local designation, a sequential form number and a date. Place this information in the lower left hand corner of the form.

(2) Form title area. In the title area of all forms, place a form title and show the number of the prescribing directive (if a permanent form). You may place the proponent of the form in the title area as well.

d. Citing RCSs or exemption statements. To comply with the requirements of MICS, if the form collects information for an approved reporting requirement, place the RCS or the RCS exemption statement in the upper right hand corner of the form.

### 3-17. Prescribing directives

Most forms require a prescribing directive. Only the following types of publications may prescribe forms: supplements, regulations, pamphlets, memorandums, or circulars. The following applies:

a. A local form requires a prescribing directive (usually a numbered memorandum) when it will be used by more than one staff agency.

b. A command form is prescribed by a directive (other than a numbered memorandum) for command-wide use.

c. An AR or other publication is **not** a valid prescribing directive for a command or local form. If a higher headquarters specifies a requirement (in a publication or

other medium) that generates the development of a form, a command (USARC/MSC) directive **must** be published.

d. A correspondence memorandum may be used as the prescribing directive for a "test," "temporary," or "one-time" form. (Posters may also be prescribed by correspondence memorandum.) In the case of "test" or "temporary" forms, the memorandum must state that the form is a "test" or "temporary" and when the test/use period will expire (usually upon publication of the final version of the form in an official publication). **Sample statements:** "The test period for MSC Form XX-R (TEST) will expire when the final version is published in MSC Regulation XX-X not later than 30 Sep 95" or "The USARC Form XX-R (TEMPORARY) will expire on 1 Dec 94."

### 3-18. Processing MSC/installation forms for approval

AR 25-30, chapter 3, and DA Pamphlet 25-31 contain information on management of blank forms. As a minimum, the DCSIM/ACSIM/DOIM (FMO) should follow these procedures and guidance:

a. As the FMO, you control the numbering of blank forms. To get a form published, action officers submit a DD Form 67, Form Processing Action Request, together with the proposed form **and** its prescribing directive, if applicable, to you. A sample DD Form 67 is at figure 3-8. The DD Form 67 replaces DA Form 1167, Request for Approval of Form. The DA Form 1167 may be used until existing supplies are exhausted.

b. Completing the DD Form 67. (See figure 3-8.) Ensure requesting/action officers complete the following items, as a minimum:

(1) Item 4. FROM.

(2) Item 6. TO. (Should be addressed to the MSC DCSIM, ATTN: Forms Manager.)

(3) Item 7. FORM TITLE. (Title should accurately describe purpose/function of form.)

(4) Item 8. SUPERSEDED FORMS. (List all forms superseded by the new form.)

(5) Item 9. PRESCRIBING DOCUMENT NUMBER. (If form is prescribed by a publication, enter publication number; if form is prescribed by a correspondence memorandum, enter the office symbol of the originating office and date of the memorandum. See paragraph 3-10 to determine which what type of directive is required.)

(6) Items 12a - 12e. DESIGN CONSIDERATIONS.

(7) Item 13. PURPOSE AND DESCRIPTION OF USE. (Include information on who should complete the form and who the completed form is submitted to.)

(8) Item 16. DOD COMPONENT OPR AND/OR ACTION OFFICER. (The requesting/action officer should enter requested information.)

(9) Item 17. DOD COMPONENT APPROVING OFFICIAL. (The staff agency or office chief should sign in this block. This may also be the same individual indicated in item 16.)

(10) Item 20. CLASS OF FORM. Check all appropriate blocks. (Only EGA (electronically generated), LRA (locally reproducible), COMM (command), or LOCAL should apply.)

(11) Item 21. RELATED FORMS. (List all forms closely related to the new form, such as forms that may provide data for completing the new one.)

(12) Item 23. DESIGN CONSIDERATIONS. Check all appropriate blocks.

(13) Item 24. DISTRIBUTION OR DELIVERY. (Indicate who should receive/use the new form (e.g., MSC HQ, Each unit, or FOR USE BY DCSXXX ONLY (when used by only one staff agency/office).)

c. Numbering of blank forms. When you receive a form request package (the form, a DD Form 67 or DA Form 1167, and a prescribing directive, if appropriate), assign each blank form a number and a date (per para 3-16c(1) above). Indicate this information on a DA Form 642, Form Information Record (see sample at figure 3-9 and additional information in para e(1) below) and in item 2 of the DD Form 67. Each type of form indicated in paragraph 1c may have the same form number, but the designator and date will be different (e.g., USARC Form 12-R, 1 Nov 93; AFRC Form 12-R, 1 Feb 94; USARC Poster 3, 1 Sep 93, HQXX Label 1, 1 Aug 94). Descriptions of the different types of forms are contained in DA Pamphlet 25-31. Examples of form numbers with suffixes/designators that indicate specific types of forms follow:

(1) USARC Form 12-R. "-R" indicates a locally reproducible form.

(2) AFRC Form 9-E. "-E" indicates an electronically generated form.

(3) USARC Form 47-R (TEST). "(TEST)" indicates a form issued on a test basis that may be declared obsolete or will become permanent after the test period.

(4) HQXX Form 1-R (TEMP). "(TEMP)" indicates a temporary, short-lived form.

(5) XXth ARCOM Form 1 (ONE-TIME). "(ONE-TIME)" indicates a form prescribed for a one-time purpose. When action is complete, the form becomes obsolete.

(6) XXd ARCOM OVERPRINT 3-R (or XXth TAACOM OP 2). OVERPRINT (OP) indicates an existing higher headquarters form that has been overprinted with information to suit the individual command's needs. **[NOTE: Do not obliterate the higher headquarters' form designator. The overprint number and date are placed below, or as close as possible to, the higher headquarters' form number and date.]**

d. Internal coordination. As the FMO, you should coordinate the form package with applicable program managers listed in item 14 of the DD Form 67 (Privacy Act, Postal, Data Elements, and Reports). As a minimum, the PA official and the MICO must review the form package and sign off in item 14.

e. Controlling and tracking forms.

(1) The DA Form 642 (Form Information Record). As the FMO, you should maintain a card file of all forms with a separate DA Form 642 (see figure 3-9.) for each form (MARKS file number 25-30e). File DA Forms 642 in numerical order by each category and type of form described in paragraph 3-14 above. When numbering a new form, use this file to assign the next sequential number following the last form number assigned in the appropriate category and form type.

(2) The DA Form 4815-R (Forms Control Register). For each form category and type, maintain a DA Form 4815-R (see figure 3-10) or an electronically generated log/register containing the same information (MARKS file number 25-30e). The "Forms Register No." in the first column of the register is a sequential numbering of each **action** taken in that specific form category and type. **IT IS NOT THE NUMBER OF THE FORM.** As shown in figure 3-10, each form can have several actions taken on it. Each time a new action is taken, the old entry should be lined out and the "Disposition" column should indicate the new Register (REG) number to refer to for the latest action on that specific form. **(Because this register is not a sequential numbering by form, it should not be used for verifying the next available form number in a specific category or type.)**

(3) Forms files. Keep numerical files of forms by each form category and type under MARKS file number 25-30b. Each file should contain, as a minimum, the DD Form 67 or DA Form 1167, several copies of the approved form, and the prescribing directive.

f. Approving forms. As the FMO, you complete item 19 of the DD Form 67 when you and coordinating officials determine that the form meets all requirements.

g. Superseded, rescinded, or obsolete forms.

(1) Superseded forms.

(a) When a form is superseded, enter the new form information on the DA Form 4815-R under a new Register (REG) number and line through the old entry, indicating the new REG number in the "Disposition" column.

(b) After you review and approve the revised form, staple one copy of the superseded (old) version and the prescribing directive, if applicable, behind the old DD Form 67 or DA Form 1167. Mark a diagonal slash across the 67/1167, annotate that the form was superseded by a new edition, and indicate the date of the latest version of the form. Maintain this package in the form file with the new DD Form 67 or DA Form 1167, the new form, and the new prescribing directive (if applicable).

(2) Rescinded or obsolete forms.

(a) When the proponent of the form notifies you that a form is no longer required, line through the entry on the DA Form 4815-R, indicate in the "Disposition" column that the form is obsolete or rescinded, and cite the proponent and action officer responsible for determining its obsolescence.

(b) Pulls the numerical file folder for that form and staples one copy of the form (and its prescribing directive, if applicable), and a copy of the documentation requesting the



form be made obsolete, behind the DD Form 67 or DA Form 1167. Mark a diagonal slash across the 67/1167, annotate that the form is rescinded or obsolete, and indicate the date and proponent authorizing obsolescence. Place package into an obsolete, inactive numerical file to be processed in accordance with MARKS.

### **3-19. Electronic generation of forms (-E forms)**

a. The DA, FORSCOM, or USARC Pamphlets 25-30 indicates any forms approved for electronic generation by a "-E" designator following the form number.

b. Designers of a -E version of a form must submit the form to the proponent for approval. *[Consult DA, FORSCOM, or USARC Pamphlet 25-30 to identify proponents of higher headquarters' forms. Contact the MSC/installation Forms Manager or consult the MSC's/installation's Pam 25-30 (the index to publications and forms) to identify the proponent of a specific local form.]* Only the proponent of a form may approve that form for electronic generation and, if approved, the electronically-generated version must have identical elements to those contained in the original, with the format remaining as close to the original, hard copy of the form as software and printer capabilities will allow.

c. For higher headquarters' forms:

(1) Any electronically-generated version of a form must be routed through and reviewed by the DCSIM/ACSIM/DOIM Forms Management Officer (along with an original hardcopy of the form) to ensure it maintains the integrity of the original form.

(2) The FMO forwards requests for electronic generation of higher headquarters' forms to the form's proponent at the appropriate agency.

d. For USARC level forms, see USARC Memorandum 25-1, paragraph 9-5.

e. For MSC/Installation level forms:

(1) Design of a -E form version of an existing MSC/Installation form must print correctly on available printers. Most printers will not print a form exactly the same way.

(2) Submit the -E version of a form to the MSC/Installation proponent for approval. If the

MSC/Installation proponent approves the -E form for use, the proponent of the form should submit a DD Form 67 (Form Processing Action Request) or DA Form 1167 (Request for Approval of Form) to DCSIM/ACSIM/DOIM, ATTN: Forms Management Officer, requesting approval of the -E form. The proponent should also provide the -E version of the form to the FMO on diskette and in hardcopy. Only the FMO can approve and authorize use of electronically generated versions of existing forms at your headquarters.

(3) After approving the form, the FMO assigns a "-E" designator and new date to that electronically-generated version of the form.

(4) The approved E-form version of an MSC/installation form should be put on the LAN, if available, for all headquarters staff to use.

### **3-20. Ordering blank forms**

a. All MSCs/installations and their subordinate units order blank USARC and FORSCOM forms from Commander, U.S. Army Reserve Command, ATTN: AFRC-IMA-P, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099, by submitting DA Form 17, Requisition for Publications and Blank Forms. The DA Form 17 may be handwritten or typed. Locally reproducible forms (-R forms) are in the applicable prescribing directives for reproduction. Order new master copies, if necessary, from the address stated above.

b. The USARC staff agencies use procedures contained in USARC Memorandum 25-1, paragraph 9-3, for ordering USARC and FORSCOM forms.

c. Army-wide blank forms are stocked by the U.S. Army Publications Distribution Center, St. Louis, MO, and are supplied to you by your supporting installation publications stockroom.

### **3-21. Unauthorized forms**

In order to prevent design and submission of unauthorized forms, MSC/Installation proponents should return any unauthorized versions of forms received to the submitting office or individual for resubmission using a valid version of the form.

DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
3800 NORTH CAMP CREEK PARKWAY SW  
ATLANTA, GA 30331-5099  
DATE

USARC Supplement 1 to \_\_\_\_\_

Pubs Series Title (from AR 25-30, Table 2-4)  
**TITLE OF ARMY REGULATION**

---

**History.** (*Provides publishing history*) This is the initial printing of USARC Supplement 1 to \_\_\_\_\_ - **OR** - This supplement was originally published on (enter date of superseded pub). - **OR** - This supplement was originally published on (date) and subsequent revisions were published (date), (date), and (date). - **OR** - This supplement was originally published on (date). This printing publishes change #.

(Recommended Changes to Publications and Blank Forms) directly to Commander, USARC, ATTN: AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

FOR THE COMMANDER:

**Appicability.** This supplement applies to

**Proponent and exception authority.** The proponent of this supplement is the \_\_\_\_\_. The proponent has the authority to approve exceptions to this supplement that are consistent with controlling law and regulation. Proponents may delegate this approval authority, in writing, to a [*e.g., division chief*] under their supervision within the proponent agency in the grade of [*e.g., colonel*] or the civilian equivalent.

ZANNIE O. SMITH  
Brigadier General, USA  
Chief of Staff

OFFICIAL:

**Supplementation is prohibited without prior approval from Commander, U.S. Army Reserve Command, ATTN: AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.**

CAROLYN E. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

**Suggested improvements.** Users are invited to send comments and suggested improvements on DA Form 2028

**DISTRIBUTION:**

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AR XX-X, dated XX XXXXXXXX XXXX, is supplemented as follows:

-----  
Page \_\_, paragraph \_\_\_\_\_. (Add the following:)  
(Add the following after third sentence:)

Appendix B (Added)

Title of Appendix

**SAMPLE ENTRIES IN BODY OF SUPPLEMENT**

B-1. xxxxxxxxxxxx

Figure 3-1. USARC Supplement to Army Regulation - format.

Pubs Series Title (from AR 25-30, Table 2-4)

**TITLE OF REGULATION**

**History.** (*Provides publishing history*) This is the initial printing of USARC Regulation \_ - **OR** -This regulation was originally published on (enter date of superseded pub). - **OR** -This regulation was originally published on (date) and subsequent revisions were published (date), (date), and (date). - **OR** -This regulation was originally published on (date). This printing publishes change #.

**Summary.** This regulation contains

**Applicability.** This regulation applies to

**Proponent and exception authority.** The proponent of this regulation is the \_\_\_\_\_. The proponent has the authority to approve exceptions to this regulation that are consistent with controlling law and regulation. Proponents may delegate this approval authority, in writing, to a [*e.g., division chief*] under their supervision within the proponent agency in the grade of [*e.g., colonel*] or the civilian equivalent.

**Supplementation.** Supplementation of this regulation is prohibited without prior approval from Commander, USARC, ATTN: AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

**Interim changes.** Interim changes to this regulation are not official unless authenticated by the Deputy Chief of Staff, Information Management (DCSIM). Users will destroy interim changes on their expiration date unless superseded or rescinded.

**Suggested improvements.** Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Commander, U.S. Army Reserve Command, ATTN: AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

FOR THE COMMANDER:

ZANNIE O. SMITH  
Brigadier General, USA  
Chief of Staff

OFFICIAL:

CAROLYN E. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

**DISTRIBUTION:**

**Table of Contents (if regulation is over 10 paragraphs)**

**Purpose**

**References (if publication refers to any other publications; if more than 10, list in appendix A; must include Recordkeeping Requirements)**

**Explanation of abbreviations and terms (optional)**

**Responsibilities**

**Policies**

**Procedures**

**Optional**     **figures and tables**  
                  **forms**  
                  **reports**  
                  **appendixes**  
                  **glossary (mandatory if more than 15 abbreviations)**  
                  **index**

**Note:** Final determination on whether to include optional items will be made by DCSIM, Administrative Policy and Services Division.

**Figure 3-2. USARC Regulation format.**

Pubs Series Title (from AR 25-30, Table 2-4)

**TITLE OF CIRCULAR**

**History.** (*Provides publishing history*) This is the initial printing of USARC Circular . - **OR** - This circular was originally published on (enter date of superseded pub). - **OR** - This circular was originally published on (date) and subsequent revisions were published (date), (date), and (date). - **OR** - This circular was originally published on (date). This printing publishes change #.

**Summary.** (*Optional*) This circular contains

**Applicability.** This circular applies to

**Proponent and exception authority.** (*If circular is directive in nature*) The proponent of this circular is the The proponent has the authority to approve exceptions to this circular that are consistent with controlling law and regulation. Proponents may delegate this approval authority, in writing, to a [*e.g., division chief*] under their supervision within the proponent agency in the grade of [*e.g., colonel*] or the civilian equivalent.

**Interim changes.** Interim changes to this circular are not official unless authenticated by the Deputy Chief of Staff, Information Management (DCSIM). Users will destroy interim changes on their expiration date unless superseded or rescinded.

**Suggested improvements.** The proponent of this circular is the DCSXXXXX. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to the Commander, U.S. Army Reserve Command, ATTN: AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

FOR THE COMMANDER:

OFFICIAL:

ZANNIE O. SMITH  
Brigadier General, USA  
Chief of Staff

CAROLYN E. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

**DISTRIBUTION:**

---

**Table of Contents (if pub is over 10 paragraphs)**

**Purpose**

**References (if publication refers to any other publications; if more than 10, list in appendix A must include Recordkeeping Requirements)**

**Explanation of abbreviations and terms (optional)**

**Responsibilities (optional)**

**Policies**

**Procedures**

**Optional**

figures and tables

forms

reports

appendixes

glossary (mandatory if more than 15 abbreviations)

index

**Note:** Final determination on whether to include optional items will be made by DCSIM, Administrative Policy and Services Division.

**Figure 3-3. USARC Circular format.**

Pubs Series Title (from AR 25-30, Table 2-4)  
**TITLE OF PAMPHLET**

**History.** (*Provides publishing history*) This is the initial printing of USARC Pamphlet \_\_\_\_\_. - **OR** - This pamphlet was originally published on (enter date of superseded pub). - **OR** - This pamphlet was originally published on (date) and subsequent revisions were published (date), (date), and (date). - **OR** - This pamphlet was originally published on (date). This printing publishes change #.

**Summary.** (*May be included in a purpose paragraph.*) This pamphlet contains

**Applicability.** This pamphlet applies to

**Interim changes.** Interim changes to this pamphlet are not official unless authenticated by the Deputy Chief of Staff, Information Management (DCSIM). Users will destroy interim changes on their expiration date unless superseded or rescinded.

**Suggested improvements.** The proponent of this pamphlet is the Deputy Chief of Staff, XXXXX. Users are invited to send

comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Commander, USARC, ATTN: AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

FOR THE COMMANDER:

ZANNIE O. SMITH  
Brigadier General, USA  
Chief of Staff

OFFICIAL:

CAROLYN E. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

**DISTRIBUTION:**

**Table of Contents (if pamphlet is over 10 paragraphs)**

**Purpose**

**References (if publication refers to any other publications; if more than 10 list in appendix A must include Recordkeeping Requirements)**

**Explanation of abbreviations and terms (optional)**

**Responsibilities (may discuss responsibilities, not assign them)**

**Policies (explain policy rather than prescribe them)**

**Procedures**

**Optional**

figures and tables

forms

reports

appendixes

glossary (mandatory if more than 15 abbreviations)

index

**Note:** Final determination of whether to include optional items will be made by DCSIM, Administrative Policy and Services Division.

