

**OFFICE MANAGEMENT**

**THE ARMY FUNCTIONAL FILES SYSTEM  
GENERAL PROVISIONS**

**Effective 1 January 1970**

This copy is a reprint which includes current pages from Changes 1 through 4.

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 No. 340-18-1 }

HEADQUARTERS  
 DEPARTMENT OF THE ARMY  
 WASHINGTON, DC, 14 August 1969

OFFICE MANAGEMENT  
 THE ARMY FUNCTIONAL FILES SYSTEM  
 GENERAL PROVISIONS

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*Limited supplemental directives to this regulation are authorized. Supplemental directives will be brief and will contain only that supplemental information essential to assure compliance with procedures herein. Two copies of each supplement issued by the heads of agencies and commands listed in paragraph 1-4b, c (1) and (2), and e, AR 340-1 will be forwarded immediately on issuance to The Adjutant General, ATTN: AGAR-P, Department of the Army, Washington, DC 20315.*

	Paragraph	Page
<b>CHAPTER 1. INTRODUCTION</b>		
Purpose and scope -----	1-1	1-1
Applicability	1-2	1-1
Definitions	1-3	1-1
Abbreviations -----	1-4	1-2
Major functional files categories and governing regulations	1-5	1-2
Principles of TAFSS -	1-6	1-2
List of selected file numbers -----	1-7	1-3
<b>2. LABELING PROCEDURES</b>		
Functional file numbers	2-1	2-1
Label entries under TAFSS	2-2	2-1
Label entries for exceptions to disposition instructions	2-3	2-2
<b>3. DISPOSITION PROCEDURES</b>		
<b>Section I. GENERAL FILES DISPOSITION PROCEDURES</b>		
Objectives -----	3-1	3-1
Source of retention periods ---	3-2	3-1
Changes to retention periods -----	3-3	3-1
Files disposal requirements -----	3-4	3-1
Emergency or accidental disposal of records	3-5	3-2
<b>II. PROCEDURES FOR APPLYING DISPOSITION INSTRUCTIONS</b>		
Disposition procedures --	3-6	3-2
Disposition instructions -----	3-7	3-2
Deviations from disposition instructions	3-8	3-4
Transfer of classified files to records holding areas -----	3-9	3-5
Retirement of classified files -----	3-10	3-5
Intra-Army transfer of files -----	3-11	3-5
Transfers to other Government agencies	3-12	3-5
<b>III. SPECIAL TRANSFER, RETIREMENT, AND DESTRUCTION PROCEDURES</b>		
Disposition of joint records -----	3-13	3-6
COSMIC, NATO, SEATO, and CENTO documents -----	3-14	3-6

\*This regulation, together with AR 340-18-2, AR 340-18-3, AR 340-18-4, AR 340-18-5, AR 340-18-6, AR 340-18-7, AR 340-18-8, AR 340-18-9, AR 340-18-10, AR 340-18-11, AR 340-18-12, AR 340-18-13, AR 340-18-14, and AR 340-18-15, all dated 14 August 1969, supersedes AR 345-210, 31 October 1962, including all changes.

	Paragraph	Page
<b>CHAPTER 3. DISPOSITION PROCEDURES—Continued</b>		
<b>Section IV. DISPOSITION ON CHANGE IN ORGANIZATIONAL STATUS</b>		
Transfer of functions -----	3-15	3-6
Discontinuance of Departmental Headquarters agencies -----	3-16	3-6
Discontinuance or change in status of field agencies and elements -----	3-17	3-7
Units of the United States Army Forces Strike Command and the United States Strategic Army Forces -----	3-18	3-8
Orders changing status -----	3-19	3-8
<b>CHAPTER 4. MAINTENANCE AND REFERENCE PROCEDURES</b>		
<b>Section I. GENERAL</b>		
General -----	4-1	4-1
Purpose -----	4-2	4-1
<b>II. MAINTENANCE PROCEDURES</b>		
General -----	4-3	4-1
Dual responsibilities -----	4-4	4-1
File authority -----	4-5	4-1
Inspection of papers -----	4-6	4-1
Assembly of papers -----	4-7	4-2
Fastening -----	4-8	4-2
Posting file numbers -----	4-9	4-2
Backing sheets -----	4-10	4-3
Cross-reference -----	4-11	4-3
Consolidated cross-reference sheet -----	4-12	4-3
Content listing sheet -----	4-13	4-3
Sorting papers for file -----	4-14	4-4
Use of guides and folders -----	4-15	4-4
Position of guides -----	4-16	4-4
Position of folder labels -----	4-17	4-4
Security classified papers -----	4-18	4-5
Cover sheets -----	4-19	4-5
Filing bulky material -----	4-20	4-5
Maintenance of records in libraries -----	4-21	4-5
<b>III. ALPHABETICAL ARRANGEMENTS</b>		
General -----	4-22	4-7
Subject-alphabetic arrangement -----	4-23	4-7
Proper name arrangement -----	4-24	4-7
Geographical location arrangement -----	4-25	4-7
Organizational arrangement -----	4-26	4-7
<b>IV. NUMERICAL ARRANGEMENT</b>		
General -----	4-27	4-8
Date arrangement -----	4-28	4-8
Straight numerical arrangement -----	4-29	4-8
Duplex number arrangement -----	4-30	4-8
Terminal digit arrangement -----	4-31	4-8
<b>V. REFERENCE PROCEDURES</b>		
General -----	4-32	4-8
Submission of requests -----	4-33	4-8
Charge-out record -----	4-34	4-8
Cover for charged out files -----	4-35	4-9
Charge-out suspense and followup -----	4-36	4-9

APPENDIX A. RULES FOR ALPHABETICAL FILING

B. DIVISIONS OF THE ALPHABET

C. SORTING

D. TERMINAL DIGIT FILING

E. MAINTENANCE AND DISPOSITION OF OFFICE HOUSEKEEP-  
ING FILES

~~F. FILE-NUMBER-CONVERSION TABLE~~

Paragraph	Page
----	A-1
----	B-1
----	C-1
----	D-1
----	E-1
-----	<del>F-1</del>

	Paragraph	Page
<b>CHAPTER 3. DISPOSITION PROCEDURES—Continued</b>		
<b>Section IV. DISPOSITION ON CHANGE IN ORGANIZATIONAL STATUS</b>		
Transfer of functions .....	3-15	3-6
Discontinuance of Departmental Headquarters agencies .....	3-16	3-6
Discontinuance or change in status of field agencies and elements .....	3-17	3-7
Units of the United States Army Forces Strike Command and the United States Strategic Army Forces .....	3-18	3-8
Orders changing status .....	3-19	3-8
<b>CHAPTER 4. MAINTENANCE AND REFERENCE PROCEDURES</b>		
<b>Section I. GENERAL</b>		
General .....	4-1	4-1
Purpose .....	4-2	4-1
<b>II. MAINTENANCE PROCEDURES</b>		
General .....	4-3	4-1
Dual responsibilities .....	4-4	4-1
File authority .....	4-5	4-1
Inspection of papers .....	4-6	4-1
Assembly of papers .....	4-7	4-2
Fastening .....	4-8	4-2
Posting file numbers .....	4-9	4-2
Backing sheets .....	4-10	4-3
Cross-reference .....	4-11	4-3
Consolidated cross-reference sheet .....	4-12	4-3
Content listing sheet .....	4-13	4-3
Sorting papers for file .....	4-14	4-4
Use of guides and folders .....	4-15	4-4
Position of guides .....	4-16	4-4
Position of folder labels .....	4-17	4-4
Security classified papers .....	4-18	4-5
Cover sheets .....	4-19	4-5
Filing bulky material .....	4-20	4-5
Maintenance of records in libraries .....	4-21	4-5
<b>III. ALPHABETICAL ARRANGEMENTS</b>		
General .....	4-22	4-7
Subject-alphabetic arrangement .....	4-23	4-7
Proper name arrangement .....	4-24	4-7
Geographical location arrangement .....	4-25	4-7
Organizational arrangement .....	4-26	4-7
<b>IV. NUMERICAL ARRANGEMENT</b>		
General .....	4-27	4-8
Date arrangement .....	4-28	4-8
Straight numerical arrangement .....	4-29	4-8
Duplex number arrangement .....	4-30	4-8
Terminal digit arrangement .....	4-31	4-8
<b>V. REFERENCE PROCEDURES</b>		
General .....	4-32	4-8
Submission of requests .....	4-33	4-8
Charge-out record .....	4-34	4-8
Cover for charged out files .....	4-35	4-9
Charge-out suspense and followup .....	4-36	4-9

14 August 1969

AR 340-18-1

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ING FILES

~~F. FILE-NUMBER-CONVERSION TABLE~~

Paragraph	Page
----	A-1
----	B-1
----	C-1
----	D-1
----	E-1
-----	<del>E-1</del>

## CHAPTER 1

### INTRODUCTION

**1-1. Purpose and scope.** *a.* This regulation contains instructions on the use of the Army Functional Files System (TAFFS).

*b.* Chapters 1, 2, and 3 explain the principles and application of TAFFS, the use of functional file numbers, the preparation of labels, and files disposition procedures. Chapter 4 and appendixes A, B, C, and D contain files maintenance and reference procedures and also describe methods of identifying and arranging file subdivisions under TAFFS.

*c.* Appendix E contains file numbers, descriptions, and retention periods for Office Housekeeping Files.

**1-2. Applicability.** *★a.* The Army Functional Files System will be used by all elements of the Department of the Army. A special adaptation of the system for Active Army TOE units below the division level, Army Reserve elements, ROTC elements, Army National Guard Advisor Groups, and TD units conducting basic combat training or advanced individual training is contained in AR 340-2. TAFFS will be applied to all unclassified and FOUO files and all classified files through SECRET. TOP SECRET files may be set up under TAFFS or in any other manner that will facilitate local control and accountability.

*b.* TAFFS will not be applied to publications and blank forms stocked for filling requisitions;

reference material and books in formally organized and officially designated libraries; spoiled or damaged photographic film; and reproduction materials such as stencils and multilith plates.

*★c.* COSMIC, NATO, SEATO, and CENTO documents will not be identified under TAFFS. The disposition authority applicable to Army records does not constitute authority for destruction of these records. However, some Army records used in controlling and receipting for these documents should be identified under TAFFS (para 3-14).

**1-3. Definitions.** *The Army Functional Files System.* A system for identifying and arranging Army records to facilitate reference and disposition. Records of joint commands and activities for which the Department of the Army has been designated executive agent or management agent are considered Army records for the purpose of TAFFS. TAFFS provides for the division and identification of records into 15 distinct categories. One category is reserved for Office Housekeeping Files. Each of the remaining 14 categories relates to a selected major function (or functional group) of the Department of the Army. The 15 categories of files and the regulations pertaining to each category are listed in paragraph 1-5.

*b. Retention period.* The length of time a file must be kept before it is destroyed. Files not authorized for destruction have a retention period of "permanent."

*c. Disposition instructions.* Instructions for the cutoff, transfer, retirement, or destruction of files. Standard disposition instructions are contained in paragraph 3-7. Precise disposition instructions which specify the date or event for cutoff, transfer, retirement, or destruction of files are required on file labels. See paragraph 3-7 for examples.

*d. Cutoff.* The termination of a file at specified periodic intervals of time to permit transfer, retirement, or disposal in a complete block.

*e. Discontinuance.* The placing of an organization in an inactive status or in surplus status when all military functions have ceased. Whenever the term is used in this regulation, it will be interpreted to include "inactivation," "disbandment," and "reduction to zero strength."

