

USAR Pamphlet 25-2

Information Management

**ARMY RESERVE
RECORDS
MANAGEMENT AND
PUBLISHING PROGRAM**

**Department of the Army
Office of the Chief, Army Reserve
Washington, DC 20310-2400
2 October 2006**

SUMMARY OF CHANGES

USAR Pam 25-2

Army Reserve Records Management and Publishing Program

- Supersedes **only** Chapters 1, 2, 3 and 4 of USARC Pamphlet 25-1, Information Manager's Handbook, 1 February 1997.
- Addresses Records Management and Publishing and Printing procedures for the Army Reserve.
- Explains the use of the Army Records Information Management System (ARIMS).
- Declares obsolete the electronic archival system known as Reserve Information Management System (RIMS) (previously in use by the USARC).
- Prescribes the use of USAR Form 9-R, Staff Coordination, Approval, and Routing Sheet (SCARS).
- Prescribes the use of USAR Form 143-R, Executive Correspondence Non-Disclosure Policy Acknowledgement Statement.
- Prescribes the use of USAR Form 145-R, Training Course Critique.
- Prescribes the use of USAR Form 146-R, Requirement Control Symbol Register/Log.
- Rescinds USARC Form 50-R, NATO Document Register. Use the Multiple NATO Material Log form (go to <https://secureweb.hqda.pentagon.mil/cusr>, select at the top, *Forms & Briefings*, scroll down and select *NATO Manual Document Log*).

Information Management
ARMY RESERVE RECORDS MANAGEMENT AND PUBLISHING PROGRAM

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History. This is the first publication of USAR Pamphlet 25-2. It revises material previously published in Chapters 1 through 4, USARC Pamphlet 25-1, Information Manager's Handbook, dated 1 February 1997.

Summary. This pamphlet delineates administrative procedures for managing the Army Reserve official records, correspondence, office symbols, Management Information Control System (MICS), Freedom of Information Act (FOIA), Privacy Act of 1974 (PA), publishing and printing, and official mail programs.

Applicability. This pamphlet applies to Army Reserve commands and agencies under the jurisdiction of the Chief, Army Reserve.

Proponent and exception authority. The proponent of this pamphlet is the HQ, USAR, G-2/6, Information Management Office (IMO). The proponent has the authority to approve exceptions to this pamphlet that are consistent with controlling law and regulation. Proponents may delegate this approval authority, in writing, to a division or office chief under their supervision within the proponent agency.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to IMO (AFRC-CIS-I), 1401 Deshler Street SW, Fort McPherson, GA 30330-2000.

Distribution: A link to this pamphlet and other Command publications is at the USAR Intranet website at <https://usarcintra/> and the Army Reserve Component portion of the Army Knowledge Online (AKO) website. Local reproduction is authorized. It is intended for command level B.

*This pamphlet supersedes Chapters 1 through 4 of USARC Pam 25-1, dated 1 February 1997

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Glossary

Chapter 1 Introduction

1-1. Purpose

This pamphlet describes the processes and procedures necessary to carry out the pertinent policies established in AR 25-1, Army Knowledge Management and Information Technology Management, and AR 25-30, The Army Publishing Program. It provides information on the preservation and disposition of Army Reserve records in accordance with the Army Records Information Management System (ARIMS), explains procedures for the handling of requests for records under the Freedom of Information Act (FOIA), protecting Privacy Act (PA) records, managing Army correspondence, managing official mail, composing office symbols, processing requests to subordinate commands for recurring information, publishing and distributing command administrative publications, and administrative controls required in the management of the copier and printing programs.

1-2. References

Required and related publications, prescribed and related forms, and record numbers, are listed at appendix A.

1-3. Explanation of abbreviations and terms

Abbreviations and terms used in this regulation are explained in the glossary.

1-4. General guideline for proponents

Individuals responsible for the management and execution of the programs identified in this pamphlet, should become thoroughly familiar with this pamphlet and other publications listed in appendix A, section I, Required Publications.

Chapter 2 Administrative Service Support Programs

2-1. Records management major subprograms and collateral responsibilities

Administrative service support includes the following major subprograms of Records Management and ARIMS; official mail and distribution management; correspondence management; FOIA program management; PA program management; Management Information Control System (MICS); vital records; terminology, abbreviations and brevity code management; records management training; and records management inspections.

a. Official mail. The host activity operates a consolidated mail center for all tenant activities and units located at the Army Reserve Center Complexes and facilities.

b. Regional records holding area (RHA). The host activity **can not** establish an RHA unless an exception has been approved by the USAR records administrator, AFRC-CIS-I, Headquarters USARC. Major subordinate commands and their subordinate units transfer hardcopy records with a "T" code disposition (over 6 years retention period) to the Army Reserve History Office or the Washington National Records Center (WNRC). Electronic "T" records are transferred to the Army Electronic Archives (AEA) using the ARIMS Electronic Capture and Store (ECS) computer program. See paragraphs 3-4, 3-9, 3-10 and 3-16 of this regulation for additional guidance.

2-2. Publishing and printing support

Publishing and printing includes self-service copiers, printing and duplicating services, formatting and editing of command publications, designing forms and electronic/printed distribution media. Types of support available to Regional Readiness Sustainment Commands (RRSCs) are listed below. Some of these services may be provided to tenants and off-post customers by Major Subordinate Commands (MSCs) (See chapter 7 for more printing and publishing information.) The MSC printing control officer (PCO) reviews and approves all printing procured from Document Automation & Production Service (DAPS), Government Printing Office (GPO) and other Federal Government printing facilities. The PCO coordinates with the pertinent resource manager for certification of funds needed to satisfy printing requirements.

a. Copier support. The host activity should provide common user copier support to Army Reserve tenants based on the availability of funds. As a minimum, one copier is assigned to each Reserve Center. The total number of copiers to support a particular location is determined by the mission of the units being supported coupled with the availability of funds. Multifunctional networked copiers should be a consideration because they may reduce the

dependence on inefficient stand alone laser printers and are conducive to increased productivity. The host activity may negotiate a single vendor, cost-per-copy contract to service the RRSC.

b. Printing/duplication. The host activity 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 activity should be on a reimbursable basis. Tenants may seek printing services directly from the DAPS or GPO if authorized by their higher headquarters PCO.

c. Publications and blank form stockroom services. The host activity should not establish a centralized publications and blank forms stockroom to store higher echelon publications and blank forms, but should ensure Army Reserve units establish publications accounts with pertinent DA organizations. Military and DA civilian personnel may now access higher echelon websites through the Army Knowledge Online (AKO) and download needed publications.

d. Publishing command administrative publications. An essential element of the publishing program is to ensure that command policies and procedures are coordinated with organizational elements that are affected by or have an interest in them. The staff agency responsible for the Publishing Program at the major subordinate command level must ensure the coordination phase of the publication is documented. For this purpose, use USAR Form 9-R, Staff Coordination, Approval and Routing Sheet (SCARS), and keep it in Record Number 25-30ff, Publishing office background files. This form is automated and designed for use Army Reserve-wide as a tool to transmit and/or coordinate important issues between staff agencies and their command groups.

e. Electronic distribution media. In support of the Secretary of the Army's Less Paper Policy, commanders must encourage using electronic distribution to the utmost. Distributing paper copies must be limited to those organizations lacking the means to access electronic media.

2-3. Administrative service support programs responsibilities

The RRSC Information Management (IM) officers -

a. Provides host activity support to all tenants on a fair and equitable basis. Any support above and beyond the established Base Operation Support (BASOPS) baseline is based on availability of funding (e.g., requirement to have a unit-dedicated copier not used by other tenants). When funding is not available, tenants may be required to provide funding for specific services and/or support based on coordination with the host activity. The senior commander's unit administrator normally manages the day-to-day administrative functions of the Reserve Center Complexes.

b. Provides administrative support for base operations to tenants.

c. Programs, budgets, and funds for all administrative BASOPS support functions.

d. Provides mission-unique support on a reimbursable basis. Mission-unique support refers to support services, supplies, and equipment not normally provided by the host activity to its tenants.

e. Requires tenant organizations, when there is a command-wide shortage of funds, to reimburse the host activity for certain common services normally provided.

f. Considers geographical accessibility to off-post customers and takes into account the availability of services when determining the best source of support for Army Reserve units.

2-4. Managing of copiers and duplicating equipment

a. Commanders of deploying units ensure that office copiers assigned to their home station are left in place. The copying/reproduction support for the deployed unit is the responsibility of the mobilization station. This restriction does not apply to tactical copying equipment authorized by the deploying unit's MTOE. The RRSC copier manager may supplement higher headquarters policy guidance to incorporate RRSC-unique requirements in the administration of its copier program. A copy of supplemental guidance is sent to HQ, USARC Document Management/Postal Branch (AFRC-CIS-I).

b. When transferring or if inactivating an organization, the transfer of copiers and duplicating equipment must be coordinated through the chain of command to the supporting RRSC Information Management Office (IMO).

c. If the center is to remain open, leave all copiers at the center for use by other units. Exceptions must be approved or directed by this HQs, USARC, Document Management/Postal Branch (AFRC-CIS-I).

d. If the unit is inactivating and the center closes, the copiers and other information management (IM) equipment listed on the organizational property book reverts to the unit's BASOPS supporting host activity. If an entire MSC inactivates, the Document Management/Postal Branch (AFRC-CIS-I), determines disposition of non-tactical IM equipment.

e. If the unit is transferring, copiers listed on the unit's organizational property book are transferred with the unit. Once the unit has transferred, the gaining command assumes accountability for the property.

f. The losing RRSC identifies any deficiencies caused by the transfer of the organization. Identify significant deficiencies to G-2/6 for inclusion in their information technology investment strategy.

Chapter 3

Records Management Programs and Files Management

Section I

Records Management Programs

3-1. Concept

Records management includes: Official mail; FOIA; PA; ARIMS; correspondence management; rule making; terminology, abbreviations, and brevity code management; office symbols; MICS; vital records; records management training; and records management program evaluations (inspections). The disciplines of records management, and publishing and printing are central to the operation of the entire command. Together, these disciplines form the basis for the organization's administrative programs.

3-2. Records management programs responsibilities

a. The USAR G-2/6 IMO -

(1) Designates a primary and alternate USAR Records Administrator to administer the Command Records Management Program outlined in AR 25-1, chapter 8.

(2) Designates a Records Manager to supervise the Records Management Program within the Headquarters.

b. Each subordinate IMO -

(1) Designates a records manager (and an alternate) to administer their records management program.

(2) Furnishes the name, office symbol, and telephone number of the primary and alternate records manager to the IM official of the next higher headquarters. This Requirement Control Symbol (RCS) is exempt IAW AR 335-15, paragraph 5-2h.

c. Records managers. Record managers oversee the accomplishment of the records management disciplines listed in paragraph 8-5, AR 25-1. A primary and alternate program manager are assigned to each discipline. Whenever possible no individual should be assigned primary or alternate program manager for more than two disciplines, thus dividing the work, and sharing knowledge and skills to support the command. For the same reason, personnel should be cross-trained. These individuals should be assigned in appointment memoranda as Official Mail Manager, FOIA officer, PA official, correspondence officer, and Management Information Control Officer (MICO).

d. Records coordinators. Each headquarters' staff agency must designate in writing, personnel as Records Coordinators to oversee functions listed in para 3-2c of this pamphlet. These designations are filed under records number 25-1d.

e. Appointment copies. **Copies of above appointments are filed in ARIMS Record Number 25-1d, Information Manager Designations/Appointments.**

3-3. Duties of the records administrator/manager

a. Serves as staff officers for records management program matters for their commanders.

b. Directs the records management program and its major subprograms.

c. Conducts program evaluations of the entire records management program within their headquarters and MSCs at least every 3 years. Monitors corrective actions on deficiencies noted. Program evaluations cover all programs outlined in AR 25-1, chapters 8 and 9.

d. Ensures records management training is provided for headquarters personnel and subordinate unit records management personnel. Use of USAR Form 145-R, Training Course Critique, will allow feedback on training provided throughout headquarters and subordinates. Maintain a copy of this form, plan of instruction, handouts, sign-in sheets, etc., in ARIMS Record Number 25, General Information Management Correspondence Files. Sub-titles of class name can be used also.

e. Collects and consolidates records from subordinate Army Reserve units for transfer to the AEA, to the Office of Army Reserve History (AFRC-MH), or WNRC.

f. Ensures records of Army Reserve units undergoing change of status are disposed of properly.

g. Advises staff and automated system development personnel on the requirement for records management functions. Ensures that records management requirements are included in the development or acquisition of automated information systems.

3-4. Duties of records coordinators

Staff sections and offices designate records coordinator to perform records management duties as indicated in AR 25-1, paragraph 8-2g(8).

3-5. Electronic records

Federal agencies are required by law to retain accurate records. Section 552(f), title 5 United States Code (5 USC 552f) defines as records, all mission-related media regardless the medium used to record it. Electronic records require the same levels of protection as any other media.

a. Since all Army records are subject to the provisions of the FOIA and PAs, failing to preserve official business e-mail records significantly increases your legal liabilities. All Army Reserve personnel to include, contract personnel must abide by the provisions set forth below.

(1) E-mail is a form of correspondence without a prescribed format. The authority to task subordinates rests solely with those delegated signature authority in accordance with AR 25-50, paragraph 6-2.

(2) Like a form of closed telephony, e-mail may be used to discuss For Official Use Only (FOUO) matter such as private information. Open circuit telephony, whether in the form of cellular telephones or a network other than the USARC-wide network or Intranet, must not be used for FOUO information. An additional precaution is required when using e-mail to transmit private information. Begin the title or subject line with "***FOUO**."

(3) Tasking and requests for administrative information sent by e-mail must adhere to the same standards that apply to such actions sent by hard copy correspondence. Access to e-mail does not automatically grant signature authority for tasking or requests for information to any official who has not already been delegated such authority by the commander. The provisions of AR 335-15 also apply to e-mailed requests for administrative information. Such requests must be for approved reporting requirements, and must reflect an RCS or exemption statement.

(4) Apply the same decision-making process to an e-mail communication that would apply to a communication created on paper when determining whether it relates to the mission. Retention requirements and disposition timeframes for mission-related e-mail communications are identical to those for paper records that relate to the mission. Treat both incoming and outgoing mission-related e-mail the same as a hard copy official correspondence.

b. *Reviewing e-mail messages.*

(1) All personnel who have an e-mail account review their incoming e-mail messages at least once each workday and determine if those messages are related or document their business process.

(2) Mission-related messages are messages that document the performance of the mission, i.e., documents that provide evidence of the organization, functions, policies, decisions, procedures, and operations of the organization.

c. Mission-related e-mail, including header information, whether sent or received, constitutes official records that must be stored under ARIMS.

d. *Preserving mission-related e-mail.*

(1) Records should be maintained electronically when possible.

(2) ARIMS allows the transfer of long-term e-mail and other electronic records (over 6 years retention and permanent ("**T**" for transfer)) to the AEA through the ECS computer program. Personnel transferring long-term and permanent electronic records, must have ECS loaded on their computers. The originator of the long-term e-mail transmits the message to the AEA at the time it is sent to the addressee(s), or send it to the pertinent records coordinator for further transmission to the AEA. These records need to be identified on the Office Record List (ORL), so that other personnel with a need to know may retrieve them if needed.

(3) Short-term e-mail (up to 6 years duration ("**K**" for keep)) is filed in the appropriate record numbers either in hard copy or electronically. Electronic records may be stored in a special shared drive designated for the respective section or office and listed accordingly on the ORL, thereby allowing their access to other personnel when required.

(4) The originator of an e-mail message is the action officer responsible to file the official "record" copy of mission-related messages. Addressees receiving mission-related e-mail for information only are not required to keep under ARIMS. If the receiver uses the e-mail message to support a position or some action taken, then the receiver must also maintain it as prescribed by ARIMS with related records.

e. Disposition of non-mission related e-mail messages. Delete non-record items such as retirement luncheons and other clearly unofficial communications as soon as possible to avoid overburdening the network.

f. Electronic mail containing information subject to the PA is processed in accordance with paragraph 4-20, this pamphlet.

