

DIVISION/BRANCH/OFFICE STANDARDIZED RECORDKEEPING CHECKLIST

(Read Instructions before completing form.)

GENERAL INSTRUCTIONS.

A key component of a successful and compliant records management program is effective organization of recordkeeping systems, both hard copy and electronic. All records must be placed and kept in official files. The goal for any recordkeeping or filing system is for all users to be able to easily retrieve the records they need, when they need them. Filing systems are generally organized by topic (subject files), by action or event (case files), number (such as a MIPR number), or by date (chronological or CHRON files). They may be filed centrally - in a location accessible to all in a Division or Branch, or decentralized - in desk drawers of Supervisors or Action Officers - depending on mission, use and accessibility needs. The following information will assist employees (military, civilian or contractor) understand the basic records management standard operating procedures for the division, branch or organizational unit to which they are assigned.

SECTION I - DIVISION/BRANCH/OFFICE POINTS-OF-CONTACT INFORMATION. Self-explanatory.

SECTION II - HARD COPY FILING SYSTEM.

Set-Up.

1. Assess the hard copy files and categorize with a File Series Number in Administrative Instruction (AI) 15. Be sure to use the latest version of AI 15, which is online at <http://www.dtic.mil/whs/directives/corres/pdf/a015v2p.pdf>.
2. Screen the records to see if there are any personal papers, EXACT duplicates or other non-records (such as menus, or non-work related material).
3. Segregate the records by File Series Number.
 - a. Hard copy records may be filed in folders or binders as long as they are labeled appropriately with the series number, the series title, and the year of accumulation (if appropriate). Be sure to indicate whether the year is calendar year (CY) or fiscal year (FY).
 - b. Files should be cut off in accordance with the filing system and classification scheme. Cutting off files involves ending the old files and starting new ones at regular intervals.
 - (1) In the case of chronological files, the files may be cut off by month, quarter, or year.
 - (2) Case files may be cut off by quantity of records or thickness of file, i.e., after every 100 pages or 3/4" thick.
 - (3) Subject files may be cut off annually, by event, or by quantity, depending on the amount of filing and the way the files are used.
 - (4) Files may also be cut off by an event, such as the close of a case, or receipt of final payment, etc.

Categorize new records by series and file within the appropriate folder(s), per the classification scheme for that series/folder.

Folders, Guide Cards, and Filing Equipment.

1. Create labels for each folder/binder.
2. File labels should include the series number, title, and disposition instructions. Subtitles and commonly accepted abbreviations may be used for the disposition instructions:

ABBREVIATION	TERM
CFA	Current Files Area
COFF	Cut Off
DEST	Destroy (or Delete)
NARA	National Archives and Records Administration
NLN	No Longer Needed
NPRC	National Personnel Records Center (Civilian and Military)
OBSOL	Obsolete
PERM	Permanent
PIF	Place in Inactive File
REFP	Reference Paper
RET	Retire
SS	Superseded
TRF	Transfer
WNRC	Washington National Records Center

- a. File labels should also include the cutoff date and the date the records are destroyed, retired to a Federal Records Center, or permanently transferred to NARA.
- b. If the records are filed within a Privacy Act system of records, then its System of Records number should be included as well.
- c. When there are several folders within one series, a "dummy" file folder may be used as the first in the series. Tape it shut so that no documents can be inadvertently filed in it. Subsequent folder labels need only show the file number, contents and year of accumulation (if appropriate). For visibility and ease of use, place the dummy folder label on a guide card.
- d. Label format: Use Time New Roman font at 12 point, as per the example below:

**101-09 Reading Files (05)
COFF 31 Dec 05; DEST Jan 09**

3. Insert Guide Cards to separate Major Series (100, 200, 300, etc.).
 - a. Guide cards should be labeled with the Series Number and Title, e.g., 100 GENERAL OFFICE RECORDS.
 - b. Further breakdown of guide cards is allowed if files within one sub-functional category are voluminous, e.g., the 200 category may be further divided with guide cards for 201, 202, etc.
 - c. Label format: Use Times New Roman format at 14 point, as per the example below:

100 GENERAL OFFICE RECORDS

4. Labeling the filing equipment.
 - a. The label for equipment containing one record series only should match the label used on the file folder for that series - i.e., contain the series number, title, disposition instructions, year of accumulation (if necessary) and the PA system of records number (if applicable).
 - b. If the filing equipment contains multiple series, only the series number range (101-01 through 202-02, etc.) should be used, as well as the year of accumulation (if applicable).
 - c. Active and inactive records should be labeled, particularly if inactive records and active records are stored in the same area.