**1-4: Abbreviations.** Common abbreviations used with TAFFS and intended especially for use on labels are as follows:

CFA	-- current files area
COFF	-- cutoff
dest	-- destroy
disc	-- discontinuance
FRCCN	-- federal records center
NPRC	-- National Personnel Records Center
ORCEN	-- overseas records center
PIF	-- place in inactive file
★RIFFP	-- reference paper
ret	-- retire; retirement
RHA	-- records holding area
TAFFS	-- The Army Functional Files System
trf	-- transfer
USAAC	-- U.S. Army Administration Center
WNRC	-- Washington National Records Center

**1-5. Major functional files categories and governing regulations.**

Office Housekeeping Files.....	AR 340-18-1
Planning, Programing, Management, Historical, and Combat Development Files.....	AR 340-18-2
Finance and Fiscal Files.....	AR 340-18-3
Legal and Information Files.....	AR 340-18-4
Intelligence, Security, Military Police, and Mapping Files.....	AR 340-18-5

General Personnel Management and Safety Files.....	AR 340-18-6
Military Personnel Files.....	AR 340-18-7
Civilian Personnel Files.....	AR 340-18-8
Medical Files.....	AR 340-18-9
Training and Education Files.....	AR 340-18-10
Communications Files.....	AR 340-18-11
Transportation Files.....	AR 340-18-12
Research and Development Files.....	AR 340-18-13
Logistics Files.....	AR 340-18-14
Facilities Files.....	AR 340-18-15

**1-6. Principles of TAFFS.** *a.* The Army Functional Files System is based on the concept that each Army element or office maintains records documenting the performance of one or more specific functions or subfunctions. These functions may be to procure supplies, allot funds, assign military personnel, pay employees, or any of hundreds of others.

*b.* In carrying out the assigned functions or subfunctions, the responsible office may engage in one or more activities. For example, the following activities may be performed in the personnel movements section of a transportation office: prepare installation or activity transportation plans; prepare and maintain statistical data relating to space requirements and personnel movement costs; arrange for the movement of troops as individuals or groups, including accompanying material and impediments; aid in obtaining passports; inspect baggage of military personnel, and issue necessary clearance certificates for its shipment; maintain, account for, and issue transportation requests and meal tickets; maintain, account for, and issue local ferry tickets, bridge toll tickets, and local commercial bus tokens; and issue local instructions relating to the movement of personnel. All these activities support the basic function of providing *transportation for personnel*. All the file numbers needed to arrange records maintained to document these activities are contained in AR 340-18-12 which governs the maintenance and disposition of transportation records.



16 July 1970

C 1, AR 340-18-1

c. In addition to records documenting the performance of mission activities, the office will generate certain records on the administration of the office. These records relate to such matters as requests for furniture, equipment, and supplies required to operate the office; instructions on office operating procedures and staff duty assignments; participation in charitable fund drives; and allocation of funds and personnel to operate the office. These matters are not directly related to the office's mission of providing transportation services. Therefore, the records on these matters are house-keeping in nature, and appendix E is used to select file numbers.

**1-7. List of selected file numbers.** A list of file numbers used in an office will be prepared to facilitate filing and reference, to aid in training new personnel, and to eliminate the constant referral to this regulation or other regulations in the AR 340-18 series. The list will contain the file numbers, file titles, and if desired, a brief description of each file maintained in the office. This list will be kept current by making changes as file numbers are added or deleted from the file. A copy of each list and change will be furnished the records management officer for review to insure that proper file numbers are being used. A recommended format for preparation of the list of selected file numbers is shown at figure 1-1.

**LIST OF SELECTED FILE NUMBERS****Program Branch, Office Management Division, TAGO**

- 201-01 Records Management Instruction Files.**  
Documents affecting the content of AR's or other publications for which the branch is proponent. Recommendations, coordination actions, and copies of the publication.
- 201-02 Records Management Administrative Files.**  
Documents concerning routine questions on TAFFS, replies, and suggestions; but not documents revising publications.
- 201-07 Records Management Reference Paper Files.**  
Drafts, notes, extra copies of documents, and other working papers accumulated in preparing official actions.
- 220-01 Records Management Survey Files.**  
Letters of notification, survey reports, and replies thereto.
- 220-02 Records Management Survey Background Files.**  
Documents accumulated prior to and during surveys. Installation organization charts, statements of functions, local directives, statistical data on records volume, and general notes.
- 220-07 Congressional Authorization Files.**  
Documents authorizing disposal of Army records and background data. Files disposition studies, archival appraisals, coordination actions, congressional approvals.
- 220-12 Microfilming Job Files.**  
DA Forms 1500 (Records analysis sheet for proposed microfilming projects), approvals, test reports, and letters authorizing the destruction of the paper records microfilmed.
- 220-13 Records Holding Reporting Files.**  
Feeder reports and consolidated reports of record holdings.
- 220-14 Records Center Statistical Reporting Files.**  
Feeder reports and consolidated reports.

*Figure 1-1.*

## CHAPTER 2 LABELING PROCEDURES

**2-1. Functional file numbers.** *a.* The file number assigned to a file by appendix E or other regulations in the AR 340-18 series serves to identify the documents it contains for filing and reference, and represents the disposition authority. File numbers, by their composition, represent three significant elements: the major or primary functional category, the subdivision of the category, and the numerical sequence in which the file is described under the subdivision. For example, file number 314-09 (which is described in AR 340-18-3) represents:

File Number	3	14	-09	
Major Functional Category	300			
Subdivision of major category		314		
Sequence of file description				314-09

★*b.* In the above example, the first digit (3) represents the major functional category of *Finance and Fiscal Administration* which has been assigned the numerical file classification of 300. The two digits preceding the hyphen (14) represent the subdivision *Nonappropriated Funds*. The number (09) following the hyphen represents the ninth file described under Nonappropriated Funds, and describes files accumulated in the process of administering nonappropriated fund accounts. The file number for records described as Nonappropriated Fund Account Files is, therefore, 314-09.

**2-2. Label entries under TAFSS.** *a. General.* This paragraph explains the preparation of labels under TAFSS. File drawers, bookcases, shelves, other file containers, and folders will be labeled to facilitate filing, searching, and disposition. The labels prescribed in chapter 3, AR 340-1 will be used for labeling folders and guides, except that information may be placed directly on folders when fewer than six folders are being prepared. Drawer labels will be prepared on card stock. All labels will be typewritten; when this is not practicable, they will be hand-lettered. Abbreviations in AR 310-50 and paragraph 1-4 may be used.

*b. Captions.*

(1) Folder labels will bear the file number, file title, year of file (when applicable), and disposition instructions for the file, in that sequence. The file number and file title are entered on the

label as they appear in appendix E or in other regulations in the AR 340-18 series. The disposition instructions are those in paragraph 3-7 which are applicable to the specific retention period for the file as shown in the disposition column of appendix E or other regulations in the AR 340-18 series. The following examples illustrate the proper entry of information on labels. For clarity, file titles have not been abbreviated in the illustrations.

(a) *Headquarters, Department of the Army Offices:*

1101-02 Audio-visual Administrative Files  
(70)  
COFF 31 Dec 70, Dest Jan 73  
411-02 Legislative Comment Files (70)  
COFF 31 Dec 70, Ret WNRC Jan 73  
Dest Jan 76

(b) *Army Field Commands:*

1108-11 Unit Mailroom Inspection  
Files (70)  
COFF 31 Dec 70, Dest Jan 72  
509-10 Traffic Survey Files (70)  
COFF 31 Dec 70, Trf RHA Jan 72  
Dest Jan 73

(2) When a file series consists of a number of folders identified by the same file number, only the label on the first folder of the series need show the file number, file title, year of file, and disposition instructions. Labels on the other folders in the same series need show only the file number, a brief identification of the material in the folder, and the year of file. For example, if training inspections, training memorandums, and training schedules were filed in separate folders from other material in the training media file (1002-07), these separate folders would require only the following information on the folder labels:

1002-07 Training Inspections	(70)
1002-07 Training Memorandums	(70)
1002-07 Training Schedules	(70)

★(3) When a file series of the type described above comprises one or more file drawers, the posting of the file number and other information to each folder label or document is not required. Usually, the documents in a file series of this volume will bear a distinctive identification (e.g., the name on a personnel records jacket or financial data records folder, the number on a voucher, etc.).

In these instances, only the label on the first folder (or dummy folder) of the series and the label on the first drawer or other container must contain the complete identification and disposition instructions. Remaining folders and drawers or other containers need only be identified by the name, number, or other feature identifying the contents. A dummy folder contains no file material. It may be used when needed to insure that a label containing complete file identification and disposition instructions remains at the front of the file series even though the addition of new subdivisions or withdrawal of original subdivisions may alter the sequence of folders within the file series.

★(4) When a file drawer or other container contains more than one file series, information on the drawer label may be limited to a brief general description of the contents of the drawer.

(5) If TOP SECRET files are arranged under a system other than TAFSS, the labels will contain as much of the information specified in (1) above as it is practicable to place on them.

(6) When the disposition of a file is governed by the occurrence of an event or completion of an action, complete disposition instructions often cannot be determined in advance. Therefore, only the file number, file title, and instructions stating when to place the documents in an inactive file (PIF) are shown on the active file folder. Upon occurrence of the event or completion of the action, the documents become inactive and are transferred to an inactive file. The complete disposition instructions can then be determined and are placed on the folder containing the inactive documents. For example, documents concerning the designation of a postal clerk, while the appointment is in effect,

would be maintained in a folder identified as follows:

1108-05 Postal Personnel Dsg Files  
PIF upon termination of designation

Assume the designation of the postal clerk was terminated on 17 March 1970. The documents designating that postal clerk would become inactive on that date and transferred to the 1970 inactive files. The label entries on the folder containing the inactive documents would appear as follows:

1108-05 Postal Personnel Dsg Files (70)

INACTIVE

COFF 31 Dec 70, Trf RHA Jan 72

Dest Jan 73

**2-3. Label entries for exceptions to disposition instructions.** Where written exceptions to disposition instructions or retention periods have been granted, a reference to the document authorizing the exception will be included on the folder label either after the file number or after the disposition instructions. A simple way to do this is to serially number all exceptions received and then use the appropriate exception number in parentheses as part of the file number. For example, if an exception has been granted to an installation to retain manpower survey and TOE criteria files, described under file number 603-02, for an additional year, and the exception is number 9 on the list, the file number entry on the label would read 603-02(9). Another way to record the authority for the exception is to enter a reference to the authorizing document after the disposition instructions. *For example:*

603-02 Mpr Surv & TOE Criteria Files (70)

COFF 31 Dec 70, Dest Jan 77

(ltr AHFAG-A, 14 Jul 69)

## CHAPTER 3

### DISPOSITION PROCEDURES

#### Section I. GENERAL FILES DISPOSITION PROCEDURES

**3-1. Objective.** One of the objectives of the Army records management program is to preserve records of continuing value, systematically eliminate all other records, and remove less active current records from office space to low cost storage space. This insures preservation of permanent records, increases the usefulness of the records, and reduces the cost and effort of recordkeeping. To achieve this objective, standard procedures have been established for the disposition of all Army records.

**3-2. Source of retention periods.** Retention periods for specific Army files are published in the disposition columns in appendix E and in AR 340-18-2 through AR 340-18-15. Retention periods for files are presently described in the cited regulations are established on the basis of analyses made by The Adjutant General. The heads of agencies and major commanders will submit recommendations for the disposition of files not covered by existing disposition authority only when requested by The Adjutant General. Recommendations for changes to existing retention periods will be submitted without prior approval of The Adjutant General only when necessary to resolve conflicting instructions between records management regulations and other regulations.

**3-3. Changes to retention periods.** Retention periods are changed periodically as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. The changes are applied in accordance with the general rules in *a* and *b* below.

*a. Increased retention period.* If the change increases the retention period, the new retention period will be applied to all files of the description regardless of where they are maintained or when they were created. Inactive and cutoff files will be brought under the new retention period.

*b. Reduced retention period.* If the change reduces the retention period, the new retention period will be applied retroactively unless it is impractical or uneconomical to do so. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on

an individual basis, it normally would be more economical to retain the files for the longer period than to attempt to apply the change.