Section II

Files Management

3-6. General

All official Army records, whether recorded on paper, microfiche, photocopy or electronic media, are maintained in accordance with the recordkeeping policies and procedures described in AR 25-400-2.

a. Army Regulation 25-400-2 sets policy and procedures for Army recordkeeping. A record copy must be filed 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. It addresses only the record copy of information. The provisions of AR 25-400-2 must be adhered to when creating, maintaining, and disposing of Army records.

b. The principles of ARIMS apply regardless of medium (paper, disk, photograph, and etc.).

c. The AEA provided by ARIMS is the only electronic archiving system that is used USAR-wide. Only T (long-term/permanent) records are archived in AEA. The former archiving electronic system used by the USAR named Reserve Information Management System (RIMS) is no longer authorized.

3-7. Office records lists (ORLs)

a. Office records lists are used throughout the Army Reserve and is an item of inspection during Records Management inspections. Records managers at all levels approve and ensure that ORLs are kept current. See paragraph 5-10, AR 25-400-2, for guidance on the preparation and use of ORL and Table 5-1 for its format.

b. Directorate or office designated records coordinator collects ORLs from all offices in that staff activity and forward a copy to the headquarters records manager's office for review and approval. The records manager keeps a copy of the list in the appropriate staff agency's Information Management Surveys folder, Record No. 25-1g.

c. All MSC records managers must provide a copy of MSC headquarters approved ORLs to the USAR IMO (AFRC-CIS-I).

d. The ORLs are filed under ARIMS Housekeeping Record Number "1a," Office Records List.

3-8. File labels

All folders and containers used to store official records, both in hard copy and electronic form, are properly labeled. Chapter 6, AR 25-400-2, provides labeling procedures. See figure 6-1 to develop labels for folders or containers that store official records.

3-9. Transfer of hardcopy and electronic long-term/permanent unit records (T records)

Annually, the USARC Records Administrator's office provides a list of T records (long-term and permanent) that the MSC records managers have responsibility for their transfer to the AEA, USAR History Office, or WNRC, as appropriate. Each records manager periodically collects inactive hardcopy T records for submission to the appropriate location. Concurrently with the completion of an electronic T record, the action officer should transmit the T record to the records manager.

a. Current DA Form 1379s (US Army Reserve Components Unit Record of Reserve Training) are automatically placed into the Personnel Electronic Records Management System (PERMS) database at the US Army Human Resources Command (formerly AR-PERSCOM). These records were kept under file number (FN) 140-185a, Reserve Unit Attendance Records Set Files. The US Army Human Resources Command no longer accepts DA Forms 1379 unless the following applies:

(1) The forms are dated prior to 1 January 1993.

(2) The forms are prepared by reinforcement training units. They should be forwarded to the US Army Human Resources Command monthly.

b. Records transferred to the Washington National Records Center (WNRC) are:

(1) 600-8-105a1 Personnel-type Orders - Approving or Issuing Authority (Disposition T56)

(2) 600-8-105b Permanent Orders Background Files (Disposition T25)

(3) 600-8-105c Permanent Order Record Sets (Disposition TP)

- (4) 600-8-22b1 Military Award Cases - Approval and disapproval authority:
Approved awards relating to wartime and combat activities (Disposition TEP)
- (5) 600-8-22b2 Military Award Cases - Approval and disapproval authority:
Approved peacetime awards and all disapproved awards (Disposition T25)

c. Prior to shipping the records to WNRC, forward an original and one copy of the SF 135, Records Transmittal and Receipt, to the Washington National Records Center, Washington, DC 20409-0002. Advanced receipt of the SF 135 is required in order to enable the WNRC to allocate storage space for the shipment. Acceptance of the shipment by WNRC usually takes approximately 30 days. Mail one copy of the finalized SF 135 covering records transferred to WNRC to: US Army Records Management and Declassification Agency (AHRC-PDD-R), 7701 Telegraph Road, Alexandria, VA 22315-3860.

d. Ship T hard copy records in the standard Federal Records Center (FRC) box. Mark the outside of the box to show the box number and the accession number provided by WNRC.

Always include a copy of the approved SF 135 in box number one of the shipment. If the records do not arrive at WNRC within 90 days of their approval, they may reassign the storage space to another entity.

3-10. Retiring historically significant records

a. The Office of Army Reserve History collects historically significant records to serve as the corporate memory of the Army Reserve. Annually records managers at the MSC level must forward records documenting Army Reserve historically significant events to the Office of Army Reserve History (AFRC-MH). Prior to shipping these records to the Office of Army Reserve Historian, mail two copies of the completed SF 135 to the USAR Records Administrator's office (AFRC-CIS-I) for review and approval. If approved, the MSC is given pertinent shipping instructions.

b. The records numbers listed below are for historically significant records:

<u>RECORDS NUMBER</u>	<u>RECORDS TITLE</u>	<u>DISPOSITION</u>
10-5a2	Organization plans - offices other than office responsible for intra-Army review, comment, or contribution of information.	TP
25-1pp1	Graphic media - original graphic art master materials.	TP
25-30mm	Publication record sets - HQDA, CofS, HQDA staff agency, major command, and sub-command.	TP
220-1a1	Readiness reports - office having Army-wide responsibility.	TP
350-1d1	Training operations - office having Army-wide responsibility: offices of major and subordinate command headquarters conducting the maneuver or exercise, or planning the training operation or program.	TEP
350-1f1	Training reports-office having Army-wide responsibility	TP
525a1	Command Reports - office with Army-wide staff responsibility and units in a combat environment or designated as combat support elements.	TP
525n1	Operations Planning Files - Office responsible for preparation of plan	TEP
525p1	Operating Procedures Files - Office responsible for preparation	TEP
870-5a	MTOE Organizational History Files	TP
870-5b	Installation historical files	TP
870-5c1	Annual historical summaries - Summaries and directly related unique background material	TP
870-5c2	Annual Historical Summaries - other records	T10
870-5d	Historian background material files	TEP
870-5f1	Historical Program Progress Reports - office, having Army-wide responsibility	TP
870-5f2	Historical program progress reports - historical Agencies	T10
870-5g1	Personal papers	TE

c. Not all of the above record numbers are created or maintained at every activity. Units below the MSC level could have records documenting operations while in deployed missions. See paragraph 3-10, this pamphlet. These records must be forwarded to the Office of the Army Reserve History. The Adjutant General's Quick Reference Guide identifies the operational "T records" for deployed units. This guide can be downloaded by accessing the

Records Management and Declassification Agency (RMDA) website (www.rmda.belvoir.army.mil), under "What's New."

d. 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 retiring these records.

e. The Office of Army Reserve History reviews the records and makes copies of historically significant documents for the USAR Historical Research Collection. After the review is completed, the USAR Records Administrator forwards the records to the RHA, Fort Gillem, GA. When the RHA accepts the records, the USAR Records Administrator provides records officials with a copy of the approved SF 135 showing the accession numbers for the boxes containing the command's records.

3-11. Special recordkeeping requirements for relief efforts or other operations

Headquarters, USARC Records Administrator periodically disseminates special record keeping requirements for relief efforts or other operations. Pay particular attention to the disposition instructions provided, as relief effort records often deviate from the disposition published in ARIMS. Disseminate these special recordkeeping instructions to all activities involved in these special operations. Commanders of units engaged in special operations must ensure that appropriate records documenting the operation are maintained, preserved and/or disposed of IAW ARIMS or as directed by the RMDA. See AR 25-400-2, paragraph 1-7f.

3-12. Contractor Records

The provisions of AR 25-400-2 are also applicable to official records created by contractor personnel working for this Command. An appropriate clause is included in the Statement of Work to ensure compliance with ARIMS. See paragraph 2-3, AR 25-400-2, for further guidance.

3-13. Records Cross-Reference

The DA Form 1613-R, Records Cross Reference, was rescinded per AR 25-400-2, 18 Mar 03 version. However, to help action officers find documents not stored in the main filing cabinet, use DD Form 2861, cross-reference or recommend a short memorandum for record stating the location of documents be placed in the main record cabinet, in a properly labeled folder.

3-14. Records procedures for activities affected by status change

Properly dispose of records belonging to a US Army Reserve 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 assists records managers in the orderly transfer, retirement, or disposal of records:

a. *Re-designation or reorganization.* On re-designation 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 records to the designated RHA.

c. *Discontinuance.*

(1) For discontinued organizations with a transfer of function, comply with paragraph 3-9d, above.

(2) For discontinuance of an Army Reserve organization below MSC level without a transfer of function, transfer records not qualified for immediate disposal to the designated RHA.

(3) For discontinuance of an MSC, transfer all records not qualified for immediate disposal to the designated RHA. Attach a copy of the inactivating order to the SF 135. Send a copy of all SF 135s to the USARC Records Administrator.

d. *Movement.*

(1) Movement of CONUS units preparing for overseas movement. Immediately before overseas movement, destroy records eligible for destruction; prepare and ship with the unit current records, and transfer to the RHA other records not needed for future operations.

(2) Movement of organizations in CONUS. If the movement is without personnel, transfer all records to the losing RHA. When the unit has been staffed at the new location, obtain records that are essential to the operation of the unit from the losing RHA.

(3) Movement with personnel and equipment. The records eligible for immediate disposal are destroyed, and active records go with the unit.

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

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

(2) Destroy records eligible for immediate disposal.

(3) Transfer all other records to the MSC Records Manager. The MSC Records Manager makes final disposition in accordance with ARIMS and guidance from the USAR Records Administrator.

3-15. Records management procedures for Army Reserve activities migrating to the Army National Guard (ARNG)

The gaining organization must provide a copy of all SF 135s that show records transferred or retired to records management officials of the gaining 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 records that have little or no reference value, but are not eligible for destruction to the next higher headquarters Records Manager/Administrator.

b. The MSC Migration. Destroy records eligible for destruction. Transfer the current records to the gaining organization. Transfer inactive records that have little or no reference value, but are not eligible for destruction, to the next higher HQ, or the USAR (AFRC-CIS-I). Contact the USAR Records Administrator prior to shipping records and provide the latter a copy of the SF 135s listing records transferred to the Army National Guard.

3-16. Records transfer

The AR 25-400-2 provides detailed guidance for records transfer to RHA and the AEA. Army Reserve Records Administrator provide additional guidance for USAR activities:

a. The SF 135 and SF 135A are the transmittal and tracking documents for records sent to the RHA. The office transferring the records prepares the SF 135 and SF 135A. Keep a copy in a suspense file until the comeback copy has been received from the RHA.

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 an FRC.

The originating office RMO, RHA manager, and higher headquarters retain copies of the SF 135 during the life cycle of the records, in the event there is a need to recall them.

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

d. Preparing records for transfer.

(1) The office which created the records being transferred is responsible for organizing, packing, receipting (using SF 135), and sending the records to the Office of Army Reserve History (AFRC-MH) or WNRC. The creating office remains the legal custodian of transferred records and maintains the comeback copy of the SF 135 to facilitate recall of the records.

(2) All MSC records managers assist record-creating offices to correctly process their records for transfer. The records manager consolidates records transfers from the different record-creating offices in their organization and sign SF 135 in block 2.

3-17. Preparing SF 135, Records Transmittal and Receipt and SF 135A, Continuation Sheet

a. To complete the form, follow the instructions on the back of the form.

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 management official of the next higher headquarters.

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

e. For the historical records being sent through the Office of Army Reserve History, state "through Office of Army Reserve History (AFRC-MH)" in Block 5.

f. For transferring permanent records, list the title of each folder in the shipment in item 6f.

g. Procedures for distributing completed SF 135 and SF 135A.

(1) Transferring records under circumstances other than discontinuance of an organization. When records are transferred to an RHA, the originating office must place an original and one copy in the first box of a records shipment and keep one copy for its files. The RHA maintains one copy and return the other to the originator, with location information entered, as acknowledgment of receipt. The originating office keeps this comeback copy and discards the suspense copy.

(2) Transferring records on discontinuance of an organization. Distribute copies as above and send one additional copy to the records manager of the creating organization's next higher headquarters.

h. Records managers coordinate the transfer of T records with the appropriate RHA.

i. The servicing RHA and the AEA are the activities that execute the retention and disposition to T records. Records accessioned into a NARA Records Center Facility (NRCF) remain Army property and the originator of the records must know their location. Records managers must furnish a copy of the SF 135 received from the RHA showing the accession number issued by NRCF to the office that created the records. If the office of origin no longer exists, the organization's next higher headquarters' records manager official keep the SF 135.

j. 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 transferred to the losing RHA.

k. For the transfer of T classified records, see paragraph 9-5, AR 25-400-2. TOP SECRET records are not retired until they have been downgraded to a lower classification. Electronic records classified CONFIDENTIAL and SECRET can be transferred to the AEA as attachments to email, provided the computer used for this purpose is equipped with the electronic capture and store (ECS), and approved for the processing of classified material. Prior coordination with the Security Manager is required.

Chapter 4

Handling, Safeguarding and Releasing Official Army Reserve Records

Section I

Freedom of Information Act (FOIA)

4-1. FOIA responsibilities

a. The USARC Headquarters and MSCs -

(1) Evaluate all requests for copies of records under the provisions of the FOIA, even if the FOIA is not cited in the request.

(2) All FOIA officials respond to written requests for Army records from individuals and record calls from other Federal offices promptly, and in no event in more than 20 business days. The FOIA pertains to the release from Federal custody of records. The transfer of a record between Federal agencies involves no release and does not come under the FOIA. If the requester states that the records sought are needed for a formal hearing or legal process, the law requires response in not more than 10 working days. Officials unable to meet this time line must contact the next higher-ranking FOIA official in their chain of command and notify the requester by civilian letter of referral to higher authorities.

(3) Do not deny requests for copies of records. Commanders must forward the requests and recommendations for denial (see figure 4-8, sample format of memo/letter for request to be denied in whole or in part) to the Initial Denial Authority (IDA) at Department of the Army level as outlined in AR 25-55, paragraph 5-104.

(4) Ensure that all FOIA requests received at USAR subordinate commands (not reporting directly to HQ, USARC) are forwarded (together with a copy of the requested record if available) to the parent USARC MSC immediately upon receipt of the request and that a letter is sent advising the requester as to which headquarters the request has been forwarded for processing.

b. If the record requested does not exist, the USARC Headquarters and its MSC FOIA officials do the following:

(1) Notify the requester only that the request was referred to the IDA at [address of the IDA] - not that the record does not exist, because law considers a response of no records a form of denial, which must be issued by the IDA.

(2) Forward the request and a certification that a search was conducted and the record not found to the IDA who notifies the requester.

c. In accordance with paragraph 4-1a(2), the MSC FOIA Officer telephonically advises the HQ, USAR FOIA Officer, at (404) 464-9359, immediately when it becomes apparent that a response cannot be made to a FOIA request in the time allowed by law.

4-2. Definition of a FOIA request

a. The FOIA is a Federal law (5 USC 552) implemented by DOD Regulation 5400.7-R, and AR 25-55. 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 using the PA. Such requests may be verbal. Here too, the requester need not cite the PA for the relevant law to apply.

d. Only fugitives from justice have no rights under FOIA.

e. Processing under the FOIA may be direct, regardless of relations of command and control. Officials working on FOIA responses may consult with any IDA, FOIA official, or federal lawyer, for assistance. Channeling requests or responses other than directly is contrary to FOIA guidelines.

4-3. 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 that records released under the FOIA have third party personal information deleted.

b. *Privacy Act Records.* The PA protects records retrieved by the name of a person or any other personal identifier. Process requests for personal records under the PA when the request is from the person whose record it is, and under the FOIA when requested from someone else. Unless a FOIA request includes a release consent statement bearing the notarized signature of the record subject, a personal record is referred to the IDA as exempt from mandatory disclosure under FOIA Exemption 6.

c. The PA provides that the first copy of a record is provided at no charge (see para 4-9d).

d. A request for private records from a lawyer representing that individual is processed under the PA if accompanied by a release consent statement that includes identification of the requester as the legal representative of the record subject client. Since this is a PA request, no willingness to pay statement or USAR Form 66-R, Freedom of Information Act Willingness to Pay Statement, is required as there is no charge. The same request from an opposing attorney must be accompanied by a willingness to pay statement as well as a release consent statement IAW paragraph 4-3c.

4-4. Records covered by FOIA

a. At the time of the FOIA request, only existing records under command's control are subject to the FOIA. 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 GPO and private sector bookstores.