**Figure 3-4. USARC Pamphlet Format.**

Pubs Series Title (from AR 25-30, Table 2-4)

**TITLE OF MEMORANDUM**

**History.** (*Provides publishing history*) This is the initial printing of USARC Memorandum \_\_\_\_\_. - **OR** - This memorandum was originally published on (enter date of superseded pub). - **OR** - This memorandum was originally published on (date) and subsequent revisions were published (date), (date), and (date). - **OR** - This memorandum was originally published on (date). This printing publishes change #.

**Summary.** (*Optional*) This memorandum contains

**Applicability.** This memorandum applies to

**Suggested improvements.** The proponent of this pamphlet is the Deputy Chief of Staff, XXXXX. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Commander,, USARC, ATTN:

AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

FOR THE COMMANDER:

ZANNIE O. SMITH  
Brigadier General, USA  
Chief of Staff

OFFICIAL:

CAROLYN E. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

**DISTRIBUTION:**

**Table of Contents (if publication is over 10 paragraphs)**

**Purpose**

**References (if publication refers to any other publication; if more than 10 list in appendix A must include Recordkeeping Requirements)**

**Explanation of abbreviations and terms (optional)**

**Responsibilities**

**Policies**

**Procedures**

**Optional**

**figures and tables**

**forms**

**reports**

**appendixes**

**glossary (mandatory if more than 15 abbreviations)**

**Note:** Final determination on whether to include optional items will be made by DCSIM, Administrative Policy and Services Division.

Figure 3-5. USARC Memorandum Format.

DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
3800 NORTH CAMP CREEK PARKWAY SW  
ATLANTA, GA 30331-5099  
DATE

(STAFF AGENCY) SOP XX-X

**(Subject) STANDING OPERATING PROCEDURES**

---

**Applicability.** This SOP applies to all personnel in the Office of the \_\_\_\_\_.

---

**Table of Contents (optional)**

**Purpose**

**References**      **SUGGESTED PARAGRAPH HEADINGS; MODIFY AS NEEDED**

**Responsibilities**

**Policies**

**Procedures**

XXXXXX X. XXXXXXXXXXXX  
Colonel, GS  
(Office Title)

**NOTES:**

1. Number SOPs using Pubs Series Number from AR 25-30 - sequence number, e.g., 340-1, 25-1.
2. SOPs apply only to those personnel under the supervision of the person signing the SOP. If procedures also apply to personnel in another staff agency, then a USARC Memorandum must be issued.
3. An SOP does not apply to our subordinate units.

**Figure 3-6. Staff Agency Standing Operating Procedures (SOP) Format.**

DEPARTMENT OF THE ARMY  
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND  
3800 NORTH CAMP CREEK PARKWAY SW  
ATLANTA, GA 30331-5099  
DATE

USARC \_\_\_\_\_  
Change 1

Pubs Series Title of Publication to be Changed  
**TITLE OF CHANGED PUBLICATION**

---

**History.** (*Provides publishing history*) This \_\_\_\_\_ was originally published on (date) and subsequent revisions were published (date), (date), and (date). This printing publishes change #.

FOR THE COMMANDER:

**Summary.** This change indicates ....

**Suggested improvements.** The proponent of this change is the Deputy Chief of Staff, XXXXX. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to Commander, USARC, ATTN: AFRC-XX, 3800 North Camp Creek Parkway SW, Atlanta, GA 30331-5099.

OFFICIAL:

ZANNIE O. SMITH  
Brigadier General, USA  
Chief of Staff

CAROLYN E. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

**DISTRIBUTION:** (should be same as distribution for basic publication, unless change actually affects level of distribution)

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1. Make the following pen and ink changes to USARC \_\_\_\_\_, date.
  - a. Page 4, paragraph 4-1: Delete ....
  - b. Page 4, paragraph 4-7: Add ....
  - c. Page 5, paragraph 5-1: Delete sub-paragraph 5-1c.
2. Replace old pages 2, 3, 5, 6, A-1, and A-2 with new pages provided.

**Figure 3-7. Format for a Change to a USARC Publication.**



FORM PROCESSING ACTION REQUEST (Read Instructions in DoD 7750.7-M before completing this form)		1. TYPE SUBMISSION (X one)		2. FORM DESIGNATION AND NUMBER (Leave blank if a new form) DA Form 9999	3. DATE OF FORM (Complete only when cancelling a form) N/A	
		NEW	OTHER (Specify)			
<input checked="" type="checkbox"/> REVISION		<input type="checkbox"/> CANCELLATION				
4. FROM (DoD Component OPR Organization and complete mailing address) HQDA (DASG-HIJ) 5109 Leesburg Pike Falls Church, VA 22041-0000		5. THRU (DoD Component /MO Organization and complete mailing address)		6. TO (Organization and complete mailing address) Commander, USAPPC ATTN: ASQZ-PGS Alexandria, VA 22331-0302		
7. FORM TITLE Uniformed Services Medical Treatment Facility Nonavailability Statement				8. SUPERSEDED FORMS (if applicable)		
				a. FORM NUMBER	b. EDITION DATE	
				DA Form 9999	SEP 84	
				c. DISPOSITION (X one)		
				(1) USE	(2) DO NOT USE	
					X	
9. PRESCRIBING DOCUMENT NUMBER (Attach copy) AR 40-3		10. FUNCTIONAL CODE (Leave blank if a new form) 6000		11. TYPE OF FORM (X one) <input checked="" type="checkbox"/> PRESCRIBED <input type="checkbox"/> ADOPTED		
12. DESIGN CONSIDERATIONS						
a. SUGGESTED SIZE (Width) (Length) 8 1/2 11	b. SPECIAL CONSTRUCTION REQUIRED? (X one) <input checked="" type="checkbox"/> YES (if yes, attach printing specifications) <input type="checkbox"/> NO	c. IS FORM CLASSIFIED? (if applicable) WHEN BLANK? <input checked="" type="checkbox"/> NO WHEN FILLED IN?		d. IS FORM CONTROLLED? (if applicable) SAFEGUARD <input checked="" type="checkbox"/> NO SERIALLY NUMBERED	e. IS FORM AUTHORIZED FOR ELECTRONIC GENERATION? (X one) YES <input type="checkbox"/> NO <input checked="" type="checkbox"/> WITH STIPULATIONS	
13. PURPOSE AND DESCRIPTION OF USE (Attach additional sheet, if necessary) To indicate that necessary inpatient care is not available in USMTF and to permit payment for that care in a civilian facility under CHAMPUS. All equipment used to complete these forms is automated.						
14. INTERNAL COORDINATION AND CONCURRENCE						
(1) COORDINATOR		(2) APPLICABLE (Yes or No)		(3) REMARKS (Enter Reports Control Number(s) and expiration date(s), if applicable)		
NAME		INITIALS	OFFICE SYMBOL	TELEPHONE NUMBER (Include DSN / Area Code)		
a. PRIVACY ACT	Charlie Medic		DASG-ABC	756-1234	YES	ID-A0999.09aDASG
b. POSTAL	Joe Stamp		DASG-CDE	756-2345	YES	business reply mail
c. DATA ELEMENTS	Betty Byte		DASG-EFG	756-6789	YES	
d. REPORTS					NO	
e. INTERAGENCY					NO	
f. RCS	Herb Spicer		SAIS-PDC	695-3456	YES	RCS DCS-100
g. OMB					NO	
15. EXTERNAL COORDINATION AND CONCURRENCE (not required for SO, DoD Component, or Combined forms)						
a. DOD COMPONENT	c. COORDINATOR		d. ESTIMATED ANNUAL USAGE		e. IF REVISION, OTC, EX-STING FORMS ON HAND	
	NAME	INITIALS	OFFICE SYMBOL	TELEPHONE NUMBER (Include DSN / Area Code)		
CERTIFICATION OF DOD COMPONENT OPR AND/OR ACTION OFFICER, APPROVING OFFICIAL, AND FMO I hereby certify that all of the above coordinations have been completed as indicated.						
16. DOD COMPONENT OPR AND/OR ACTION OFFICER						
a. TYPED NAME		b. SIGNATURE		c. TELEPHONE NO.		
LTC Castor, DASG-HIJ				756-5678		
17. DOD COMPONENT APPROVING OFFICIAL			18. DOD COMPONENT AND/OR COMMAND FORMS MANAGEMENT OFFICER			
a. SIGNATURE		b. DATE SIGNED	a. SIGNATURE		b. DATE SIGNED	
COL Jones, DASG-HI		25Feb93	Jane Doe, FMO		1Mar93	
19. APPROVING FORMS MANAGEMENT OFFICER						
a. TYPED NAME		b. SIGNATURE		c. DATE SIGNED		

DD Form 67, SEP 91

Figure 3-8. Sample of a completed DD Form 67, Form Processing Action Request.

20. CLASS OF FORM									21. RELATED FORMS				22. CONSTRUCTION			
DA	DO	EGA	LRA	SF	CF	OTH	COMM	LOCAL					CS	MULTI-PAGE	TAG	LABEL
X													SET	SET CONT	PAD	OTHER
23. DESIGN CONSIDERATIONS									24. DISTRIBUTION OR DELIVERY (Include complete address for Stock and Issue (S&I))							
a. HOW WILL FORM BE FILLED IN? (x all that apply)					b. TYPE FILE (x all that apply)				BALTIMORE Send 10 copies to DASG-HIJ, ATTN: Forms, Falls Church, VA 22041-0000							
<input type="checkbox"/> MANUALLY					<input type="checkbox"/> BINDER				<input checked="" type="checkbox"/> APOC. BALTIMORE <input type="checkbox"/> APOC. ST. LOUIS <input type="checkbox"/> EGA <input type="checkbox"/> LRA <input type="checkbox"/> S&I							
<input type="checkbox"/> TYPEWRITER					<input type="checkbox"/> FASTENER				25. REBURSABLE ORDER NO							
<input checked="" type="checkbox"/> AUTOMATED EQUIP (Describe in item 13)					<input type="checkbox"/> CARD											
<input checked="" type="checkbox"/> X					<input type="checkbox"/> VISIBLE											
26. If this is a revision to an existing form, does it require a change to the prescribing directive? (Attach copy) YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>									27. This form complies with the neutral language requirement? YES <input type="checkbox"/> NO <input type="checkbox"/> NA <input checked="" type="checkbox"/>							
28. FOR USE BY FORMS APPROVING AGENCY (Must correspond with item 22.)																
a. PAPER								b. PRINT								
COPY NO (1)	BASIS WEIGHT (2)	TYPE (3)				COLOR (4)	COLOR INK (1)	FACE ONLY (2)	(3) HEAD TO							
		See attached GPO 1026a for marginally punched continuous construction.							HEAD	FOOT	LEFT	RIGHT				
c. SIZE (wd/ht/length)		d. UNIT OF ISSUE (cut sheet, pad, top, etc.)		e. NO OF ORIGINALS		f. ASSEMBLING		g. BINDING								
(1) OVERALL	(2) FOLDED			1		(1) SHEETS IN SETS	(2) SHEETS IN PADS	(1) TYPE	(2) POSITION							
8 1/2x 11	x	STC4				4										
h. PUNCHING					i. PRENUMBERING			j. MARGINS								
(1) NO HOLES	(2) DIAMETER	(3) C TO C	(4) KIND	(5) POSITION	(1) FROM (and including)	(2) TO (and including)	<input checked="" type="checkbox"/> (1) FRONT <input type="checkbox"/> (2) BACK									
							<input type="checkbox"/> (a) TOP <input type="checkbox"/> (b) LEFT									
29. ADDITIONAL SPECIFICATIONS																
30. FORMS APPROVING AGENCY												31. FORMS REGISTER NUMBER				
a. SIGNATURE										b. DATE						
INSTRUCTIONS FOR COMPLETION OF SIGNATURE BLOCKS																
DD Form 67 is to be used for processing Standard, Optional, other Government Agency, DO, DA, and command/local forms. The following is guidance for use of the signature blocks at the different Army echelons.																
BLOCK 16 - Enter the name of the proponent or an individual who can provide technical information about the purpose and use of the form, do NOT enter the name of the Army FMO.																
BLOCK 17 - This individual must be at the division/directorate level or above for DO or DA forms and is normally the approving official for the respective prescribing publication for the form.																
BLOCK 18 - For DD forms, Standard Forms, and Optional Forms, this block will be signed at USAPPC. For DA and other Government Agency forms, this block will be signed by the proponent organization FMO. Leave blank for command, agency, and local forms.																
BLOCK 19 - Leave blank on all DD forms processing requests. For DA and other Government Agency forms, this block will be signed at USAPPC. For command forms, the respective FMO serves as the approving authority.																
BLOCK 20 - For Standard, Optional, and DD forms, this block is used by USAPPC for approving printing specifications.																

REVERSE OF DD FORM 67, SEP 91

OVERPRINT OF DD FORM 67, APPROVED BY USAPPC, SEP 91

1115 Procurement Practice (PUB) (00) 04 11/90/0000

Figure 3-8. Continued. Sample of a completed DD Form 67.

HQXX Form XX-R			
1 Jan 95	Service Request		7.33
FORM NO. AND DATE	TITLE		FUNCTIONAL CODE
DIRECTIVE (If applicable)		TYPE OF CONSTRUCTION	
		CUT SHEET	OTHER (Specify)
XXX Reg 00-1		X	
LOCATION OF STOCK		SIZE	
XXX Reg 00-1		8½ x 11	
ORIGINATING OFFICE		MONTHLY USAGE	
DCSXX		10	
PERSON TO CONTACT		TELEPHONE NO.	
	COL Jones	123-4567	
PURPOSE (Continue on reverse if more space is required)			
For units to request service on equipment from MUSARC.			
DA FORM 642		EDITION OF 1 JAN 51, IS OBSOLETE.	
FORMS INFORMATION RECORD			

Figure 3-9. Sample DA Form 642, Forms Information Record.

Figure 3-10. Sample of DA Form 4815, Forms Control Register.

FORMS CONTROL REGISTER									
For use of this form, see AR 25-30: the proponent agency is DDISC4									
FORMS REGISTER NO.	FORM NO.	TITLE	INITIATING OFFICE ACTION OFFICE & TELEPHONE NO.	ACTION			DATE RECEIVED	DATE OF CLEARANCE	DISPOSITION
				NEW	REVISED	REPRINT			
23	AFRC Form 22 15 May 92	This is the changed line	N. Olshausen DCSIM 3905				20 May 92	20 May 92	For DCSIM use only
24	AFRC Form 23 15 Jun 92	Inspector General Identification Card	MAJ Burke IG 4212				22 Jun 92	23 Jun 92	For IG use only. Printed and given to IG 2 Jul 92 (old)
25	AFRC Form 24-R 30 Jun 92	NATO Cover Sheet	S. Smith DCSIM 4214				25 Jun 92	25 Jun 92	For DCSIM use only
26	AFRC Form 25-R 1 Aug 92	NATO Document Register	S. Smith DCSIM 4214				30 Jul 92	7 Aug 92	For DCSIM use only <i>Rescinded 1/97</i>
27	AFRC Form 26-R 1 Aug 92	Postal Equipment Approval	S. Smith DCSIM 4214				30 Jul 92	7 Aug 92	For DCSIM use only
28	AFRC Form 27 1 Aug 92	Name/Organization Card	N. Olshausen DCSIM 3905				1 Aug 92	7 Aug 92	Held in APSD for dist when requested.
29	AFRC Form 28-R (TEST) 30	Records and Publication Management Checklist	H. Lotman DCSIM 2947				21 Sep 92	22 Sep 92	For DCSIM use only <i>Rescinded 2/97</i>
30	AFRC Form 9-R 20 Sep 92	Staff Coordination/Approval/Routing Sheet (SCARS)	LTC Scammon SGS 3816				30 Aug 92	1 Sep 92	TBP in Ch-1 to USARC Memo 25-1 and also sent
31									
32									
33									

## Chapter 4

### Official Mail Programs

#### 4-1. Official mail duty appointments

Official Mail Managers (OMMs), Assistant Official Mail Managers (AOMMs) and Custodian of the Official Mail Stamp Account (COMSA) must be appointed on letter orders. The formats for these appointments are:

- a. Official Mail Manager (fig 4-1).
- b. Assistant Official Mail Manager (fig 4-2).
- c. Custodian of the Official Mail Stamp Account (fig 4-3).

#### 4-2. Required distribution of official mail duty appointments

- a. Send a copy of the OMM and AOMM appointments for HQ USARC to HQ FORSCOM, G-6.
- b. Send a copy of the OMM and AOMM appointments for the MSCs to the HQ, USARC OMM, DCSIM.
- c. The MSC OMM maintains copies of the appointment of the COMSA.
- d. Send a copy of the OMM, AOMM, and the COMSA appointments for each Reserve activity including Reserve centers that operate postage meters and or use postage stamps to the MSC OMM responsible for the activity.

#### 4-3. Proper completion of USARC Form 1000-R (Consolidated Quarterly Postage Expenditure Report)

- a. Instructions for the proper completion of USARC Form 1000-R (Consolidated Quarterly Postage Expenditure Report) are in USARC Suppl 1 to AR 25-51, Official Mail And Distribution Management, paragraph 2-46e.
- b. The suspense date for the quarterly postage expenditure report to HQ, USARC is:
  - (1) First Quarter, no later than 10 January
  - (2) Second Quarter, no later than 10 April
  - (3) Third Quarter, no later than 10 July
  - (4) Forth Quarter, no later that 10 October
- c. HQ, USARC suspense to HQ, FORSCOM for the quarterly postage expenditure report is:
  - (1) First Quarter: no later than 20 January
  - (2) Second Quarter, no later than 20 April
  - (3) Third Quarter, no later than 20 July
  - (4) Forth Quarter, no later than 20 October

#### 4-4. Preparing a mail routing guide

- a. Use a mail routing guide to route all incoming mail that is not directly addressed to an office or that does not contain an attention line. The list must be extensive and contain as many routing instructions as possible. An example of a mail routing guide is at appendix D.
- b. A distribution list shows what distribution is made on various command publications. Your headquarters distribution list for publications is in your Pamphlet 25-30, your command Publications and Blank Forms Index.

#### 4-5. Conducting official mail inspections of subordinate mail centers

- a. We use the following criteria to rate a subordinate mail center unsatisfactory. An unsatisfactory rating is mandatory if there is a loss of postal funds or if **all of the following items are checked NO** on USARC Form 4-R, 1, 17, 19, 22, 34 and 37.
- b. A cover letter to be used for all official mail command inspections is at figure 4-4.