**3-4. Files disposal requirements.** *a. General.* Files authorized for destruction will be sold as waste paper, destroyed, or with the prior approval of The Adjutant General, donated to any government, organization, institution, or corporation which has made application for them.

*b. Files salvage and disposal.* Files authorized for destruction will be reported to the property disposal officer who will determine whether they will be destroyed or sold as waste paper. Army contracts for the sale of files will prohibit their resale if they have not been treated in a manner to destroy their content. Classified documents, when authorized for disposal under prescribed disposition instructions, will be destroyed according to the methods prescribed in AR 380-5. AR 380-5 in itself, however, does not constitute authority for disposal of classified documents, but prescribes only the methods by which such documents are to be destroyed. Disposition authority contained in Army records management directives is applicable to both classified and unclassified documents.

*c. Donation of files.* Files authorized for destruction that possess historical or sentimental value unique to any government, organization, institution, or corporation may be donated on the request of such agency or organization with the prior approval of The Adjutant General. All requests will include a description of the files, the organization possessing the files, and the agency to which the files are to be donated.

**3-5. Emergency or accidental disposal of records.** *a. Emergency disposal.* Pursuant to the Records Disposal Act of 1943, records in the custody of the Army outside the territorial limits of the continental United States may be destroyed at any time during the existence of a state of war between the United States and any other nation, or when hostile action by a foreign power appears imminent, if their retention is prejudicial to the

interests of the United States. When emergency disposal is effected, a list of files destroyed and the inclusive dates of each file will be compiled to the extent possible. This list will be forwarded to HQDA (DAAG-ASR-P) TAGO BLDG FALLS (CHURCH VA 22041.

*b. Accidental disposal.* In cases of accidental loss or destruction of files by fire or other causes, the following actions will be taken:

(1) Reconstruction of as much of the lost or destroyed permanent files as possible. For example, organization planning files will be reconstructed by replacing the lost or destroyed

documents with reference copies maintained in other offices or other agencies. Other permanent files will be reconstructed in the same manner if the lost or destroyed documents can be identified and copies can be obtained from other sources.

(2) When it is not possible to reconstruct permanent files, they will be identified on an SF 135 (Records Transmittal and Receipt) at the time of transfer of records of the same date period to a records holding area or oversea records center. This information, in turn, will be included on the SF 135 at the time of retirement of related records to a records center in the continental United States.

## Section II. PROCEDURES FOR APPLYING DISPOSITION INSTRUCTIONS

**3-6. Disposition procedures.** *a.* Except as provided in (1) and (2) below, records designated for retirement will be retired on a calendar and fiscal year basis to the Washington National Records Center, GSA.

(1) Records for which the disposition column in the AR 340-18 series provides for retirement to another records center will be retired to that records center.

(2) Records designated for retirement by Corps of Engineers divisions, districts, and class II off-post activities will be retired to the GSA Federal Records Center serving the geographical area in which the creating office or activity is located.

*b.* For most files, the disposition column in appendix E or in other regulations in the AR 340-18 series provides only the retention period for the file (e.g., destroy after 2 years, destroy after 10 years, destroy after card is filled, etc.). In these instances, the disposition instructions in paragraph 3-7 will be used to determine the exact cutoff, transfer, retirement, and disposal dates.

*c.* For some files, the disposition column also provides specific instructions for cutoff, transfer, retirement, or establishment of inactive files. In these instances the specific instructions rather than the standard disposition instructions in paragraph 3-7 will be followed.

**★3-7. Disposition instructions.** The instructions for the cutoff, disposal, and retirement of files based on general time periods or events are listed below. Unless otherwise indicated in specific disposition instructions in the AR 340-18 series, retention periods begin on cutoff of the files. The following are examples of specific instructions containing exceptions to the general time periods and events: destroy when registrant becomes 36 years of age; withdraw and destroy on departure of the individual; destroy when superseded; destroy after next survey; and destroy the day following last entry on the form. After each instruction listed below, examples are shown of how disposition instructions should read on file labels for 1970 calendar and fiscal year files.

*a. 1 month.* Files having a retention period of 1 month or 30 days will be cut off at the end

of the month, held one month in the current files area, and then destroyed.

*Example:*

★COFF 30 Apr 70, Dest Jun 70.

*b. 3 months.* Files having a retention period of 3 months or 90 days will be cut off at the end of each quarter, held three months in the current files area, and then destroyed. *Example:*

★COFF 31 Mar 70, Dest Jul 70.

*c. 6 months.* Files having a retention period of 6 months will be cut off semiannually as of 30 June and 31 December, held six months in the current files area, and then destroyed.

*Example:*

★COFF 30 Jun 70, Dest Jan 71.

*d. 1 year.* Files having a retention period of 1 year will be cut off at the end of the calendar year or fiscal year, held one year in the current files area, and then destroyed. *Examples:*

*Calendar year file.* COFF 31 Dec 70, Dest Jan 72.

*Fiscal year file.* COFF 30 Jun 70, Dest Jul 71.

*e. 2 years.* Files having a retention period of 2 years will be cut off at the end of the calendar year or fiscal year, and disposed of as follows:

(1) Files of all offices of Headquarters, DA, will be held in the current files area until the expiration of the 2-year period, and then destroyed.

*Examples:*

*Calendar year file.* COFF 31 Dec 70, Dest Jan 73.

*Fiscal year file.* COFF 30 Jun 70, Dest Jul 72.

(2) Files of Army field commands will be held 1 year after cutoff in the current files area, then transferred to the records holding area or oversea records center where they will be held until the expiration of the 2-year period, and then destroyed. *Examples:*

*Calendar year file.* COFF 31 Dec 70, Trf RHA Jan 72, Dest Jan 73.

*Fiscal year file.* COFF 30 Jun 70, Trf RHA Jul 71, Dest Jul 72.

(3) Where a records holding area is not authorized or there is no oversea records center, the files will be held in the current files area for the entire 2-year period. *Examples:*

*Calendar year file.* COFF 31 Dec 70, Dest Jan 73.

*Fiscal year file.* COFF 30 Jun 70, Dest Jul 72.

*f. More than 2 years.* Disposable files having retention periods of more than 2 years will be cut

off at the end of the calendar year or fiscal year and disposed of as follows:

(1) Files of all offices of Headquarters, DA, will be held 2 years after cutoff in the current files area. The files will then be retired to the designated records center where they will be held until expiration of their retention periods, and then destroyed.

*Examples:*

*3-year calendar year file.* COFF 31 Dec 70, Ret WNRC Jan 73, Dest Jan 74.

*3-year fiscal year file.* COFF 30 Jun 70, Ret WNRC Jul 72, Dest Jul 73.

★*6-year calendar year file.* COFF 31 Dec 70, Ret WNRC Jan 73, Dest Jan 77.

*6-year fiscal year file.* COFF 30 Jun 70, Ret WNRC Jul 72, Dest Jul 76.

(2) Files of Army field commands will be held 1 year after cutoff in the current files area, then transferred to the records holding area or oversea records center. Files having a retention period of 6 years or less will be held in the records holding area or oversea records center for the remainder of their retention period, and then destroyed. *Examples:*

*3-year calendar year file.* COFF 31 Dec 70, Trf RHA Jan 72, Dest Jan 74.

*3-year fiscal year file.* COFF 30 Jun 70, Trf RHA Jul 71, Dest Jul 73.

*6-year calendar year file.* COFF 31 Dec 70, Trf RHA Jan 72, Dest Jan 77.

*6-year fiscal year file.* COFF 30 Jun 70, Trf RHA Jul 71, Dest Jul 76.

Files having a retention period of more than 6 years will be held 2 years in the records holding area or oversea records center, retired to the designated CONUS records center where they will be held until expiration of their retention periods, and then destroyed. *Examples:*

*10-year calendar file.* COFF 31 Dec 70, Trf RHA Jan 72, Ret WNRC Jan 74, Dest Jan 81.

*10-year fiscal year file.* COFF 30 Jun 70, Trf RHA Jul 71, Ret WNRC Jul 73, Dest Jul 80.

(3) Where records holding areas are not authorized or there is no oversea records center, files having a retention period of 6 years or less will be held in the current files area for the entire retention period, and then destroyed. *Examples:*

*3-year calendar year file.* COFF 31 Dec 70, Dest Jan 74.

*3-year fiscal year file.* COFF 30 Jun 70, Dest Jul 73.

*6-year calendar year file.* COFF 31 Dec 70, Dest Jan 77.

*6-year fiscal year file.* COFF 30 Jun 70, Dest Jul 76.

Files with a retention period of more than 6 years will be held 3 years after cutoff in the current files area, then retired to the designated records center where they will be held until the expiration of their retention periods, and then destroyed. *Examples:*

*10-year calendar year file.* COFF 31 Dec 70, Ret WNRC Jan 74, Dest Jan 81.

*10-year fiscal year file.* COFF 30 Jun 70, Ret WNRC Jul 73, Dest Jul 80.

*g. Event or action.* Documents which are disposable upon the occurrence of an event, such as supersession or obsolescence, or upon the accomplishment of an action, will be withdrawn from the active file upon the occurrence of the event or accomplishment of the action and destroyed.

*Examples:*

Destroy on supersession or obsolescence.

Destroy on completion of posting to the proper form.

*h. Time period after an event or action.* Files that are disposable after a specific retention period following the occurrence of an event or accomplishment of an action, such as audit, final payment, or completion of a project, will be terminated on the occurrence of the event or accomplishment of the action. Such files may be terminated by withdrawing from the active file and placing in an inactive file, or in the case of large volumes, simply by discontinuing further filing within the files. The inactive or terminated files will then be cut off and disposition will be effected in the same manner as for other files with the same retention period. *Examples:*

*Destroy 10 years after completion of project:* COFF on completion of project (for the active file).

★COFF 31 Dec 70, Trf RHA Jan 72, Ret WNRC Jan 74, Dest Jan 81 (file for which project was completed in 1970).

*Destroy 6 years after final payment:*

PIF on final payment (for the active file).

COFF 30 Jun 70, Trf RHA Jul 71, Dest Jul 76 (file for which final payment was made in FY 70).

*i. Permanent files.* Unless otherwise specified in the disposition columns in the AR 340-18 series, permanent files will be cut off at the end of the calendar or fiscal year.

(1) Files of all offices of Headquarters, DA, will be held 2 years after cutoff in the current files area and then retired to the designated records center. *Examples:*

*Calendar year file.* COFF 31 Dec 70, Ret WNRC Jan 73, Permanent.

*Fiscal year file.* COFF 30 Jun 70, Ret WNRC Jul 72, Permanent.

(2) Files of Army field commands will be held 1 year after cutoff in the current files area, then transferred to the records holding area or oversea records center, where they will be held 2 additional years, and then retired to the designated records center. *Examples:*

*Calendar year file.* COFF 31 Dec 70, Trf RHA Jan 72, Ret WNRC Jan 74, Permanent.

*Fiscal year file.* COFF 30 Jun 70, Trf RHA Jul 71, Ret WNRC Jul 73, Permanent.

(3) Where records holding areas are not authorized or there is no oversea records center, the files will be held 3 years after cutoff in the current files area, and then retired to the designated records center. *Examples:*

*Calendar year file.* COFF 31 Dec 70, Ret WNRC Jan 74, Permanent.

*Fiscal year file.* COFF 30 Jun 70, Ret WNRC Jul 73, Permanent.

### 3-8. Deviations from disposition instructions.

*a. Files postdating 1939.* The heads of agencies of Headquarters, Department of the Army major commanders, and CONUS intermediate commanders are authorized to approve specific deviations from prescribed disposition instructions or retention periods except that files will not be destroyed sooner than authorized by prescribed retention periods. Deviations may be granted to installations, activities, or units only upon specific request by the installation, activity, or unit. An information copy of each exception that changes the time period for the retirement of files will be furnished the head of the records center to which the files will be retired.

*b. Files predating 1940.* All files predating 1940, with the exception of those authorized for retention in the accumulating office in accordance with prescribed disposition instructions, will be retired to the designated records center at the time they are found.