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

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

4-5. 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 referred to the custodian of the record for processing (see figure 4-7 at the end of this chapter).

b. Forward the record to the proponent/custodian with a copy of the FOIA request and ask them to make a releasable determination and reply directly to the requester (see figure 4-2).

c. For documents created by private companies, give notice to the document originator, and allow the company the opportunity to provide their consent to the release of the document or justification for requesting that the document be referred to higher authority for consideration of denial (see paragraph 4-7).

4-6. No record responses

The FOIA requires the responding official to refer the response to a request for which responsive records cannot be found to the appropriate IDA. The law treats a "no records" response as a form of denial, and no authority less than 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. The FOIA officials who are not confident about how to process a referral to the IDA may transfer the request to the HQ, USAR FOIA Officer (see paras 4-11 and 4-16 below). However, before forwarding the request, the FOIA official must review paragraph 5-104, AR 25-55. The IDA requires a "No Records Certificate" (see figure 4-3) completed by the person who conducted the search.

4-7. The FOIA release and denial authorities

The FOIA requires the release of records that are not specifically exempt from release under one of the nine exemptions when requested in writing. However, records that are eligible to be withheld under one of the exemptions may be released to the public provided that 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, USAR. The FOIA exemptions are listed in paragraphs 3-200, AR 25-55.

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 official may call the IDA directly to obtain assistance in determining whether a certain exemption applies.

c. The FOIA officials who cannot reach the IDA should call the FOIA officials at HQ, USAR for assistance. See paragraph 4-16 for telephone numbers.

4-8. Review of request

The FOIA requires that certain criteria be met before the request obtains status under law and the time limit of 20 working days for processing the request is established. The request must:

a. Describe the documents being sought clearly 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.

c. Not be prepared or transmitted at Federal Government expense.

4-9. 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 any requests received to the FOIA Official.

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., 05-01 for the first FY 2005 request, 05-02 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 (figure 4-4).

d. Assign a suspense date of 20 working days from the date of receipt by the FOIA Official. The FOIA officials should not establish a suspense date until the conditions stated in paragraph 4-8 above have been met. A letter of acknowledgment with **optional paragraphs** to request clarification or a statement of willingness to pay is at figure 4-1.

e. The FOIA official prepares a separate folder to store the request, using ARIMS Record Number 25-55a1, FOIA requests, access, and denials - replies granting access, replies to requests for nonexistent records, or replies to those failing to pay fees. If the record is forwarded to another command for direct response, the record is filed under ARIMS Record Number 25-55j, FOIA Acknowledgement.

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 Freedom Of Information (FOI) Processing Cost for Technical Data, for other

than paper documents. Blank DD forms used in FOIA processing are in the back of DOD Regulation 5400.7-R and in most computer forms libraries. The USAR FOIA Official also distributes 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, (RCS: DD-PA(A) 1365) (see para 4-15).

g. Immediately start a chronology or log (figure 4-4) 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 when receiving questions about any actions taken, especially if the requester files a lawsuit against the Army.

4-10. Acknowledgment of request

Immediately acknowledge receipt of the request in writing (see figure 4-1). Since a number of situations can commonly pertain when a request arrives, several optional paragraphs are provided. If possible, the FOIA official should release the requested documents at the same time that the receipt of the request is acknowledged. For example, the FOIA official receives a request for the organizational 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. The FOIA officials must **always** include the following in their acknowledgment (see figure 4-1):

(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 20 working days later) or use "we will respond in the time specified by law" (figure 4-1). 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 20 working day response time until the request meets the provisions of paragraph 4-7.

b. Include the following optional paragraphs (figure 4-1) *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) Forward requests for records belonging to another command to the owning command. Inform the requester of the address where his request was referred.

(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 additional information.

4-11. Processing a request

a. *Requesting Responsive Records.* If the FOIA official did not release the documents with the acknowledgment letter, determine which offices (HQ or subordinate commands) have the requested records. Send an email or memo requesting responsive records to all offices that may have records (figure 4-6). If not e-mailed or faxed, hand-carry a memo to save time. If faxed, alert the intended recipient to stay by the fax receiver so that the FOUO record call is not mischanneled.

b. *Evaluating documents against FOIA exemptions.* The USARC policy is to release as much as possible at the lowest level. 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. FOIA officials 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:

(1) Exemption 1 - Classified matter.

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

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

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

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

c. *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, private business enterprise, or any individual (see paragraph 4-7, above).

d. *Forwarding documents to the IDA.*

(1) 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. A sample memo/letter for referring requests to the IDA is at figure 4-8 and the optional paragraph in figure 4-1 appries 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 the FOIA official forwards a request to the IDA, annotate the FOIA log (see sample format at figure 4-5) to reflect that the case is closed by placing "INACTIVE" on the file label, and store the folder under ARIMS Record Number 25-55a1, FOIA requests, access, and denials - replies granting access, replies to requests for nonexistent record, or replies to those failing to pay fees. Army Regulation 25-400-2 requires the retention of FOIA case files that have not become the subject of litigation for 2 years. Since adequate records allow legal challenges to be deterred or overcome, it is important to properly maintain and store these records.

(2) *Required coordination.* Before forwarding a FOIA request to an IDA for action, records custodians obtain an opinion from their servicing Staff Judge Advocate concerning releasing the requested records. A copy of that legal review, the original FOIA request, two copies of the requested information (with one copy clearly indicating which portions are recommended for withholding, which FOIA exemptions support such withholding and which portions, if any, have already been released), a copy of the interim response acknowledging receipt and notifying the requester of the referral to an IDA, and a cover memorandum containing a telephone POC is forwarded to the IDA with the command's recommendation to deny a request in whole or in part.

e. *Excising information that to release would be an unwarranted invasion of privacy.*

(1) Rather than refer a record to an IDA because the record contains a small amount of private information relating to someone other than the requester, the FOIA official is authorized to remove clearly private information and release the rest of the record. The identification by name of individuals in their official capacities is not a violation of their privacy and unless a witness in a report of investigation was promised confidentiality, names are not, by themselves, considered private information. Clearly private information pertains to a named individual, his or her 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 accompanying the forwarded records to the requester should inform the requester that private information concerning others has been removed to protect the individuals from an unwarranted invasion of their privacy. Also, notify the requesters of their right to appeal the removal of private information. Should a requester so object the FOIA official must refer their objection to the appropriate IDA (optional paragraph in figure 4-1). 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.

(4) A sample paragraph to use when all requested documents/records are releasable is at figure 4-1.

(5) Use the sample at figure 4-1 to make a partial release of documents and to send documents to the IDA.

4-12. Extensions to response time limits

There are two types of extensions: informal and formal.

a. *Informal extension.* The law assumes that unless the request is urgent (see paragraph 4-1a(2) this reg) an agency should be able to respond to FOIA requests within 20 working days. After 20 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 20 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 (see sample memo/letter at figure 4-7). No more 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 objects in writing, 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 20 working days can be requested (AR 25-55, para 5-205b).

c. Whenever it appears the FOIA official will not meet the 20 working day suspense and cannot negotiate an informal extension, e-mail or call the Army Reserve FOIA Officer at (404) 464-9359 or 1-800-359-8483, ext. 464-9359 or the FOIA coordinator, (404) 464-9362 or 1-800-359-8483, ext. 464-9362.

4-13. Fees for processing FOIA requests

a. Fees for the different categories of FOIA requesters.

(1) Charge educational and other 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) For news media that state the intention and have the ability to disseminate information concerning operations in the Army to wider public, waive all charges.

b. Fee Guidance (see 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.

4-14. Coordination with SJA

Coordination with an SJA for a written legal opinion is required for any release and as a part of any FOIA request referred to the IDA (para 5-104, AR 25-55), but it is a good policy to coordinate all FOIA correspondence other than routine record calls and acknowledgments with the SJA. Even though the FOIA official should be the expert on the provisions of the FOIA, the SJA can keep FOIA officials 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, the FOIA officer is acting in behalf of the commander. If the situation is urgent and the servicing SJA is unavailable, contact FOIA officials at HQ, USARC for assistance (see para 4-16).

4-15. 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 4-9 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.

4-16. Headquarters, USAR FOIA officials

Headquarters, USAR FOIA and SJA officials process numerous FOIA requests and are familiar with the provisions of the law. The FOIA officials should call 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 the FOIA official will not meet the 20 working day suspense or needs assistance on how to proceed. The FOIA officials should contact HQ, USAR FOIA officials as soon as a problem is encountered. HQ, USAR FOIA Officials:

a. USAR FOIA Officer, (404) 464-9359 or 1-800-359-8483, ext. 464-9359.

b. Chief, Document Management Branch, (404) 464-9369 or 1-800-359-8483, ext. 9369.

c. SJA FOIA Specialist, (404) 464-8050 or 1-800-359-8483, ext. 8050.

Section II

Privacy Act (PA)

4-17. Privacy Act of 1974

- a. The PA gives individuals the right to know what records the Federal Government is maintaining on them and the right to amend incorrect records. It also requires that documents containing personal information be protected from unauthorized disclosure.
- b. The HQ, USAR IMO and MSCs are required to appoint a Privacy Act Officer.
- c. The USAR and MSCs -
 - (1) Direct any PA guidance obtained from or issued by higher authority to unit level.
 - (2) Designate Privacy Act coordinators down to unit level. Privacy Act coordinators should not be lower in rank than Sergeant First Class nor have a security clearance less than SECRET. A waiver from the USARC Privacy Act Officer is required when the Privacy Act coordinator is of a lower rank
 - (3) Ensure Privacy Act coordinators-
 - (a) Represent their respective commanders in the area of PA compliance and enforcement and serve as the unit point of contact for all matters related to the PA.
 - (b) Acquire knowledge of the contents of AR 340-21, DA Pam 25-51, and related publications. These publications can be found at the Army Publishing Directorate (APD) web site at www.apd.army.mil.
 - (c) Comply with procedures in this chapter when handling PA matters.
- d. Application of the PA to non-paper media. The requirement to protect PA information applies to all media. Alternate media, such as e-mail and facsimile, may be used to transmit private information for official business only. The USARC and its MSCs must comply with the instructions when handling private information in non-paper media.
- e. Privacy Act information concerning oneself. The identity of the data subject is not a factor; the USARC and its MSCs must ensure that individuals never discard intact PA information concerning themselves in the trash or recycling bins because the identity of the party who discarded the document is unknown to PA officials and it is difficult to fix responsibility in a court of law.
- f. The USARC and its MSCs should use USARC Label 1-R, Personal In Nature, or DA Label 87, For Official Use Only (FOUO), to protect all correspondence not covered in AR 380-5, but which should be handled as confidential within the command (i.e., personal in nature information). Use USARC Label 1-R in accordance with instructions in paragraph 4-22.

4-18. Verbal requests

The PA (5 USC 552a) is implemented by DOD Directive 5400.11-R and AR 340-21. Unlike the FOIA, which requires written requests for records, 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 the record subject. 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, para 2-8). Refer any questions that may arise to PA officials in the HQ, USAR IMO (AFRC-CIS-I).

4-19. E-mail, Facsimile, and the PA

- a. The FOIA defines nine categories of information to be treated as sensitive and made accessible FOUO. To be allowed access, officials must need the information in order to perform their assigned duties. Protective measures, such as the use of cover sheets and avoiding insecure means of communication, are prescribed to prevent the disclosure of FOUO information.
- b. The most common basis for the FOUO designation in the Army is privacy. The Privacy Act (5 USC 552a) makes the unauthorized disclosure of private information a criminal act and it also protects private records and the information these contain.
- c. While classified information may be discussed only over specially designed or hardened terminals or phones, FOUO information may be discussed by telephone. However, the phone line must not be accessible to the public through an open radio link. Cellular phones are easily overheard and must not be used to discuss FOUO information. Regardless of the equipment used, to minimize exposure, keep FOUO information to a minimum.
- d. Both facsimile (FAX) and e-mail are applications of telephony that provide visual information. If the system is closed to the public, i.e., hard-wired, it can be used for FOUO information. This *excludes* the Internet.

However, the USARC-wide area network is considered a closed system and sufficiently secure to allow FOUO information. Facsimile is also considered safe for the FOUO level of sensitivity.

e. With fax and e-mail, always mark the material "FOUO" on the transmittal sheet or in the heading respectively (para 4-302, AR 25-55). Due to many workers sharing fax machines, always phone ahead to alert the intended recipient that you are preparing to send FOUO matter. Do not leave the fax equipment until you have retrieved the printed transmission report that pertains to the transmitted document.

f. Placement of USARC Label 3-R, For Official Use Only/Privacy Act (FOUO/PA) Requirements, on each fax machine throughout USARC is mandatory. The label, which is obtained through HQ, USARC forms supply channels, alerts fax users to measures for protecting FOUO information, to include private information. These include:

(1) Alerting the intended recipient when transmission will commence, and never leaving FOUO originals unattended.

(2) Not departing the fax machine without taking a confirmation that duplicates a portion of the original.

(3) Keeping originals and confirmation protected with a DA Label 87 or other appropriate protective cover sheet both before and after transmission.

4-20. Privacy Act violations

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

b. *Denial of Access.* Is the 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., paras 2-5 and 2-9). In questionable cases, Privacy Act officials 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 an unlawful disclosure. 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 such agents as if they were the data subject, and for this reason, are not levied charges, even though their interests are clearly commercial.

d. *Refusal to Amend.* 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, the PA official may refer the request to an AARA for resolution. Such action does not constitute a denial. For Reserve military members, the AARA is the Adjutant General (AR 340-21 para 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.* The Archivist of the United States must approve any government record containing private information. All records approved for keeping private information are assigned a PA Systems Notice Number. The Systems Notice Number is a part of the ARIMS entry for that record in AR 25-400-2. The PA Systems Notice must be included in the file label. Keeping unapproved records is a violation of AR 340-21.

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. Even though information already appears in the record, if intended for a purpose other than stated to the record subject, the information must be asked for again for the new purpose. To avoid the need to repeatedly ask for the information, have all members complete a USAR Form 121-R, which states a purpose broad enough for most uses.

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

4-21. Recordkeeping requirements

a. *Disclosure.* Record the release of information from a private record in an 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 a copy of the released record and keep this under ARIMS Record Number 1u, Office Privacy Disclosure Accounts..

b. Amendment. Make an MFR of the change and specify the substantiating documentation that prompted the correction and was presented by the requester. 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.

4-22. 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, Privacy Act Information for Desk Top).

c. Avoid collecting/keeping 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 near every phone.

e. Physical security. See AR 340-21, paragraph 4-4.

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

(2) Use "FOR OFFICIAL USE ONLY" (FOUO), DA Label 87, or "PERSONAL IN NATURE" (PIN), and/or USARC Label 1-R, protective coversheets on all private records whenever removed from the controlled area.

(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 each message.

(4) Limit access to controlled areas (Military Personnel Records Jackets (MPRJ)s; civilian personnel folders; 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 wastebaskets, 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) Secure computers prior to departing the immediate work area by either locking the workstation or logging off if departing for the day. Secure removable hard disk drives, CDs, and floppy disks containing privacy act information when not in use.

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

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

f. Lawful private information acquisition. 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 the Command Group and the Privacy Act official.

4-23. Requests for PA-supporting materials

Obtain forms or publications needed to implement the PA through normal publications supply channels.

4-24. PA-related assistance

Refer any questions that may arise to PA officials in the HQ, USAR IMO (AFRC-CIS-I).

Primary PA official, call (404) 464-9359 or 1-800-359-8483, ext 464-9359, or alternate PA official, (404) 464-9362 or 1-800-359-8483, ext. 464-9362.

4-25. USARC Personnel Sheet (USARC Form 121-R)

The USARC Personnel Sheet provides commanders and supervisors personal information concerning personnel assigned to this Headquarters, such as information required to up-date personnel and security rosters. It also serves as a Privacy Act consent form to publish personnel and alert rosters. Completion of the form is self-explanatory. File a copy of the completed form under ARIMS. Use ARIMS Record Number 1ii, Office military personnel files

for Soldiers and Record Number 1aa4, Office supervisory or manager employee records - current employees, for DA civilians.