SD FORM 823 INSTRUCTIONS (Continued)

Safes.

Records stored in safes should be managed just as hard copy records elsewhere. The safe should be labeled and guide cards and folders with prescribed labels must be used as described above.

Scanned Records.

The following instructions should be followed when scanning hard copy records.

NOTE: Scanned images of permanent records must meet minimum requirements for scanning resolution and pixel (dpi) depth to support archival preservation and continued use.

See NARA Transfer Guidance at

<http://www.archives.gov/records-mgmt/initiatives/scanned-textual.html> for requirements, and contact WHS/RDD prior to scanning.

1. Prepare the files for scanning by:
 - a. Removing staples and/or paper clips.
 - b. Ensuring there are no bent edges.
 - c. Checking for single vs. double sided pages.
 - d. Checking for pictures, color, or graphical images that might necessitate special scanning settings.
2. Scanning is conducted using the following criteria:
 - a. Each document must be scanned as a separate file (i.e., scanned at the document level).
 - b. Use a resolution within the acceptable range listed by NARA in its Transfer Guidance (see URL above).
 - c. Optical Character Recognition (OCR) - each scanned image should be run through existing OCR software to make the text within the file searchable. Documents that have not been OCR'd should have meta-data fields added to facilitate retrieval.
3. Next, name the now searchable file according to a meaningful naming convention, using a meaningful subject and date. (Example: 20080928_Scan_Plan.doc OR Scan_Plan_20080928).
4. Quality Control of Scan - Each scanned image should be checked, page-by-page, for the following elements:
 - a. The scanned image should be complete (i.e., no missing pages).
 - b. There should be no skewed images.
 - c. The file should be able to be printed from multiple printers and able to be viewed at least as well as the hard copy.
 - d. The file should be searchable (if OCR'd) and named according to a meaningful naming convention.
5. Filing the document on the record drive - Scanned images that successfully pass the QC step should be filed on the appropriate records drive, depending on its classification, and filed under the applicable series number.
6. Once successfully scanned, OCR'd, named, QC'd and placed on the appropriate records series, the hard copy files should be destroyed if temporary. If permanent, contact the WHS/RDD Office for guidance. **DO NOT DESTROY PERMANENT RECORDS** that have been scanned until RDD has received NARA approval.

SECTION III - ELECTRONIC RECORDS MANAGEMENT.

Shared Drive Organization.

If any electronic record is stored in a shared drive or other system (Portal, Website, SharePoint, etc.), it must be identified.

Restricted Folders.

Certain folders, those containing personal or sensitive information, will have restricted or limited access. Only designated individuals, who have a business need, will be able to open those files.

Email Records Folders.

Employees are required to file email records (unless transitory).

All email records related to the mission (i.e., policy, legal reviews, official decisions, official guidance from higher command, etc.) should be filed in hard copy or electronic format. All personal and non-record emails should be deleted as soon as practicable.

1. To print and file as hard copies:
 - a. Open Outlook and print email record (including attachments, if applicable).
 - b. File email record in hard copy filing system.
2. To save email records and file on shared drive or share point:
 - a. When the email body contains the record (e.g., policy, direction, etc.), the message should be saved as a .pdf or text (.txt) file (not as a .msg file) by clicking on File, then Save As (.pdf is preferred).
 - b. When the email transmits an attachment, where the attachment is the record, the attachment must be saved as a record in its native format (illegible) (e.g., .ppt, .pdf, .doc, etc.) by clicking on File, then Save Attachment.
 - c. When the email message and attachment together create a record, both must be saved (the email message must be saved as a .pdf or .txt file and the attachment must be saved as a file in its native format or .pdf).