3-9. Transfer of classified files to records holding areas. Classified material will be transferred to records holding areas only if the records holding area facilities meet the security requirements of AR 380-5 for the maintenance of classified records. When records holding areas do not meet security requirements, the files will be re-



tained in current files areas until authorized for disposal or retirement.

**3-10. Retirement of classified files.** *a. CONFIDENTIAL and SECRET files.* Security requirements in AR 380-5 will be observed when retiring CONFIDENTIAL and SECRET files to a records center. Packing and shipping instructions for classified files are contained in chapter 5, AR 340-1.

*b. TOP SECRET files.*

(1) Except as provided in (3) below, TOP SECRET documents which cannot be destroyed under prescribed disposition instructions will *not* be retired to a records center until reduced to a lower classification. When TOP SECRET files become eligible for retirement, commanders and agency heads will—

(a) Take necessary action to insure that all TOP SECRET documents eligible for retirement are reviewed for regrading or declassification.

(b) Retain all TOP SECRET documents eligible for retirement which cannot be regraded or declassified.

(c) TOP SECRET documents subsequently regraded or declassified that form a part of the files that have already been retired to the records center will be retained and retired to the records center with the next calendar or fiscal year retirement, as applicable. A separate Records Transmittal and Receipt (SF 135) will be prepared for each of these documents or each group of documents. The Records Transmittal and Receipt will show the designation of the organization and administrative subdivision, the file number and title of the file from which the documents were withdrawn, and if known, the shipment number assigned by the records center to the shipment from which the classified documents were withdrawn.

(2) Offices, installations, activities, and units ordered to be discontinued will, prior to discontinuance, review all TOP SECRET documents for regarding or declassification. TOP SECRET documents which normally would be retained under the provisions of (1) (b) above will be transferred to the command headquarters to which the office, installation, activity, or unit reports.

(3) The provisions of (1) and (2) above are not applicable to TOP SECRET files of oversea commands which will be retired to records centers

in accordance with prescribed disposition instructions, and to TOP SECRET material to be forwarded to the US Army Investigative Records Repository or the Army Pictorial Center.

**3-11. Intra-Army transfer of files.** *a.* The transfer of files from one Army agency to another Army agency or command is permitted only under the following conditions:

(1) When the files are retired to an Army records center, or transfer of the files is required by Army regulations.

(2) When the files are in the custody of an agency changing status and are transferred under the provisions of paragraph 3-15, 3-16, or 3-17.

*b.* When the transfer of functions from one Army agency or command to another Army agency or command requires the transfer of the files, the order directing the transfer of functions will provide for the transfer of the files.

**3-12. Transfers to other Government agencies.**

*a. Transfer to National Archives.* The policy of the Department of the Army is to transfer to the National Archives at periodic intervals all permanent files in order that they may be incorporated in the permanent archives of the Government of the United States. Arrangements for the transfer of files and the establishment of policies for their use are the exclusive responsibilities of The Adjutant General.

*b. Transfer to other non-Army agencies.*

(1) The regulations of the Administrator of General Services prohibit the transfer of files from one Government agency to another without the prior approval of the Archivist of the United States, except when—

(a) Records are retired to a GSA records center.

(b) The transfer of records or functions or both is required by statute, Executive Order, Presidential reorganization plan, or by specific determinations made thereunder.

(2) Except as indicated above, authority for the transfer of Army records to another Government agency may be granted only by The Adjutant General. Recommendations for transfer submitted to The Adjutant General will include a concise description of the files to be transferred, an estimate of the volume in linear feet, name and location of the agency to which the files are to be transferred, and the reasons for the transfer.

### Section III. SPECIAL TRANSFER, RETIREMENT, AND DESTRUCTION PROCEDURES

**3-13. Disposition of joint records.** Certain records of joint agencies and commands are allocated to the Department of the Army by the Joint Chiefs of Staff; by interdepartmental agreement; or as a result of the Department of the Army acting as executive agent, management agent, administrative agent, exercising management control, or furnishing administrative support. The Army element responsible for such joint records will dispose of them in accordance with instructions in paragraph 3-7 and other applicable regulations in the AR 340-18 series. All joint records eligible for retirement will be retired to the Washington National Records Center, GSA, unless another records center is specifically designated by instructions in other regulations in the AR 340-18 series.

**3-14. COSMIC, NATO, SEATO, and CENTO documents.** *a.* AR 380-15, AR 380-16, and AR 380-17 contain disposition instructions for

COSMIC, NATO, SEATO, and CENTO documents.

★*b.* Classified document receipts, destruction certificates, and registers relating to COSMIC, SEATO, TOP SECRET, and SECRET, and CENTO, TOP SECRET, and SECRET documents which reflect the final disposition of documents in a subregistry will be retained as indicated in AR 380-15, AR 380-16, and AR 380-17. However, these control records, when maintained by control points or by offices other than a subregistry, will be disposed of in accordance with appendix E or AR 340-18-5, as applicable.

*c.* Classified document receipts, destruction certificates, and other control files relating to NATO, SEATO, and CENTO documents having a lower security classification than those indicated in *b* above, will be disposed of in accordance with appendix E of this regulation or AR 340-18-5.

### Section IV. DISPOSITION OF FILES ON CHANGE OF STATUS

**3-15. Transfer of functions.** When a function is transferred from one Army organization to another, the current files relating to the transferred function will be transferred to the gaining organization where they will be maintained as a separate entity to preserve their administrative origin. Inactive (cutoff) files relating to the transferred function will be retired to the designated records holding area or oversea records center. Agencies of Headquarters, DA and other activities that do not use a records holding area or oversea records center will transfer the files to the designated records center. A list of the files transferred to the gaining organization, and a copy of the SF 135, listing the inactive files transferred to a records holding area or oversea records center, or retired to a CONUS records center, will be furnished the records management official of the gaining organization.

**3-16. Discontinuance of Departmental Headquarters agencies.** On discontinuance without transfer of functions, files not authorized for immediate disposal will be retired to the designated record center. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission. When

a transfer of function is involved, the procedures in paragraph 3-15 apply.

**3-17. Discontinuance or change in status of field agencies and elements.** For elements of field commands, the procedures in *a* through *i* below will be followed on discontinuance or other change of status.

*a. Redesignation or reorganization.* On redesignation or reorganization without transfer of functions, files will be continued and cut off in the same manner as though no change had occurred.

*b. Discontinuance of an installation.* On discontinuance without transfer of functions, files not eligible for disposal will be retired to the designated records center. On discontinuance with transfer of functions, the procedures in paragraph 3-15 will be followed. Files not transferred to a gaining organization will be retired to the designated records center.

*c. Discontinuance of units and activities.* On discontinuance without transfer of functions, or on reduction to zero strength, files not authorized for disposal will be transferred to the records holding area or oversea records center. On discontinuance with transfer of functions, the procedures in paragraph 3-15 apply.

*d. Installations placed in inactive or standby status.* Files required for the continued maintenance of an installation placed in inactive or standby status will be retained by the installation and disposition effected in accordance with prescribed disposition instructions.

*e. CONUS units preparing for oversea movement.* Immediately prior to oversea movement of CONUS units, files eligible for disposal will be destroyed; files prescribed for retention by the unit will be prepared for shipment; and other files will be transferred promptly to the records holding area of the last permanent station.

*f. Movement of Army organizations in CONUS.*

(1) *Movement without personnel and equipment.* On transfer of a unit without personnel and equipment, the files will be cut off as of the date of transfer and forwarded immediately prior to transfer to the records holding area of the losing installation. Files that are essential to the operation of the unit at its new location may be obtained upon request to the losing installation.

(2) *Movement with personnel and equipment.* On transfer of a unit or organization with personnel and equipment, files will accompany the unit or organization.

*g. Movement of Army organizations in oversea commands.* Current records will accompany the organization and other records not required for future actions will be transferred to the appropriate oversea records center.

*h. Movement of Army organizations from overseas to CONUS.*

(1) *Movement with personnel.* Records of organizations, returning to CONUS with personnel, will accompany the organization.

(2) *Movement without personnel.* Files will be transferred to the appropriate oversea records center. Files that are essential to the operation of the unit in CONUS may be obtained from the oversea center upon request.

★*i. Other change in status.* On a change in status not specifically covered in the above paragraphs, the records management official should be contacted for determination of the proper procedures to be followed.

**3-18. Units of the United States Army Forces Strike Command and the United States Strategic Army Forces.** USARSTRIKE and STRAF units will maintain a SF 135 at all times indicating those files which will not accompany the unit in the event of movement overseas. However, the inclusive dates for the records will not be entered in item 13; and items 4, 12, and 14 will not be completed until the unit prepares to move overseas.

**3-19. Orders changing status.** Any order that changes the status of an organizational element of the Army, other than units for which disposition procedures are prescribed in AR 340-2 will prescribe that the disposition of files will be effected in accordance with the instructions in paragraph 3-15, 3-16, or 3-17, as applicable.

## CHAPTER 4

### MAINTENANCE AND REFERENCE PROCEDURES

#### Section I. GENERAL

4-1. **General.** Effective files maintenance and reference procedures are essential in order that a complete account of actions taken, commitments made, and the result of actions taken are available.

4-2. **Purpose.** This chapter contains the procedures to be used in establishing and maintaining all Army files and in providing reference service to them.

#### Section II. MAINTENANCE PROCEDURES

4-3. **General.** The procedures in this section are designed to provide maximum efficiency in preparing papers for file, maintaining records, and in using and labeling file folders, file guides, and file containers.

4-4. **Dual responsibilities.** Officials who perform duties for more than one organization will insure that the records created in each capacity are identified and maintained separately. Physical segregation of the files will be accomplished by the most efficient and economical method, such as the use of separate file folders, drawers, or other containers. Examples of dual responsibility situations are: when a commander of a division is also commander of the installation; when a safety officer for a command is also the installation safety officer; or when the chief of a staff section is secretary of a committee.

4-5. **File authority.** *a.* Except as provided in *b* below, file authority is required on all papers to be filed. The authority will be placed in the lower right margin of the paper. The word "file" and the last name or the initials of the individual authorizing the filing of the papers constitute the minimum file authority. When more than one paper on a single transaction or case is sent to file, authority is required on the top paper only.

*b.* File authority is not required on documents that are obviously ready for filing as soon as they are prepared. Examples of these documents are the suspense copy of a mail control form, a memorandum for record prepared for file only, and a signed receipt for a classified document loaned or transferred. In addition, file authority is not required on documents placed in library-type accumulations for reference use, such as reference copies of publications or copies of messages placed in a message reference file.

4-6. **Inspection of papers.** Papers received for file will be inspected to insure that they contain file authority (if required), to insure completeness, and to eliminate unnecessary material.

*a. File authority.* Papers, other than the types referred to in paragraph 4-5*b*, received without file authority will be returned to the action officer.

*b. Completeness.* Papers received for file will be checked to insure that all actions have been completed, and if so, that all papers which should be included to fully document the action are attached.

(1) *Incomplete actions.* If it appears that all necessary actions have not been completed, the paper will be placed in suspense or otherwise controlled to permit followup action as nec-

essary and to insure that the case will not be cut off prior to completion of final action.

(2) *Insufficient documentation.* If action is complete, but essential documentation is missing, an attempt will be made to obtain missing papers or copies of the papers. If the attempt fails, a notation of the action taken to obtain the missing papers, and the result, will be placed on the file papers.

*c. Unnecessary material.* Unnecessary documents such as used envelopes, routing slips, and extra copies will be discarded. When the original of a paper is available, all copies will be discarded, except that a copy containing additional information needed for record purposes (e.g., signatures or initials of concurring officials) will be retained and filed.