#### 4-6. Preparing consolidated mailings

- a. Screen all outgoing mail to ensure maximum use of consolidated mailings. If two or more articles are addressed to the same staff agency at the same location (ZIP CODE) a consolidated mailing will be made.
- b. The following are examples of consolidated mail from and to addresses:

<b>FROM ADDRESS:</b>	<b>COMMANDER U S ARMY RESERVE COMMAND ATTN: AFRC-IMA-M 3800 CAMP CREEK PARKWAY SW ATLANTA GA 30331-5099 OFFICIAL BUSINESS CONSOLIDATED MAIL</b>
<b>TO ADDRESS:</b>	<b>COMMANDER 19TH TAACOM ATTN: MAIL CENTER 225 E. ARMY POST DES MOINES IA 50315-5899</b>

#### 4-7. Approving requests for special service mailings

- a. The OMM is the only individual authorized to approve requests for special mailings such as registered mail, certified mail and insured mail.
- b. Requests for overnight mailings must be approved by at least a division chief of a staff agency. Prepare and handcarry requests in the form of an informal memorandum signed by the division chief to the OMM for approval. The OMM has final approval authority on all overnight mailings.

#### 4-8. Taking postage off a meter

- a. The meter equipment vendor and the OMM takes the meter to the servicing post office to have the postage taken off the meter.
- b. The post office issues the OMM a no fee money order for the funds that were taken off the meter if the total is less then \$700.00. If the money taken off the meter is more than \$700.00 the post office is required to issue a U.S. Treasury Check. In both instances make out the money order or check to the U.S. Treasury. **Under no circumstances should the OMM accept cash or stamps for the turn in of meter funds.**
- c. At the same time the funds are taken off the meter, the servicing post office should cancel the meter license.

d. The OMM should turn in the postal money order or treasury check to the MSC Resource Management Officer and prepare a receipt listing the serial number of the money order or the treasury check, and the amount of funds turned in. Staple the receipt to the PS Form 3603 (Receipt for Postage Meter Settings) and file it in the

appropriate MARKS file number 25-51a for the quarter the meter was taken out of service.

e. Report all postage taken off postage meters on the next quarterly postage expenditure report for the quarter the postage was taken off the meter.

AFRC-AZX-IM (600-8-3a)

MEMORANDUM FOR Mr. Joe Smith, DCSIM, HQ, XZY ARCOM

SUBJECT: Appointment of the Official Mail Manager

1. Effective 1 May 95, you are assigned the duties of the Official Mail Manager for HQ, USARC.
2. Authority: HQ USARC Supplement 1 to AR 25-51, para 1-6a(1).
3. Purpose: To perform the duties outlined in para 1-6c, AR 25-51. As the official mail manager you are authorized to receipt for U.S. Government Treasury checks from the Defense Accounting Office for the purchase of official mail stamps, and adding postage to the postage meter machines located in the XZY ARCOM mail center.
4. Period: Until relieved or released from appointment.
5. Area of responsibility: Command-wide.

JOHN B. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

CF:  
HQ, USARC, ATTN: DCSIM (AFRC-IMA-RP)

**Figure 4-1. Sample appointment of OMM**

AFRC-AZX-IM (600-8-3a)

MEMORANDUM FOR SFC MIKE JONES, DCSIM, ZXY ARCOM

SUBJECT: Appointment of the Assistant Official Mail Manager

1. Effective 1 May 95, you are assigned the duties of the Assistant Official Mail Manager for HQ, USARC.
2. Authority: HQ, USARC Supplement 1 to AR 25-51, para 1-6a(1)(h).
3. Purpose: To perform the duties outlined in para 1-6c, AR 25-51, in the absence of the Official Mail Manager. As the Assistant Official Mail Manager you are authorized to purchase official mail stamps, and to add postage to the postage meters located in the ZXY ARCOM mail center.
4. Period: Until relieved or released from appointment.
5. Area of responsibility: Command-wide.

JOHN B. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

CF:  
HQ, USARC, ATTN: DCSIM (AFRC-IMA-RP)

**Figure 4-2. Sample appointment of AOMM**

AFRC-AZX-IM (600-8-3a)

MEMORANDUM FOR MS Nancy Brown, Mail Clerk, DCSIM, ZXY ARCOM

SUBJECT: Appointment of Custodian of the Official Mail Stamp Account (COMSA)

1. Effective 1 May 95, you are assigned the duties of the COMSA for ZXY ARCOM.
2. Authority: HQ, USARC Supplement 1 to AR 25-51, para 1-6a(1)(h).
3. Purpose: To maintain accountability of all official mail stamps maintained at ZXY ARCOM. USARC Form 8-R (Record of Stamps) will be used to control the receipt and issuance of official mail stamps.
4. Period: Until relieved or released from appointment.
5. Area of responsibility: ZXY ARCOM mail center only.

JOHN B. RUSSELL  
Colonel, GS  
Deputy Chief of Staff,  
Information Management

CF:  
HQ, USARC, ATTN: DCSIM (AFRC-IMA-RP)

**Figure 4-3. Sample appointment of COMSA.**



AFRC-IMA-RP (600-8-3d)

MEMORANDUM FOR Commander, 999 AG Co (Postal), 123 Main Street, North Olmsted, OH  
44070-1234

SUBJECT: Official Mail Inspection

1. SSG Tim Smith conducted an official mail inspection of your mail center on 15 May 95. Enclosed are the results of the inspection. Your unit received an overall rating of satisfactory.
2. Corrective action must be taken on the deficiencies noted. A written report is not required. A review of corrective action taken will be an item of interest on your next inspection.
3. For additional information contact SSG Smith (404) 555-1234.

Encl

AMOS E. SMITH  
LTC, GS  
Deputy Chief of Staff,  
Information Management

**Figure 4-4. Sample Cover letter to be used for all official mail command inspections.**

## Chapter 5 Information Mission Area Procurement

### Section I Procurement Planning

#### 5-1. Requirement Statements (RCS: CSIM-49, Part 1)

a. The Requirement Statement (RS) is both a product and a process. As a product, it is a snapshot in time of known and anticipated IMA requirements. As a process, the RS is the official procedure for identifying IMA requirements (capabilities and funding) and obtaining administrative approval of IMA initiatives.

b. A requirement consists of an unmet capability, or set of capabilities, which is necessary to perform one or more facets of the mission. Its scope encompasses all IMA mission needs, deficiencies, opportunities, modernization and replacements;- it forecasts Life Cycle Management (LCM), software, training and equipment requirements. Each requirement is expressed in functional terms. Generic hardware, software, and training descriptions are used to estimate quantity requirements and life cycle costs. The method of meeting the requirement should comply with the guidance, standards, goals, objectives and strategies of the Army and the USARC. Neither the capability nor the requirement should be fragmented to circumvent expense/investment criteria or to change the type of funding.

c. The level and type of resource necessary to meet an operational requirement is established through operational command channels. The level and type of resource necessary to meet a support requirement is established through support command channels.

#### 5-2 Responsibilities

##### a. User.

(1) As a user, it is your responsibility to define your IMA requirements to the appropriate DCSIM/IMO, regardless of the funding involved. This includes life cycle management actions, lease requirements and the cancellation of previously defined requirements.

(2) You should revalidate identified requirements when requested to do so by the DCSIM/IMO and whenever there is a significant change in manning or mission.

(3) Functional planning channels are expected to review programs to ensure IMA requirements are addressed, the latest functional area developments are included, and unnecessary duplication is eliminated in those programs. Functional planners should also identify command-wide IMA needs within their discipline for which there should be a centralized solution (planning, programming, implementation, operation, maintenance, and evaluation) provided on behalf of multiple units/installations. Give

special emphasis to identifying functional deficiencies and needs that are unique and critical to the support of USAR missions.

##### b. The DCSIM.

(1) The MSC DCSIM/IMO or commander is responsible for IMA management and services for themselves and their subordinates within the scope of their mission. The RSCs are also responsible for the identification and documentation of common-user IMA requirements for supported organizations and centers.

(2) The DCSIM/IMO or the commander develops command-wide procedures for identifying, validating and documenting USAR requirements for IMA equipment, services and training and incorporating USAR IMA requirements into the local budget process.

(3) The MSC DCSIM/IMO or the commander reviews and validates subordinate/support IMA requirements within the context of the required capability. Validation is based on the following: compliance with USARC standards, policies and Tiered Resourcing Guidelines; mission priority; interoperability with other ADPE; compatibility with the scope and direction of USAR automation; reasonable life-cycle maintenance; command automation policy; target configurations and resourcing levels; and compatibility with the mission.

(4) The MSC DCSIM/IMO or the commander develops command-wide procedures for managing IMA requirement statements and maintains an audit trail of requirements from identification through implementation. The audit trail includes the Requirement Statement Audit Identification Number explained in section II of this chapter.

(5) The MSC IM or the commander ensures that appropriate approvals/authorizations are obtained prior to initiating acquisition.

(6) The MSCs prepare and submit command Requirement Statement Reports to HQ USARC, ATTN: AFRC-IMP-S, during the first quarter of each even-numbered fiscal year (RCS: CSIM-49, Part I). These Requirement Statements include both new and LCM requirements for a 9-year planning cycle, including the current year. You may obtain the format of the Requirement Statement Report from HQ USARC, ATTN: AFRC-IMP-S

#### 5-3 Mission categories

Emphasis must be made on implementing requirement statements in mission category sequence. Only one mission category may appear on an RS. The categories are defined as follows:

a. **Mission Critical** -- Requirements which are absolutely fundamental to mission performance. Include in this category those requirements which are mandated by higher authority; i.e., requirements that directly support a program directed by the Executive Office, Congress, OMB, OSD, HQDA or USARC.

b. **Mission Essential** -- Requirements which are necessary for optimum mission performance; i.e., life cycle replacement.

c. **Mission Desirable** -- Requirements which measurably enhance mission performance.

#### **5-4 Consolidating Requirement Statements**

Submit items which represent a unit cost of \$5,000 or more on individual RSs. You may consolidate identical items/capabilities requested by a number of subordinates and customers into a single RS, provided the unit cost does not equal or exceed \$5,000. You may also consolidate command-wide common needs/solutions into a "complex RS" (a group of interrelated RSs, each representing a single type of item/system and a single facet of the total requirement). Each RS contains only one mission category. There may be a corresponding RS in each mission category.

#### **5-5. Expense/investment criteria**

a. The primary reasons for the distinction between expenses and investments are to allow for more informed resource allocation decisions and to establish criteria for determining which costs are appropriate to the various defense appropriations.

b. Use the most current guidance to determine the appropriate appropriations (OPA, OMA, OMAR, Other) when estimating the total life cycle costs of each requirement.

c. Fund the acquisition, modification, and support costs for purchase of IMA software and hardware with Operation and Maintenance, Army Reserve (OMAR) funds, if the cost is less than the expense/investment threshold, and with Other Procurement Army (OPA) funds, if the cost is equal to or greater than the threshold. While procurement requests that require OPA funds for execution may be approved on a Requirement Statement, you must identify and fund them through the Research Development Acquisition Plan as unfinanced requirements. The IMA planning process is an important mechanism for identifying IMA requirements which require OPA funds. ADPE at RDT&E-funded facilities are subject to separate rules. Treat items procured from a stock fund/DBOF as expenses in all cases, except when intended for use in a weapon system.

#### **5-6. New equipment/system procurement**

a. Use the aggregate cost of an end item/system (including peripherals, installation, and system unique software) to determine whether it should be treated as an expense or investment cost.

b. Base determination of what comprises an end item/system on the primary function of the hardware and software to be acquired, as stated in the approved RS. For example, consider the new procurement of five computers, which have been designed and are intended to primarily operate independently, as five separate end items and apply them against the expense/investment criteria individually. Consider the new procurement of five computers which are intended to be components of a Local Area Network

backbone as a system and apply the total cost of the system against the expense/investment criteria.

c. When replacing or modifying equipment/software which is a component of or supports the functioning of an existing system, use only the additional equipment/software procurement costs (including installation) to determine whether the purchase is an expense or an investment.

#### **5-7. Real property**

a. Installed equipment in government real property, including the costs of both the equipment and its installation, is an investment cost. Items of equipment which are movable in nature and not affixed as an integral part of a facility are not normally considered installed equipment. Installed equipment includes most telecommunications wiring and switches.

b. Modifications to an existing facility required to support the installation of movable equipment, such as false floors, platforms, prefabricated clean rooms, or utilities, is considered an integral part of the equipment costs, as long as the modifications do not include structural changes to the building. If the modifications include structural changes, they should be considered investment costs and budgeted as construction.

#### **5-8. Contracted installation costs**

Normal contracted installation costs are included as part of the total IMA system cost. In-house (military or civilian) installation is not included as part of the IMA cost.

#### **5-9. IMA contract-associated training**

You should normally fund IMA training separately with OMAR funds or RDT&E funds and not include them within the cost of the item. However, when the cost of training is included as part of the original contract and is inseparable (not separately priced), it then becomes part of the total cost.

#### **5-10. Software costs**

a. When the acquisition of standard off-the-shelf software is part of an initial hardware/software acquisition, include the software cost as part of the total system cost.

b. Finance annual licensing fees for off-the-shelf software (and additional fees for maintenance or modifications provided by the vendor) within OMAR funds.

#### **5-11. System definition**

There are two definitions of a system.

a. The first consists of an automation capability which is centrally managed and must be considered by a Major Automated Information Systems Review Committee (MAISRC). In a centrally-managed system, the manager has the authority for management and procurement of items of equipment, including requirements determination, distribution, procurement, configuration and disposal. Many STAMIS began or still operate under this definition.

b. The second is generic and could be any combination of components or items designed primarily to function within the context of a whole and interconnected to satisfy

an approved requirement. Local Area Networks (LANs) and Wide Area Networks (WANs) are systems. Fragmented or piecemeal acquisition of the requirement should not be used as a basis to circumvent the system concept.

#### **5-12. IMA procurement authorization**

a. Requirement Statements are approved in accordance with Chapter 5, Section II of this pamphlet. Execution using USAR funds should be in accordance with and in the sequence of Tiered Resourcing Guidelines, or similar guidance, established by HQ USARC. There is no time limit inherent in Requirement Statement approval.

b. If the USAR requirement is non-recurring or otherwise not contained in an approved Requirement Statement, submit an out-of-cycle request for approval prior to any procurement. Non-USAR requirements are executed in accordance with applicable regulations and procedures.

c. In addition to an approved Requirement Statement, you must obtain written approval from HQ USARC, DCSIM prior to procuring microcomputers for USAR organizations for any reason. Once approved, these non-tactical microcomputer procurements must comply with the HQ USARC minimum microcomputer standards.

(1) Use USARC Form 47-R, Microcomputer Replacement Request, to request replacement of USAR uneconomically repairable microcomputers. A copy of the USARC Form 47-R is located at the back of this pamphlet for local reproduction. You may use a spreadsheet to accumulate information and overprint it on the Form 47-R as long as the format is identical to the Form 47-R. Microcomputers which meet one or more of the following criteria are eligible for replacement on a one-for-one basis:

- (a) The cost to repair or upgrade the computer is equal to or exceeds the replacement cost;
- (b) Repair parts, regardless of age, are no longer manufactured;
- (c) The computer is no longer capable of processing mission-essential software.

(2) Dispose of replaced computers within 90 days of receipt of the replacement computer. Within 30 days of disposition, as the responsible IMO, you must provide the computer serial number, disposition, turn-in document number and date to HQ USARC, ATTN: AFRC-IMP-S.

(3) Submit requests for all other computers to HQ USARC, ATTN: AFRC-IMP-S, in memorandum format. Provide sufficient justification and end-user information to verify the requirement and the requester's status.

d. Only the MSC IM (or his/her designated alternate) and the MSC commander (or his/her designated alternate) are authorized to sign requests for approval to procure computers, including USARC Form 47-R

e. Assign an official Requirement Statement Audit ID Number (RSAIN) to all procurement documents. See Chapter 5, Section II of this pamphlet for an explanation of RSAINs and the approval parameters and additional actions applicable to each. The RSAIN is intended to create an audit trail between requirement, approval and procurement documents. More than one Requirement Statement and

RSAIN may be involved in a single procurement action. Log and track all RSAINs.

#### **5-13. The IMA Expenditure Report (RCS: CSIM-49, Part 2)**

The IMA Acquisition/Expenditure Report is the summation of annual activity on USAR Requirement Statements and procurement of IMA assets. The report (RCS: CSIM-49) is submitted in memorandum format to USARC, ATTN: AFRC-IMP-S, by the DCSIM/DOIM/IMO or the commander of direct reporting organizations NLT 15 Dec of each year.

***Organizations who fail to submit the report by this date may have their authority to approve and/or execute Requirement Statements rescinded.***

### **Section II**

#### **Procurement Execution -**

#### **Requirement Statement Audit Identification Numbers (RSAINs)**

#### **5-14. Requirement Statement Audit Identification Numbers (RSAINs)**

Use the Requirement Statement Audit ID Number (RSAIN) to track Requirement Statements, out-of-cycle requests, and other documentation pertaining to the planning, approval and procurement of IMA assets. The RSAIN consists of the following:

- a. The designation "ARC" (Accounting Requirements Code);
- b. The current two-digit budget year;
- c. The RSAIN category (as indicated below);
- d. The unit identification (ID); and
- e. A sequence/control number assigned by the IM office.

*[For example, if you identify a requirement for a facsimile machine during budget year 1996 you would select the RSAIN ARC96014, followed by your unit ID and a sequence number. Equipment RSAINs are defined in paragraphs 5-15 through 5-30.]*

#### **5-15. RSAIN 001 - Office Automation (OA)**

a. Use this RSAIN to address requirements for and track automatic data processing equipment (ADPE) that supports desktop technology, multi-function workstations, and associated peripherals which enable an individual to perform independent, standalone processing of such functions as office data processing, graphics, PC video/facsimile, word-processing, database management, spreadsheets and electronic mail. Workstations should be tailored with the appropriate peripherals to meet each user's needs. The multi-function workstations should center on the personal computer.

b. All office automation equipment must appear in an approved Requirement Statement.

c. The MSC must obtain written HQ USARC approval prior to procuring microcomputers (reference paragraph 5-12) for USAR organizations. Once approved, microcomputer procurements must comply with the HQ USARC minimum microcomputer standards.

d. The MSC IM (or his/her designated alternate) and commander (or his/her designated alternate) have the authority to approve software from the HQ USARC approved list of software. To procure software not listed you must obtain written approval from the HQ USARC.

e. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve computer peripherals (i.e., printers, plotters, scanners, upgrade boards, monitors, and CD ROMs) which support OA requirements. Color printers and plotters may be procured only when the equipment is used to output computer generated copies to be used in a normal office environment.

f. Procurement of equipment to create, enhance or upgrade a Local Area Network (LAN) is not authorized under this RSAIN.

g. Forward documentation for individual items of equipment that are \$25,000 or more to the USARC for approval.

h. Address requests for approval or questions to the USARC DCSIM, ATTN: AFRC-IMP-S.