Section III

Policy on the Release Outside of the Army Reserve of Executive Correspondence

4-26. Memorandum, AFRC-ESI-D, 12 May 05, subject as above.

a. The following fundamental change in policy governing the release of executive correspondence outside of Army Reserve channels was disseminated by the above memorandum which is available in the lower left column of the Commander's Corner. "Executive correspondence" is memoranda (including draft copies), e-mail correspondence, notes, slides, and publications issued by any general officer assigned to the Office of the Chief, Army Reserve (OCAR), and US Army Reserve Command (USARC). Executive correspondence is not released outside of Army Reserve channels unless specifically authorized by the originator or the appropriate FOIA official. This policy is incorporated into all applicable publications of Headquarters, US Army Reserve.

b. All executive correspondence is presumed to be FOUO as set forth in AR 25-55, Chapter IV. Executive correspondence is kept under a DA Label 87, For Official Use Only, a protective cover sheet. Upon distribution to authorized recipients, each copy of the executive correspondence is transmitted under this protective cover sheet. Additional cover sheets reading "executive correspondence" may be used for clarification; however, use of the latter alone will not remove the "do not disclose" status of the underlying document. The FOUO status of documents which might be provided to recipients outside of Army Reserve channels will only be terminated upon specific approval of the originating official, or if requested in writing, after a formal determination of releasability by the pertinent FOIA authority.

c. Again, whether bearing special markings or not, no Army Reserve employee or Soldier may release executive correspondence outside of the distribution specified in the correspondence without approval as noted above. Persons who violate this policy are subject to disciplinary action. Executive correspondence, unless specifically prepared for public dissemination by a Public Affairs Officer, it is not released outside of Army Reserve without having been requested in writing and fully reviewed as specified in the preceding paragraph. See policy memorandum at <https://usarcintra/ciowebinfov/Policy/execcorrespondisclosure.pdf>

4-27. USAR Form 143-R, Executive Correspondence Non-Disclosure Policy Acknowledgement Statement

Personnel currently assigned to OCAR and USARC and future accessions during in-processing, are required to sign the acknowledgment statement, USAR Form 143-R, attesting to having reviewed and understood the nondisclosure policy delineated above. The form is included with the memo covered in paragraph 4-26 above on the Commander's Corner and should also be included in your computer forms package. Executive officers of staff agencies ensure the executed statements are collected and maintained in the Housekeeping Files, under record number 1ff, Office Standards of Conduct Files.

4-28. Memorandums, AFRC-ESI-D, subject: Markings and Handling Army Official Documents, dated 25 February 2005.

The USAR policy memorandum with this subject is available at the lowest item, center column, of the Commander's Corner. This memorandum defines some basic categories of records and clarifies who has the authority to release them.

Section IV
Samples of FOIA administrative and/or controlling correspondence



DEPARTMENT OF THE ARMY
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND
1401 DESHLER STREET SW
FORT MCPHERSON, GA 30330-2000

REPLY TO
ATTENTION OF

G-2/6

(date)

(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 (date).

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

[If applicable] Occasionally we excise personal information to protect the privacy of others. If you object to these deletions, we will refer your request to the Initial Denial Authority (IDA), 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 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 require. Once we receive this, we will process your request within the time frame specified by law.

[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, paragraph 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, US Army Severe Climate Testing Division, Nattuck Laboratories, Nattuck, MA 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)

(Paragraphs in this memo are not intended for actual use. Tailor each paragraph of the response to a specific case.)

Figure 4-1. Sample memo/letter acknowledging receipt of request with commonly needed optional comments.



DEPARTMENT OF THE ARMY
 HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND
 1401 DESHLER STREET SW
 FORT MCPHERSON, GA 30330-2000

REPLY TO
ATTENTION OF

AFRC-CIS-I (25-55a)

(Date)

MEMORANDUM FOR (Action office (Office symbol), 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 4-2. Sample memo/letter forwarding request to proponent headquarters.

(Office Symbol) (25-55a)	(Date)
"NO RECORDS CERTIFICATE"	
FOR: Office of the Staff Judge Advocate, (appropriate Initial Denial Authority address from Appendix C, this Pamphlet)	
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 (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 4-3. Sample "No Records Certificate."

Case #	Date Received	Requester	Request received from	MSC Involved	Records Requested From and date	Date to SJA	Date Returned from SJA	Date to IDA	Description of Final Action Taken	Suspense	Date Action Completed	Remarks
002-25	02 May 02	Marley	Requester	89th RSC	G-1, 70 RSC/7 May 02	17 May 02	24 May 02	NA	Mailed to R	30 May 02	28 May 02	
002-26	06 May 02	Szilynek	Requester	104th Div	G-1, 104 Div/8 May 02	22 May 02	24 May 02	NA	Mailed to R	04 Jun 02	30 May 02	
002-27	13 May 02	Whiner	99th RSC	99th RSC	G-1, 99 RSC/13 May 02	31 May 02	07 Jun 02	NA	Mailed to R	11 Jun 02	07 Jun 02	
002-28	30 May 02	CW5 Skeeter	AR-PERSCOM	63d RSC	G-3, 63 RSC/31 May 02	13 Jun 02	20 Jun 02	NA	Mailed to R	28 Jun 02	21 Jun 02	
002-29	30 May 02	LTC Smith-Jones	Requester	90th RSC	SGS, 90 RSC/31 May 02	NA	NA	NA	Abandoned Mailed notification on 29 Jul 02	NA	29 Jul 02	Did not return Willingness to Pay cert. 2 reminders
002-30	03 Jun 02	Knuckles	Requester	94th RSC	G-1, 94 RSC/4 Jun 02	27-Jun-02	01 Jul 02	01 Jul 02	Released in part	01 Jul 02	01 Jul 02	IDA is OCAR
002-31	01 Jul 02	Farley	115th Support Co, 1st Cav Div	96st RSC	G-1, 96 RSC/7 Jul 02	NA	NA	NA	To AR-PERSCOM	29 Jul 02	25 Jul 02	AR-PERSCOM is record holder
002-32	15 Jul 02	Ma Shankerham Jelly Bean Co	Requester	None	NA	15 Jul 02	17 Jul 02	NA	Mailed to R	12 Aug 02	18 Jul 02	Request for Staff Directory
002-33	01 Aug 02	Otisville Daily Tribune	Requester	88th RSC	NA	NA	NA	NA	Forwarded request to the US Army Safety Ctr	29 Aug 02	08 Aug 02	Request for Accident Report
002-34	06 Aug 02	Zarley (San Antonio Daily Blaster)	Fort Sam Houston	G3, USARC	G-3, USARC/7 Aug 02	22 Aug 02	12 Sep 02	16 Sep 02	Entire record to IDA - CIDC	18 Sep 02	16 Sep 02	Request for CIDC report. Several interim replies.
002-35												

Note: Change the following: RSC to RRSC where shown, dates from 02 to 06, and AR-PERSCOM to US Army Human Resources Command (HRC).

Figure 4-4. Sample format of FOIA control register.

05-87 (Rep. John O. Average-American)

10 Apr 05 - CPT Dow, Special Actions/Congressional Inquiries, G-1, phoned for consultation on request for report of investigation IAW AR 15-6 of 399th Maintenance Co, 81st RRSC, to determine whether allegations of prejudice have any basis in fact.

12 Apr 05 - Report of Investigation IAW AR 15-6 received from G-1 for processing under FOIA as advised 10 Apr 04.

13 Apr 05 - 15-6 investigation returned to G-1 for correction of pagination and completion of Photostatted copy; that originally submitted was unusable.

14 Apr 05 - 15-6 received back from G-1 in usable form.

15 Apr 05 - Responsive 15-6 reviewed twice for excision of exempt matter (Privacy/Federal drug enforcement guidelines under Exemption 2).

16 Apr 05 - Package for referral to IDA (TJAG) prepared IAW paragraph 5-104, AR 25-55. FONECON with CXO of subject MSC. Concerned with image of command in public eye given misconduct on the part of two junior grade officers. Explained sensitivity attributable to embarrassment nonexempt; however, names of individuals concerned were eradicated.

17 Apr 05 - Forwarded to SJA with recommendation for referral to and release by IDA as excised.

20 Apr 05 - SJA concurrence obtained. Last check to be certain all essential copies on-hand. Mailed to TJAG/referred.

Closed.

Figure 4-5. Sample format of FOIA case log.



DEPARTMENT OF THE ARMY
HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND
1401 DESHLER STREET SW
FORT MCPHERSON, GA 30330-2000

REPLY TO
ATTENTION OF

(OFFICE SYMBOL) (25-55a)

Date

MEMORANDUM FOR (FOIA Officer (Office symbol) Subordinate Command and address)

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 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 non-release 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 or assistance, contact (FOIA official's name) at (phone number).

2 Encls
as

Signature Block

Figure 4-6. Sample memo/e-mail requesting documents to use to respond to FOIA request.



DEPARTMENT OF THE ARMY
 HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND
 1401 DESHLER STREET SW
 FORT MCPHERSON, GA 30330-2000

**REPLY TO
 ATTENTION OF**

Document Management Branch

Date

(Requester's Name and Address)

Dear:

We are continuing our efforts to provide you with the records that you requested under the Freedom of Information Act (FOIA). 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. Please refer to FOIA case number XX-X.

Sincerely,

Signature Block

Figure 4-7. Sample memo/letter notifying requester of informal extension to suspense date.



DEPARTMENT OF THE ARMY
 HEADQUARTERS, UNITED STATES ARMY RESERVE COMMAND
 1401 DESHLER STREET SW
 FORT MCPHERSON, GA 30330-2000

**REPLY TO
 ATTENTION OF**

AFRC-CIS-D (25-55a1)

(date)

MEMORANDUM FOR (FOIA Officer (Office Symbol) 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, 1 Nov 97.
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, paragraph 5-104:
 - a. Original FOIA request (encl 1).
 - b. Un-excised 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 4-8. Sample memo/letter to IDA forwarding request to be denied in whole or in part.

Chapter 5 Management Information Control System (MICS) Program

5-1. General

a. A properly implemented MICS program eliminates nonessential work at every command level. This leaves more time for training and to complete valid work requirements.

b. Every USAR command designates a headquarters Management Information Control Officer (MICO) and in each staff section a Management Information Control Liaison Officer (MICLO). The MICO is a function of the headquarters Records Management/Administrative Services division. Commands with subordinate headquarters should assure that their subordinate headquarters reflect a similar assignment of responsibilities.

c. All HQ, USAR staff agency heads and MSC commanders must ensure compliance with the following MICS policies:

(1) Collect mission essential information only.

(2) Discourage telephonic requests for information.

(3) Make every attempt to allow a suspense date of at least 60 calendar days for management information requests to subordinate commands below the MSC level. The minimum suspense for requests for management information at the MSC level is 30 days. Whenever the 60 and 30 days are not available, allow at least 5/6th of the time available for the subordinates to reply. Additionally, whenever possible, include in the suspense period at least one drill period for MSC-level organizations and below.

(4) Do not anticipate data requests from higher headquarters. Further, prohibit collecting "nice-to-have" information.

(5) Collect information by the most economical method or procedure.

(6) Do not request information that duplicates already existing data within the headquarters.

(7) Request data from the highest headquarters practicable and request management information from company-level organizations only as a last resort.

(8) Facilitate preparation of reports by partially completing forms or by providing computer reports for updating and allowing telephonic and hand-written responses, if possible.

(9) Make reporting intervals as few as possible to assure data is relevant. Consider quarterly rather than monthly reports, or annual or semiannual requirements, rather than quarterly reports.

(10) All requests for recurring management information must have an approved RCS stated in the directive, as well as correspondence which "reminds" subordinates that a requirement is due.

(11) Prescribing directives.

(a) All management information requirements must have a prescribing directive.

(b) All directives prescribing a management information requirement must be published as a numbered publication; i.e., a circular, regulation, supplement, or publication-type memorandum. Do not use directives from other commands as prescribing directives for requirements, unless such directives are supplemented by your command. Correspondence-type memorandums, electronic messages and similar documents are not authorized as directives. However, a correspondence-type memorandum or electronic message may be used as a directive for up to 1 year. This will allow staff time for adjustments to fine-tune the requirement and publish a long term directive.

d. The MICOs and MICLOs must become familiar and perform duties and comply with policies, responsibilities, instructions, and procedures as outlined in AR 335-15 and paragraph 5-2, this pamphlet.

5-2. Establishing an effective MICS program

a. Army Regulation 335-15 prescribes policy and procedures for approving and reviewing information requests and products responding to such requests. The following information is provided to help the MICO establish an effective MICS program.

b. Each MSC-level command should appoint a MICO and forward a copy of the appointment orders to the USAR MICO (AFRC-CIS-I) (RCS Exempt, AR 335-15, para 5-2a(1)). The MICO is usually assigned to the G-2/6, or IMO. The purpose of the MICO is to -

(1) Minimize disruptions to subordinate workload by controlling one-time and telephonic requests for management information.

(2) Streamline workload by ensuring data is requested from the highest level where the consolidated information is available, not from each unit where the information is maintained.

(3) Assure sufficient response time is allowed when submission of management information is requested. Suspense dates to Army Reserve units should allow time to work on the suspense during one drill, or more if possible.

(4) 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 MICS case file, ARIMS Record Number 335-15a.

c. The first thing the MICO does after being appointed is to download the current FORSCOM and USAR circulars containing the List of Approved Recurring Management Information Requirements. These two publications provide RCS, title, frequency, preparing agencies, and action agencies for DA, FORSCOM, and USAR recurring information requirements. If applicable, the MICO may also download the CONUSA's List of Approved Recurring Management Information Requirements.

d. The MICS circular, USAR Circular 25-XX-1, List of Approved Recurring Management Information Requirements, is an index to all the Command's recurring reporting requirements.

(1) The MICO should review the last edition of the command's MICS circular and have it staffed for changes, pertinent information, and necessity.

(2) If there is no MICS circular, request the staff to provide the MICO any recurring reporting requirements imposed on the MSC. The MSC staff 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** higher echelon recurring requirements in addition to the MSC's own recurring requirements. The MICO consolidates this information and publish it in a circular.

(3) After the MICO reviews the circular, publish it in a format similar to the current USAR List of Approved Recurring Management Information Requirements circular. Provide a copy to the USAR MICO (AFRC-CIS-I) (RCS Exempt, AR 335-15, para 5-2d). The MICS circular is the most important administrative tool in the MICS program. It lists the recurring requirements the MSC has authorized for the headquarters and subordinate commands. Publish the circular at least annually.

e. 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 in AR 335-15, paragraph 1-7e, and include the following:

(1) Serves as the POC between the MICLO's staff agency and the USAR MSC 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 a recurring requirement must cite an RCS or an AR 335-15, chapter 5, exemption statement. This applies to written, e-mailed, faxed, and verbal requests.

(4) Reviews and signs their agency's requests for an RCS (DA Form 335-R, Application for Approval of Management Information Requirement).

(5) Ensures RCS is cited in accordance with instructions and procedures in this regulation.

f. 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.

g. The MICO or MICLO determines if a recurring report may require an exemption statement IAW the exemptions listed in Chapter 5, AR 335-15. See paragraph 5-7, this pamphlet, for additional information.

h. Contact the USAR MICO for assistance in establishing or improving your MICS programs. Report higher echelon violations of the MICS to the USAR MICO (AFRC-CIS-I). Files needed for an effective program are:

(1) 335, General Management Information Control Correspondence Files (for general information).

(2) 335-15a, Management Information Control System Cases (separate file for each RCS).

(3) 335-15b, Management Information Control System and Output Registers (RCS log/register).

i. Use an automated register/log to track locally assigned RCS. This log will provide information on each RCS.

5-3. Requesting an 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. Action officers do this by completing a DA Form 335-R.

b. The staff section MICLO should review all recurring management information requirements originating within their area of responsibility. This review is to ensure the proposed information requirement is mission essential, does not duplicate information already available, displays an RCS or exemption and a reasonable suspense date.

c. The MICO must validate each recurring report before implementation. Non-exempt reports must display an RCS approved by the MICO. Agencies requiring a recurring reporting requirement must complete a DA Form 335-R and forward it to the Command MICO.