**4-7. Assembly of papers.** Correspondence will be assembled and filed under the *date of the latest action* as indicated below:

*a. Separate correspondence.* A separate "chain" of correspondence normally develops in completing an action. It consists of the basic paper (the paper starting the action), any numbered or unnumbered replies in continuation of the action, inclosures, and supporting papers forming a part of the whole correspondence action. These papers will be assembled in top to bottom order as follows:

- (1) The latest action (numbered or unnumbered)
- (2) The basic paper (letter, disposition form, memorandum, etc.)
- (3) Letter indorsements or numbered comments in numerical order.
- (4) Other unnumbered replies in chronological order.
- (5) Inclosures in numerical order.
- (6) Internal actions which support the numbered or unnumbered actions (studies, coordinating actions, etc.).

*b. Related papers.* Papers which are directly related or contain specific reference to earlier papers on the same subject will be combined with those papers only if reference requirements clearly necessitate such action. If combi-

nation is deemed necessary, the related papers will be assembled separately under the method described above. The related papers will then be stapled on top of the earlier papers and will be *filed by date of the latest action*. In such cases, it may be desirable to make a cross-reference to be filed under the date the earlier papers were filed.

**4-8. Fastening.** The fasteners described in *a* through *c* below will be used to hold papers together. Straight pins and paper clips will not be used for fastening papers that are filed, except that paper clips may be used in a suspense file.

*a. Staples.* Wire staples will be used to fasten related loose papers together. Wire staples are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers without increasing their bulk. Papers stapled together will be filed loosely in folders.

*b. Prong fasteners.* Prong fasteners may be used in the following situations:

- (1) When file material on an action is too thick to fasten with wire staples.
- (2) When a file containing several separate but related actions is frequently used outside the immediate file area.
- (3) When a file is loaned for use outside the files area.

*c. String and tape.* String and cloth tape will be used to hold bulky material together only when the use of fasteners is not practicable, or when an impression seal is required over the fastening.

**4-9. Posting file numbers.** *a.* The file number will be placed on a document at the time it is filed. It will be placed in the right margin, lengthwise on the paper, taking care that it does not obscure the content of the paper.

*b.* When the physical characteristics of a document make it self-identifying for filing purposes, the posting of the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are

reference copies of publications, mail control forms, and bills of lading.

c. When the content, volume, or reference needs require the subdivision of a file series, a brief identification of the subdivision should be used to supplement the file number on the documents. *For example*, Command reporting files (228-07) might be subdivided by the designation of the reporting units, such as 16th Data Processing Unit, 35th Military Police Company, 40th Ordnance Detachment. An abbreviated reference to the designation of the unit would be added to the file number on the individual report to insure that it is filed and refiled properly.

★d. Some documents are filed before identification under TAFFS is feasible or desirable. For example, documents relating to studies in progress, action officer pending files, and other work-in-progress files often need not be assigned a TAFFS file number until action is completed. Special attention must be given to these files to assure their subsequent correct identification. Upon completion of action, study files, action officer files, and other files of a similar nature must be properly identified and filed under TAFFS. This is necessary to assure proper documentation of actions taken, provide the means for subsequent reference to the documents, and assure correct retention and disposition of the files.

**4-10. Backing sheets.** Backing sheets will be used only when the file material is sufficiently thick to require a prong fastener, or when protection is required for papers which have begun to fray or wear due to frequent handling. When backing sheets are used, 220 weight paper stock is sufficiently durable. Heavier backing sheets waste space in file containers.

**4-11. Cross-reference.** a. *General.* A cross-reference is a form filed under one file number or subdivision to show the location of material filed elsewhere. Cross-references will be prepared only when essential to finding needs. Cross-references may be used when—

(1) A document pertains to more than one function or action, and it is probable that reference to the document may be by any of the functions or actions to which it pertains.

(2) A document pertains to individuals, organizations, or geographical locations, and is not

filed by the name or names under which requests are anticipated.

(3) Classified papers having a direct relationship to unclassified material are filed separate from the unclassified material. Care will be taken to insure that classified information is not placed on cross-references to be filed in unclassified files.

(4) Papers with various dates which document a subfunction or action, which are directly related, are filed together.

(5) A document is reclassified from one file number or subdivision to another file number or subdivision.

b. *General cross-reference.* To avoid making repetitive cross-references, a general cross-reference will be made when all references to a name or subject are to be made to another name or subject. The tabbed half of a file folder can be used for general cross-reference purposes and is placed in file to direct all references to the proper file location. The cross-reference will indicate the file classification of the cross-reference and the words "Filed under" followed by the file classification to be referred to. *For example:*

207-01 Pine Camp, N.Y., filed under  
207-01 Camp Drum, N.Y.

c. *Cross-reference forms.* Cross-references will be made on DA Form 1613 series (Cross-Reference). The DA Form 1613 series are 8 by 10½ inches and are printed in single sheets and in sets of two and three parts, carbon interleaved. They are designed for interfiling with correspondence or other records of comparable size.

**4-12. Consolidated cross-reference sheet.** In most filing operations, a separate sheet is used for each cross-reference. This requires a separate filing action to place each cross-reference in its proper location in the file. The consolidated cross-reference sheet procedure differs in that cross-references of identical classifications are entered in consecutive order on a sheet maintained for that classification. This saves space, equipment, and supplies. However, when the sheets are out of file, finding the requested records may be difficult. DA Form 1614 (Consolidated Cross-Reference Sheet or List of Papers) is prescribed for use in preparing consolidated cross-reference sheets.

**4-13. Content listing sheet.** A content listing sheet is a cumulative index to papers in a folder or file subdivision. DA Form 1614 is the prescribed form for use as a content listing sheet. Because the content listing sheet requires a considerable amount of time to maintain, it is usually uneconomical. Consequently, content listing sheets are authorized only when the listed papers are filed in random sequence.

**4-14. Sorting papers for file.** After papers are arranged and fastened and any necessary cross-references are prepared, the papers and cross-references will be sorted and arranged in proper filing order. This speeds the filing of the papers and cross-references, and aids in locating papers rapidly in the event they are requested prior to filing. Detailed information on sorting methods and procedures are contained in appendix C.

**4-15. Use of guides and folders.** *a. General.* The standard guides and folders prescribed in chapter 3, AR 340-1 will be used. To the maximum extent practicable, letter size folders and guides will be used for letter size material, whether letter or legal size file cabinets are used.

*b. Guides.* Guides are used to divide files and identify each division so that filing and finding particular folders, papers, cards, or other file material are facilitated. In addition, guides provide support for the material in the file.

*c. Folders.* Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers. When the material in any folder reaches the normal capacity of the folder (three-fourths of an inch) a second folder should be prepared. The second folder should begin at a logical point such as at the beginning of a month, calendar quarter, etc.

**4-16. Position of guides.** *a.* Guides will be arranged in files so that the tabs are in uniform position to the left side (first position) of the file drawer.

*b.* Guides normally are placed in a file at the beginning of each major functional files category. The guides will be labeled with the functional file category numerical classification. *For example:* Guides identifying the major functional files categories of Planning, Programming, Management, Historical, and Combat Development Files (described in AR 340-18-2); Military Personnel

Files (described in AR 340-18-7); and Training and Education Files (described in AR 340-18-10); would be labeled as 200, 700, and 1000 respectively.

*c.* When the volume of material necessitates guides for primary subdivisions, the guides should be placed at logical breaking points and as nearly as possible at 4 to 6 inch intervals. Under TAFSS, the primary subdivision is the subfunctional category, represented by the two digits preceding the hyphens. The guides identifying these subdivisions would be labeled using the two element construction. *For example:* 1201, 1204, 1205, etc.

*d.* If a still more definitive breakdown is required, the functional file number identifying the individual file series would be used. *For example:* 902-01, 902-03, 902-06, etc.

*e.* When a large volume of records is accumulated under a single file number, a further subdivision may be necessary. This may be done by subdividing the records alphabetically or numerically. If necessary, guides may be prepared reflecting this internal arrangement. The various methods of arranging and dividing files are described in sections III and IV of this chapter, and in appendixes A, B, C, and D. As an exception to *a* above, guides with tabs in other than the first position may be used in subdividing large volumes of files accumulated under a single file number.

**4-17. Position of folder labels.** *a. The Army Functional Files System.* Under TAFSS, folder labels are placed in three positions to indicate where final disposition of the records will take place (fig. 4-1). The following rules govern the positioning of folder labels:

(1) *First position (left of center).* Files to be destroyed in the current files area.

(2) *Second position (center).* Files to be transferred to and destroyed in a records holding area or oversea records center. Offices of Headquarters, DA, and other organizations that are not serviced by a records holding area or oversea records center will *not* use the second position.

(3) *Third position (right of center).* Files to be retired to a records center in the continental United States.

★(4) *Open shelf files.* As an exception to the above, all file labels may be placed in the first or third position, whichever is nearer the file aisle, when open shelf file equipment is used.

*b. Other systems.* Folders containing material filed under systems other than TAFSS (for example, TOP SECRET material arranged by control numbers) will be labeled, as far as possible, in a pattern similar to that established in *a* above.

**★4-18. Security classified papers.** Security classified papers will be filed in separate files and in separate file containers from unclassified papers. Exception to this instruction is permitted when the record of an action or transaction consists of both classified and unclassified papers and it is essential for reference purposes that both be filed together. The interfiling of unclassified and classified papers is restricted to those papers which directly support, explain, or document the record of the action or transaction. Further exceptions to the restriction on filing unclassified papers in security containers are authorized by paragraph 1-5, AR 340-4.

**4-19. Cover sheets.** Classified document cover sheet and similar cover sheets will be removed before papers are placed in file. Exception is permitted when papers are placed in suspense files or cases are placed in filing equipment pending completion of the action.

**4-20. Filing bulky material.** Bulky material will be filed separately in storage equipment suited to its size. This material may be maintained in file number, serial number, or date order. A cross-reference to the bulky material will be prepared and filed with the file papers, or a notation indicating location of the bulky material will be placed in a conspicuous location on the file papers. The bulky material should be marked to show storage location, file classification, and sufficient identifying information to associate it with the related file papers. A copy of the cross-reference prepared for the regular file can be attached to the bulky material to serve this purpose.

**4-21. Maintenance of records in libraries.** Record copies of publications or other documents will not be maintained as a part of library collections or manuscript collections in libraries or museums. This does not preclude the filing of extra copies of record materials in libraries or museums. However, when extra copies are maintained, they will be distinctly marked "LIBRARY COPY" or "MUSEUM COPY" to insure their distinction from the record copy.