#### **5-16. RSAIN 002 - Office Local Area Network (OLAN)**

a. An office LAN operates solely within a building or isolated complex of buildings to interconnect the occupants of that building or complex. This RSAIN also provides for the interface for connecting functional OLANs to an installation or functional backbone LAN.

b. All requirements for new, expanded or upgraded OLANs must appear in an approved Requirement Statement.

c. Authority to approve procurement of equipment, parts or software to create, expand or upgrade OLANs is NOT delegated below HQ USARC, DCSIM level. You must obtain written approval from HQ USARC, AFRC-IMP-S, prior to the procurement of either OLAN equipment or OLAN parts intended to create, upgrade, or expand an OLAN.

d. Use of network interface cards (NIC) and network software in microcomputers acquired as uneconomically repairable is authorized only when the microcomputer being replaced was part of an existing network or when prior approval has been obtained from HQ USARC, AFRC-IMP-S.

e. For non-tactical and non-deployable missions, an NIC may NOT be used if so doing increases the number of user nodes on an existing network or creates a new or sub-network. The method of acquiring the NIC is not an issue.

f. Address questions or requests for approval to USARC DCSIM, ATTN: AFRC-IMP-S.

#### **5-17. RSAIN 003 - Non-Tactical Trunked Radio and Base Support Radio (NTTR&BSR)**

a. Use this RSAIN to address requirements for base support radio equipment, including cellular phones, fixed base or mobile radio systems (including those unique to intelligence activities), repeaters, multiplexers, antennas, pagers and associated plant and distribution systems in support of administrative networks. Also use this RSAIN to

upgrade or replace multiple netted systems with Non-Tactical Trunked Radio systems or equivalent technology. These systems are used by utilities, transportation, emergency services, security/guard forces, medical services and range control. All NTTR&BSR must appear in an approved Requirement Statement.

b. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to procure NTTR&BSR that does NOT exceed an item cost of \$5,000.

c. All BSR equipment with a range greater than five miles must be compatible with the Harris High Frequency (HF) SSB Radio, which includes the C11329/URC Remote Control Unit, RT-1446/URC Transceiver, the AM 7223/URC and AM 7224/URC Power Amplifiers, the PP-7913 Power Supply, the RF-7110 Adaptive Controller, and the RF-382 Automatic Antenna Coupler, which is the Army standard for the HF Radio. All NTTR equipment must comply with HQ USARC standards.

d. You must obtain written approval from HQ USARC, AFRC-IMO, prior to procuring NTTR&BSR items that exceed \$5,000 or are not compatible with the Army or USARC standard.

e. Address questions to HQ USARC, ATTN: AFRC-IMO-T. Address requests for approval through AFRC-IMP-S to AFRC-IMO-T.

#### **5-18. RSAIN 004 - Telecommunications Life Cycle Management (TELCOMLCM)**

a. Use this RSAIN to upgrade switch software, perform minor equipment upgrades, and add lines and trunks to an existing plant. Use this RSAIN to upgrade/replace cable that cannot wait for construction programs/projects.

(1) The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve TELCOMLCM that does NOT exceed an item cost of \$5,000.

(2) Requests must appear in an approved Requirement Statement. Execution should be in accordance with and in the sequence of Tiered Resourcing Guidelines, or similar guidance, established by HQ USARC. If the requirement is non-recurring or otherwise not contained in an approved Requirement Statement, submit an out-of-cycle request for approval to the HQ USARC, ATTN: AFRC-IMP-S, prior to any procurement.

(3) Address questions to HQ USARC, ATTN: AFRC-IMO-T. Address requests for approval through AFRC-IMP-S to AFRC-IMO-T.

b. Use this RSAIN to address requirements for telecommunications accessories, including answering machines, non-tactical satellite receivers, video teleconferencing (VTC) equipment and telephone instruments.

(1) The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve TELCOMA that does NOT exceed an item cost of \$5,000.

(2) Cellular telephones may be approved for portable use or for non-permanent installation in government motor vehicles. Cellular phones and pagers are considered a mission support resource and may only be used for official business. The user should budget for the use of cellular phones and pagers and should reimburse the RCS/Installation for these services out of mission funds.

(3) TELCOMLCM must appear in an approved Requirement Statement. Execution should be in accordance with and in the sequence of Tiered Resourcing Guidelines, or similar guidance, established by HQ USARC.

(4) Procurement of equipment to create, enhance or upgrade a Local Area Network (LAN) is not authorized under this RSAIN.

(5) Address questions to HQ USARC, ATTN: AFRC-IMO-T. Address requests for approval through AFRC-IMP-S to AFRC-IMO-T

#### **5-19. RSAIN 005 - Installation Local Area Network (ILAN)**

a. An installation LAN operates between facilities, complexes, and organizations which are physically separated (not in the same building or local complex). Use this RSAIN to create, expand, or upgrade an installation or power projection platform LAN. Also use this RSAIN to connect OLANs to backbone ILANs and to create a delta between OLANs and PPC4I programs.

b. All ILAN requirements must appear in an approved Requirement Statement.

c. Authority to procure equipment, parts or software to create or expand ILANs is NOT delegated below HQ USARC, DCSIM level. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve equipment, parts, or software to upgrade an ILAN, provided the unit cost does NOT exceed \$5,000.

d. Address questions or requests for approval to USARC DCSIM, ATTN: AFRC-IMP-S.

#### **5-20. RSAIN 006 - Integrated Services Digital Network (ISDN)**

a. Use this RSAIN to replace or upgrade telephone switches to ISDN or latest technology, to provide expanded capability in voice, data, and video information exchange.

b. All upgrades and replacements of telephone switches must appear in an approved Requirement Statement.

c. Authority to approve equipment, parts, or software to replace or upgrade telephone switches is NOT delegated below HQ USARC, DCSIM level. Only HQ USARC is authorized to order ISDN service.

d. Address questions to HQ USARC, ATTN: AFRC-IMO-T. Address requests for approval through AFRC-IMP-S to AFRC-IMO-T.

#### **5-21. RSAIN 007 - Defense Message System Lifecycle Management (DMS)**

a. The centrally-managed DMS program identified a limited distribution with the balance of the program

designated as the end user responsibility. Use this RSAIN for user supplemental support of the program and to make office automation systems compliant with the DMS. All upgrades and replacement of telephone switches must appear in an approved Requirement Statement.

b. Authority to approve equipment, parts, or software to supplement the program or create compliance is NOT delegated below HQ USARC, DCSIM level.

c. Address questions to HQ USARC DCSIM, ATTN: AFRC-IMO-TF. Address requests for approval through AFRC-IMP-S to AFRC-IMO-T.

#### **5-22. RSAIN 008 - Standard Systems Lifecycle Management (SSLM)**

a. Use this RSAIN to address initial procurement and life-cycle maintenance of equipment and software required to operate Standard Army Management Information Systems (STAMIS) and "stovepipe" systems. Document each STAMIS/stovepipe on a separate RS. All system components of a STAMIS/stovepipe should be included on its RS.

b. Authority to approve equipment, parts, or software to create connectivity to a STAMIS or stovepipe is NOT delegated below HQ USARC, DCSIM level.

c. Authority to procure equipment, parts or software for LCM of a STAMIS or stovepipe may only be delegated to the MSC IM or the commander by the manager/proponent of the STAMIS/stovepipe.

d. Address questions and requests for approval to AFRC-IMP-S. Include a complete identification of the relevant STAMIS/stovepipe.

#### **5-23. RSAIN 009 - Information Systems Security (ISS)**

a. Use this RSAIN to address requirements for the procurement or LCM of equipment or software which manages or creates a secure environment for interactive (voice, data, facsimile, video) information processing. This RSAIN includes Secure Telephone Units III (STU-III), secure facsimiles, multilevel security devices, ANDVTs/MINITERS, and INFOSEC devices (cipher locks, shredders, etc.).

b. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve INFOSEC devices and secure facsimiles that do NOT exceed an item cost of \$5,000. All securable facsimiles must be compatible with the RICOH SFX2800M. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve all INFOSEC LCM equipment, parts and software that do NOT exceed an item cost of \$5,000.

c. Authority to approve secure voice or video equipment or software is NOT delegated below HQ USARC, DCSIM level.

d. Written approval from HQ USARC, AFRC-IMO-T, must be obtained prior to procuring INFOSEC items that are not compatible.

e. Address questions to HQ USARC, ATTN: AFRC-IMO-T. Address requests for approval through AFRC-IMP-S to AFRC-IMO-T.

#### **5-24. RSAIN 010 - DPI Centric OSE (OSE)**

a. Use this RSAIN to address requirements for new technology and servers to modernize Installation Centric minicomputers and Command Data Base servers through LCM.

b. Authority to approve equipment, parts, or software for OSE is NOT delegated below HQ USARC, DCSIM level.

c. The RS must contain a complete description of the level of technology and the purpose of the capability being requested.

d. Address questions and requests for approval to AFRC-IMP-S.

#### **5-25. RSAIN 011 - Mission Support Information Technology (MSIT)**

a. Use this RSAIN to address requirements for IMA equipment and software to support mission requirements, including training, mobilization and non-STAMIS programs directed by USARC or higher authority (i.e.: Crisis Action Teams, Counter-Drug Operations, Center Level Applications System (CLAS), etc.). This equipment must appear on a TOE, TDA, or supplement to a TDA. Use this RSAIN in a separate RS to address requirements to provide critical information services to Emergency Operations Centers (EOC), mobilization planners, and other staffs directly involved in crisis management. In addition to computers and software, these services include providing connectivity to gateways to other DOD/government networks (i.e., FEMA).

b. All MSIT requirements must appear in an approved requirement statement.

c. You must obtain written HQ USARC approval prior to procuring microcomputers (see para 5-2) for USAR organizations. Once approved, microcomputer procurements must comply with HQ USARC minimum microcomputer standards.

d. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve software from the HQ USARC-approved list of software. To procure software not listed, you must obtain written approval from the HQ USARC.

e. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve computer peripherals which support MSIT requirements in accordance with USAR policies. You may only procure non-tactical color printers and plotters when the equipment is used to output computer-generated copies for use in a normal office environment.

f. Forward requirements for individual items of equipment that exceed \$25,000 to the USARC for approval.

g. Procurement of equipment to create, enhance, or upgrade a Local Area Network (LAN) is not authorized under this RSAIN.

h. Address questions or requests for approval to USARC DCSIM, ATTN: AFRC-IMP-S.

#### **5-26. RSAIN 012 - Office Copiers (OC)**

Use this RSAIN to address requirements for office copiers, and printing and duplicating equipment.

a. All OC requirements must appear in an approved Requirement Statement. Procurement execution should be in accordance with, and in the sequence of, Tiered Resourcing Guidelines (or similar guidance) established by HQ USARC. If the requirement is not contained in an approved Requirement Statement, submit an out-of-cycle request for approval prior to any procurement.

b. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve copiers that are *non-color and rated at 69 or fewer copies per minute*.

c. Prior to procurement of copiers that have color capability (more than one color on a single pass), copiers that exceed 69 copies per minute, and all printing and duplicating equipment, obtain written approval from HQDA through the HQ USARC.

d. Address questions to HQ USARC, ATTN: AFRC-IMA-S. Address requests for approval through AFRC-IMP-S to AFRC-IMA-S.

#### **5-27. RSAIN 013 - Records Management (RM)**

Use this RSAIN to address requirements for RM equipment and software, including filing equipment and microfiche.

a. All RM equipment must appear in an approved Requirement Statement.

b. The MSCs have authority to purchase standard RM equipment.

c. Nonstandard filing equipment (NSFE) is defined as automated filing equipment or space saver, high-density filing equipment. It also includes electronic document management systems, scanners with proprietary software, and jukeboxes used for storage of official records.

d. Approval for NSFE is **NOT** delegated to the MSCs since this is very costly equipment and standards have not yet been established. Efforts are underway at the DOD level and at this Headquarters to set standards that should ensure the necessary exchange of information among DOD agencies and meet the statutory requirements for Federal recordkeeping.

e. The USARC DCSIM must approve all purchases of NSFE prior to procurement action. Your Records Manager should review all requests for NSFE and perform a cost comparison to validate the cost effectiveness and efficiencies to be realized by use of NSFE over standard filing cabinets.

f. Forward a memorandum requesting administrative approval of NSFE, together with a copy of the cost comparison, to the HQ USARC, ATTN: AFRC-IMA-RM through AFRC-IMP-S, before procurement action is initiated.

g. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the

authority to approve microfiche readers and readers/printers only.

h. Ensure that all technical reviews are maintained on file.

i. Address questions to the USARC DCSIM, ATTN: AFRC-IMA-P. Address requests for approval through AFRC-IMP-S to AFRC-IMA-P.

#### **5-28. RSAIN 0014 - Facsimile Equipment (FAX)**

Use this RSAIN to address requirements for unsecured, stand-alone facsimile equipment.

a. All facsimile requirements must appear in an approved Requirement Statement.

b. The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve unsecured facsimile equipment that does not exceed \$5,000 per item.

c. Obtain written approval from HQ USARC, AFRC-IMO prior to procuring FAX items that exceed \$5,000 or are not compatible with USAR standards.

d. Address questions to HQ USARC, ATTN: AFRC-IMO-T. Address requests for approval through AFRC-IMP-S to AFRC-IMO-T.

#### **5-29. RSAIN 015 - Visual Information (VI)**

a. All VI requirements must appear in an approved Requirement Statement.

b. Approval for VI purchases comes from training and audiovisual support centers (TSCs), regardless of the dollar amount. The MSCs have the authority to coordinate directly with TASC on the purchase of VI items costing less than \$5,000.

c. Submit all requests that exceed \$5,000 to the HQ USARC, through AFRC-IMP-S to AFRC-IMO, for review and approval prior to submission to the supporting TASC. Upon written approval from the USARC, submit the request to TASC. The supporting TASC forwards all requests over \$5,000 to FORSCOM for approval.

d. Address questions to the USARC DCSIM, ATTN: AFRC-IMO.

#### **5-30. RSAIN 016- Postage Metering System (PMS)**

a. All postal equipment or postal-related equipment must appear in an approved Requirement Statement.

b. The HQ USARC is the authority to purchase or lease postal equipment. Obtain written approval from HQ USARC, AFRC-IMA, prior to procuring postal equipment.

c. Address questions to HQ USARC, ATTN: AFRC-IMA-R. Address requests for approval through AFRC-IMP-S to AFRC-IMA-R.

### **Section III**

#### **Management of IM equipment**

##### **5-31. Disposition of IMA equipment upon transfer or inactivation of an organization**

a. Coordinate those transactions involving IMA equipment through your chain of command and ensure that

the supporting IMO (e.g., the RSC DCSIM, IMO, or DOIM) is also included in your coordination.

b. If the center is to remain open, leave all common user IMA equipment (e.g., copiers, voice mail systems and mail service equipment) at the center for use by other units. The gaining command of the unit being transferred should provide center level IMA resources. The gaining command is expected to identify changes in their resource requirements and submit those changes during the budget formulation process and also in the command's Requirement Statements. Exceptions must be approved or directed by the HQ USARC DCSIM.

c. **If the unit is inactivating** and the center closes, the IMA equipment listed on the organizational property book reverts to the unit's higher headquarters. If an entire MSC inactivates, the HQ USARC DCSIM will determine disposition of non-tactical IMA equipment.

d. **If the unit is transferring**, IMA equipment listed on the organizational property book, and all unit-owned administrative equipment and software is transferred with the unit. This includes personal workstations and peripherals, even when the center level property book is used for accountability. Repair parts unique to the end item and "used with" items also transfer with the equipment. Notify the appropriate property book officer of changes in equipment status so that IMA equipment is properly accounted for, controlled, and recorded.

e. Your mission essential IM equipment (e.g., UA computers and equipment solely supporting your unit) is retained and transferred with your unit. Once the unit has transferred, be sure the gaining command accounts for the property on the appropriate property book.

f. The losing RSC should have to identify any IM resource deficiencies caused by the transfer of the unit/organization. Identify deficiencies in the IMA Requirement Statements and budget.

##### **5-32. Uses of the Standard Form (SF) 44 and International Merchants Purchase Authorization Card (IMPAC)**

The SF 44 (Purchase Order Invoice Voucher) and IMPAC are viable tools that, when used properly, can assist commanders in the procurement of IM items not readily available from the Department of Defense (DOD) wholesale system. Directors of Contracting appoint and instruct authorized personnel on the requirements for use of the SFs 44 and the IMPAC.

##### **5-33. Equipment accountability**

a. **Property Book**. The MSCs are responsible for establishing procedures designed to report the acquisition of all non-expendable IM items, in appropriate detail, to the accountable (property) officer.

b. **Special Records**. The MSCs are responsible for ensuring that the following life-cycle data is on file for each microcomputer within their geographic area of responsibility:

(1) Equipment identification data consisting of, at a minimum, the manufacturer, model, serial number, CPU type



(e.g., 386, 486, pentium), CPU speed (i.e.: 25 MHZ), date/estimated date of installation (YYMM), location (organization, city and state) of the equipment, and off-site-use authorizations.

(2) Equipment source data consisting of, at a minimum, the acquisition method (see table 5-1), and acquisition cost (or estimated cost as if procured).

(3) Acquisition approval documentation (i.e., memorandum from HQ USARC DCSIM, copy of accountable receipt, etc.).

<b>Table 5-1. Acquisition Methods</b>
Procurement, GSA Nonmandatory ADP Schedule (competed)
Procurement, GSA Mandatory Schedule
Procurement, Competed (1 or 2 not approved)
Procurement, Specified make and model
Procurement, GSA Nonmandatory ADP schedule, (not competed)
Procurement, Follow-on after competition
Procurement, Sole Source
Procurement, Other
Reutilization (no-cost transfer)
Fielded by program manager
Unknown or Not Reported
Other (specify)

(4) Keep microcomputer data and documentation in MARKS file number 25-3a. An exception to the disposition shown with this file number is granted as follows: Destroy 1 year after the equipment is removed, replaced, or upon discontinuance.

**c. Unit-Owned Administrative Equipment.**

(1) End-user operated IMA administrative equipment that is under the exclusive operational control of the unit and is required in the performance of the unit's peacetime, mobilization, or wartime mission(s) is unit-owned equipment. Unit-owned equipment may include personal computers, facsimile machines, and copiers.

(2) The following assets are managed by the owning organization and are not within the command of the RSCs or installations, regardless of the property book to which they are assigned for accountability.

(a) Organizational property, as defined in DA Pamphlet 710-2-1. Manage excess resources as required by applicable regulations.

(b) Unit-owned IM equipment authorized by a section III supplement of a Deployable, Mobilization, or Full Time Support TDA. Report command excess assets to HQ USARC, ATTN: AFRC-IMP-S.

(c) Property identified as deployable by CTA 50-909. Manage excess resources as required by applicable regulations.