5-4. Completing the DA Form 335-R

Complete the DA Form 335-R following the instructions in AR 335-15, paragraph 2-10. Special instructions for MSCs and agencies are listed below.

a. 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's inspection reports, audits, staff visits, surveys, or other management information requirements." The Director of the requesting staff agency is certifying that the sought information is not locally available and must be provided by the MSC source stipulated in the report requirement.

b. Block 16b - ACTION TO BE TAKEN ON DATA: State the purpose of the requirement. Explain what will be accomplished and what economies will be achieved. The key words for this block are: manage, control, and monitor. The data collected must be used to manage a particular program. Information gathered "just in case" is not a valid action and will automatically result in disapproval of the request.

c. Block 17 - APPROVAL REQUESTED BY: Type the director's name of the agency requesting the requirement here. Again, the Director of the requesting staff agency certifies the reporting requirement is mission-essential. Only the director or deputy director can sign the form.

d. Block 18 - APPROVAL RECOMMENDED BY: The staff agency MICLO signs here. Leave blank if there is no staff agency MICLO.

e. Block 22 - COST ESTIMATE: Enter the cost estimate developed in accordance with paragraph 5-5, below. An example of a cost estimate is at figure 5-1.

f. The MICO processes the DA Form 335-R as follows:

(1) After review of the request, the MICO may approve, approve in part, or disapprove the request. The MICO approves the request by completing 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.

(c) Block 25c - REQUIREMENT CONTROL SYMBOL ASSIGNED: Enter the approved RCS here, using the procedures in paragraph 5-6, below, to construct the RCS.

(2) Prepare a transmittal to the requesting agency (see figure 5-2).

g. The MICO is encouraged to negotiate with the requesting agency to obtain the longest reporting intervals and reduce the information requested to the minimum needed for mission essential information.

5-5. Determining estimated costs for the management information requirement for Block 22, DA Form 335-R

The following is a simplified method to estimate the costs of a management information requirement (see figure 5-1). Army Regulation 335-15, appendix B, provides a detailed guide.

a. Developmental costs. 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.

(1) Personnel. Determine the actual number of man-hours spent to develop the requirement.

(a) Military personnel. Use \$30.00 times the number of man-hours used to convert military man-hours in to dollars. The \$30.00 is an estimated rate that includes more than just pay, so do not use the pay chart to determine military costs.

(b) Civilian personnel. Use the current calendar pay chart to determine the actual costs. Go to the OPM website at <http://www.opm.gov/>, click on Federal Salaries and Wages, and then select General Schedule and Locality Pay Tables. 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.

(2) Requirements which do not involve mainframe Automated Data Processing (ADP) equipment should leave column c blank. Otherwise enter the cost of the mainframe time here.

(3) 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.

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

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

(6) 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 reporting requirement by the proponent or action office. Operational costs are for annual expenses incurred. Biennial, triennial and as-required requirements are computed for one report.

(1) Personnel. Estimate the number of man-hours used to compile the report and transmit it to the proponent or action office.

(a) Military personnel. Use \$30.00 for military preparers.

(b) Civilian personnel. Use the current CY pay chart to determine the actual costs. See subparagraph 5-5a(1)(b) for the OPM website to download the pertinent pay table. 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. When the civilian pay grade is not known use \$30.00 per hour as the base rate.

(2) 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) For requirements not involving mainframe ADP equipment, leave column c blank; otherwise, enter the cost of the mainframe time here.

(4) Material costs include computer disks, paper, envelopes, 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 if 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.

Formula

$$(L + M) \times R = C$$

Where:

L = Labor Costs ($L = H \times F \times \$30 \times 1.25$)

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 such costs 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. The MICO cannot determine the pay grade of the preparers or transmittal costs.]

$$\begin{aligned}
 & (L + M) \times R = C \\
 & [(1 \text{ hr} \times 4 \text{ reports} \times \$30 \times 1.25 \text{ Supervisor}) + (\$1 \text{ Trans} + \$2 \text{ sup})] \times 10 \text{ agencies} = \\
 & [(1 \times 4 \times 30.00 \times 1.25) + (1 + 2 \times 4)] \times 10 = \\
 & [(120 \times 1.25) + 12] \times 10 = \\
 & 162 \times 10 = \\
 & 1620
 \end{aligned}$$

Figure 5-1. Formula to determine operational costs of a new reporting requirement.

5-6. Construction of Requirement Control Symbol (RCS)

a. 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. After approval of a new request for management information, the MICO assigns an RCS. For complex information requests involving various subjects, periods, or submission dates, the MICO may assign a separate RCS for each element or assign one RCS for the entire complex requirement.

c. 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 that reduce the data required, the frequency, or the number of respondent agencies, do not need a revision suffix.

d. A one-time (OT) 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 the MICO reinstate a rescinded requirement, assign a new RCS.

f. See below on how to construct a RCS for management information required by the USAR from its MSCs and agencies.

(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., RCMD-001, RCOP-002, RCCH-003.

Examples of HQ, USARC-approved RCS:

- **RCOP-002** - This is the second HQ, USARC requirement assigned an RCS. The G-3 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.
- **RCPR-(OT)-016** - This one-time requirement was the 16th HQ, USARC requirement assigned an RCS. The G-1 was the proponent. A one-time requirement is signified by OT between the prefix and the requirement number.

(2) The RCS construction for MSCs. These RCS are composed of the prefix "RC" followed by the numerical designation of the unit or the brevity code of the MSC. 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:

- **RC335-001(R4)** - Fourth revision of the first 335th Theater Support Command approved RCS.
- **RC81-001** - First 81st RRSC approved RCS.
- **RC75-(OT)-009** - Ninth 75th Division (Training Support) approved RCS. "(OT)" signifies this is a one-time requirement.

(3) Construction of USAR subordinate activities RCS. The RCS is composed of the prefix "RC-" followed by the initials of the activity. The three letters after RC signifies these as activity rather than HQ, USAR requirements. The number of the RCS is separated from the prefix by a dash. Each RCS is numbered in sequence, i.e., RC412-001, RC412-002, RC412-003.

Hypothetical examples:

- **RC311TSC-001(R4)** - Fourth revision of the first 311 TSC's approved RCS.
- **RC412EN-002** - Second 412th ENCOM's-approved RCS.
- **RC412-003** - Third 412th ENCOM-approved RCS.

g. Do not change the command's already existing RCSs that do not conform to the conventions in paragraph 5-6f. The MICO may change them to conform with these conventions after such reports are reviewed and found current (see subparas 5-2b and d).

h. Create a register log to track all locally assigned RCSs. Use USAR Form 146-R, Requirement Control Symbol Register/Log, or an electronic register. Maintain this register/log in ARIMS Record Number 335-15b, Management Information Control System and Output Registers (RCS Log/Register).

5-7. 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, RC104-(OT)-002, RCReadCmd-003, and RC311COSCOM-004. (*The "(OT)" in the second example signifies a one-time requirement*). 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 and exemption statement in publications. All command administrative 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.

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 paragraph 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, (Name of MICO and phone number).

Encl
DA Form 335-R

Signature Block

Figure 5-2. Sample approval and transmittal for a Requirement Control Symbol (RCS)

Chapter 6

Correspondence Management and Office Symbol Construction

6-1. Effective Army writing

a. Army 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, Effective Writing for Army Leaders, provides staff writing standards and guidelines to Army leaders. Army Regulation 25-50, Preparing and Managing Correspondence, Chapter 1, Section IV, provides additional guidance.

b. Use the following guidelines for effective communication. Write only when required and write to be understood. Do not waste the reader's time by including unnecessary material. Use the voice and tone of the person whose signature appears on the 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, and conclusion next. Sometimes the purpose and main idea can be combined into one sentence.

(2) Active Voice. Use the active voice. 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. The passive voice impedes communication because sentences are longer and the doer of the action is hidden.

(b) Sometimes the use of the passive voice may be appropriate - if the emphasis is on 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 to soften the blow in letters of notification of non-selection or condolence.

c. Records managers must conduct periodic reviews of correspondence for compliance with the Army Writing Style. Incorporate this review in the records surveys and command inspections. Records officials may combine quality control spot checks with the periodic check of correspondence for MICS compliance.

d. Use a USARC Form 67-R, Correspondence Correction Checklist, to conduct correspondence quality control checks, or simply mark-up a photocopy of the correspondence and return it to the action officer.

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 9, "Types of Errors." Check the blocks, which correspond to the types of errors, found in the correspondence.

(f) Block 10, See paragraph(s) _____ of: Fill in the blank and make a checkmark by the appropriate directive.

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

(h) Block 12. 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 13 through 16 and sends the corrected correspondence and checklist to the reviewer.

f. Helpful Hints.

(1) At least 80% of the verbs in a 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 Army correspondence show the tone of the document; if the verbs don't, the writing is weak.

(4) Punctuation of restrictive and nonrestrictive clauses.

(a) Restrictive clauses are essential to the meaning of a sentence, they cannot be omitted without changing the meaning of the sentence. Therefore, commas do not set off restrictive clauses, i.e., do not place a comma before and after the clause. For example, "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 not essential to the meaning of a sentence but instead convey additional information about a word or words in the sentence. Commas set off nonrestrictive clauses when they occur in mid-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."

6-2. Construction of Office Symbols

Office symbols are created to identify a particular office and to aid in the distribution of correspondence and mail. Follow the guidance in the current USAR Office Symbols circular to construct office symbols. During USAR Records Management surveys, inspectors find the following common office symbol construction errors:

a. Too long.

b. Hyphens incorrectly placed.

c. Containing numbers.

Chapter 7 Publishing and printing programs

Section I Concept and responsibilities

7-1. Management concept

a. The Army Publishing Program (APP) is a management concept instituted by Department of the Army to execute the established laws, regulations, and directives that govern the publications and printing discipline. It consists of three major subprograms for managing publishing, printing and forms.

b. All printed or reproduced material must relate entirely to the transaction of official business. Printing/copier managers must be thoroughly familiar with the prohibitions and restrictions contained in AR 25-30, paragraph 7-5, and must ensure the enforcement of these prohibitions throughout their area of jurisdiction. Self-service copying *should not* exceed 25 copies of an original, unless approved by the respective copier manager. Color copiers are not operated in a self-service environment.

c. Business cards may be printed at government expense provided it meets the criteria in paragraph 7-11, AR 25-30.

7-2. Responsibilities

a. The Army Reserve Information Management Officers are responsible for:

(1) Supervision, management, and execution of the three subprograms comprising the APP.

(2) Implementation and/or enforcing compliance with APP policy promulgated by higher headquarters, Department of the Army, and the statutory restrictions for printing.

b. The USAR MSC Information Management Officers must do the following:

(1) Forward internal command policies for the efficient management of any of the three APP subprograms to HQ, USAR IMO (AFRC-CIS-I) for review and/or other pertinent action.

(2) Designate personnel to perform the functions of Publications and Printing Officer and Forms Manager and forward their names and duty telephone numbers to the HQ, USAR IMO (AFRC-CIS-I).

7-3. Reproduction of classified material

The USARC and its MSCs must -

a. Designate in writing, by position title, those officials authorized to approve the reproduction of classified information. Ensure those officials review the need prior to approving reproduction of classified documents and material and that such officials are thoroughly familiar with the requirements contained in USARC Regulation 380-5, paragraph 5-15.

b. Minimize copying of documents containing classified information.

c. Not reproduce classified material on copying equipment that has not been designated for this purpose by the security manager.

(1) Must ensure that *USARC Label 4-R, This Equipment Will Not Be Used to Process Classified Material*, is conspicuously posted on pertinent copying equipment.

(2) The rules for the reproduction of classified information must be posted on or near the approved reproduction equipment.

d. Printing/copier managers must:

(1) Post a FORSCOM Poster 93-R, Warning Notice, prohibiting reproduction of classified information on copiers authorized to reproduce only unclassified information.

(2) Conspicuously post a FORSCOM Form 138-R, Equipment Designed for Reproduction of Classified Material, by each copier/duplicator designated for reproduction of classified material.

e. Identify officials designated to approve reproduction of classified information on FORSCOM Form 138-R and post on or near the approved reproduction equipment.

Section II

Self-service copier program management

7-4. Self-service copier management

Army Regulation 25-30 is the DA-governing directive for the management of self-service copiers.

- a. All reproduced material must relate entirely to the transaction of official business.
- b. Self-service copying machine is the classification for an automatic copy-processing machine that has a rated speed of up to 70 copies per minute.
- c. See AR 25-30, chapter 7, section V, and DA Pamphlet 25-40, appendix J, for the objectives of copier management, the mandatory controls imposed by DA and other self-copier management procedures.
- d. The Army Reserve's goal is for 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 as follows:
 - (1) The RRSC commanders for copier support furnished under BASOPS responsibility.
 - (2) Direct reporting commanders for self-service copiers used in support of the unit's mission(s).
 - (3) Approval delegation does not include duplicating equipment such as copiers with a speed of 71 or more copies per minute (the DA has retained approval authority for this type of equipment), or color copiers (HQ, USARC has retained approval authority for equipment classified as color copier.)
- e. The MSC Copier Manager and/or Resource Manager must identify requirements for office copying equipment as C4/information technology expenditure input to be included by the Army Reserve Enterprise Services Activity in their annual program review process and/or POM/budget estimate submissions to HQDA. Channel your input through the USAR IMO (AFRC-CIS-I). Identify projections in the earliest possible submission to allow sufficient lead-time for programming and budgeting. See USAR Regulation 25-3, paragraphs 2-3 and 2-4.
- f. The USARC MSC Copier Manager must adhere to the requirements of DA Pamphlet 25-40, Appendix J, Section V, Self-Service Copier Management -
 - (1) Perform a technical review/evaluation of copier requests using DA Form 4951 (Lease/Purchase Analysis for Copying/Duplicating Machines).
 - (a) 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 and/or duplicating/printing capabilities available to the command.
 - (b) Once it is determined that existing copying resources cannot satisfy the requirement, consider procuring new equipment (either leased, cost-per-contract basis or outright purchase). The main considerations in selecting the appropriate procurement vehicle are cost-effectiveness and availability of reliable vendor maintenance support.
 - (c) The Army Reserve policy regarding the procurement of copier equipment is to utilize one, or more if necessary, of the existing Blanket Purchase Agreements (BPAs) established by the Army Contracting Agency Southern Region on behalf of the Southeast Region Chief Information Office. Copier managers must ensure their supporting contracting cell execute the purchase order with the desired vendor listed in the applicable BPA. Currently there are five BPAs negotiated with five of the major copier vendors in country. The RRSCs may use the services of Fort Dix Contracting Office or the Army Contracting Agency Southern Region, Fort McPherson, to procure copier equipment under these BPAs. For further information, call one of the following personnel at the Army Contracting Agency Southern Region:

Installation Division Section Chief	404-464-4106
Contracting Officer	404-464-4105
Contracting Administrator	404-464-1697
 - (2) The copier records remain in the current records area for the entire period the equipment is on hand. Use ARIMS Record Number 25-30g, printing equipment controls.
 - (3) Do a subsequent analysis on DA Form 4951 in the event a copier is to be purchased following an initial introduction period of leasing or rental.
 - (4) Ensure that government-owned copier equipment is recorded in the unit property book.
 - (5) Keep the records outlined in paragraph J-17, Appendix J, DA Pamphlet 25-40.
- g. The USARC assesses the management of the self-service copying program at the MSC level by conducting periodic Records Management Surveys, and IG/Organization Inspection Program (OIP) inspections. All approval documentation must be on file for these reviews.
- 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 projected dates for equipment replacement.

7-5. Approval authorities for office copiers and duplication/printing equipment

Detailed guidance on this subject is contained in AR 25-30, and this pamphlet.

- a. For copiers able to do one color copying in a single pass and with a speed not to exceed 70 copies per minute, the USAR has delegated approving authority to the MSCs.
- b. For color copiers with the capability of copying in two or more colors on a single pass, the USAR G-2/6 is the approval authority. Requests are submitted to this Headquarters G-2/6 (AFRC-CIS-I).
- c. Duplicating/printing equipment (copiers with a speed of 71 or more copies per minute) and all of the items of equipment listed in DA Pamphlet 25-40 (tables J-4 through J-7) require administrative approval by the Director, APD. Submit requests through this Headquarters, G-2/6 (AFRC-CIS-I), on DA Form 5695 (Information Systems Project Document). See DA Pamphlet 25-40, Table J-3.

7-6. Copier management program assessment

Copier Management Program assessment is an integral part of the Records Management Surveys, and OIP and/or IG inspections. Managers must have for inspection the self-service copier records listed in DA Pamphlet 25-40, Appendix J, paragraph J-17.