SECTION IV - CONCURRENCE.

This form must be signed by the Component Records Management Officer (CRMO) or Records Liaison Officer, denoting concurrence with the information contained herein.

DIVISION/BRANCH/OFFICE STANDARDIZED RECORDKEEPING CHECKLIST

SECTION I - DIVISION/BRANCH POINTS-OF-CONTACT INFORMATION

1. NAME OF ORGANIZATIONAL UNIT/DIVISION/BRANCH

2. POINTS OF CONTACT

a. COMPONENT RECORDS MANAGEMENT OFFICER (CRMO)

(1) NAME <i>(Last, First, Middle Initial)</i>	(2) TELEPHONE <i>(Incl. area code /DSN)</i>	(3) EMAIL ADDRESS
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b. ALTERNATE 1 CRMO

(1) NAME <i>(Last, First, Middle Initial)</i>	(2) TELEPHONE <i>(Incl. area code /DSN)</i>	(3) EMAIL ADDRESS
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c. ALTERNATE 2 CRMO

(1) NAME <i>(Last, First, Middle Initial)</i>	(2) TELEPHONE <i>(Incl. area code /DSN)</i>	(3) EMAIL ADDRESS
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d. DIVISION/BRANCH/OFFICE RECORDS LIAISON OFFICER

(1) NAME <i>(Last, First, Middle Initial)</i>	(2) TELEPHONE <i>(Incl. area code /DSN)</i>	(3) EMAIL ADDRESS
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SECTION II - HARD COPY FILING SYSTEM

3. CENTRAL FILING SYSTEM *(X one and complete as applicable)*

<input type="checkbox"/> The unit's central files are located: (See file plan for specific locations.)	<input type="checkbox"/> The unit's hard copy files are decentralized. (See file plan for specific locations.)
	<input type="checkbox"/> The Branch/Division does not keep hard copy records.

4. CHRON (SIGNATURE) FILES *(X one and complete as applicable)*

<input type="checkbox"/> The unit's CHRON/Signature files are located: (See file plan.)	<input type="checkbox"/> The unit does not have CHRON/Signature files.
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5. SAFES *(X one and complete as applicable)*

<input type="checkbox"/> The unit has records stored in safes located:	<input type="checkbox"/> The unit does not have records stored in safes.
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6. FILE PLAN *(X and complete as applicable)*

<input type="checkbox"/> The unit keeps a hard copy file plan, located:	<input type="checkbox"/> The unit keeps an electronic version of its file plan, located:
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7. VITAL RECORDS INVENTORY FORM *(X and complete as applicable)*

<input type="checkbox"/> The unit keeps a hard copy of this form, located:	<input type="checkbox"/> The unit keeps an electronic version of its vital records inventory, located:
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8. VOLUME OF SCANNED FILES *(X one and complete as applicable)*

<input type="checkbox"/> The unit has identified _____ records, of which _____ still need to be scanned.
<input type="checkbox"/> The unit has identified _____ records, all of which have been scanned and filed.
<input type="checkbox"/> The unit does not have records that need to be scanned.

SECTION III - ELECTRONIC RECORDS MANAGEMENT

9. ELECTRONIC RECORDS *(X one and complete as applicable)*

<input type="checkbox"/> The unit files records in the Shared Drive, RMA, or other (Portal, Website, SharePoint): _____
<input type="checkbox"/> The unit does not file records in the Shared Drive, RMA, or other (Portal, Website, SharePoint).

10. RESTRICTED FOLDERS *(X one and complete as applicable)*

<input type="checkbox"/> The unit has restricted access to the following folders:	<input type="checkbox"/> The unit has no folders needing restriction.
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SECTION IV - CONCURRENCE

11. CRMO OR RECORDS LIAISON OFFICER. I concur with the information reported herein.

a. PRINTED NAME <i>(Last, First, Middle Initial)</i>	b. TITLE	c. SIGNATURE	d. DATE SIGNED <i>(YYYYMMDD)</i>
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