(3) Document unit-owned IMA administrative equipment, which is not authorized by CTA 50-909 nor documented on a MTOE/TDA, on a Section III supplement, Equipment Allowance, to a Full Time Support

or Mobilization TDA in accordance with USARC Regulation 71-2.

(4) Transfer unit-owned IMA administrative equipment with the unit.

(5) The total number of microcomputers documented on the Section III supplement to a Full Time Support TDA should not normally exceed the target levels set in paragraph 7-12.

**d. Off-Site use.** Unit-owned IMA equipment may be taken with the unit in the performance of its support mission (including support provided at a mobilization center) only if the following two conditions are met:

(1) The equipment has been designed for a comparable environment and mode of transportation.

(2) The off-site-use is specifically authorized by the IM and the PBO. Consider such factors as home station requirements, mission need, and the security and survivability of the equipment and software. The approval of the PBO should ensure that property accountability is clear and reflects the appropriate level of property responsibility.

**e. Systems.** Account for IM systems as such, with components cross referenced to the specific system (e.g., LAN). For example, a PC with monitor, mouse, keyboard, etc., which operates in a stand-alone mode, is not a system. However, a PC that is hardwired into a network is part of that system. If the same PC is removed from the LAN, and operates in a stand-alone mode, adjust the property book record to remove the PC from the LAN system and account for it as a separate item. Account for computer equipment acquired as stand alone items (when authorized in CTA 50-909, table 75), separately, by type under their respective LIN.

**f. Inventory responsibilities.** The IM has the following ADPE inventory responsibilities, in addition to those of the Accountable (Property Book) Officer. All IM inventories should be reconciled with the appropriate property books to assure accurate accountability. As the IM, or designated responsible party, you should--

(1) Conduct and document a complete physical inventory of IM equipment and COTS at least once every 3 years. You may accomplish this inventory in coordination with the PBO physical inventory. At the same time, accomplish a survey of IM management efficiencies and program cost effectiveness. A sample inventory documentation and set of survey questions appear in appendix E. Consider the completed inventory documentation and survey results as input to the command Strategic Plan and Requirement Statement processes. Send a copy of the inventory documentation and survey results through channels to the next higher command's IM.

(2) Survey annually those IM resources for which the government is paying a recurring charge.

(3) Within 180 days prior to inactivation or transfer of an organization, and prior to any reassignment or relocation of IMA assets, conduct and document a 100% physical inventory of the organization's IM assets.

### 5-34. ADP equipment support

a. Equipment authorized by MTOE or TDA can be either organizational or installation property:

(1) Items authorized on the unit's MTOE or deployable TDA, as well as items identified as deployable by CTA 50-909, are organizational property.

(2) Ensure that nondeployable items needed for peace time operations only, but that require documentation on a TDA, are authorized on the MSC FTS TDA in accordance with AR 71-13.

b. Establish property accountability for IMA equipment as stated in DA Pamphlet 710-2-1, paragraph 4-32. Account for items issued as complete systems, with components cross referenced to the specific system (e.g., SPBS-R system). Computer equipment acquired as stand alone items (e.g., items not part of a workstation or system), when authorized in CTA 50-909, table 75, should be accounted for separately, by type under their respective LIN.

c. Inventory responsibilities for Information Mission Area (IMA) ADPE, other than that provided by the host RSC, should remain with the individual tenant. Tenants should assist the host RSC in identifying center equipment requiring maintenance contracts.

d. Support and maintenance requirements for automation equipment owned by individual tenant units should be the responsibility of the owner. The host RSC may offer technical support to tenant units under memorandums of agreement (MOAs).

### 5-35. Command critical items

HQ USARC DCSIM has the authority to designate command critical IM equipment, software, and material classifications. Critical items remain under the control of HQ USARC DCSIM and should not be removed from the using organization without approval.

### 5-36. Management of excess

a. Excess is defined as those assets above, or that portion of the total quantity of an item on-hand that exceeds the requirement or authorized levels. Excess IM assets are further defined as equipment and software which are not outdated and which are no longer needed for the purpose for which they were acquired.

b. Responsibilities

(1) The USARC DCSIM functions as an honest broker for all IM equipment and software reassignment and transfer actions.

(2) The RSCs, installations, and DRCs are responsible for establishing a program to manage and reassign (redistribute or cross-level) IMA resources within their respective commands based on the most current HQ USARC schedule of tiered readiness.

(3) Excess organizational property, as defined in AR 710-2, should be managed and reported in accordance with procedures outlined in that AR and in applicable FORSCOM and USARC directives. Excess IM equipment authorized by Section III and Section III Supplement of the Full Time

Support TDA should be reported to HQ USARC, ATTN: AFRC-IMP-S, for disposition instructions.

c. Government-owned excess IM equipment should be, in order of preference:

(1) Reassigned within the RSC, DRC or installation;

(2) Reassigned within the USAR;

(3) Reassigned within the US Army, or DOD through the Automation Resources Management System (ARMS);

(4) Exchanged or sold as part of a transaction to acquire replacement equipment (equipment with an original acquisition cost [OAC] of less than \$1 million is reported through ARMS but does not require DISA approval prior to the transaction; equipment with an OAC of \$1 million or more must be fully screened and approved through ARMS prior to the transaction);

(5) Transferred to another government agency as approved through ARMS;

(6) Declared surplus and made available for donation through ARMS.

d. Consistent with the limitations of any applicable license, excess software should be, in order of preference, reassigned, transferred, exchanged, sold, returned to the licensor, or destroyed.

e. Address questions to HQ USARC, ATTN: AFRC-IMP-S.

### 5-37. Automation Resources Management System (ARMS)

#### a. Program description.

Defense Information Systems Agency (DISA) manages excess IM resources in DOD. The Automation Resources Management System (ARMS) Program is the database management system operated by the Software Management Support Department (SMSD, formerly known as DARIC) of DISA. It incorporates the following:

(1) Hardware/Software Data Warehouse Program: provides analysis assistance to major commands and above in the process of developing and maintaining automation equipment resources efficiently. Also provides a database for inventory records that interfaces directly with the Excess Reporting System (ERS).

(2) DOD Automation Resources (AR) Redistribution Program: provides a catalog of automation equipment and parts available for transfer, exchange or sale and a bulletin board for information exchange. USAR users input excess equipment data entered into ARMS through the Excess Reporting Systems (ERS) or the ERS Batch Reporting System (ERBS). User input is reviewed by the command manager before being released through a DA Focal Point review to SMSD. The reviewer may return the entry for correction, stop the entry and direct transfer of the equipment, or release the entry to the next level. It is at this point that SMSD authorizes a user to turn-in uneconomically repairable microcomputers to the Defense Reutilization and Marketing Office (DRMO) or to a qualified educational institution. If released by SMSD, the user entry is added to the current catalog.

(3) Manages the Defense Automation Resources Sharing Program: provides users with information on computer (mainframe) time available for use/purchase.

(4) Manages the Education Institutions (donation) Program: Executive Order 12821 requires all federal agencies to give the highest preference to elementary and secondary schools in the transfer or donation of education-related excess federal equipment (i.e. microcomputers). The user identifies the school to which he/she intends to donate equipment in the data entered into ERS.

**b. Program access.**

User access to ARMS requires a microcomputer with modem capability, an SMSD generated user ID and password, ARMS software and user's manual, DOD 8000.X-M (Interim Defense Automation Resources Management Manual), and a Command generated Data Processing Information Input (DPII) code. The user ID and password are issued to an individual and remain with the individual as long as needed. The ARMS software, user's manual and DOD 8000.X-M are supplied by DISA along with the user ID and password. The DPII code is issued to the organization and authorizes its users to add, change or delete specific information within ARMS.

**c. Responsibilities.**

(1) The Command ARMS Manager should conduct the program and initiate policy so as to derive maximum benefit to the command. Address questions about ARMS to HQ USARC, ATTN: AFRC-IMP-S.

(2) The RSCs, DRCs and installations should appoint at least two individuals, a primary and alternate(s), to manage the ARMS programs. The ARMS managers should have access codes/passwords and a DPII code. Guidance manuals and access software ARMS managers should ensure that data on uneconomically repairable USAR-owned microcomputers is input to ARMS within 60 days after receipt of the replacement microcomputer. Once the replacement microcomputer is functioning properly, ensure that replaced microcomputers are placed in secure storage until transferred or turned-in. Ensure that actions directed or authorized in writing by the Command Manager, the DA Focal Point, or SMSD are completed within 60 days after receipt.

## Chapter 6 Information Mission Area Support

### 6-1. IMA support - General

a. Information management encompasses all the disciplines of the IMA - telecommunications, automation, visual information (VI), records management, and publishing and printing. These activities and their associated assets are under the operational control of the USARC MSC Information Management officials. Exceptions include VI support that is obtained through designated supporting activities.

b. IMA Center Level Support requirements are funded by the RSC and provided to each RSC unit and tenant.

c. Center Level and Installation (BASOPS) IM support are those functions which are necessary for :

(1) Operating and maintaining USAR Reserve Center Complexes (RCC) and facilities.

(2) Supporting the day to day activities and requirements of center/installation tenants.

d. IM support is organized into the following categories:

**(1) Category 1: RSC Regional IM Support.** The following support should be provided by the responsible RSC to all reserve centers in the region, either directly, through contract or other arrangement, or through an assigned executive agent: limited technical assistance, fixed plant telephone equipment and instruments, emergency radio, coordination of RCAS support, COMSEC services (other than tactical mission requirements), coordination of centralized training on low density communications equipment, limited printing, records holding and retirement services, maintenance and inventory of IM reserve center equipment, and optional ADP maintenance capabilities (agreed to by both parties).

**(2) Category 2: Center Level IM Support.** Acting as the executive agent for the RSC commander, the senior commander assigned to each reserve center, within the region, should provide fixed-plant telephones (TCO services), fax and copier support (minimum of one each per center), coordination of visual information support, and official mail services.

**(3) Category 3: Mission IM Support.**

(a) Mission IM Support encompasses all IMA support essential to the completion of a unit's mission(s), including automation support. With few exceptions, mission IM support is provided by the unit, its headquarters, and/or through MOAs with supporting organizations.

(b) The RSC commander and his/her executive agents are only required to provide those IM services common to all tenants within an RCC.

(c) Non-RSC units requiring IM support that is either unique to their mission, or beyond that provided by the respective RSC, must program and budget for those requirements through their normal COB process. The USARC should be responsible for validating all such requests through normal command channels.

**(4) Category 4: USAR Installation BASOPS common services.** This support is provided to tenants and off post customers by the host installation and is further defined in the following paragraph.

### 6-2. Records management support

Records management includes official mail, personal mail, records holding area, Freedom of Information Act; Privacy Act; Modern Army Record Keeping System (MARKS); correspondence management; Army Effective Writing; office symbols; management information control system (MICS); nonstandard files equipment; vital records; terminology, abbreviations, and brevity code management; records management training; and records management inspections. (See chap 2 for more records management information.) Types of support available to RCCs follow:

a. **Official mail.** The host RSC should operate a consolidated mail center for all tenant activities and units located at the RCC. The consolidated mail center processes mail and distribution in accordance with USARC Suppl 1 to AR 25-51, AR 25-1, DOD 4525.8-M and paragraph 8-4 of the regulation. Where an RSC is collocated with a USARC installation, the most effective means of providing official mail services to all tenants, as determined by the HQ USARC Official Mail Manager (OMM), shall be used.

b. **Records Holding Area.** The USAR MSCs and reporting installations that do not currently have RHAs may establish centralized RHAs if resources are available. Tenant records should be retired in accordance with the guidance in AR 25-400-2 and the following: Ensure that--

- (1) USAR units within the host RSC's chain of command transfer their long-term records to the host RSC.
- (2) USAR units, other than those from the host RSC, transfer their long-term records to their higher headquarters.
- (3) Other tenants retire their long-term records directly to the appropriate Federal Records Center, or as directed by their higher headquarters.

c. **Other Functions.** The host RSC does not normally provide other records management support, except to tenants within the host RSC's chain of command.

### 6-3. Publishing and printing support

Publishing and printing includes self-service copiers, printing and duplicating services, publications, and blank forms support. Types of support available to RCCs are listed below. Some of these services may be provided to installation tenants and off post customers by USARC MSCs and reporting installations on a reimbursable basis. (See chap 3 for more printing and publishing information.)

a. **Copier support.** The host RSC should provide common user copier support to USAR tenants based on the availability of funds. The host RSC may negotiate a single vendor, cost-per-copy contract to service the RCC.

b. **Printing/duplication.** The host RSC may request the establishment of a Duplicating Center under the provisions of AR 25-30. Duplicating support given to tenants that are not subordinate to the host RSC should be on a reimbursable basis. Tenants may seek direct printing support from the Defense Printing Service or Government Printing Office (GPO) as appropriate.

c. **Publications and blank form stockroom services.** The host RSC should not establish a centralized publications and blank forms stockroom for HQDA publications and forms, but should ensure USAR units establish publications accounts directly with the appropriate organizations. (See USARC Suppl 1 to AR 25-30, paras 12-5, 12-7c(3), 12-11, and 12-17 for additional guidance on publications accounts and blank form acquisition.)

### 6-4. Automation and telecommunications

(See chaps 7 and 8.)

## Chapter 7 Automation

### 7-1. Intent

The intent of ADP support is to provide the USAR with the capability to support peacetime operations, training, mobilization, force projection, split-base operations, and redeployment. Formerly, the IMA consisted of three distinct operational environments: strategic, theater/tactical, and sustaining base. Changes in technology and strategy have blurred these boundaries. The goal of IMA ADP support is to implement a seamless operational environment, from the CONUS "homebase" to the "foxhole" and back.

### 7-2. Top-driven automated information systems ("stovepipe" systems)

a. Army policy prohibits the development and fielding of top-driven, non-standard automated data processing equipment and automated systems, commonly referred to as "stovepipe" systems, without being fully resourced throughout their entire life cycle by the fielding proponent. This Command supports and endorses this Army policy. Stovepipe systems should not be implemented without the express permission of the USARC. Approval of a stovepipe system inherently results in a requirement to technically and financially support the system. Therefore, it is imperative that we be very selective in the systems that we accept.

(1) The USARC policy is to accept only those systems which--

- (a) Functionally increase productivity, enhance mission readiness or directly support new missions.
- (b) Are fully resourced and include support channels. Resourcing should include training, equipment, maintenance, supplies, and other system-related requirements. Support channels should include on site assistance and help lines for problem resolution.

(2) Prior to fielding of any new or updated system within the command, RSC and USARC staff agencies should adhere to the following:

(a) The USARC Commander should approve all stovepipe systems prior to fielding within the USARC. The USARC DCSIM should review and provide a recommendation in coordination with the appropriate staff agency or subordinate unit. The review should ensure that the system is not a duplicate of an existing system and that the support is not more economically available from another source.

(b) The MSCs or USARC staff agencies which are contacted directly for the development or fielding of a stovepipe system should refer the proponent to the USARC DCSIM. The MSCs and USARC staff agencies should not assist in the development of or accept any system without prior approval from HQ USARC.

(c) The MSCs and USARC staff agencies should not develop or field an internal stovepipe system within their

own organization until the system has been approved by HQ USARC.

b. The Center Level Application Software (CLAS) was approved as a FORSCOM and USARC standard. Only CLAS and CLAS Support Office certified compatible software packages that were previously approved in writing by FORSCOM/USARC may be installed on the Unit Administration (UA) computer. All exceptions must be approved by HQ USARC, ATTN: AFRC-IMO.

### 7-3. Software accountability

The terms of software agreements and licenses duly executed between the government and a vendor should not be violated. The using/gaining organization is responsible for registering the software (or notifying the vendor of a change of licensee or location) within 30 days from receipt of the software.

a. **Standards.** The USARC has established software standards intended to ensure continued integration and interoperability of all automated data processing systems and to reduce the expenditure of unnecessary resources.

(1) Do not purchase (or allow the purchase of) software packages that are "nice to have" but are not mission essential.

(2) The MSCs have authority to procure software packages listed in the HQ USARC DCSIM Software Standards in quantities up to the number of computers within an organization, without having to obtain approval from the USARC DCSIM.

b. **Authorization.** The MSC IM (or his/her designated alternate) and the commander (or his/her designated alternate) have the authority to approve software from the HQ USARC approved standard software. To procure software not listed you must obtain written approval from the HQ USARC. Do not upgrade or procure additional copies of software packages not included in the HQ USARC DCSIM Software Standards without prior written approval of HQ USARC, ATTN: AFRC-IMP- S.

c. **Disposition.** Either reassign or dispose of useable software that is no longer needed for the purpose for which it was acquired within the USAR consistent with the limitations of any applicable license. The disposition of outdated software is not specified by DA; however, in the USAR, recycle the documentation as paper products and destroy or reformat the diskettes for use wherever necessary.

### 7-4. Software piracy

Unauthorized use of proprietary software makes the violator and the command vulnerable to civil and criminal lawsuit and, frequently, virus contamination. **Do not** install software that cannot be documented as a properly licensed original copy on any USAR computer or privately-owned computer used for government business. Copies of authorized software should not exceed the number authorized by the license. Commanders should emphasize the seriousness of software piracy and the command's determination to eliminate it.

### 7-5. Commercial-off-the-shelf (COTS) accountability

Control copyrighted software as a durable item under a hand receipt. Maintain an audit trail of COTS software from authorization, through procurement and usage, to destruction (or donation to a third party if authorized in writing by the vendor). Maintain this information in MARKS 25-1c, MACOM MODPLAN; Installation requirement statements/initiatives.

### 7-6. Anti-virus software for Army-wide use

There are several DOD-procured anti-virus software packages that are authorized for use on any and all Army-owned MS DOS-based and MS Windows-based microcomputers. Whenever possible, HQ USARC should provide these software packages at no cost to the MSC. All DOD-procured anti-virus software packages should be provided to the MSCs via the USARC DCSIM. The USARC DCSIM should download these and future software packages to the MSCs utilizing the Center Level Application System (CLAS). Distribution should include instructions on how to install and run the software packages on both CLAS and non-CLAS computers. All removable disks, excluding hard drives, should be checked for virus contamination prior to use.

### 7-7. Controls over copyrighted software

**Do not** install software that cannot be documented as an original copy on any USARC computer. Copies of authorized software should not exceed the number authorized by the license of the manufacturer.

### 7-8. Use of privately-owned computers

a. **Use.** The use of privately-owned personal computers (not owned or leased by the government) to conduct government business is strongly discouraged.

b. **Accreditation process.** Commanders who determine that privately-owned computers are necessary to accomplish their mission should adhere to the following procedures to ensure proper accreditation of the computers prior to allowing use within their commands.

(1) Ensure that personnel desiring to use their privately-owned computers justify and submit requests for accreditation through their commander and Information Systems Security Manager (ISSM), to the Designated Accreditation Authority (DAA), for approval in the format prescribed by AR 380-19 or USARC Regulation 380-2.