7-7. Color copiers and printing, duplicating, binding, and related equipment

- a. The Director, Army Publishing Directorate (APD), as the approving authority for the printing, binding and related equipment listed in tables J-4 through J-7 of DA Pamphlet 25-40, is charged with managing all of the equipment listed in the above cited tables. The USAR MSCs identify and report requirements for this type of equipment as stipulated in USAR Reg 25-3, paragraphs 2-3 and 2-4.
- b. Equipment with a unit cost of \$100,000 or more is OPA funded. The threshold at the time of publication is \$100,000; however, the prevailing threshold applies to equipment rental and equipment to be purchased under a lease-to-own plan (LTOP). Equipment with a component price of less than \$100,000 is funded at the local level with Operation and Maintenance, Army Reserve (OMAR) funds.
- c. The USAR MSCs must route all requests for and/or correspondence related to equipment requiring higher authority approval to the USAR, G-2/6 (AFRC-CIS-I).

Section III

Printing and duplicating operations

7-8. Commercially procurable printing and duplicating

- a. Title 44, USC, stipulates that all printing is accomplished at the GPO unless otherwise authorized. Thus, designated printing control officers must ensure that no printing/duplicating is procured directly from a commercial source unless approved by the nearest GPO servicing the command (see AR 25-30, para 7-20.)
- b. Army Regulation 25-30, paragraph 7-20, lists four authorized sources for printing/duplicating procurement: DAPS, GPO, Lighthouse for the Blind Incorporated, Javits-Wagner-O'Day (a participating non-profit agency), and the Federal Prison Industries, Inc, (UNICOR).
- c. Printing and duplicating from UNICOR, Javits-Wagner-O'Day, and commercial printers are reported on Joint Committee on Printing (JCP) Form 2, Commercial Printing Report. Enter "UNICOR" in column (b) to indicate the procurement was through UNICOR. The JCP Form 2 is submitted semiannually (March and October) (RCS: DA&M(AR)-1467). To complete the JCP Form 2, see AR 25-30, paragraph 7-18b and DA Pamphlet 25-40, Appendix J, Table J-14.

7-9. Establishing duplicating facilities

Before an MSC obtains printing/duplicating equipment listed in DA Pamphlet 25-40, (tables J-4 through J-7), **which includes electrostatic duplicators having a speed of 71 or more copies per minute**, approval must be obtained from the Director, APD to establish a duplicating facility (see para 7-22, AR 25-30 and DA Pamphlet 25-40, para J-3). The DA Form 5695 is used for this purpose. Instructions for completion of this form are contained in DA Pamphlet 25-40, Table J-3.

- a. Records. Once a duplicating facility has been approved, records must be maintained as stipulated in AR 25-30, paragraph 7-27. Also 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. Army Regulation 25-30, paragraph 7-27 and DA Pamphlet 25-40, paragraph J-12, list 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 the command's submission of the following annual reports, which are prepared and submitted as a single reporting packet:

(a) JCP Form 1, Printing Plant Report (RCS: DD-COMP(AR)-1467).

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

(c) JCP Form 2, Commercial Printing Report (RCS: DA&M(AR)-1467).

(d) JCP Form 5, Annual Plant Inventory (RCS: DD-COMP(AR)-1467).

(e) JCP Form 6, Annual Inventory of Stored Equipment (RCS: DD-COMP(AR)-1467).

(2) If the MSC has a duplicating facility, the publications and printing officer must submit all of the above listed reports, even if there is no activity to report. For instance, "negative report for Commercial Printing Report."

7-10. Programming and budgeting

a. Printing and duplicating equipment listed in DA Pamphlet 25-40 (tables J-5 thru J-8) is validated and approved by the APD (see preceding paragraph), however, it is funded from local resources. Therefore, it is incumbent on the requesting activity to identify the cost of new and replacement equipment and input the requirement to the USAR G-2/6 (AFRC-CIS-I) be included in the next POM submission, and to secure the necessary funds prior to initiating the validation process with APD.

b. Funding. Items with a unit cost of \$100,000 or more are classified as capital investment and is funded with OPA. Items with a unit cost under \$99,999 are OMAR funded at the local level. Exceeding this threshold constitutes a violation of the Anti-Deficiency Act.

c. The MSC IMO should validate office copiers (non-color rated at 70 or less copies per minute). Complete a technical review using DA Form 4951 prior to procurement action. Use local OMAR funds for the procurement of these items.

7-11. Electronic letterheads

Considering the capabilities of desktop computers, software and office printers that are typically available, it is now more practical to print both the letterhead and the text of the letter at the same time, in lieu of using pre-printed letterhead.

a. Once the existing stock of pre-printed letterhead stationery is exhausted, only computer-generated letterhead is used.

b. The letterhead is printed in black.

c. Use the Department of Defense seal.

d. Commanders authorized to use letterhead stationery under AR 25-30, paragraph 7-7 must institutionalize this practice in their headquarters.

e. Also see DA Pam 25-40, paragraph G-3 and AR 25-50, paragraph 1-18 for additional information.

f. Use ARIMS file number "25" for letterhead information.

Section IV

Publishing command administrative procedure

7-12. Publications management

a. Each headquarters, USAR staff agency, USAR MSCs and their subordinate units, establish publication accounts with the following agencies:

(1) DA publications account. Submit DA Form 12, Request for Establishing of a Publications Account, through the Publications Control Official of the pertinent command to the APD Distribution Facilities - St. Louis, 1655 Woodson Rd., St. Louis, MO 63114-6181. See DA Pamphlet 25-33.

(2) Supporting AR 5-9 Publications Stockroom. Establish accounts in accordance with the instructions of the supporting publications stockroom.

b. USAR/FORSCOM publications account is no longer required. See USARC Pamphlet 25-30 for additional information.

Section V

Coordination and editing command publications

7-13. Headquarters, USARC and MSC staff agencies procedures

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

7-14. Command publications responsibilities

- a. The IMO is responsible for numbering, editing, publishing and distributing all MSC administrative directives. Also, the IMO keeps the record copy of each administrative publication under ARIMS Record Number 25-30mm and is responsible for complying with its retention and disposition as prescribed by ARIMS.
- b. Deputy Chiefs of Staff/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. Use USAR Form 9-R to document the staffing of command policy.
- c. Each staff agency's administrative point of contact acts as the publications manager for the agency.

7-15. Types of MSC publications

Multiple addressee correspondence, ordinary memorandums of instruction, and policy memorandums must not be used as substitutes for permanent official agency or command publications (see DA Pamphlet 25-40, chapter 18 and appendix H). The following types of publications are authorized for issue by the MSCs.

a. *Command-wide application (DA Pamphlet 25-40, Chapter 18).*

(1) *Supplements to higher headquarters 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 higher headquarters Regulation being supplemented. Prior to supplementation, you must obtain approval from the higher headquarters proponent of the regulation.

(2) *Regulations.* These are directive in nature. Issue 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 that are directive in nature.

(3) *Circulars.* Are temporary directives or informational publications expiring 2 years, or less, from its effective/issue date.

(4) *Pamphlets.* Are permanent instructional, or informational "how to" publication.

(5) *Command bulletin.* Use to publish official and unofficial items of information. **Do not use for task assignments.**

b. *HQ, MSC application.*

(1) *Memorandums.* Letterhead correspondence-style policy memorandums can be used as a temporary directive, i.e., new commander issues new/updates a policy (or policies). Policy memorandums are directive and limited to a single subject, e.g., equal opportunity, safety, physical training, etc, and apply only to the issuing command. Policies having command-wide applicability are published in a command wide directive, i.e., regulation, circular, etc.

(2) *Assignment Memorandums.* Announce the assignment of personnel where no change of station is involved.

(3) *Staff agency standing operating procedures (SOPs).* Are issued by the staff agency director/chief to establish procedures applicable to his/her staff agency.

c. *Functional or service bulletins (see AR 25-30, para 3-42).*

(1) The USARC and MSC staff sections may publish a functional bulletin only when approved by the IMO.

(2) The IMO annually reviews all functional bulletins to determine the need for continued publishing.

d. *Periodicals and non-recurring publications (see AR 25-30, paras 3-43 - 3-45, Section IX).*

These publications are non-directive, classified or unclassified Army magazines, news letter-type publication, journals or gazettes. They require approval from the Director, APD. The IMO must ensure that requests for a newsletter-type publication are thoroughly reviewed for compliance with AR 25-30, paragraph 3-45. Submit requests to this Headquarters, G-2/6 (AFRC-CIS-I) for further review and forwarding to APD for approval.

7-16. Preparing and publishing MSC administrative publications

- a. The IMO determines the format and style of MSC directives in accordance with AR 25-30 and DA Pamphlet 25-40. The proponent staff agency should coordinate the publication early on, in draft, with the IMO 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 may be prepared by following the format of the corresponding category of DA publication (see DA Pam 25-40, Chapters 10 and 18) and using the following guidelines:
 - (1) Do a spell check on the contents of publications prior to submission to IMO.
 - (2) Subparagraph 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 terms or abbreviations in a glossary at the back of the publication. Only include terms and abbreviations actually used in the publication.
 - (5) List "required" or "related" references at appendix A. Do not repeat references in both sections.
 - (6) Distribution.
 - (a) Use Army Knowledge Online (AKO) and other approved Army web sites for electronic distribution of your administrative publications. Distribution of paper copies should be limited to only those entities that do not have the capability to access electronic media.
 - (b) Proponents should designate a standard distribution scheme for publications by a letter, a combination of letters, or a distribution statement. Prepare a distribution list showing the elements included in each letter designation. Distribution codes should parallel command levels.
- d. Coordinate directives with affected staff agencies in the headquarters, to include their MICLO, if any, and/or the MSC Management Information Control Officer (MICO), located in the IMO.
- e. The IMO forwards finalized directives to the Chief of Staff for approval to publish.
- f. Once approved, the IMO authenticates, publishes, and distributes the directive.

7-17. Revisions of MSC publications

- a. To revise a previously published MSC administrative publication, the proponent staff section initiates a revision to the basic publication when changes in the roles, responsibilities, and requirements as prescribed in the basic publication occur. Revisions are subject to coordination similar to the one given the basic publication.
- b. Revision to the basic publication is the only vehicle authorized to disseminate changed policy, procedures and requirements contained in the basic publication.
- c. Electronic messages may be used to notify subordinate commands and agencies of impending new policy and procedures, changes or revisions only when it is immediately necessary to maintain national security, ensure the safety and well being of the soldiers, or to avoid legal action against the Army.

7-18. Recordkeeping requirements in MSC directives

- a. Proponents of prescribing directives must address recordkeeping requirements in publications. This applies to new or revised directives. Directives or memorandums that 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 appropriate ARIMS record number under which the records should be filed.
 - (2) List the record numbers that are to be used in appendix A of the publication.
- b. Use ARIMS to obtain the record numbers under which the records should be kept. If the record numbers for records created as a result of the directive or memorandum cannot be identified, contact the command's records manager for assistance. If the subject matter is a new area not addressed in ARIMS, coordinate the recordkeeping needs with the Records Manager in IMO. Record copies of publications are transferred to a Federal Records Center as stipulated in ARIMS Record Number 25-30mm, Publications Record Sets. Also the following record numbers are used to maintain records of publications: 25-30i2, Centralized Instruction Background Files-HQDA, MACOM, and sub-MACOM HQ, and elements in a combat area; and 25-30ee, Publication Reference Sets.

Section VI

Forms management program

7-19. General

[NOTE: AR 25-30, chapter 4, and DA Pamphlet 25-31 contain complete, detailed information and regulatory guidance on management of blank forms. This section contains highlights of some key points, as well as USAR guidelines and interpretations of forms management requirements.]

- a. A "form" is defined as a fixed arrangement of captioned spaces designed for entering and extracting prescribed information, regardless of media. See DA Pamphlet 25-31 and AR 25-30 for more information on forms and refer to their glossaries for complete definitions.
- b. Each USAR MSC designates a forms management officer (FMO) in accordance with instructions in paragraph 7-2 above, and make the command aware of requirements to coordinate with the forms manager when creating blank forms.
- c. There are three major types of forms developed within the Army: local, command or agency, and Army-wide forms.
 - (1) A local form is designed for use within a headquarters.
 - (2) A command form is for use by the headquarters and its subordinate activities.
 - (3) Army-wide forms are DA Forms.
- d. Local and command types of forms may consist of any or all of the following categories: locally reproducible, electronic, test, one-time, temporary, form letter, overprint, label, and poster.

7-20. Forms management responsibilities

- a. The MSC FMO is responsible for the maintenance and control of the forms generated in the headquarters.
- b. Each proponent of a form coordinates with the FMO to ensure all requirements for forms approval are met.

7-21. 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, if the form is not altered.
- b. Do not generate or send unnumbered blank forms outside the staff agency/office to be filled in.
- c. Required form elements. (See DA Pam 25-31, para 1-10, for more information.)
 - (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). Place the proponent of the form in the title area as well.
 - (3) Superseding notice (if applicable). Place at bottom of form, centered, indicating any replaced forms or if any previous edition is obsolete or may be used.
- d. 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.
- e. See chapter 4, section II, for PA information.

7-22. Prescribing directives

Most forms require a prescribing directive. 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/element/office.
- b. Prescribing directives, other than a numbered memorandum, prescribe a command form for command-wide use.
- c. An Army regulation or other higher echelon 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 does not provide a form, but generates the development of a form, a command (USAR/MSC) directive **must** be published to prescribe that form.
- 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” form 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 05” or “The USAR Form XX-R (TEMPORARY) will expire on 1 Dec 05.”

7-23. Processing MSC forms for approval

Refer to AR 25-30, chapter 4, and DA Pamphlet 25-31 for complete information on forms processing. As a minimum, the FMO should follow these procedures and guidance:

a. 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. A sample of a completed DD Form 67 for command and local forms is in DA Pamphlet 25-31 at figure 1-2, with complete instructions.

b. As a minimum, ensure requesting/action officers complete the following blocks of the DD Form 67 for command and local forms:

- (1) Block 4. FROM.
- (2) Block 6. TO. (Should be addressed to the MSC IMO (Forms Manager).
- (3) Block 7. FORM TITLE. (Title should accurately describe purpose/function of form.)
- (4) Block 8. SUPERSEDED FORMS. (List all forms superseded by the new form.)
- (5) Block 9. PRESCRIBING DOCUMENT NUMBER. (If form is prescribed by a publication, enter publication number; if a correspondence memorandum prescribes form, enter the office symbol of the originating office and date of the memorandum. See paragraph 7-14 to determine which type of directive is required.)
- (6) Blocks 12a - 12e. DESIGN CONSIDERATIONS. (Check the appropriate boxes.)
- (7) Block 13. PURPOSE AND DESCRIPTION OF USE. (Include information on who should complete the form to and whom the completed form is submitted.)
- (8) Block 16. DOD COMPONENT office of primary responsibility(OPR) AND/OR ACTION OFFICER. (The requesting OPR/action officer should enter requested information.)
- (9) Block 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 block 16.)
- (10) Block 20. CLASS OF FORM. (Check all appropriate blocks.) Only EGA (electronically generated), LRA (locally reproducible), COMM (command), or LOCAL should apply.)
- (11) Block 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) Block 23. DESIGN CONSIDERATIONS. Check all appropriate blocks.
- (13) Block 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 the FMO receives a form request package (the form, a DD Form 67 and a prescribing directive, if appropriate), assign each blank form a number and a date (per para 7-20c(1) above). Indicate this information on a DA Form 642, Form Information Record (see sample at figure 7-1 and additional information in paragraph e(1) below) and in block 2 of the DD Form 67. Each type of form indicated below may have the same form number, but the designator and date will be different (e.g., USAR Form 30-R, 1 May 05; AFRC Form 30-R, 1 Jul 93). 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) USAR Form 30-R. “-R” indicates a locally reproducible form.
- (2) AFRC Form 9-E. “-E” indicates an electronically generated form.
- (3) USAR 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 RRSC 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 RRSC OVERPRINT 3-R (or XXth TSC 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. Coordinate the form package with applicable program managers listed in block 14 of the DD Form 67, Privacy Act (PA), Postal, Data Elements, and Reports (MICO). As a minimum, the PA official and the MICO must review the form package and sign off in block 14.

e. Controlling and tracking forms.