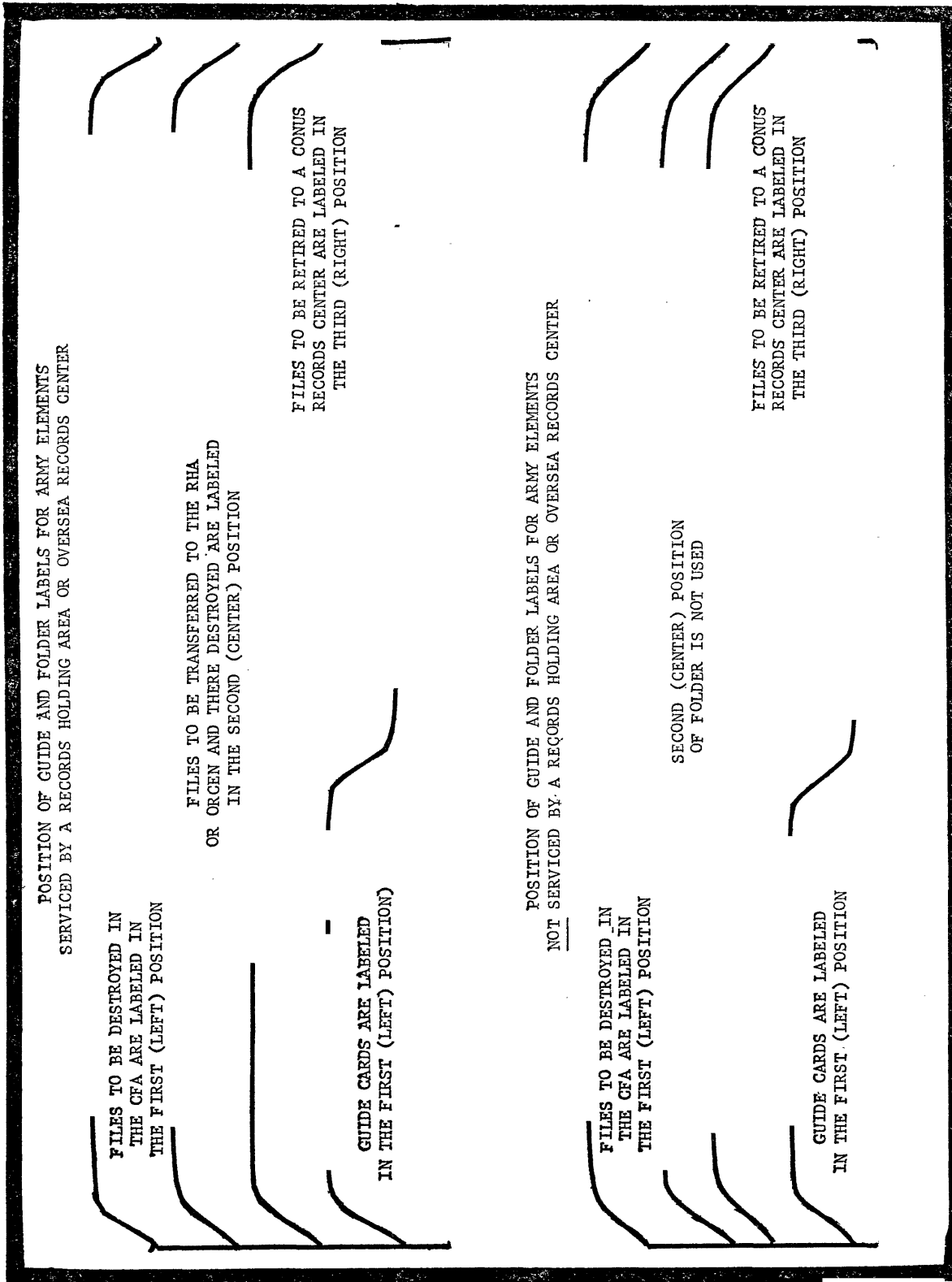


Figure 4-1.

### Section III. ALPHABETICAL ARRANGEMENTS

4-22. **General.** The filing arrangements described in this section are intended and authorized for use in identifying subdivisions of a file number under TAFFS. They are also authorized for use as primary file arrangements for TOP SECRET records and for records of multinational organizations such as NATO, SEATO, and CENTO.

4-23. **Subject-alphabetic arrangement.** In identifying subdivisions of a TAFFS file number, the subject headings selected should be meaningful and helpful in filing and finding papers. It is often desirable to arrange the subjects alphabetically, first by broad subject and thereunder by subject. *For example:* Bayonet, Basic; and Bayonet, Refresher might be logical subdivisions of Training operation files, file number 1002-02. When used as a primary file arrangement, as might be done for TOP SECRET files, subject-alphabetic files should be identified first by broad group or function and thereunder by subfunction. *For example:* Personnel, Military, Promotion; Training, Bayonet, Basic; Training, Bayonet, Refresher.

4-24. **Proper name arrangement.** Files maintained by names of persons will be arranged alphabetically by surname and thereunder by first name and middle initial in accordance with the standard rules for alphabetical filing contained in appendix A. Where several identical names occur they may be further arranged by Social Security Account number, date of birth, or by some other distinguishing feature. Divisions of the alphabet are contained in appendix B.

4-25. **Geographical local arrangement.** When papers are referred to by name of geographical location, one of the following arrangements will be used:

a. Alphabetically, first by geographical areas, major commands, countries, territories, etc., and thereunder by progressively specific designation and name as required. *For example:* Far

East-China, Japan, Okinawa; First U.S. Army—Fort Dix, Fort Eustis, Fort Lee; France—Cherbourg, Paris.

b. By specific name or location, and thereunder alphabetically by general name or location. *For example:* Springfield, Ill.; Springfield, Mass.; Springfield, Mo.; Washington, D.C.; Washington, Pa.; Washington, Va.

4-26. **Organizational arrangement.** When reference to papers is primarily by Army or civilian organizational designation, one of the following arrangements will be used:

a. *Army organizations, tactical units, and installations.*

(1) Alphabetically by general type of organization (e.g., band, company, depot) and thereunder alphabetically or numerically by the specific name or number of the organization. The general type of organization is usually determined by the last word of the designation. *For example:* Frankford Arsenal, Redstone Arsenal, 82nd Quartermaster Company, 101st Quartermaster Company, Atlanta Army Depot. Where there are both numbered and named organizations or units of the same general type, the numbered series will be filed before the named series. *For example:* 25th Station Hospital would precede DeWitt Army Hospital.

(2) Alphabetically by name of designation, regardless of the general type of organization. *For example:* Atlanta Army Depot, DeWitt Army Hospital, Frankford Arsenal, Tobyhanna Army Depot.

(3) Numerically by number designation and thereunder alphabetically by general type of organization. *For example:* 3d Infantry Regiment, 25th Infantry Division, 25th Station Hospital, 25th Artillery Regiment, 101st Quartermaster Company.

b. *Civilian organizations.* Instructions for arranging papers by designation of civilian organization are contained in appendix A.

### Section IV. NUMERICAL ARRANGEMENTS

**4-27. General.** The filing arrangements described in this section are intended and authorized for use in identifying subdivisions under TAFSS. They are also authorized for use as a primary file arrangement for TOP SECRET records and records of multinational organizations such as NATO, SEATO, and CENTO.

**4-28. Date arrangement.** The arrangement of papers in date order usually is applied to papers in the smallest file subdivision, such as a case or folder. Reference or disposition needs may require that some entire files be maintained in an overall date order. In this instance, papers will be arranged first by year and thereunder by month and day of the month.

**4-29. Straight numerical arrangement.** Under this method, papers are arranged in straight numerical sequence, 1, 2, 3, 4, 5, etc. This method is used generally when less than 10,000 papers a year are filed in numerical sequence. Such papers as purchase orders and papers filed by Army unit numbers are particularly suited to this arrangement.

**4-30. Duplex number arrangement.** A duplex number consists of two or more parts, separated by a dash, space, or a comma. *For ex-*

*ample:* 611-201; 096 10 2594; 100,20,300. Under this method, papers are arranged in straight numerical sequence by the first part of the number, and thereunder by succeeding parts of the number. *For example:* papers numbered 36-1-1, 1-100-2, and 30-9960 would be arranged in the following sequence: 1-100-2, 30-99-60, and 36-1-1. Army regulations are filed under this method. Other examples of duplex numbers are Social Account Numbers and functional file numbers.

**4-31. Terminal digit arrangement.** Serially numbered documents may be filed by terminal digit as well as by the conventional method of filing in consecutive numeric sequence. The terminal digit is the last digit in a number (e.g., in 74923, "3" is the terminal digit). Conventional filing of numbered documents required reading the number from left to right. When filing by terminal digit, however, the document number is read from right to left, normally in groups of two or three digits. Voluminous records such as contracts, bills of lading, X-ray film, and selected personnel-type records are types of records which are frequently filed by terminal digit. Detailed information is provided in appendix D.

### Section V. REFERENCE PROCEDURES

**4-32. General.** The effectiveness of any file or file room operation can be judged in large measure by the speed and accuracy with which requested files or information can be found and furnished. The procedures in this section are designed to provide rapid and efficient files reference service.

**4-33. Submission of requests.** Requests for files should be written directly on the form used to charge out files to avoid rewriting the information later. Complete information needed to locate and charge out the requested material should be obtained from the requester. Information needed to act on a request includes—

- a. Identification of material, and file classification if known.
- b. Name of writers (organization or individual).
- c. Date of paper (specific or approximate).
- d. Requester's name, organization, location, and telephone number.

**4-34. Charge-out record.** *a. General.* A charge-out record will be made and substituted for all papers removed from a file for references purposes. Information entered on the charge-out record is used for locating the file material that is removed from the file.

*b. Forms.*(1) *DA Form 543 (Request for Records).*

This form will be used for all papers charged-out when suspense control is required. Entries on this form may be typewritten or handwritten. The top sheet (original) is attached to the file material and serves as a routing form and cover sheet. The second sheet (first carbon copy) is retained in the files area and filed in a followup or suspense file. The bottom sheet (second carbon copy) is placed in the filing location from which the file material is removed.

★(2) *Optional Form 23 (Charge-out Record).*

This form will be used for papers charged out when suspense control is not desired. Normally, it is unnecessary to maintain suspense control on documents charged out for use within a files area or for short-term reference (3 days or less) outside of a files area. Optional Form 23 is placed in the filing location from which the file material is removed. When charged-out papers are refilled, the entries on the form are lined out, and the form is then available for re-use. Optional Forms 23 in the file should be checked frequently to insure that file material is not kept out of the file for excessively long periods, particularly if file material is loaned to persons outside the immediate organization.

★(3) *Optional Form 24 and 25 (Shelf File Charge-Out Record).* These forms are shelf file charge-out records for letter and legal size files, respectively. They may be used in lieu of Optional Form 23 when open shelf equipment is used.

**4-35. Cover for charged-out files.** Generally, DA Form 543 affords adequate protection for contents of unclassified files, and cover sheets normally will not be used when files are charged-out.

**4-36. Charge-out suspense and followup.** *a. General.* The charge-out system utilizing DA Form 543 involves a suspense and followup procedure to control loaned records. A uniform followup or tracing time for charged out material should be established. Papers which have been out of file for the tracing period (usually 5 to 10 days) should be traced to prevent loss.

*b. Suspense file.*

(1) The suspense file facilitates the tracing of material. This file will consist of the first

carbon copy of each DA Form 543 representing charged-out papers. This copy will be filed by the suspense or tracing date established for the papers that are loaned. In instances when the requester indicates an estimate of the time that the papers will be used, the estimated date of return may be established as the suspense or tracing date.

(2) When the established suspense or tracing date is reached, the suspense copy of the charge-out will be withdrawn from the file and the individual to whom the papers are charged will be contacted by telephone, personal visit, or through the use of DA Form 1874 (Tracer of Overdue Records), to determine the date the borrowed papers will be returned. This date will be noted in item 6 of the suspense copy of DA Form 543 and the form will be refilled in the suspense file according to the new suspense date.

*c. Transfer of unclassified material.* When charged-out papers are transferred from one office to another, the suspense file must reflect the transfer. The individual transferring the papers will complete one of the transfer coupons on the original DA Form 543, identifying the papers that are transferred, to whom, and on what date. The completed coupon will be routed to the file area from which the material was charged out. Information on the transfer coupon will be used to correct the copies of the charge-out form retained in the file area. After the forms have been corrected, the transfer coupon will be attached to the suspense file copy (first carbon) for the charge-out form. If the suspense date is changed because of the transfer of papers, the suspense file copy of the form with the attached transfer coupon will be refilled according to the new suspense date.

*d. Clearing the suspense files.* Charged-out material returned to file normally will be sent first to the suspense file for removal and destruction of the suspense copy of the charge-out. Returned material should be checked for completeness and unrelated papers which may have become attached. The file material will then be refilled and the second carbon copy of the charge-out form removed from the file and destroyed.

24 July 1972

*e. Use of DA Form 543 for loan of classified material. DA Form 543 may be used as a classified document receipt for material classified CONFIDENTIAL or CONFIDENTIAL-MOD-*

IFIED HANDLING AUTHORIZED. Such material will not be transferred by the borrower to another office, but will be returned to the file room from which it is loaned for recharging.