(2) Include a completed USARC Form 42-R, Personal Computer Owner's Agreement, signed by the owner of the privately-owned computer, with the accreditation request. Use the USARC Form 42-R to ensure that the owner of the privately-owned computer is knowledgeable of, and accepts, the conditions under which privately-owned computers may be used within the command. A blank USARC Form 42-R is provided at the back of this regulation for local reproduction.

(3) The ISSM should review the accreditation document, provide recommendations, and forward to the DAA for approval/disapproval.

(4) The DAA should forward the approval/disapproval of the request for accreditation through the ISSM and Information Management official to the requesting individual.

c. Commanders should ensure that--

(1) Upon receipt of the approval, the owner submits the accredited computer system (complete with all software) to the Information Management official for virus contamination checks as determined appropriate by the IM.

(2) The owner notifies the DAA and ISSM through command channels when the privately-owned computer is no longer needed for government business. The owner ensures that all government files are purged and that all government software is returned.

d. Commanders should adhere to the following guidance on use of privately-owned computers within their commands:

(1) Do not allow use of privately-owned computers until a risk assessment has been performed and the accreditation process is completed. Revalidate the accreditation annually.

(2) Prohibit the processing and/or storage of classified information on any privately-owned computer.

(3) Before a privately-owned computer is used, ensure the computer is checked for virus contamination. Also check privately-owned computers for viruses after any additional privately-owned software is installed.

(4) Ensure that all removable disks, writeable CDs, and other storage media are checked for virus contamination prior to use in any computer used for government business.

(5) The ISSM must keep a copy of the approved accreditation and Personal Computer Owner's Agreement (USARC Form 42-R) on file and available for review.

(6) Use privately-owned computers in a stand-alone mode at government worksites and do not connect them to any government Local Area Network (LAN).

(7) Ensure that the media on which information is processed on a privately-owned computer is compatible with existing resources. Maintain official file copies in accordance with AR 25-400-2.

(8) All government-related information processed by the privately-owned computer is the property of the US Government.

(9) The government should not provide maintenance or software support for privately-owned computers, except for virus detection and eradication.

(10) Account for all government-owned software that is used on privately-owned computers; this software remains the property of the government.

(11) Ensure that owners of privately-owned computers document that the privately-owned software on their computers is legal. Software that violates copyright laws should void the accreditation.

(12) Owners of privately-owned computers may use supplies already stocked in the installation supply system (i.e., disks, paper, etc.). The owner *should not* be reimbursed for use of his/her own supplies.

(13) Do not use government funds to purchase hardware operating system upgrades or accessories for privately-owned computers.

(14) Ensure the owner waives all rights to claim compensation for use of the computer in the performance of official duties.

(15) The government is not liable for the loss, destruction, or maintenance of any privately-owned computer equipment. Ensure the owner of the equipment is aware that the physical security of the privately-owned computer is the owner's responsibility.

(16) If approved for use, the computer must be recorded on the Central Accreditation Inventory by the ISSM.

(17) If the basic configuration (hardware and software operating system) is changed, the system must be re-accredited by the DAA.

(18) When the computer owner transfers to another unit, the previous accreditation becomes invalid. Ensure the gaining unit conducts a new accreditation prior to using any privately-owned computer.

(19) Ensure that all government data is purged and that government software is recovered when an individual departs a unit.

#### **7-9. Use of government-owned computer at employee's residence**

a. **Use.** The use of government-owned personal computers (PCs) at an employee's primary residence is highly discouraged. Authorization to grant use of government-owned computers outside of the government facility shall lie with the employee's first line supervisor or higher and the approval of the respective DCSIM/IMO. All equipment shall be properly hand received to the employee.

b. Authorization to utilize government-owned computers at a primary residence should meet the following criteria:

(1) A valid requirement must exist for the individual to take the equipment to his/her place of residence (e.g., Work to be performed cannot be accomplished at the individual's normal duty station and is time sensitive.)

(2) Work is of short duration and equipment is returned to the normal work site upon completion of the project.

(3) No classified or personal work is performed on the computer.

c. When required, notebook computers shall be utilized for the purpose stated above. Employee shall be liable for damages and/or losses resulting from the transportation and use of such equipment.

d. Computer equipment used and/or shared by other personnel shall not be removed from the work place during the time others may require it.

e. The DCSIM/IMO may issue blanket approval based on specific conditions such as:

(1) security and survivability of equipment.

(2) duration of use.

(3) home station requirement.

f. Upon return to the government work site, and prior to connection to any other system, check the computer for computer viruses and illegal software.

g. The MSC DCSIM shall make sure all personnel comply with this requirement and will refer problems with compliance to the MSC commander for resolution. Contact the USARC DCSIM for assistance in the event further actions are required.

#### **7-10. Internet access and use**

a. Establishment of “.ARMY.MIL” subdomains using commercially procured Internet services cannot be allowed. Do not connect to any other automated information system while connected to the DISN without appropriate documentation from the designated approving authority of the connected networks.

b. Army personnel who use the Internet as a media to distribute and/or obtain information through home pages, bulletin boards, or similar means, shall comply with the following:

(1) Only place publicly releasable information on the Internet.

(2) Clear any information placed on the Internet through the same public affairs channels as other publicly released material.

(3) Do not place the following types of information on the Internet under any circumstances:

- (a) Classified information,
- (b) Privacy Act information,
- (c) For Official Use Only (FOUO) information,
- (d) Unclassified information that requires special handling; i.e., Encrypt for Transmission Only (EFTO), Limited Distribution (LIMDIS), scientific and technical information protected under the Technology Transfer Act,
- (e) FOIA exempt information.

c. Do not load software downloaded from non-DOD sources on Army computers, personal computers used for government business, or Army systems until the Information Systems Security Officer (ISSO) gives approval.

d. Limit access to network terminal servers from home to **official business** only.

e. Do not use government-owned facilities or equipment to access commercial services unless the following two conditions are met:

(1) A subscription to the service is in place and the access is for official business.

(2) A government-owned and operated hardware/software firewall is operational between the government equipment and the commercial service provider.

f. Government owned facilities or equipment should not be used to access fee-for-use services unless the following two conditions are met:

(1) A subscription to the service is in place and the access is for official business.

(2) A government-owned and operated hardware/software firewall is operational between the government equipment and the service provider.

#### **7-11. Standard Army Management Information Systems (STAMIS)**

##### **a. STAMIS coordination.**

(1) Authority for fielding Standard Army Management Information Systems (STAMIS) is DISC4. Authorization is accomplished through SRC/MTOE and not separately by unit, through each RSC.

(2) STAMIS managers should notify the supporting IM office prior to fielding or authorizing a STAMIS within a USAR RSC, DRC or installation.

##### **b. Accounting for STAMIS equipment.**

(1) Account for equipment issued or procured to operate an authorized STAMIS on the unit's organizational property book, citing the Common Table of Allowance (CTA) 50-909, table 75, and the STAMIS as the authority.

(2) The unit may take these items with them upon mobilization and to perform annual training. This IMA equipment must be consistent with the force integration policies of the AR 70 series and with the architecture and data standardization policies of the AR 25 series.

(3) DA has assigned specific line item numbers (LINs) for centrally-procured commercial-off-the-shelf (COTS) hardware and selected STAMISs, and indicated that authority for those STAMISs should be documented in the respective unit's MTOE/TDA. Included were:

- (a) Unit Level Logistics Systems (ULLS).
- (b) Department of the Army Movements Management System-Redesign (DAMMS-R).
- (c) Standard Army Ammunition System - Modernization (SAAS-MOD).
- (d) Standard Property Book System - Redesign (SPBS-R).
- (e) Standard Army Maintenance System (SAMS).
- (f) Standard Army Retail Supply System (SARSS).
- (g) Standard Installation/Division Personnel System (SIDPERS).
- (h) Theater Army Medical Management Information System (TAMMIS).

##### **c. Procuring replacement STAMIS equipment (see paragraph 5-22).**

(1) Use RSAIN-008 - Standard Systems Lifecycle Management (SSLM) to address initial procurement and life-cycle maintenance of equipment and software required to operate authorized Standard Army Management Information Systems (STAMIS) software.

(2) Authority to approve equipment, parts or software to create connectivity to a STAMIS is NOT delegated below HQ USARC, DCSIM level.

(3) Authority to procure equipment, parts or software for LCM of a STAMIS may only be delegated to the MSC IM or the commander by the manager/proponent of the STAMIS/stovepipe. In all cases, procurement of computers using USAR funds must be approved by HQ USARC, DCSIM.

**d. Use of the Reserve Component Automation System (RCAS) for STAMIS.**

During the transition to RCAS, it is imperative that commanders ensure that users update and provide reports to higher headquarters in accordance with established procedures, using the approved STAMIS, until such time as the RCAS provides the application software specifically developed to support that functional area.

**e. Target microcomputer levels and STAMIS.**

Target microcomputer or workstation levels (para 7-12) are in addition to all authorized STAMIS and TOE/TDA resources.

**7-12. Target microcomputer levels**

Microcomputer reassignment and procurement actions should target the following asset levels proportionally across the relevant command. In no case should a unit or off-site detachment have less than one CLAS microcomputer.

a. Tiers 1A and 1B: Quantity of unit-owned microcomputers equals 90% - 115% of authorized Full Time Manning positions plus 80% - 89% of authorized AGR positions for which the commander has validated a microcomputer requirement. Said quantities are in addition to all authorized STAMIS and TOE/TDA resources. Mix of desktops and portables allows for full flexibility to accomplish most envisioned operational scenarios.

b. Tiers 2A, 2B, 2C and 2D: Quantity of unit-owned microcomputers equals 60% - 80% of authorized full-time manning positions, in addition to all authorized STAMIS and TOE/TDA resources. Mix of desktops and portables allows for sufficient flexibility to accomplish many, but not all, envisioned operational scenarios. Unit relies heavily on non-unit-owned (e.g. hand-receipted) equipment for peacetime operations.

c. Tiers 3A, 3B, 4A, 4B and 5A: Quantity of unit-owned microcomputers equals 40% - 50% of authorized full-time manning positions, in addition to all authorized STAMIS and TOE/TDA resources. Mix of desktops and portables allows for sufficient flexibility to accomplish the most likely operational scenarios. Unit relies heavily on non-unit-owned (e.g. hand-receipted) equipment for peacetime operations.

## **Chapter 8**

### **Telecommunications**

**8-1. Installation telephone system operation management**

a. **Telephone services.** Telephone services are an essential element of a command. Control by the RSC/ installation commander is essential to mission accomplishment. Accordingly, private branch exchange (PBX), and key service unit (KSU) telephone systems on USARC installations/facilities are under the operational control of the installation/facility commander.

b. **Installation telephone services.** Telephone services on a USARC installation that are connected to a PBX or KSU should be assigned by the installation commander as Class A, C, or D. Class of service may be further subdivided to identify class of service features, inventories, or accounting purposes. The installation commander determines the class of service assigned to a subscriber based on the availability of government and commercial service.

c. **Official telephone service.** Official government telephone service includes class A, C, and D telephones. Official telephone service normally should not be provided to quasi-official or nonappropriated fund activities. These activities should use commercial service when available. When commercial service is not available the installation/facility commander may authorize the use of official telephone service.

(1) Class A telephone service is authorized for the transition of official business when access to commercial long-distance or government-owned telephone trunks is required.

(2) Class C telephone service (official-restricted) is authorized for the transmission of official government business throughout a USARC installation/facility. This service is restricted from having access to local commercial or toll, Foreign Exchange (FX), FTS 2000, and DSN. Access to the operator may be authorized by the installation/facility commander if the PBX, or KSU is designed for reporting emergencies, telephone troubles, or directory service.

(3) Class D telephone service (official-special) is installed as required throughout a USARC installation/facility for special types of service.

d. **Unofficial telephone service.** Unofficial government telephone service is designated class B telephone service. Class B telephone service is connected to a USARC PBX. It is for use by military family housing occupants and other unofficial subscribers. Class B service should only be provided when commercial service is not available.

e. **Special telephone equipment.** Customer-owned/procured special telephone features and equipment must be justified before connection to any USARC system. The user's commander or staff director must validate the requirement as mission essential. Requests must be approved and certified by the RSC/Installation DCSIM as compatible with the installation/facilities information telephone system.

f. **Key systems.** Key systems offer many features found in most modern telephone digital systems. Key system should be used to the maximum extent possible within Reserve Center complexes.

**8-2. Telephone calling cards**

a. The supporting RSC is responsible for ordering telephone calling cards for facilities within their area of responsibility. Commanders are responsible for issuing, controlling, supervising, and accounting for all telephone



calling cards issued for official use within their area of responsibility.

b. Review and validate records on the issuance of credit cards at least annually. Overseas calling cards are considered mission and the user should reimburse the RSC/Installation from mission funds. File these records under MARKS file number 25-1x.

c. When government telephone service is impractical or unavailable, provide telephone calling cards to personnel in order to reduce the cost of telephone charges to the government and to provide a means of communications. Restrict the use of government-issued telephone calling cards to official use and mission-essential communication requirements only. Commanders must ensure that--

(1) Calling cards are issued only to personnel within their command that have a bona fide need.

(2) All users of calling cards are aware of their responsibilities.

(3) All calling cards are returned when the requirement no longer exists to have a calling card.

(4) A responsible agency within their command is designated for the control and verification of calling card usage.

d. Individuals issued government telephone calling cards should be held responsible for any charges other than those verified as government official. Any misuse of the calling card should result in the privilege being terminated, the responsible individual paying for the unauthorized calls, and/or disciplinary action against the individual.

### 8-3. Use of cellular telephones

Only use cellular telephones when there is **no other means of voice communication available**. The use of cellular telephones for routine voice communications based solely on availability or convenience is expensive and a waste of government resources. Adhere to the following guidelines for the use of cellular telephones within the USARC:

a. Procure cellular telephones only to support mission-essential requirements, not as "nice to have" items.

b. Use cellular telephones only as a last resort when no other means of voice communication is available.

c. Cellular telephones are for official calls only.

d. Charges for cellular phones are based on air time.

Unlike beepers, the USARC pays for air time on **incoming calls, as well as outgoing calls**, made by the person with the cellular phone. Therefore, keep all air time to a minimum. The USARC goal is to keep all cellular telephone calls under 2 minutes.

e. Restrict the use of cellular telephones for placing long-distance phone calls to mission-essential and emergency situations only.

f. Federal Communications Public Notice, CL-142, dated Oct 84, prohibits the use of cellular telephones on aircraft.

g. Cellular telephones are very similar to UHF/VHF radios in that non-secure voice transmissions can be easily intercepted. Observe proper communications security (COMSEC) procedures.

### 8-4. Telecommunications service records

a. The RSC/installation commanders should maintain current records of all telephone services and equipment installed whether government or commercially-owned. Records should include PBX and KSU stations, miscellaneous equipment or services, the name and address of the vendor responsible for the service, and the payment of all charges.

b. To provide records for management of telecommunications services, maintain DA Form 4116 (Line Record Card); DA Form 4165 (Summary of Authorized Equipment and Service); and DA Form 4077 (Individual Telephone Service Record) under MARKS file number 25-1x.

c. If CSAs are maintained at the installation level, you do not need to maintain DA Forms 4165.

d. Also maintain copies of the most current Commercial Service Authorization (CSA).

e. Use DD Form 1367 (Commercial Communication Work Order (CCWO)) to procure leased local telephone services from local telephone companies. The RSC/installation commanders should ensure that all CCWO's are:

(1) Signed by a properly appointed Alternate Telecommunications Coordinator (ATC). The Chief Purchasing and Contracting Office should appoint ATCs as an "Ordering Officer" by letter.

(2) Only used to order changes, additions, and deletions of services authorized in the CSA.

(3) Telephone service records may be automated when the necessary hardware and software is available.

### 8-5. USARC information systems directories

a. Administration. The RSC/installation should publish an official administrative information system directory for each Region. The directory should consist of a telephone directory, facsimile user information, and E-Mail user information. Each RSC/installation should budget for printing the required quantity of the directory.

b. **Standardization.** Publish the Information System Directory in the same format as HQ's USARC, thereby simplifying the use, preparation, and maintenance of the directory.

c. **Classification.** The RSC/installation information system directories are unclassified.

d. Names of individuals with home addresses and home telephone numbers should not be listed in the information system directories.

### 8-6. Defense Metropolitan Area Telephone Systems (DMATS)

a. The DMATS should provide consolidated nonsecure voice and dial-up switching communications service to its subscribers to achieve improved and economical service through effective single management.

b. Telephone service from the DMATS should be provided on a full cost or fair market value recovery basis.

c. Unless specifically exempted by the DISC4, all USARC subscribers currently assigned to a DMATS should

obtain their telephone equipment and service through the DMATS, to include common user serviced considered appropriate by the DMATS manager.

### **8-7. Telecommunication services in the National Capital Region (NCR)**

The Defense Telecommunications Service, Washington, DC provides centralized administrative telecommunications service for DOD in the NCR, thus eliminating the necessity for each component to establish, operate, and maintain duplicative facilities. Exempted from this policy are tactical and special intelligence communications.

### **8-8. COMSEC, ACMES/RBECS Operations**

#### **a. COMSEC.**

(1) The USARC Deputy Chief of Staff, Intelligence (DCSINT) should--

(a) Prescribe policy and procedures for safeguarding and controlling COMSEC material.

(b) Establish and maintain a Command COMSEC Inspection Program.

(c) Approve, in coordination with Deputy Chief of Staff, Operations (DCSOPS), all requests for the establishment of COMSEC accounts.

(d) Ensure that all COMSEC incidents are properly and promptly reported within the Command.

#### **(2) The USARC DCSIM should--**

(a) Appoint in writing a minimum of one individual as a COMSEC inspector.

(b) Conduct Command COMSEC Inspections of all Regional Support Commands (RSC), Direct Reporting Commands (DRC), USARC installations and Army Reserve Intelligence Support Centers (ARISCs). Inspections should not exceed an interval of 24 months.

(c) Approve, in coordination with DCSINT, all requests for initial key material.

(d) Act as command authority on security telephone unit, third generation (STU-III) and Reserve Component Automation System (RCAS) keys.

(e) Establish procedures for the requisition and control of STU-III, RCAS and GCCS keys.

(f) Monitor, in coordination with DCSINT, all Cryptographic Evaluation Reports (CER) from controlling authorities (CONAUTH) that support USARC COMSEC accounts.

(3) The Commanders, RSCs and DRCs should ensure that all COMSEC custodians, alternates, and COMSEC inspectors successfully complete the Standardized COMSEC Custodian Course (SCCC) prior to appointment.

(4) Regional Support Command commanders should establish a COMSEC Material Distribution Support Activity (CMDSA) account at their headquarters. This account should provide COMSEC support to units within their region for STU-III type key (STU-III, RCAS, and GCCS). This includes units that may have an operational COMSEC account to meet their mission requirements.