(1) The DA Form 642. Maintain a card file with a separate DA Form 642 (see figure 7-1) for each form (ARIMS Record Number 25-30e), although offices with the capability to maintain an automated information system containing the data elements of the DA Form 642, may do so. File DA Forms 642 in numerical order by each category and type of form described in paragraph 7-22c, 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 7-2) or an automated information system with an electronically generated log/register containing the same information (ARIMS Record Number 25-30e, Forms Number Registers). 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 7-2, 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 number to refer to for the latest action on that specific form. (*Because this register is not used for 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 ARIMS Record Number 25-30b2, Numerical Files (Internal) - offices other than office with Amy-wide responsibility. Each file should contain, as a minimum, the DD Form 67, several copies of the approved form, and the prescribing directive.

f. Approving forms. The FMO completes block 19 of the DD Form 67 when the FMO 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 number and line through the old entry, indicating the new register number in the "Disposition" column for the old form.

(b) After reviewing and approving the revised form, staple one copy of the superseded (old) version and the prescribing directive, if applicable, behind the old DD Form 67. Mark a diagonal slash across the 67, annotate that a new edition superseded the form, and indicate the date of the latest version of the form. Maintain this package in the form file with the new DD Form 67, the new form, and the new prescribing directive (if applicable).

(2) Rescinded or obsolete forms.

(a) When the proponent of the form provides notification 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) Pull the numerical file folder for that form and staple 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. Mark a diagonal slash across the 67, 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 ARIMS.

7-24. Electronic generation of forms (-E forms)

a. The DA, FORSCOM, or USAR Pamphlets 25-30 indicate that an electronically generated version of a form is approved when a "-E" designator follows the form number.

b. Designers of an -E version of a form must submit the form to the proponent for approval. [*Consult DA, FORSCOM, or USAR Pam 25-30 to identify proponents of higher headquarters' forms. Contact the MSC Forms Manager or consult the MSC'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 MSC FMO (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 requests within HQ, USARC for local forms, see USAR Memorandum 25-1, USAR Staff Guide, paragraph 9-5.

e. For MSC level forms:

(1) Design of an -E form version of an existing MSC form must print correctly on available printers.

Not all printers will print a form exactly the same way.

(2) Submit the -E version of a form to the MSC proponent for approval. If the MSC proponent approves the -E form for use, the proponent of the form should submit a DD Form 67 to the MSC (FMO) requesting approval of the -E form along with the -E version of the form. Only the MSC FMO can approve and authorize use of electronically generated versions of existing forms at each MSC headquarters.

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

7-25. Unauthorized forms

In order to prevent the design and submission of unauthorized forms (e.g., those without a form number and date or forms not found on official, published indexes, etc.):

a. Return any unauthorized versions of forms received to the submitting office or individual for resubmission using a valid version of the form.

b. Do not reproduce, distribute or complete unauthorized forms.

HQXX Form XX-R			
1 Jan 95	Service Request		7.33
FORM NO. AND DATE	TITLE		FUNCTIONAL CODE
DIRECTIVE (If applicable)		TYPE OF CONSTRUCTION	
XXX Reg 00-1		CUT SHEET	OTHER (Specify)
		X	
LOCATION OF STOCK		SIZE	
XXX Reg 00-1		8½ x 11	
ORIGINATING OFFICE		MONTHLY USAGE	
AR G-2/6		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 the MSC.

Figure 7-1. Sample DA Form 642, Forms Information Record

FORMS CONTROL REGISTER

For use of this form, see AR 25-30; the proponent agency is ODISC4

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>Revised 1997</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>Revised 2/97</i>
30	AFRC Form 9-R 20 Sep 92	Staff Coordination/Approval/Routing Sheet (SCARS)	LTC Seammion SGS 3816				30 Aug 92	1 Sep 92	TBP in Ch-1 to USARC Memo 25-1 and also sent
31									
32									
33									

DA FORM 4815-R, 1 OCT 1979

USAPPC V1.00

Figure 7-2. Sample of DA Form 4815, Forms Control Register

Chapter 8

Official mail program and Army Reserve NATO control points

Section I

Official mail program and postal operations

8-1. General

a. Official Mail. Official Mail and Distribution Centers process mail and distribution in accordance with the United States Postal Service Domestic Mail Manual (DMM), DOD 4525.8-M, and AR 25-51 with USARC Supplement 1. Official Mail Managers (OMMs) must ensure individuals do not have their paychecks and TDY travel checks addressed to their military address. Personal mail is sent to the individual's civilian address unless the soldier is living in a dormitory located on the Reserve Center compound.

b. Personal Mail. The company commander may authorize the mail center to process personal mail for soldiers living in dormitories located on the Reserve Center compound, if the Reserve Center Manager does not have a support agreement with the local post office for receipt, dispatch or delivery of personal mail. The commander may also authorize delivery of personal mail for newly assigned personnel for a period of up to 60 days or until the individual obtains a civilian address.

8-2. Official mail duty appointments

Official mail managers, assistant official mail managers (AOMMs), and custodian of the official mail stamp account (COMSA) must be designated on appointment memorandums. The format for these appointment memorandums are at figures 8-1 through 8-3.

AFRC-AZX-IM (600-8-3a)

Date

MEMORANDUM FOR Mr. Joe Smith, G-6, HQ, XZY RRSC

SUBJECT: Appointment of the Official Mail Manager

1. Effective 1 May 2005, you are assigned the duties of the Official Mail Manager for HQ, XZY RRSC.
2. Authority: HQ USARC Supplement 1 to AR 25-51, paragraph 1-6a(1).
3. Purpose: To perform the duties outlined in paragraph 1-6c, AR 25-51. As the official mail manager you are authorized to receipt for US 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 ZXY RRSC mail center.
4. Time of responsibility: Until relieved or released from appointment.
5. Area of responsibility: Command-wide.

JOHN B. RUSSELL
Colonel, GS
Deputy Chief of Staff, G-2/6

CF:
HQ, USARC (AFRC-CIS-I)

Figure 8-1. Sample appointment of OMM.

8-3. Required distribution of official mail duty appointments

- a. HQ USARC sends a copy of the OMM and AOMM appointments to HQ FORSCOM, G-6.
- b. MSCs send a copy of the OMM and AOMM appointments to the USAR OMM (AFRC-CIS-IP).
- c. The MSC OMM maintains copies of the COMSA appointments.
- 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.

AFRC-AZX-IM (600-8-3a)

Date

MEMORANDUM FOR SFC MIKE JONES, G-6, ZXY RRSC

SUBJECT: Appointment of the Assistant Official Mail Manager

1. Effective 1 May 2005, you are assigned the duties of the Assistant Official Mail Manager for ZXY RRSC.
2. Authority: HQ, USARC Supplement 1 to AR 25-51, paragraph 1-6a(1)(h).
3. Purpose: To perform the duties outlined in paragraph 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 RRSC 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, G-2/6

CF:
HQ, USARC (AFRC-CIS-IP)

Figure 8-2. Sample appointment of AOMM.

8-4. Proper completion of USARC Form 1000-R, Consolidated Semi-annual Postage Expenditure Report (RCS: ISC-76)

- a. Instructions for the proper completion of USARC Form 1000-R are in USARC Suppl 1 to AR 25-51, paragraph 2-46e.
- b. The suspense dates for the Consolidated Semi-annual Postage Expenditure Report to HQ, USARC are:
 - (1) First half of the fiscal year, no later than 15 March.
 - (2) Second half of the fiscal year, no later than 15 October.
- c. HQ, USARC suspense to HQ, DA for the quarterly postage expenditure report is:
 - (1) First half of the fiscal year, no later than 30 April.
 - (2) Second half of the fiscal year, no later than 31 October.

8-5. 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 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. The headquarters distribution list for publications is in each command's Pamphlet 25-30, the Command's Publications and Blank Forms Index.

8-6. Conducting official mail inspections of subordinate mail centers

The following criterion is used 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 Blocks are checked NO** on USARC Form 4-R USARC Official Mail Control Inspection Checklist, 1, 17, 19, 22, 34 and 37. A cover letter to be used for all official mail command inspections is at figure 8-4.

AFRC-AZX-IM (600-8-3a)

Date

MEMORANDUM FOR Ms Nancy Brown, Mail Clerk, G-6, ZXY RRSC

SUBJECT: Appointment of Custodian of the Official Mail Stamp Account (COMSA)

1. Effective 1 May 2002, you are assigned the duties of the COMSA for ZXY RRSC.
2. Authority: HQ, USARC Supplement 1 to AR 25-51, paragraph 1-6a(1)(h).
3. Purpose: To maintain accountability of all official mail stamps maintained at ZXY RRSC. The 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 RRSC mail center only.

JOHN B. RUSSELL
Colonel, GS
Deputy Chief of Staff, G-2/6

CF:
HQ, USARC (AFRC-CIS-I)

Figure 8-3. Sample appointment of COMSA.

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 2005. 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. Contact SSG Smith at (404) 555-1234 for additional information.

Encl

AMOS E. SMITH
LTC, GS
Deputy Chief of Staff, G-2/6

Figure 8-4. Sample cover memorandum to be used for all official mail command inspections

8-7. 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 should be made.
- b. The following are examples of consolidated mail from and to addresses:

**FROM ADDRESS: MAIL CENTER (AFRC-CIS-I)
US ARMY RESERVE COMMAND
1401 DESHLER STREET SW
FORT MCPHERSON GA 30330-2000**

**OFFICIAL BUSINESS
CONSOLIDATED MAIL**

**TO ADDRESS: MAIL CENTER (Office Symbol)
STREET ADDRESS
CITY STATE ZIP+4**

8-8. 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 hand carry 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.

8-9. Taking postage off a meter

The OMM must contact the local vendor representative for all computerized remote meters. The ascending reading and amount on the meter must be recorded and verified with the vendor at the time of turn-in. The vendor representative ensures that the remaining amount is either refunded or the amount is credited to the existing Advanced Deposit Trust account maintained between the organization, the US Postal Service and the vendor.

8-10. Mail security and handling

- a. A current copy of DA Pam 25-52 must be maintained in all USAR Official Mail Centers.
- b. All Official Mail Managers are required to develop their own localized SOP. As a minimum the following areas are addressed in the SOP:
 - (1) Mail facility inspections and procedures for inspecting mail facilities.
 - (2) A checklist for suspicious mail.
 - (3) Security of mail facilities and procedures for securing mail facilities and equipment, and an evacuation plan.
 - (4) Physical Security Threats.
 - (a) How to detect explosives.
 - (b) Telephonic bomb threat procedures.
 - (c) Procedures for identifying suspicious packages.
 - (d) Suspected contraband procedures.
 - (e) Procedures for the handling of suspected anthrax and other chemical and biological agents.

8-11. Mailing of documentation of unexcused absences (U-Letters)

- a. The current AR 135-91, Service Obligations, Methods of Fulfillment, Participation Requirements, and Enforcement Procedures, dated 1 February 2005, has changed the way we must mail U-Letters. Previously all U-Letters were required to be mailed by certified mail, restricted delivery, return receipt requested.
- b. The new requirement is certified mail, return receipt requested. Plus, only the first notification letter must go this way. The remaining notifications are sent by first class mail. The lower mailing restrictions for U-Letters will significantly reduce the mailing expense incurred by the Army Reserve. The lifting of the requirement for Restricted Delivery alone will save \$3.50 per letter.
- c. This is an item of interest on future OMM inspections.

8-12. Mailing of weapons

- a. Small amounts of Category II and IV weapons may be shipped via the U.S. Postal Service (USPS) registered mail in accordance with AR 190-11, and in compliance with the DMM. Categories of weapons are listed in AR 190-11, Appendix B.
- b. Coordination with the receiving facility or unit is imperative to ensure shipment of the weapons is expected, and that they are inventoried and properly secured immediately upon delivery.
- c. Category II and IV weapons can not be shipped by the United Parcel Service (UPS), Federal Express (FEDEX), or other like commercial carriers.
- d. Postmasters and Official Mail center employees are not authorized to give opinions on the legality of any other types of firearm mailings.
- e. Weapons are mailed with an affidavit signed by the addressee and certificate signed by the Commanding Officer. The affidavit must be filed with the Postmaster at the time of mailing. For required content of this affidavit, see USPS Domestic Mail Manual at 11.1.4.

Section II

Army Reserve North Atlantic Treaty Organization (NATO) sub-registry and control points

8-13. USAR NATO control sub-registry and control points

Procedures for processing and maintaining NATO classified documents are contained in USSAN Instruction 1-69 (AR 380-15). The USAR NATO sub-registry and USAR NATO Control Points are authorized to maintain only NATO material classified SECRET or below.

8-14. USAR NATO control sub-registry and control point responsibilities

- a. The Headquarters, USAR Commander, appoints a NATO Control Officer and alternate for the Command.
- b. The USAR Headquarters NATO Control Officer (and/or alternate) duties are:
 - (1) Establish and maintain a NATO Control Sub-registry for the command.
 - (2) Establish and disestablish NATO control points for the command.
 - (3) Manage all NATO documents and material in accordance with procedures and guidelines contained in United States Security Authority for NATO Affairs (USSAN) Instruction 1-69 and AR 380-15.

(4) Receipt for and log in all classified material on the Multiple NATO Material Log form (go to <https://secureweb.hqda.pentagon.mil/cusr>, select at the top, *Forms & Briefings*, scroll down and select *NATO Manual Document Log*)

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

(6) Destroy outdated NATO documents when no longer needed in accordance with the instructions contained in USSAN Instruction 1-69 and AR 380-15.

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

(8) Conduct a joint inventory of all NATO classified material upon change of NATO Control Officers.

(9) Provide the Central US Registry an updated copy of DAAG Form 29, Sub-registry/Control Point Signature List, upon change of NATO Control Officer or Alternate NATO Control Officer.

c. The MSC commanders are responsible for -

(1) Requesting establishment of a NATO control point (and ensure unit commanders do the same) when required.

(2) Appointing a NATO Control Officer and at least one alternate when a NATO control point has been established (and ensure unit commanders do the same).

d. Duties of the NATO Control Officer are -

(1) Manage all NATO documents and material in accordance with procedures and guidelines contained in USSAN Instruction 1-69 and AR 380-15.

(2) Receipt for and log in all NATO classified material on the Multiple NATO Material Log form (go to <https://secureweb.hqda.pentagon.mil/cusr>, select at the top, *Forms & Briefings*, scroll down and select *NATO Manual Document Log*).

(3) Destroy outdated or no longer needed documents or material in accordance with the instructions contained in USSAN Instruction 1-69 and AR 380-15.

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

(5) Each year, provide the USAR NATO Control Officer with an updated copy of DAAG Form 29 and an inventory of all NATO classified documents and material on hand as of 31 December.

Appendix A

References

Section I

Required Publications

AR 5-9

Area Support Responsibilities

AR 25-1

Army Knowledge Management and Information Technology Management

AR 25-30

The Army Publishing Program

AR 25-50

Preparing and Managing Correspondence

AR 25-51 with USARC Suppl 1

Official Mail and Distribution Management

AR 25-55 with FORSCOM Suppl 1

The Department of the Army Freedom of Information Act

AR 25-400-2

Army Records Information Management System (ARIMS)

AR 310-50

Authorized Abbreviations, Brevity Codes, and Acronyms

AR 335-15

Management Information Control System

AR 340-21

The Army Privacy Program

AR 380-5 with FORSCOM Suppl 1

Department of the Army Information Security Program

AR 380-15

Safeguarding Classified NATO Information (u)

USARC Regulation 380-5

Information Security

DOD Directive 4525.8-M

DOD Official Mail Manual

DOD Regulation 5400.7-R

Department of Defense Freedom of Information Act Program

DOD Directive 5400.11-R

Department of Defense Privacy Program

DA Pam 25-30

Consolidated Index of Army Publications and Blank Forms

DA Pam 25-31

Forms Management Analysis, and Design

DA Pam 25-33

User's Guide for Army Publications and Forms

DA Pam 25-40

Army Publishing: Action Officers Guide

DA Pam 25-51

The Army Privacy Program System of Record Notices and Exemption Rules

DA Pam 25-52

Mail Facility Security and Handling Suspicious Mail

DA Pam 600-67

Effective Writing for Army Leaders

FORSCOM Pam 25-30

FORSCOM Publications and Blank Forms Index

USARC Pam 25-30

USARC Publications and Blank Forms Index

FORSCOM Cir 25-xx-9

List of Approved Recurring Management Information Requirements

USAR Cir 25-xx-1

List of Approved Recurring Management Information Requirements

USAR Cir 25-xx-50

Office Symbols

USAR Memorandum 25-1

Staff Guide

US Postal Service Domestic Mail Manual (DMM)

Section II

Related Publications

DA&M(AR)-1467

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

Printing Plant Report, JCP Form 1

Commercial Printing Report, JCP Form 2 (DA & M (AR) 1467).