**APPENDIX A**  
**RULES FOR ALPHABETICAL FILING**

Rules	Examples
<b>A-1. Personal names.</b>	
a. NAMES of individuals are transposed for filing purposes: Last name (surname); first name (given name) or initial; middle name or initial.	Arthur B. Anglin—filed <i>Anglin</i> Arthur B.
b. PREFIXES on surnames (Bel, Bon, D', d', de, del, Des, di, du, El, Ger, L', La, Le, M', Mac, Mc, O', St (Saint), Ten, Ter, Van, Vander, Von, Vonder, and others) are considered inseparable parts of the surname and will be filed as though written as one. M', Mac, and Mc are filed in strict alphabetical sequence. (Exception: Personnel records of reservists may be filed in the same sequence as the related punch cards prepared under the provisions of AR 330-20.)	David de Valera—filed <i>de Valera</i> David.
c. HYPHENATED surnames of individuals are filed as one complete surname.	Blanche Duff-Gordon—filed <i>Duff-Gordon</i> Blanche.
d. UNDETERMINED surnames. When it is not possible to determine the surnames of individuals, they will be filed as they are written.	<i>Black Thunder.</i> <i>Henry George.</i>
e. MARRIED WOMEN'S names. The legal name will be used and the husband's name, if known, will be cross-referenced. (The legal name consists of the first name, maiden surname, and the husband's surname (Josephine <i>Adams</i> Laurens) or her first name, middle name and the husband's surname (Josephine Mary Laurens).)	<i>Laurens Josephine Mary (Mrs)</i> <i>(Mrs. William A).</i>
	Cross-reference: <i>Laurens William A (Mrs)—filed</i> <i>Laurens Josephine Mary.</i>
f. ABBREVIATED first names are filed as though they were spelled in full.	Chas. Brown—filed <i>Brown</i> Charles.
g. NICKNAMES followed by recognizable surnames are filed under the surname and the nickname is used as the first name. Nicknames with no recognizable surnames are filed as they are written.	Red Larson—filed <i>Larson Red.</i> Boston Jimmie—filed <i>Boston</i> Jimmie.
h. TITLES or degrees of individuals, whether preceding or following the surnames, are placed in parentheses following the name and disregarded in filing (Courtesy titles, Mr., Madam; military titles. Col., Major; professional title, Dr., Prof.; official titles, governor, mayor; titles of respect, Rev., Hon.; foreign titles, Lord; degrees, LL.D., Ph.D). Titles followed by one or more names not recognizable as surnames are filed in order as written.	Dr. Charles C. Brown—filed <i>Brown Charles C (Dr.).</i> Father Pierre—filed <i>Father Pierre</i>

## Rules

## Examples

i. ABBREVIATED DESIGNATIONS, such as Sr., Jr., 2d, 3d, appearing as part of a name are disregarded in filing but are shown in parentheses following the name.

C. Albert Brown, Jr.—filed *Brown*  
C Albert (Jr).

**A-2. Firms, corporations, companies, associations, institutions, governments, and geographical names.**

a. COINED names of firms, including trade names composed of separate letters or a single word, are filed as written, except when they embody the full names of individuals.

A A A Chemical Co—filed *A A A*  
Chemical Company.  
Aunt Jemima's Pancake Flour—  
filed *Aunt Jemima's Pancake*  
Flour.

b. SURNAMES are used for filing when the full name of an individual is embodied in a firm or organization name; surname first, with the first name or initial immediately following and the balance of the name as written. Rules for personal names apply.

Charles Brown & Company—  
filed *Brown Charles (&)* Com-  
pany.

c. PREFIXES on firm and geographical names such as Co-, D', d', de, des, Di, El, L', la, le, los, Mac, Mc, O', San, Ten, Ter, Van, Von, are considered inseparable parts of the name and will be filed as though written as one word.

De la Verne Co—filed *De la Verne*  
Company.  
Los Angeles, Calif—filed *Los*  
*Angeles, California.*

d. HYPHENATED firm names are filed as one complete name.

Air-E-Ator Ventilating Co—filed  
*Air-E-Ator* Ventilating Com-  
pany.

e. COMPOUND names of firms which may be spelled either as one or two words are filed as one word. This rule must be restricted to a few frequently occurring words, such as Inter State; Mid West; South Eastern; South Side; North East.

Inter State Warehousing Co—  
filed *Inter State* Warehousing  
Company.

f. COMPOUND GEOGRAPHICAL firm names are filed as written. Abbreviations are filed as though spelled in full.

Ft. Wayne Paper Co—filed *Fort*  
Wayne Paper Company.  
N.J. Coal & Coke Co—filed *New*  
Jersey Coal (&) Coke Company

g. ABBREVIATIONS representing names or parts of names of firms, of Government agencies, fraternal and similar organizations are filed as though spelled in full.

Amer. Society for Civic Educa-  
tion—filed *American* Society  
(for) Civic Education.  
E. 59th St. Garage—filed *East*  
Fifty Ninth Street Garage.

h. APOSTROPHE S ('s) is disregarded in filing, but s apostrophe (s') is used.

Anglin's Beauty Shop—filed  
*Anglin* Beauty Shop.  
Anglins' Automobile Co—filed  
*Anglins'* Automobile Company

i. ARTICLE, CONJUNCTION, OR PREPOSITION, such as "the, and, &, of, for, on, or by" is disregarded in filing when it is a part of the firm name and is inclosed in parentheses. When "Ye" is used, it is filed as written. Foreign language articles are not translated and are filed as written.

The Calico Cat—filed *Calico* Cat  
(The).  
Il Progresso Italo—filed *Il*  
*Progresso Italo.*

## Rules

j. STATE, COUNTY, CITY, TOWN, or a similar word is filed as written when appearing as the first word in the name of a firm, institution, association, etc., and not referring to a Government establishment.

k. NUMERALS of one or two digits which comprise a name or the beginning of a name are read in units and tens and are filed as though spelled out. A name with three or four digits is read in hundreds. Consider only the lowest number in captions beginning with inclusive numbers. Captions beginning with numbers spelled in full or abbreviated are filed as though spelled in full. Numbers of two or more words are filed as one word.

l. FIRM names beginning with such phrases as Board of, Bureau of, Commission for, which do not refer to any Government establishment or function, are filed as written.

m. STANDARD TERMS such as Bros., Co., Corp., Ltd., Inc., names of states and cities, often abbreviated, affect the filing sequence. When abbreviated they are filed as though spelled in full. In foreign firm names abbreviations of company, brothers, etc., whether they appear before or after the names are filed as written. They are not translated.

n. CHANGE of firm name due to successorship should be filed under the current firm name and a cross-reference made under the former name.

Cross-reference:

o. MULTIPLE names. Firms doing business under two titles are filed under the more active or important name and a cross-reference is made under the other name. This includes firms "doing business as," written "d/b/a".

Cross-reference:

p. PARTNERSHIP AND FIRM names which contain the full names of two or more individuals are filed by the name of the first individual mentioned.

q. VARIOUS LOCATIONS. The same firm name appearing at various locations is filed by name of firm and then by city. Consider the State when there is a duplication of city names.

## Examples

City Letter Co—filed *City Letter Company*.

County of Wall Surveying Co—filed *County (of) Wall Surveying Company*.

86 Madison Ave. Realty Co—filed *Eighty-six Madison Avenue Realty Company*.

1198 Park Ave. Corp—filed *Eleven Hundred Ninety-eight Park Avenue Corporation*.

92-96 W. 18th St. Corp—filed *Ninety-two (96) West Eighteen Street Corporation*.

Committee for Economic Development—filed *Committee (for) Economic Development*.

Brown Bros—filed *Brown Brothers*.

Cie Generale Transatlantique—filed *Cie Generale Transatlantique*.

Clairo Company formerly Van Ess Product Co—filed *Clairo Company (Formerly Van Ess Products Company)*.

*Van Ess Products Company*—filed *Clairo Company*.

Max Jensen doing business as Ace Van Lines—filed *Ace Van Lines*.

*Jensen Max d/b/a Ace Van Lines*—filed *Ace Van Lines*.

Charles Brown & Henry Jones—filed *Brown Charles (& Henry Jones)*.

Allied Van Lines, Denver, Colo.—filed *Allied Van Lines Denver Colorado*.

Allied Van Lines, Portland, Me.—filed *Allied Van Lines Portland Maine*.



## Rules

r. SUBSIDIARIES OR DIVISIONS. Firms having subsidiaries or divisions, may be filed either by name of the parent organizations or by name of divisions. Whichever is adopted should be followed consistently. Affiliations should be cross-referenced under either method.

s. BANKS, BOARDS OF TRADE, NEWSPAPERS, etc. Since the names of many banks, boards of trade, chambers of commerce and newspapers are alike, the city is the identifying word. They are therefore filed by location: city first, the state in parentheses, followed by the name of the bank, board of trade, etc.

t. FEDERAL DEPARTMENT NAMES. Federal Government departments and subdivisions thereof are filed by name in the alphabetical name file disregarding the parent organization.

Bureau of Budget:	Filed <i>Budget Bureau</i> (of).
U.S. Coast Guard:	Filed <i>Coast Guard</i> (U.S.)
Great Lakes Naval Training Station:	Filed <i>Great Lakes Naval Training Station</i> .
Executive Office of the President:	Filed <i>President Executive Office</i> (of The).

## Examples

Truscon Steel Co. Division of Republic Steel Corp.—filed *Republic Steel Corporation Truscon Steel Co. Division*.

Board of Trade Chicago, Ill.—  
*Chicago* (Ill) Board of Trade.

## A-3. Organizational names.

FRATERNAL or similar organization name, which is part of a larger organized group, is filed under its name, and the name of the parent organization may be cross-referenced.

Veterans of Foreign Wars, Portsmouth Post, N.H.—filed *Portsmouth* (N.H.) Post, Veterans (of) Foreign Wars.

## A-4. Institutional names.

INSTITUTION names, hospitals, schools, colleges, churches, hotels, cafes, libraries, etc., are filed under the first distinctive word or name in the title. If the title is composed of the name of an individual, rules for personal names apply.

Andrew Carnegie Library—filed *Carnegie Andrew Library*; University of Washington—filed *Washington University* (of).

## A-5. Governmental subdivisions.

SUBDIVISIONS of state, county, municipal or foreign governments, such as departments, boards, bureaus, commissions, etc., are entered after the name of the state, city, county, or country, and filed as the second or third unit.

Water Dept. Fairfax County, Va.—filed *Fairfax County* (Va) Water (Dept).