(c) COMSEC operations should be in accordance with AR 380-5, AR 380-40, USARC Regulation 380-3 and TB 380-41.

#### **b. ACMES/RBECS.**

(1) **The USARC DCSIM should** establish procedures for the Automated COMSEC Management Engineering System (ACMES)/Revised Battlefield Electronics Communications-Electronics Operating Instruction (CEOI) System (RBECS).

(2) **The RSC commanders should** ensure that all units within their region that have been fielded the ACMES/CEOI RBECS system have--

(a) A minimum of two personnel trained and maintain proficiency.

(b) A list of units within their geographical area, that they are to support for Signal Operating Instructions (SOI), Electronic Counter-Countermeasures (ECCM) and Electronic COMSEC key.

c. ACMES/RBECS operations should be in accordance with TB 380-40(C) .

### **8-9. Installation Information Transfer System (IITS)**

a. The following guidance on the upgrade and new construction of IITS applies to the design and engineering of buildings and other projects under the Army military construction programs, as well as to the installation, rehabilitation, and replacement of installation telecommunications infrastructure.

(1) Local Area Networks (LANs) are the preferred solution to satisfy data requirements. See paragraph 5-16 for LAN restrictions.

(2) Whenever an installation switch needs to be replaced, replace it with an Integrated Services Digital Network (ISDN) switch or an ISDN upgradeable switch.

(3) Use existing metallic cabling as long as it is capable of providing the required service(s).

b. For new cable runs, install optical fiber or combined fiber and twisted pair cable for both the outside cable plant and building premises. This includes cable from the main distribution frame, through intermediate distribution frames, to the communications distribution room. In house drop cable should be at least 6 pair Teflon.

c. Army military construction projects that provide copper only to the outlet should provide additional raceway space to accommodate future fiber optic cable installation, for both inside and outside plant. Install fiber optic cable to the outlet during construction if the user/proponent has a validated current requirement for fiber optic connectivity.

d. All new IITS acquired should have an integral element management system.

e. Office/departmental LANs that interface with the Common User Installation Transport Network (CUITN) should be compatible with that network.

f. This guidance does not apply to entertainment cable television systems installed on Army installations.

g. This guidance is for formulating and engineering information transfer solutions on each installation. Appropriate site surveys and analysis must precede the

actual engineering of the solutions at each installation to accommodate unique requirements.

h. Keep the requirement for fiber optic cable in the forefront of the decision making process. Facilities that do not have high data (more than 100 megabytes, daily average) do not require fiber connectivity. Exercise great care when making this determination - ensure that what may now be a low data usage does not expand to a high data usage in the future.

i. Major Construction Army Reserve (MCAR) projects/center rehabs. Telephone instruments and PBXs are not provided under MCAR projects/center rehabs. You must identify Key System Signaling Units (KSUs), inside wire, modular jacks, and special telecommunications equipment requirements at the planning stage for incorporation and funding under the construction project. Once past the planning stage, do not procure additional in-house equipment under project construction costs.

#### **8-10. Use of facsimile (FAX) equipment**

a. Only use FAX machines for the transmission of official government correspondence. Examples of authorized uses are: responses to Congressional inquiries, general officer messages, or to meet **real time mission requirements**. Send routine correspondence by U.S. Mail. Allow sufficient time for mail delivery when establishing and responding to suspense dates.

b. **UNCLASSIFIED** FAX machines should only transmit **UNCLASSIFIED** or **FOR OFFICIAL USE ONLY (FOUO)** documents. Clearly label **UNCLASSIFIED** FAX machines with the following: **"THIS EQUIPMENT WILL NOT BE USED TO TRANSMIT OR PROCESS CLASSIFIED MATERIAL"** (You may use a FORSCOM Label 236-R.)

c. Only use FAX machines designated and approved as "secure FAX" machines to transmit/receive classified documents. Ensure FAX has been approved for use at a level commensurate with the security classification of the information prior to transmitting or receiving classified documents. Never transmit any classified correspondence without ensuring that an authorized and cleared individual is standing by to receive the incoming document. Prior to transmission, mark all classified documents at the top and bottom of each page with the highest level of classification. Also mark a separate FAX header sheet with the classification and include instructions for the receiver to acknowledge receipt via telephone.

d. Whenever possible, use Optional Form 99 in place of a separate FAX header sheet.

e. To reduce transmission costs, use FTS 2000 when available. Many of the new FAXes have an unattended delayed auto dial feature which can transmit FAXes during non-peak hours. Make maximum use of this feature when using commercial telephone lines.

f. When documents containing personal or sensitive information are to be transmitted by facsimile, contact the intended recipient to stand by the receiving facsimile

machine to prevent a violation of the Privacy Act by an unauthorized disclosure of personal information.

#### **8-11. Telecommunications requirements for unit administration (UA) microcomputers**

a. All UA microcomputers used to transmit "CLAS" data must be connected to a separate commercial telephone line. This line should be dedicated to the "CLAS" system only, and should not be shared by any other communications device, (i.e., telephone, facsimile, answering machine, etc.).

b. This communications line bypasses all PBX and KSU. Connection should be directly from the local telephone company to each UA computer.

c. Request PIC code 387 when ordering line to ensure FTS2000 access.

#### **8-12. Telecommunications support**

The telecommunications discipline includes telephone, non-tactical radios, facsimile, switches, PBX, calling card services, and other components of the system supplying transmission services. The USAR installations provide base telecommunications services to its tenants and off-post customers in accordance with DA Pamphlet 25-1-1 and other applicable regulations. Types of telecommunications support available to Reserve Center Complexes (RCCs) follow:

a. **Local Service.** The host RSC is responsible for requesting local telephone service and establishing/administering Communications Service Authorizations (CSA) for RCCs within its region. The host RSC or its executive agent is responsible for supplying common user telephone service to each tenant in their facility. Exceptions must be agreed upon via Memorandums of Agreement between the parties concerned.

b. **Long Distance Service.** Service should be provided via FTS 2000. Cumulative invoices should be paid by the respective RSC headquarters. Active component tenant bills should be paid by their headquarters. Call Detail Records should be sent to the user for validation.

c. **Long Haul dedicated service.** Service should be approved by Headquarters, USARC and ordered through the Defense Information Systems Agency (DISA).

d. **USAR tenant-owned telecommunications equipment.** The USAR tenants who own and pay for their own telecommunications equipment, must coordinate purchases and requests/upgrades with their higher headquarters. Under no circumstances should the host RSC incur charges as a result of such actions.

e. **Telephone Switch.** Operation and ownership of telephone switches is based on individual requirements at each RCC and USAR installation. At most newly acquired facilities (primarily larger RCCs and installations), the host RSC or USAR installation should own the switch and control the outside plant. The host RSC or installation should operate and maintain the switch and be responsible for repairs. The switch may be operated and maintained by a contract under the control of the host DCSIM/IMO, if deemed to be more cost effective.

## Appendix A References

### Section I Required Publications

AR 25-30 w/  
FORSCOM and  
USARC Suppls 1 (The Army Integrated Publishing and Printing Program). Cited in paras 3-1, 3-2, 3-4, 3-5, 3-7, 3-10, 3-11, 3-18, 6-3, figs 3-1, 3-2, 3-3, 3-4, 3-5, and 3-6.

AR 25-50 (Preparing and Managing Correspondence). Cited in para 2-1.

AR 25-51 w/  
USARC Suppl 1 (Official Mail and Distribution Management). Cited in paras 4-3, 6-2, figs 4-1, 4-2, and 4-3.

AR 25-55 w/  
FORSCOM  
Suppl 1 (The Department of the Army Freedom of Information Act Program). Cited in paras 2-15, 2-20, 2-22, 2-25, 2-29, B-1, B-8, figs 2-13 and 2-15.

AR 25-400-2 (Modern Army Record keeping System (MARKS)). Cited in paras 2-2, 2-5, 2-12, 2-13, 2-25, 2-32, 3-13, 6-2, and 7-8.

AR 335-15 (Management Information Control System). Cited in paras 2-37, 2-38, 2-39, 2-41, 2-43, and figs 2-16 and 2-20.

AR 340-9 w/  
USARC Suppl 1 (Office Symbols). Cited in paras 2-45 and 2-47.

AR 340-21 (The Army Privacy Program). Cited in paras 2-31, 2-32, 2-33, 2-34 and B-1.

AR 380-5 w/  
FORSCOM  
Suppl 1 (Department of the Army Information Security Program). Cited in para 8-8.

AR 380-19 (Information Systems Security). Cited in para 7-8.

AR 380-40 (Policy for Safeguarding and Controlling Communications Security (COMSEC) Material). Cited in para 8-8.

AR 710-2 (Inventory Management Supply Policy Below the Wholesale Level). Cited in para 5-36.

DA Pam 25-1-1 (IM Management of Subdisciplines, Installation Information Services) Cited in para 8-12.

DA Pam 25-30 (Consolidated Index of Army Publications and Blank Forms). Cited in para 3-7.

DA Pam 25-31 (Forms Management and Standardization). Cited in para 3-18.

DA Pam 600-67 (Effective Writing for Army Leaders). Cited in para 2-1.

DA Pam 710-2-1 (Using Unit Supply System (Manual Procedures)). Cited in para 5-34.

DOD Directive  
5400.7-R (Department of Defense Freedom of Information Act Program). Cited in paras 2-15, 2-22, B-1, and fig 2-8.

USARC Reg 25-1 (Information Resources Management Program). Cited in paras 1-1, 2-38, 3-2, 3-14.

USARC Reg  
380-3 (Safeguarding and Control of Communications Security (COMSEC) Material). Cited in para 8-8.

USARC Cir  
25-XX-13 (List of Approved Recurring Management Information Requirements). Cited in para 2-38.

USARC Pam  
25-30 (USARC Publications and Blank Forms Index). Cited in para 3-7 and 3-19.

Tb 380-40 ((C) Key Variable Management and Cryptosetting for Electronically Keyed COMSEC Systems (U))

TB 380-41 (Procedures for Safeguarding, Accounting, and Supply Control of COMSEC Material). Cited in para 8-8.

### Section II Related Publications

AR 5-8 (Host-Supported Activity Relationship (Intraservice)).

AR 25-1 w/  
FORSCOM Suppl 1 (The Army Information Resources Management Program)

AR 25-3 (AIRMP, Army Life Cycle Management of Information Systems)

AR 71-13 (The Department of the Army Equipment Authorization and Usage Program).

AR 220-1 (Field Organizations, Unit Status Reporting)

DA Pam 25-2 (Information Mission Area Planning Process)

DA Pam 25-31 (Forms Management Analysis, and Design)

DA Pam 210-3 (Commanders Handbook for Installations and Activity Consolidations, Realignment, Reductions and Closures)

DOD Directive 5400.4	(Provision of Information to Congress)	DA Form 4165	(Summary of Authorized Equipment and Service)
DOD Directive 5400.11	(Department of Defense Privacy Program)	DA Form 4815-R DA Form 4821-R	(Forms Control Register) (Printing, Duplicating, and Related Equipment Projections)
DOD Instruction 7230.7	(User Charges )	DA Form 4951-R	(Lease/Purchase Analysis for Copying/Duplicating Machines)
FORSCOM Cir 25-XX-9	(List of Approved Recurring Management Information Requirements)	DA Form 5394-R	(Printing/Duplicating Facility Report)
FORSCOM Pam 25-30	(FORSCOM Publications and Blank Forms Index)	DA Form 5394-1-R DA Form 5395-R DA Form 5465-R	(Printing Facility Productivity Report) (Commercial Printing Report) (Inventory of Stored Printing, Duplicating, and Related Equipment)
USARC Reg 71-2	(Authorization/Requirement Documen Change)	DA Form 5466-R	(Inventory of Printing, Duplicating, and Related Equipment)
FM 100-22	(HQ DA Installation Management Field Manual)	DA Form 5695-R	(Information Systems Project Document (RCS CSGPO-344))
CTA 50-909	(HQ DA Common Table of Allowances, Field and Garrison Furnishings and Equipment)	DD Form 67 DD Form 1131 DD Form 1367	(Form Processing Action Request) (Cash Collection Voucher) (Commercial Communication Work Order (CCWO))

**Section III  
Prescribed Forms**

USARC Form 42-R	(Personal Computer Owner's Agreement)	DD Form 2086	(Record of Freedom of Information (FOI) Processing Cost)
USARC Form 43-R	(Administrative Services Program Evaluation Checklist)	DD Form 2086-1	(Record of FOI Processing Cost for Technical Data)
USARC Form 47-R	(Microcomputer; Replacement Request)	DD Form 2564	(Annual Report - Freedom of Information Act)
USARC Form 50-R	(NATO Document Register)	FORSCOM Form 12-1-R	(FORSCOM Publications Subscription Sheet)
USARC Form 66-R	(Freedom of Information Act Willingness to Pay Statement)	FORSCOM Form 138-R	(Equipment Designated for Reproduction of Classified Material)
USARC Form 67-R	(Correspondence Correction Checklist)	FORSCOM Form 350-R	(List of Files)
USARC Label 1-R	(Personal In Nature)	FORSCOM Poster 93-R	(Warning Notice)

**Section IV  
Related Forms**

DA Form 12-R	(Request for Establishment of a Publications Account)	USARC Form 4-R	(USARC Official Mail Control Inspection Checklist)
DA Form 17	(Requisition for Publications and Blank Forms)	USARC Form 12-R	(Organization Data Submission for USARC Publications/Forms Accounts)
DA Form 335-R	(Application for Approval of Management Information Requirement)	USARC Form 12-1-R	(USARC Publications Subscription Sheet)
DA Form 455	(Mail and Document Register)	USARC Form 12-2-R	(USARC Form 12-Series Subscription Change Sheet)
DA Form 642	(Form Information Record)	USARC Form 1000-R	(Consolidated Quarterly Postage Expenditure Report)
DA Form 969	(TOP SECRET Document Record)	SF 44	(Purchase Order Invoice Voucher)
DA Form 1613-R	(Records Cross Reference)	SF 135	(Records Transmittal and Receipt)
DA Form 2028	(Recommended Changes to Publications and Blank Forms)	SF 135A	(Continuation Sheet)
DA Form 3964	(Classified Document Accountability Record)	OF 99	(FAX Transmittal)
DA Form 4077	(Individual Telephone Service Record)	PS Form 3603	(Receipt for Postage Meter Settings)
DA Form 4116	(Line Record Card)		

## **Section IV**

### **Recordkeeping Requirements**

#### **FN 25-1c**

MACOM MODPLAN; Installation requirement statements/initiatives

#### **FN 380-19f**

Accreditation of Automated Systems Security Files

#### **FN 380-40c**

COMSEC supply correspondence

#### **FN 710-2a**

Property book and supporting documents

## **Appendix B**

### **Privacy Act (PA) and Freedom of Information Act (FOIA)**

#### **B-1. Privacy Act and Freedom of Information Act (FOIA) Fee Assessments**

a. Privacy Act (PA) requests. Unless the same request was responded to at an earlier date, or more than one copy was requested, do not assess fees on requests submitted under the provisions of the Privacy Act of 1974. Charge 15 cents a page for duplicate copies (AR 340-21).

b. Freedom of Information Act (FOIA) requests. Assess charges for requests submitted under the provisions of the FOIA as specified in AR 25-55 and DOD Directive 5400.7-R. These directives distinguish requesters as commercial, educational, news media, and all others, and establish fees for each of these categories. This schedule of fees appears on DD Form 2086, Record of Freedom of Information (FOI) Processing Cost and DD Form 2086-1, Record of Freedom of Information (FOI) Processing Cost for Technical Data, and applies uniformly to all requesters. These forms are at the back of DOD Directive 5400.7-R.

c. There is no charge for FOIA requests that accumulate fees less than \$15.00. However, once that cost is exceeded, include the first \$15.00 in the charges. Assess charges only for copies released, and not for copies made for internal use.

d. Charges Assessable on Requesters by Category. To be accorded FOIA status under the law, the request must state a willingness to bear processing costs. As FOIA officials, you are not obligated to process requests under the FOIA until the requester indicates a willingness to pay the cost assessed for the requester's category:

(1) Commercial requesters must pay for all search, review, and duplication costs. Review is defined as a page by page evaluation for the need for excision, and the determination whether the record or some portion thereof must be referred to an Initial Denial Authority.

(2) Educational or news media requesters must pay for copies beyond the first 100, but are not required to pay for search time. As may be noted from DD Form 2086-1, Record of Freedom of Information (FOI) Processing Cost for Technical Data, no such waivers pertain to technical data.

(3) All other requesters are required only to pay for copies in excess of the first 100 and for search time beyond the first 2 hours. The charge for copies is \$0.15 each. The charge for search time depends upon the wages paid to the category of employee who performs the search. As noted in paragraph B-1a above, these rates appear on DD Form 2086, Record of Freedom of Information (FOI) Processing Cost. As may be noted from DD Form 2086-1, Record of Freedom of Information (FOI) Processing Cost for Technical Data, no such waivers pertain to technical data.

e. When requested under the FOIA, you may release records to be used as evidence against the requester in a legal proceeding, and receipt of this documentation should generally be accomplished sooner than if the records had been requested pursuant to legal regulations. Since records to be used by the requester to defend himself/herself would have been released at no charge anyway, charges are not imposed.

#### **B-2. Distinguishing FOIA requests from PA requests**

a. Process requests for copies of agency records as a FOIA request. Process requests from individuals for copies of records retrievable by their name or other personal identifier as PA requests.

b. Individuals may submit a FOIA request or a FOIA/PA request for copies of their own records filed under a file number that is in a PA system of records. Process such requests under the time limits of the FOIA and the exemptions and fees of the PA. The PA gives individuals greater access to their records at a lesser charge.

c. Requests for personal records received from individuals other than the record subject (that include release consent forms signed by the record subjects naming the submitters as their agent or attorney) should, in fact, be treated as PA requests, even though the submitter is known to be a commercial entity (such as a debt collector, opposing lawyer or bail bondsman). Assess fees as stated in paragraph B-1a, above.

#### **B-3. Special service charges**

a. The detailed charges for FOIA services are specified on DD Forms 2086, Record of Freedom of Information (FOI) Processing Cost for paper records, and DD Forms 2086-1, Record of Freedom of Information Act (FOI) Processing Cost for Technical Media. "Technical media," means nonpaper recording media, such as motion picture film, sound, video, or computer data cassettes or compact discs, and microfilm.

b. In addition to FOIA services, such as preparing the records for release, the requester may, at the discretion of the agency, receive special services not required by the FOIA.

(1) Certification is applied to individual pages to be certified as true to the original, and \$1.50 is charged for each. To certify a document, the records custodian should enter and sign the following statement at the bottom of each page: CERTIFIED TRUE COPY: (signature).

(2) Authentication is applied to an entire record, and attests to the certification as true of every page in that record. The charge for authentication is \$5.20 each. Authenticated records are bound as a unit with the agency seal affixed to the first page.