Annual Plant Inventory, JCP Form 5

Annual Inventory of Stored Equipment, JCP Form 6

DD-PA(A) 1365

The Annual FOIA Report, DD Form 2086

ISC-76

Consolidated Semi-annual Postage Expenditure Report, USARC Form 1000-R

Section III

Prescribed Forms (USAR/USARC forms are available for download from the USAR Intranet website at <https://usarcintra> [click on the "Command Pubs and Forms" link and go to the USAR Forms Index web page] and also at the AKO website at <https://www.us.army.mil/suite/login/welcome.html>).

USAR Form 9-R

Staff Coordination, Approval, and Routing Sheet (SCARS)

USAR Form 66-R

Freedom of Information Act Willingness to Pay Statement

USAR Form 67-R

Correspondence Correction Checklist

USAR Form 121-R

USARC Personnel Sheet

USAR Form 143-R

Executive Correspondence

USAR Form 145-R

Non-Disclosure Policy Acknowledgement Statement

USAR Form 146-R

Requirement Control System (RCS) Register/Log

USAR Label 1-R

Personal In Nature

USARC Label 3-R

For Official Use Only/Privacy Act (FOUO/PA) Requirements

Section IV

Related Forms

DA Form 12-R

Request for Establishment of a Publications Account

DA Form 17

Requisition for Publications and Blank Forms

DA Form 335-R

Application for Approval of Management Information Requirement

DA Form 642

Forms Information Record

DA Form 2028

Recommended Changes to Publications and Blank Forms

DA Form 2564

Annual Report – Freedom of Information Act

DA Form 3964

Classified Document Accountability Record

DA Form 4815

Forms Control Register

DA Form 4951

Lease/Purchase Analysis for Copying/Duplicating Machines

DA Form 5394-1

Printing Facility Productivity Report

DA Form 5695

Information Management Requirement/Project Document

DD Form 67

Form Processing Action Request

DD Form 1131

Cash Collection Voucher

DD Form 2086

Record of Freedom of Information (FOI) Processing Cost

DD Form 2086-1

Record of Freedom Of Information (FOI) Processing Cost for Technical Data

DD Form 2564

Annual Report - Freedom of Information Act

JCP Form 1

Printing Plant Report

JCP Form 2

Commercial Printing Report

JCP Form 5

Annual Plant Inventory

JCP Form 6

Annual Inventory of Stored Equipment

DAAG Form 29

Sub-registry/Control Point Signature List

FORSCOM Form 138-R

Equipment Designated for Reproduction of Classified Material

USAR Form 4-R

USAR Official Mail Inspection Checklist

USAR Form 8-R

Record of Stamps

USAR Form 1000-R

Consolidated Semi-annual Postage Expenditure Report

SF 135

Records Transmittal and Receipt

SF 135A

Records Transmittal and Receipt (Continuation)+

DA Label 87

For Official Use Only (FOUO)

FORSCOM Poster 93-R

Warning Reproduction of Classified Material with this Equipment is Prohibited

FORSCOM Poster 113-R

Privacy Act Information for Desk Top

USARC Label 4-R

"This Equipment Will Not Be Used to Process Classified Material"

Section IV
Administrative Services Recordkeeping Requirements

<u>RECORD NUMBER</u>	<u>RECORD TITLE</u>
1a	Office Records List
1g	Office Record Transmittals
1jj	Reference Publications
1n1	Office Mail Controls – Accountable Mail Receipts
1n2	Office Mail Controls – Documents other than accountable mail receipts
1oo	Policies and Precedents
1p1	Office Service and Supply Files - DA Form 12-Series
1u	Office Privacy Disclosure Accounts (if made PA disclosure to 3d parties)
1v3	Access Controls (forms used to record entry into vaults or containers)
1-201d	Staff Visits – Office conducting visit (OMM Inspections)
25	General Information Management Correspondence files
25-1d	Information Manager Designations/Appointments
25-1g	Information Management Surveys
25-30a2	Forms Management Reports – Office other than Offices of the Army Staff and major command headquarters
25-30b2	Numerical Files (Internal) – Offices other than office with Army-wide responsibility
25-30c	Numerical Files (External) (Optional)
25-30d	Functional Files
25-30e	Forms Number Registers
25-30g	Printing Equipment Controls (approvals for printing & duplicating equipment)
25-30i2	Centralized Instruction Background Files – HQDA, MACOM, and SUBMACOM headquarters, and elements in a combat area
25-30m	Printing Plant Job Jackets
25-30r1	Printing Reports
25-30z	Duplicating Controls
25-30aa	Printing and Binding Requisitions
25-30ee	Publication Reference Sets
25-30mm	Publication Record Sets – Headquarters, Department of the Army, Chief of Staff, HQDA staff agency, major command, and sub-command
25-30xx	Directives Development & Editing Files – Office responsible for editing, development, and improvement
25-30zz	Office Copier Files (to control Command Copiers)
25-51a	Official Indicia Costs
25-51b	Postage Meter Licenses
25-55a1	FOIA Requests, Access, and Denials – Replies granting access, replies to requests for nonexistent record, or replies to those failing to pay fees
25-55b	FOIA Administrative Files
25-55d	FOIA Controls
25-55e2	FOIA Reports – Other reports
25-55j	FOIA Acknowledgment
25-400-2a	Record Disposition Files
37g	Commitment Documents (DA Forms 3953 for IM Budget Officer's IMA contracts)
335	General Management Information Control Correspondence Files

335-15a	Management Information Control System Cases
335-15b	Management Information Control System and Output Registers
340-21a5	Privacy Cases - Office owning requested record (office of record)
340-21b2	Privacy Act Reports – Other than annual reports
600	General Personnel Correspondence Files
600-8-3a	Postal Personnel Designations
600-8-3f	Standing Delivery Orders
600-8-3g	Post Office Accountable Mail Receipts
600-8-3h	Mail Call and Hours of Collection Files
600-8-3j	Postal Lockbox Assignments
600-8-3m	Mail Routing Guides
600-8-3n	Mail Key Controls

Appendix B

Privacy Act (PA) and Freedom of Information Act (FOIA)

B-1. The PA and FOIA Fee Assessments

a. PA requests. Unless the same request was responded to at an earlier date or more than one copy is requested, do not assess fees on requests submitted under the provisions of the Privacy Act of 1974. Charge \$0.15 a page for duplicate copies (AR 340-21, The Army Privacy Program, para 2-8).

b. FOIA requests. Assess charges for requests submitted under the provisions of the FOIA as specified in AR 25-55 and DOD Regulation 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 and DD Form 2086-1 and applies uniformly to all requesters. These forms are at the back of DOD Regulation 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. FOIA officials 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 excisions, and the determination whether the record or some portion thereof must be referred to an Initial Denial Authority (IDA).

(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 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. As may be noted from DD Form 2086-1 no such waivers pertain to technical data.

e. The FOIA officials may, when requested under the FOIA, release records that could be used as evidence against the requester in a legal proceeding. Because law establishes the processing time, receipt of this documentation would generally be accomplished sooner 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 no charge.

c. Requests for personal records received from individuals other than the record subject that include release consent forms signed by the record subject naming the submitters as their agent or attorney are 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. Requests from opposing attorneys, even with a release consent statement bearing the notarized signature of the record subject, come under the FOIA, and are subject to fees.

B-3. Special service charges

a. The detailed charges for FOIA services are specified on DD Forms 2086 and DD Forms 2086-1. "Technical media," means non-paper 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. Using the 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. 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 out the case file.

b. Privacy Act requests do not require a willingness to pay statement (see paragraph B-1a, above). Thus, PA protected documents pertaining to the requester responsive to a FOIA request 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 IAW Public Law 97-365, The Debt Collection Act of 1982, as well as pay for the current request in advance, before a FOIA official processes a new or pending request (see also paragraph B-6, below).

e. Should a FOIA official 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 USARC Form 66-R, made out for the probable cost of completion. The letter should additionally offer the requester the option to reduce the scope of the request so as to reduce the charges. When the requester has not already agreed to bear greater charges, release the portion covered by the original USARC Form 66-R, with a cover letter explaining 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 produces responsive matter that falls under both the FOIA and the PA. Those that fall under the PA can be separated into those that are free from fees (the first copy) and those that are subject to charges (those previously released to the requester). The rest should respond to the FOIA request and are, therefore, liable for fees. Once separated into these categories, review all the documents to determine if the documents are exempt and should be forwarded to an IDA and so should be deducted from the prospective charges.

(1) Once the documents are separated by category, the FOIA official sends a USARC Form 66-R to the requester, made out for the sum of the anticipated charges, 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 sent a Willingness to Pay Statement.

(3) When a Willingness to Pay Statement is sent under these circumstances, the cover letter should make it clear that the specified figure assumes the best estimate, and that response to the PA portions of the request will 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 shall be abandoned if such a statement is not received 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 USC 3717, Interest and Penalty on Claims and Public Law 97-365.

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 express the intent and have the ability to inform the public about DOD 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.

Appendix C**List of Initial Denial Authorities (IDAs)**

Contact the HQ, USAR FOIA Official, at (404) 464-9359, in those rare cases where any of the below listed entities cannot be of assistance. The current list of IDAs is located in DOD Regulation 5400.7-R, Chapter 5 (<http://www.dtic.mil/whs/directives>).

C-1. For financial records

The Assistant Secretary of the Army (Financial Management) and Comptroller are authorized to act on requests for finance and accounting records.

Assistant Secretary of the Army
(Financial Management and Comptroller)
Defense Finance and Accounting Service -
ATTN: SAFM-SACO
109 Army Pentagon, Room 3E346
Washington, DC 20310-0109
Voice: (703) 692-2502
DSN: 224-2502
FAX: (703) 692-1723

C-2. For Inspector General reports of investigation

The Inspector General is authorized to act on requests for all inspector general records.

Office of the Inspector General
Records Release Office
2511 Jefferson Davis Highway
Arlington, VA 22202-3912
Voice: (703) 601-1093
DSN: 329-1093
FAX: (703) 607-5865

C-3. For personnel and medical records

The AR, G-1 is authorized to act on the following records: all personnel board actions, equal opportunity (military) and sexual harassment, health promotions, physical fitness and well being, command and leadership policy records, HIV and suicide policy, substance abuse programs except for individual treatment records which are the responsibility of the surgeon general, retiree benefits, services, and programs. Excluded are individual personnel records of retired military personnel which are the responsibility of the US Army Reserve Personnel Command, DA dealings with veterans affairs, US soldier's and airmen's home, retention, promotion, and separation, recruiting and MOS policy issues, personnel travel and transportation entitlements, military strength and statistics, the Army librarian, demographics, and man print.

Deputy Chief of Staff, G-1
ATTN: DAPE-ZXM
300 Army Pentagon, Room 1D374
Washington, DC 20310-0300
Voice: (703) 695-7783
DSN: 225-7783
FAX: (703) 695-6156

C-4. For records involving legal matters

The Judge Advocate General is authorized to act on requests for records relating to claims, courts-martial, legal services, administrative investigations and similar legal records. TJAG is also authorized to act on requests for general officer management actions and records, especially if those records relate to litigation in which the United States has an interest. In addition, TJAG is authorized to act on requests for records that are not within the functional areas of responsibility of any other IDA, including, but not limited to requests for records for commands and activities.

Office of the Judge Advocate General
ATTN: DAJA-AL
2200 Army Pentagon, Room 1E739
Washington, DC 20310-2200
Voice: (703) 588-6787
DSN: 425-6787
FAX: (703) 588-0155

C-5. For National Guard (NGB) records

The Chief, National Guard Bureau is authorized to act on requests for all personnel and medical records of retired, separated, discharged, deceased, and active military personnel, including technician personnel, unless such records clearly fall within another IDA's responsibility. This authority includes, but is not limited to, National Guard organization and training files, plans, operations and readiness files, policy files, historical files, files relating to National Guard military support, drug interdiction, civil disturbances, construction, civil works and ecology records dealing with armories, facilities within the states, ranges, equal opportunity investigative records, aviation program records and financial records dealing with personnel, operation and maintenance, and equipment budgets.

Chief, National Guard Bureau
ATTN: NGB-SDA-(FOIA)
1411 Jefferson Davis Highway
Arlington, VA 22202-3231
Voice: (703) 607-3195

DSN: 327-3195
FAX: (703) 607-3692

C-6. For records related to the Army Reserve as a whole

The Chief, Army Reserve is authorized to act on requests for all records relating to Army Reserve plans, policies, and operations, changes in the organizational status of Army Reserve units, mobilization and demobilization policies, active duty tours, and the individual mobilization augmentation program.

Chief, Army Reserve
ATTN: DAAR
2400 Army Pentagon
Washington, DC 20310-2400
Voice: (703) 601-0869
DSN: 329-0869
FAX: (703) 601-0836

**Appendix D
Typical Correspondence Routing Guide**

CORRESPONDENCE ROUTING GUIDE

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GLOSSARY

Section I

Abbreviations

AARA

access and amendment refusal authority

ADSM

Automated data systems manual

APD

Army Publishing Directorate (formerly US Army Publishing Agency (USAPA))

ARNG

Army National Guard

ARIMS

Army Records Information Management System (AR 25-400-2)

CONUSA

Continental US Army (numbered armies)

FMO

forms management officer

FOIA

Freedom of Information Act

FORSCOM

Forces Command

FRC

Federal Records Center

GPO

Government Printing Office

IDA

initial denial authority

JCP

Joint Committee on Printing

MFR

Memorandum for record

MPRJ

Military Personnel Records Jacket

MTOE

modification table of organization and equipment

OMAR

Operation and Maintenance, Army Reserve

OPA

Other Procurement, Army

NATO

North Atlantic Treaty Organization

PA

The Privacy Act of 1974 (Title 5, United States Code, Section 552a)

RCS

Requirement Control Symbol

RHA

records holding area

SF

Standard Form

SJA

Staff Judge Advocate

SSN

Social Security Number

USC

United States Code

USPS

US Postal Service

WNRC

Washington National Records Center

Section II***Terms*****Access and amendment refusal authority (AARA)**

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), paragraph 1-402, for the definition of an agency record.

Directive

The regulation, circular, message, or memorandum that establishes a reporting requirement. The Army Reserve and its subordinate commands are not authorized to use messages or memorandums to prescribe a reporting requirement for more than one year.

Freedom of Information Act (FOIA)

The FOIA (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.

Host activity

Host activity information technology support requirements are those functions that are necessary for operating and maintaining Reserve facilities and support to tenants. Support to tenants is further defined in this regulation.

Initial denial authority (IDA)

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 an RCS to needed agency management information requirements.
- 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 paragraph 1-10, AR 335-15.

Management Information Control Liaison Officer (MICLO)

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 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 5, para 5-3).

Management Information System

An 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.

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 SSN, but finger prints, photographs, to include x-rays, and certain chemical specifications might serve equally well.

Privacy Act (PA) records

Records containing personal information on specific individuals and retrieved by a personal identifier, such as a name or SSN. The Privacy Act of 1974 protects private information and therefore imposes stringent requirements on the maintenance of such records.

Privacy Act (PA)

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 print, 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. Notices to the public of newly established systems of records are 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 fully 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. The term "regardless of physical form or characteristics" includes electronic mail (e-mail). 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.

Section III***Special abbreviations and terms***

This publication uses the following abbreviations, brevity codes, or acronyms not contained in AR 25-52. They are used by the Army Reserve in the functions of recordkeeping, printing, official mail and other listed programs.

AOMM

Assistant Official Mail Manager

AR-FP

Army Reserve-Force Programs

COMSA

Custodian of the Official Mail Stamp Account

DAPS

Document Automation and Production Service

DFAS

Defense Finance and Accounting Service

DMM

United States Postal Service Domestic Mail Manual

DRC

direct reporting command

FAR

Federal Acquisition Regulations

IM

information management

IMO

information management officer or office

MICLO

Management Information Control Liaison Officer

MICO

Management Information Control Officer

MICS

Management Information Control System (AR 335-15)

OIP

Organization Inspection Program

OMM

Official Mail Manager

PCO

Printing Control Officer

RRSC

Regional Readiness Sustainment Command (formerly the Regional Readiness Command (RRC))

UNICOR

Federal Prison Industries