#### **B-4. Use of USARC Form 66-R, Freedom of Information Act Willingness to Pay Statement**

a. Requesters may state in their FOIA request that they are willing to pay all the fees associated with processing their request or set a dollar limit they are willing to pay. For those who do not so state, furnish a preprinted Willingness to Pay Statement, USARC Form 66-R (a copy of this form is at the back of this publication). This form allows the requester to agree to bear excessive expenses and includes the option to set a maximum sum for reimbursement. The time limit for processing a FOIA request does not begin until receipt of a willingness to pay fees statement. The statement may be in the original request or on a signed USARC Form 66-R. Should the requester decline to provide a willingness to pay statement, consider the request abandoned and close it out

b. Privacy Act requests do not require a willingness to pay statement (see para B-1a, above). Thus, records responsive to both the FOIA and the PA, may not be deferred pending receipt of a signed Willingness to Pay Statement.

c. Do not detain the release of records already processed pending receipt of actual payment when the requester has a history of prompt payment.

d. Do not expend any effort on behalf of a requester who has defaulted on an agreement to pay this or any other federal agency, until the debt is settled. The requester with an indebtedness of more than 30 days standing must settle this established debt with interest, as well as pay for the current request in advance before you process a new or pending request (see also para B-6, below).

e. Should you note that processing a request to completion will exceed the dollar limit the requester has agreed to pay, notify the requester by letter, attaching a new Willingness to Pay Statement, USARC Form 66-R, made out for the probable cost of completion. The letter should additionally offer the requester the option to modify or abridge the request to accumulate lesser charges. Release the portion covered by the original Willingness to Pay Statement, USARC Form 66-R, to the requester with the cover letter apprising him/her of these conditions and options. Should the requester decline to sign the additional willingness to pay statement, consider the request closed.

f. Sometimes a call for records results in a matter that falls under both the FOIA and the PA. When this happens, it is likely that some portions should prove unresponsive and some should fall under the PA. Those that fall under the PA can be separated into two groups. Those that are free from fees (the first copy is furnished free) and those that are subject to charge (previously released to the requester PA material). The rest should respond to the FOIA request and are, therefore, liable for fees.

Moreover, once separated into these categories, review all the documents to determine if the documents are exempt and forwarded to an Initial Denial Authority, or if they are releasable.

(1) Once you separate the documents by category, send a Willingness to Pay Statement, USARC Form 66-R, made out for the sum of the anticipated charges to the requester, unless the requester included a statement of willingness to pay charges in the original request.

(2) The detailed examination to determine whether the documents are exempt from release should not be performed before the requester is responded to with a Willingness to Pay Statement, USARC Form 66-R.

(3) When a Willingness to Pay Statement, USARC Form 66-R, is sent under these circumstances, the cover letter should make it clear that the specified figure assumes the highest figure, and that response to the PA portions of the request should not be delayed pending receipt of the signed statement. These statements clarify that fees are not imposed to discourage requests.

#### **B-5. Time limitation for return of a Willingness to Pay Statement, USARC Form 66-R**

Allow 1 month for the requester to respond with a willingness to pay statement. After a month has passed without receipt of the statement, the FOIA official should send the requester a letter indicating that the request should be abandoned if you have not received such a statement within 2 weeks of the date of the letter.

#### **B-6. Demands for payment in advance**

a. Never demand advance payment of a requester unless:

(1) The fee exceeds \$250.

(2) The requester has taken longer than 30 days to pay for earlier requests made to this or any other federal agency.

b. Inform any requester indebted for an earlier FOIA request that processing must await payment of all fees due, with interest as provided for in 31 U.S.C. 3717.

#### **B-7. Waivers of fees**

a. Waive all fees for all requesters, regardless of category when the total assessable costs for processing a FOIA request totals \$15 or less.

b. Waive fees to public media, educators, or others who intend to inform the public about Department of Defense operations. When uncertain that a waiver is justified, ask the requester for additional information before granting a waiver.

#### **B-8. Collection of fees**

a. Notify requesters that fees are due in the letter that transmits the records released to them. Request payment as check or money order made out to the Defense Finance Officer at the closest Defense Finance and Accounting Service (DFAS) office. Have the payment sent through the FOIA official, who should post the FOIA administrative records to reflect payment.

b. The requester is delinquent if payment is not received within 30 days after release of the records. Should this happen, send a letter to the requester informing them that the payment is delinquent and any further requests will not be processed until payment is received.

c. When a payment is received, attach it to a properly completed DD Form 1131, Cash Collection Voucher, and forward it to the Disbursing Section of the servicing Defense Finance and Accounting Office. Deposit collected fees in Receipt Account 3210, Fees and Other Charges for Services, Freedom of Information Act. See example of a completed DD Form 1131 in FORSCOM Suppl 1 to AR 25-55.

## Appendix C

### List of Initial Denial Authorities (IDAs)

In those rare cases where the following cannot be of assistance, contact HQ, USARC DCSIM FOIA officials at 1-800-359-8483, x8959 (Mr. Goldsmith) or x8958 (Mrs. Dickinson).

For financial records:

Office of the Assistant Secretary of the Army  
(Financial Management)

Defense Finance and Accounting Service -

Indianapolis Center

ATTN: DFAS-IN-U

Indianapolis, IN 46249-0150

Voice: (317) 542-2163

FAX: (317) 543-1134

For Inspector General reports of investigation:

ATTN: SAIG-ZXR

Room 1E739

The Inspector General

1718 Army Pentagon

Washington, DC 20310-1718

Voice: (703) 695-6824

FAX: (703) 697-4705

For personnel and medical records:

Commander, U.S. Army Reserve Personnel Center

ATTN: DARP-IMG-F

9700 Page Boulevard

St. Louis, MO 63132-5200

Voice: (314) 538-3479/3798

FAX: (314) 538-3567

For records involving legal matters:

ATTN: DAJA-AL

Room 2E433

The Judge Advocate General

2200 Army Pentagon

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## Appendix D

### Typical Correspondence Routing Guide

AFRC-IMA-PM

22 August 1994

#### CORRESPONDENCE ROUTING GUIDE

Accident Investigation  
Active Duty for Special Work (ADSW)  
Address Indicating Groups (AIGs)  
Administrative Boards  
Administrative Law  
Adverse Personnel Actions  
Aero Medical Units  
Air Assault  
Air Traffic Control  
Alcohol and Drug Control Office (ADCO)  
Ammunition, Less Training  
Ammunition, Training  
Army Charge Card Program (American Express)

SAFETY  
DCSPER  
DCSIM  
DCSPER  
SJA  
DCSPER  
DCSOPS  
DCSOPS  
DCSOPS  
DCSOPS  
DCSPER  
DCSLOG  
DCSOPS  
DCSCOMPT



Army Ideas for Excellence Program (AIEP)	DCSCOMPT
Assumption of Command	COMMAND GROUP
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Audio Visual	DCSIM
Authorized Unit Equipment Lists (AUEL)	DCSLOG
Automated Drill & Attendance Reporting System (ADARS)	DCSCOMPT
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Aviation Resource Mgt Surveys (ARMS) Team,	DCSOPS
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Awards and Decorations	DCSPER
Awards, Employee Performance	DCSPER
Base Level Commercial Equipment (BCE)	DCSCOMPT
Base Operating Information System (BASOPS)	DCSCOMPT
Base Realignment and Closure (BRAC)	DCSENGR
Bold Shift Operation	DCSOPS
Budget	DCSCOMPT
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Checks, Dishonored	DCSPER
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Claims	SJA
Classes of Supply	DCSLOG
Command Budget Estimate (CBE)	DCSCOMPT
Command Information	PAO
Command Logistics Review Team (CLRT)	DCSLOG
Command Management System (CMS)	DCSCOMPT
Command Sergeant Major	COMMAND GROUP
Command Supply Discipline Program (CSDP)	DCSLOG
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G2	DCSINT
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Manage Civilians to Budget (MCB)	DCSCOMPT
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Property Accountability, HQ USARC	COMMAND GROUP
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Property Book, HQ USARC	COMMAND GROUP

Protocol	COMMAND GROUP
Provost Marshal	DCSPER
Publication Management	DCSIM, IMA
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Radiological Protection Program	SAFETY
Range Safety Program	SAFETY
Readiness/Readiness Reporting	DCSOPS
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Real-Time Automated Personnel Identification System (RAPIDS)	DCSPER
Records Management	DCSIM, IMA
Recycling Program	COMMAND GROUP
REDTRAIN	DCSINT
Regimental Affiliation	DCSPER
Regional Training Site - Medical (RTS-M)	SURGEON
Religious and Spiritual Support Programs	CHAPLAIN
Reports of Survey	DCSLOG
Report to Suspend Favorable Personnel Actions (DA Form 268)	DCSPER
Request for Issue or Turn-In (DA Form 2765)	COMMAND GROUP
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Reserve Component Automation System (RCAS)	DCSIM
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Security Violations	DCSINT
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Service School Academic Evaluation Report (DA Form 1059)	DCSPER
Service School Notification	DCSPER
Soldier Support	DCSPER
Special Forces	DCSFOR
Specialized Training for the Army Reserve Readiness (STARR)	DCSCOMPT
Sponsorship Program	DCSPER
Standard Installation/Division Personnel System (SIDPERS)	DCSPER
Strength Management Office (SMO)	DCSPER
Subsistence	DCSLOG
Subversion and Espionage Directed Against US Army and Deliberate (SAEDA)	DCSINT
Suggestions	DCSCOMPT
Supply	DCSLOG
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Systems Safety Program	SAFETY
S1	DCSPER
S2	DCSINT
S3	DCSOPS
S4	DCSLOG
S5	DCSOPS
S6	DCSIM
S8	DCSCOMPT/DCSFOR
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Telecommunications	DCSIM
Terrorism	DCSOPS

Total Army Quality (TAQ)	DCSCOMPT
Total Quality Management (TQM)	DCSCOMPT
Toxic Waste	DCSENGR
Traffic Citations, Tickets	COMMAND GROUP
Traffic Management	DCSLOG
Training	DCSOPS
Transfer of Functions (TOF)	DCSCOMPT
Transportation	DCSLOG
Unit Actions (Conversions, Inactivations)	DCSFOR
Unit Commander's Pay Management Report	DCSCOMPT
United Parcel Service (UPS) Bills	DCSIM, IMA
United States Army Audit Agency (USAAA)	IR
United States Army Reserve Forces School (USARF)	DCSOPS
Unit Pay Administrators Course (UPAC)	DCSCOMPT
Unit Record of Reserve Training (DA Form 1379)	DCSPER
Unit Status Report (USR)	DCSOPS
Vendors to HQ USARC	COMMAND GROUP
Visitors to HQ USARC	COMMAND GROUP
Visual Information	DCSIM
Warranty Programs	DCSLOG
Water craft	DCSLOG
Water Support	DCSLOG
Worldwide Military Command and Control System (WWMCCS)	DCSIM
Copy furnished:	
Division Chief	
Branch Chief	
Mail Clerks	
Table	
File copy	

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## Appendix E

### Inventory Documentation Sample

QUANTITY	MFR	MODEL	CPU type	CPU speed (MHZ)	SERIAL NUMBER	Acquisition Date	Condition Code	Location
1	IBM	200A/Notebook	386	25	128594938	9307	2	385th Med Bn, Patriot, NH
1	IBM	200A/Notebook	386	25	94865083a	9307	1	2593 MI, Peacekeeper, ME
1	IBM	200A/Notebook	386	25	948058338	9401	1	HQ, 101st RSC, Minuteman, NY
1	Packard Bell	9938/Desktop	386	33	840857497	9302	1	2093 MI, Tow, RI
1	Zenith	660/Desktop	286	25	85748403094 85J	9006	5	HQ, 101st RSC, Minuteman, NY
1	Zenith	660/Desktop	286	25	83984738994 85K	9006	5	HQ, 101st RSC, Minuteman, NY
1	IBM	948/Laptop	486	75	4298450jk5	9509	1	1945 MI, Pineapple, RI

### Survey of Management Efficiencies and Program Cost Effectiveness

#### Sample Questions

**1. Accountability:** Does the physical inventory of equipment coincide with the accountable property book records?

**2. Record management:** Are all life-cycle equipment records available and filed properly? Are authorizations and approvals available and filed properly?

**3. Maintenance:** Is equipment maintenance accomplished in a timely manner with minimum downtime (less than 5% of normal use time)? Is equipment being operated within the manufacturers specifications and tolerances?

**4. Meeting the needs of users:** Is equipment capability and speed sufficient for mission requirements? Is microcomputer speed and memory adequate to run necessary applications without lengthy delays, General Protection Faults or lockups? Are equipment operation manuals and other self-help aids available to every user? Is there a sufficient quantity of assets to meet organization needs? Is equipment showing signs of over or

underutilization? Are lengthy queues occurring during non-peak usage times.

**5. Primary use of computer:** In addition to the data listed on the inventory documentation sample, consider adding another column to identify the primary use of the computer (e.g., STAMIS (by type - ULLS-G, SPBS-R, SAMS, SARSS, etc.), RCAS, Office automation, etc.).

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## Glossary

### Section I

#### Abbreviations

AARA.....access and amendment refusal authority  
ADP.....automatic data processing  
ADPE.....automatic data processing equipment  
AOMM.....Assistant Official Mail Manager  
ARNG.....Army National Guard  
COMSA .....Custodian of Official Mail Stamp Account  
CONUSA .....Continental U.S. Army  
DRC.....direct reporting command  
FOI.....Freedom of Information  
FOIA .....Freedom of Information Act  
FN.....file number  
FRC.....Federal Records Center  
IDA.....initial denial authority  
MARKS.....Modern Army Record keeping System,  
AR 25-400-2  
MICLO.....Management Information Control Liaison  
Officer  
MICO.....Management Information Control Officer  
MICS.....Management Information Control System  
(AR 335-15)  
OMM.....Official Mail Manager  
PA.....The Privacy Act of 1974 (Title 5, United  
States Code, Section 552a)  
RCS.....Requirement Control Symbol  
RHA .....Records Holding Area  
SF.....Standard Form  
WNRC.....Washington National Records Center

### Section II

#### Terms

##### **Access and amendment refusal authority**

The lowest ranking Federal official empowered to deny access or amendment requested under the PA.

##### **Agency record**

See AR 25-55 (The Department of the Army Freedom of Information Act Program), para 1-402, for the definition of an agency record.

##### **Directive**

The regulation, circular, message, or memorandum that establishes a reporting requirement. USARC and its

subordinate commands are not authorized to use messages or memorandums to prescribe a reporting requirement for more than one year.

##### **Endorsement**

A consecutively numbered reply or forwarding statement to a memorandum. An endorsement, once prepared, becomes an integral part of the memorandum.

##### **FOIA**

The Freedom of Information Act (Title 5, United States Code, Section 552, as amended), which requires the release to the public of government records when requested, provided release poses no risk.

##### **Formal memorandums**

Formal memorandums are used for correspondence which should be sent outside the headquarters, command, the installation, or similar identifiable organizational elements.

##### **Informal memorandums**

Informal memorandums are used for correspondence which is internal to the headquarters, or similarly identifiable organizational elements.

##### **Initial denial authority**

The lowest ranking Federal official empowered to deny a record requested under the FOIA.

##### **Letter**

A format used for official business with non-DOD civilians, military and individual DOD civilians addressed by name, any civilian agency, and other government agency officials including state and local. This format may also be used for official personal correspondence and letters of welcome.

##### **Management information**

Information required in planning, organizing, directing, coordinating, and controlling an organization and its assigned mission tasks.

##### **Management Information Control Officer (MICO)**

A person assigned authority to -

a. Approve, disapprove, or revise proposed management information requirements within an agency, based on AR 335-15.

b. Assign RCS to needed management information requirements with an agency.

- c. Review controlled management information requirements and data products as outlined in AR 335-15.
- d. Provide the jurisdictional control of management information requirements and data products IAW para 1-10, AR 335-15.

#### ***Management Information Control Liaison Officer***

A person assigned authority by a principle staff agency of a command or activity to -

- a. Coordinate information control matters within the staff agency.
- b. Assist in review of ADP products for which the agency is the system proponent.
- c. Provide technical assistance to the MICO as needed in the control of management information.

#### ***Management Information Requirement***

A requirement for management information to be collected, processed, and transmitted on a periodic, as required, or one-time basis. A request may be transmitted orally or in writing and they may require several information products, data inputs and data outputs, processed either manually or by ADPE. An approved controlled management information requirement is assigned an RCS (see chapter 2, section IV).

#### ***Management Information System***

As assemblage of resources and procedures organized to collect, process and issue data. These data can be then used to decide how to plan, organize, staff, direct, coordinate, and control the use of resources to accomplish missions and tasks.

#### ***MARKS***

The Modern Army Recordkeeping System (AR 25-400-2), which is the filing system employed by all Army activities and organizations.

#### ***Memorandum***

A format for correspondence within and between activities of HQDA; between HQDA and other major commands; within and between major commands; to DOD and DOD activities; and correspondence to other military services unless another format is specified or required. The memorandum may be used for notification of personnel actions, military or civilian, to show appreciation or commendation for DA employees, and for forwarding non-transmitting forms, as an enclosure or attachment, outside the installation or command.

#### ***Personal identifier***

Any factor that uniquely relates to a specific individual and can be used to distinguish a record as related to that individual. The most common personal identifiers are personal names and social security numbers, but finger prints, photographs, to include x-rays, and certain chemical specifications might serve equally well.

#### ***Privacy Act records***

Records containing personal information on specific individuals and retrieved by a personal identifier, such as a name or social security number. The Privacy Act of 1974 (PA) protects private information and therefore imposes stringent requirements on the maintenance of such records.

#### ***Privacy Act***

The Privacy Act of 1974 (Title 5, United States Code, Section 552a) safeguards and grants access and the right to amend personal records.

#### ***Privacy Act record***

Any item, collection, or grouping of information about an individual that -

- a. Is kept by the government including, but not limited to, an individual's home address, home telephone number, SSN, education, financial transactions, medical history, and criminal or employment history.
- b. Contains an individual's name, identifying number, symbol, or other individual identifier such as a finger, voice print, or a photograph.

#### ***Privacy Act system of records***

A group of records under the control of DA from which information is retrieved by the individual's name or by some identifying number, symbol, or other identifying particular assigned to the individual. System notices for all systems of records must be published in the *Federal Register*, (A grouping or files series of records arranged chronologically or subjectively that is not retrieved by individual identifier is not a system of records, even though individual information could be retrieved by such an identifier, such as through a paper-by-paper search.)

#### ***RCS (Requirement Control Symbol)***

A symbol assigned to an approved management information requirement (report) by the MICO with jurisdiction to show it has been approved under AR 335-15.

#### ***Records***

All books, papers, maps, photographs, machine-readable materials, or other documentary materials regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal Law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of the 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 or reference, and stocks of publications and of processed documents are not included.

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