**APPENDIX B**  
**DIVISIONS OF THE ALPHABET**

*15 Division*

A	H	P
B	I	R
C	K	S
D	M	T
F	N	W

Ro	St	V
S	Su	W
Sch	T	We
Se	To	Wi
Si	U	XYZ

*20 Division*

A	H	P
B	J	R
C	K	S
D	L	T
E	M	U
F	N	W
G	O	

*100 Division*

A	Fr	N
Al	G	Ni
Am	Ge	O
Ander	Go	P
Ar	Gr	Pe
B	Gro	Pi
Bar	H	Pr
Be	Ham	Q-R
Ber	Har	Ri
Bi	Hat	Ro
Bo	He	Ros
Br	Hi	S
Bro	Ho	Sch
Bu	Hon	Se
C	Hu	Sh
Car	I	Si
Ch	J	Smith
Cl	John	Sp
Co	K	St
Con	Ke	Sto
Cor	Ki	T
Cr	Kn	Tho
Cu	L	Ti
D	Le	Tr
De	Li	U
Di	Lo	V
Do	M	W
Dow	Man	War
E	McA	We
El	Me	Wh
Et	Mi	Wi
F	Mo	Wo
Fi	Mu	XYZ
Fo		

*25 Division*

A	J	Q
B	K	R
C	L	S
D	Mc	T
E	M	U
F	N	V
G	O	W
H	P	XYZ
I		

*60 Division*

A	F	Li
Am	Fi	M
B	G	Mar
Be	Gi	Mc
Bi	Gr	Me
Br	H	Mo
Bu	He	Mu
C	Ho	N
Ch	Hu	O
Co	I	P
Cr	J	Pe
D	K	Pi
De	Ki	Q
Do	L	R
E	Le	Ri

## 150 Division

A	Co	Gar	Jones	Mu	Sp
Al	Con	Ge	K	N	St
Am	Coo	Gi	Ke	Ni	Sto
Ander	Cor	Go	Kel	O	Su
Ar	Cr	Gr	Ki	Or	T
At	Cu	Gre	Kn	P	Te
B	D	Gro	Kr	Pe	Tho
Baker	Davis	H	L	Pet	Ti
Bar	De	Hal	Lar	Pi	Tr
Be	Del	Ham	Le	Pr	U
Ber	Di	Har	Lei	Pu	V
Bi	Do	Harr	Li	Q-R	Ve
Bl	Dow	Hat	Lo	Re	W
Bo	Du	He	Lu	Ri	Wall
Bon	E	Hen	M	Ro	War
Br	El	Her	Man	Ros	We
Bro	Et	Hi	Mas	Ru	Wei
Bu	F	Ho	McA	S	Wh
Bur	Fe	Hol	McD	Sch	Wi
C	Fi	Hor	McK	Schm	Williams
Car	Fl	Hu	Me	Se	Wilson
Cas	Fo	Hun	Mi	Sh	Wo
Ch	Fr	I	Miller	Si	Wr
Che	Fri	J	Mo	Smith	XY
Cl	G	John	Mor	Sn	Z

## APPENDIX C

## SORTING

**C-1. General.** This appendix contains detailed information on methods and procedures for sorting papers for file.

**C-2. Sorting divisions.** Special alphabetical and numerical divisions for sorting purposes have been developed by office supply firms and have been improvised by files personnel. The alphabetical or numerical divisions and subdivisions best suited for a particular sorting operation depend on the volume of papers to be sorted and the file arrangement. The dividers should be labeled both alphabetically and numerically to permit one piece of equipment to be used for both types of sorting. Economical sorting of very large volumes of papers requires special methods and equipment. The following divisions are recommended for sorting small volumes of papers:

*a.* Fifteen numerical divisions, one for each major functional files category under TAFFS. A second sort (by the two digits immediately preceding the dash in the file number) and a third sort (by the two digits following the dash in the file number) can then be made under the method outlined in *c* below.

*b.* A 20 division of the alphabet is used for a small volume of papers to be sorted alphabetically. (app. B).

*c.* Numerical divisions from 0 through 9 are used for sorting by serial or other number. Each of these main division numbers, in addition to their actual number value, can be used to represent 20, 200, 2,000 etc. Subdivisions of 1 through 9 may be used with each main division if more than 500 papers are sorted at one time.

**C-3. Sorting methods.** *a. Table sorting.* This method will be used when the number of papers is very small or sorting equipment is not avail-

able. In preparing for a table-sorting operation, labeled letter or legal-size sheets of paper or desk trays are placed uniformly, left to right, in the order of numbers or letters used. Table sorting may be accomplished by sorting all papers first to the main divisions, then sorting all papers in the first division to its subdivisions. In the event a finer sort is necessary, each subdivision may be sorted to secondary subdivisions.

*b. Desk sorting.* Desk-sorting equipment is designed to sort from 100 to 500 papers in one sorting operation. Desk sorters have a series of dividers between which papers are placed in a horizontal position. Sufficient space ( $3/8$  in. to 1 in.) is provided between each divider for ease in sorting and the distance between the first and last divider is not so great as to prevent easy reaching. A desk sorter may be improvised by stapling a series of file folders together with about 1 inch of each folder visible for labeling purposes. A desk sorter which holds papers in position is desirable when the sorting clerk is frequently interrupted by other work.

*c. Tray sorting.* Tray-sorting equipment is designed to sort from 500 to 3,000 papers in one sorting operation. Tray sorters are made 20, 24, and 26 inches in length and are filled with dividers to hold papers in a vertical position. The sides of the tray should be lower than the dividers to allow for easy placing and removing of papers. A tray sorter can be improvised by using a file drawer equipped with guides held in place with a guide rod.

*d. Mechanical sorting.* Mechanical sorting equipment is designed for ease in sorting 500 to 10,000 papers. These devices are equipped with one or more series of hinged dividers mounted on a holding device with or without a sliding

mechanism. The dividers are made to conform to the size and variety of material to be sorted.

*e. Compartment-rack sorting.* Compartment-rack sorters can be constructed to meet the needs of any sorting operation. They are made

with sufficient space for ease in placing papers in a horizontal position in the compartments or pigeonholes. The racks are built to permit sorting in either a standing or a sitting position.

## APPENDIX D

## TERMINAL DIGIT FILING

**D-1. Basic principle.** Terminal digit filing is a system of numeric filing based on using the units and tens (terminal digits) of a document number, rather than the whole number, to establish the filing arrangement. Under the conventional method a document numbered 1234 would be followed by a document numbered 1235. Under the terminal digit method a document numbered 1234 would be followed by a document numbered 1334. All documents with terminal digits "34" would be filed together. In terminal digit filing a number comprised of six or more digits is normally separated into three parts. Thus, the number 3441-56-5920 would normally be separated as 34156 59 20 for terminal digit arrangement. All documents ending in the number 20 would be filed together and arranged within that group by a secondary pair of digits (i.e., 59). The remaining digits (i.e., 34156) would be used for filing in consecutive numeric order.

**D-2. Possible applications of terminal digit Filing.** Records which can be filed by number, such as contracts, vouchers, purchase orders, bills of lading, and documents bearing a Social Security Account Number (SSAN) may be arranged by terminal digit. In determining whether terminal digit filing is practicable for numbered documents, certain criteria should be considered. In most cases, a terminal digit arrangement will be advantageous when one or more of the following conditions exist:

*a.* Files consist of 10,000 or more case folders; or 25,000 or more card records or individually numbered documents; and the number of references to such files averages 25 or more per day.

*b.* Uniform distribution of workload, control of records while in a work process, or fixed re-

sponsibility for records is required for more efficient operations.

*c.* Gaps in the sequence of numbers or skipped numbering of records hamper sorting, filing, and finding operations under the conventional numerical arrangement.

*d.* Expansion or contraction of files cause frequent shifting of records.

**D-3. Potential advantages over conventional numerical arrangements.** *a.* Greater speed of operation. Numbers are less likely to be transposed; sorting is reduced and unhampered by gaps in the sequence of numbers; filing and finding is faster; and misfiles are reduced and noted more easily in file.

*b.* Fixed indexing and guiding arrangement. Once established, guides need not be added or removed to meet changes in the size of the file. All sections of the file expand or contract with little shifting of records.

*c.* Identical organization, volume of material, and method of operation for each section of the file. This permits interchangeability of operators, equalization of work, and a comparative check on work performance.

*d.* Ease of inventorying records either by sight or by numerical samplings.

**D-4. Digit grouping.** There are many variations of grouping digits for terminal digit filing. In general, the document number is divided into three groups of digits without regard to commas, hyphens, prefixes, or suffixes. The first group, reading from *right to left*, is usually known as the primary group; it determines the general filing location. The next group to the left is known as the secondary

group; it determines the specific division of the primary group to which the record belongs. The final group, containing the remaining digits of the document number, is used for consecutive numeric filing within the secondary groups. Variations of the foregoing may be used in some instances by designating specific digits of a number for filing records by section of a file or by specific file drawer.

**D-5. Primary group methods.** Usually a one or two-terminal digit method is used for most files. The one-digit method uses only the last digit (0-9) of a document number as the primary group and may be established for a document number series containing four or five digits. The two-digit method uses the last two digits of a file number as the primary group and may also be established for a document number series containing five, six, or more digits. With either method the number of digits in the secondary and final groups may be varied depending upon the size of the file. As a general rule, the method used is determined by the potential range of the document number series which must be accommodated. Figure D-1 indicates by number of digits in the document number series, the potential range, the method which may be used, and possible variations in method.

**D-6. Two-digit primary group system.** *a. Grouping digits.* A two-digit method is normally organized on the basis of primary, secondary, and final groupings of a document number containing six or more digits. In the number 648-21-1079 for example, the terminal or last two digits, 79, represent the primary group; the next two digits to the left, 10, the secondary group; and the remaining digits, 64821, the final group. Thus, for purposes of grouping, the number would be viewed as 64821 10 79.

64821	10	79
Final	Secondary	Primary

*b. Document arrangement.* All documents ending with the same two digits in the primary group would be together in one section of the file. Within the section, the documents would

be arranged by digits in the secondary group, and ultimately arranged in consecutive numeric sequence by the remaining digits. Figure D-2 illustrates the differences in consecutive numeric and terminal digit filing.

*c. Guide requirements.* In a two-digit primary group system there are 100 primary groups available for file guide purposes. They are: 00, 01, 02, 03, 04, 05, 06, 07, 08, 09, 10, up to and including 99. A file guide is established for each primary group. Behind each primary guide there are also 100 secondary groups available for subdivision of the primaries. These are exactly as the primaries, ranging from 00-99. For example, between the primary guides 04 and 05 there are 100 secondary guides: 00-04, 01-04, 02-04, 03-04, 04-04, 05-04, 06-04, 07-04, 08-04, 09-04, 10-04, up to and including 99-04. Thus a two-digit primary group system provides for a total of 10,000 guides (if needed). A set of guides normally starts with 100 primaries (00-99). Secondary guides are added as needed, depending upon the number of records to be filed and the rate of reference to the file. If it is necessary to subdivide the secondary groups, additional guides may be inserted within the sequence of consecutive numbers.

*d. Division of files.* Files may be divided into units of primary groups for purposes of standardization, distribution of workload, and assignment of personnel. For example, a file having 50,000 records may be divided into five units, each having approximately 10,000 records as follows:

Unit 1	Terminal Digits	00 through 19
Unit 2	Terminal Digits	20 through 39
Unit 3	Terminal Digits	40 through 59
Unit 4	Terminal Digits	60 through 79
Unit 5	Terminal Digits	80 through 99

If personnel, space, location of files, and volume of records make it necessary, variation in establishing units is possible. For example, a three-unit division would consist of:

Unit 1	Terminal Digits	00 through 32
Unit 2	Terminal Digits	33 through 65
Unit 3	Terminal Digits	66 through 99

No. of digits in a number	Potential range of numbers accommodated	Digit grouping method which may be used	Number of digits in:		
			Primary group	Secondary group	Final group
4	10,000	One	1	None	3
4	10,000	Two	2	None	2
5	100,000	One	1	None	4
5	100,000	One	1	2	2
5	100,000	Two	2	None	3
5	100,000	Two	2	1	2
6	1,000,000	Two	2	None	4
6	1,000,000	Two	2	2	2

Figure D-1. Number range for terminal digit filing.

Consecutive numeric	Terminal Digit	
	Primary only	Primary and secondary
883-98-1000	8605042 92	34612 97 92
860-50-4292	3461297 92	86050 42 92
791-34-2537	7913425 37	47416 85 37
628-25-4237	6282542 37	62825 42 37
474-16-8537	4741685 37	79134 25 37
419-15-2537	4191525 37	41915 25 37
346-12-9792	8839810 00	10512 11 00
105-12-1100	1051211 00	88393 10 00

Figure D-2. Differences in sequence of numbers arranged by terminal digits—two digit method (read from bottom upward).



APPENDIX E

MAINTENANCE AND DISPOSITION OF OFFICE HOUSEKEEPING FILES

E-1. The files described in this appendix relate primarily to the performance of administrative housekeeping operations within the immediate office and not to the performance of the mission functions of the office. More specifically, the files:

a. Accumulate as a result of following procedures which are required in, or are an inherent part of normal housekeeping operations of any office.

b. Provide a source of general reference material for the office, as distinguished from record copies of material documenting the performance of the mission functions of the office.

E-2. The term "office" as used in this appendix means directorate, division, branch, section, unit,

or lower organizational subdivision of DA Staff agencies and equivalent organizational elements of major and intermediate command headquarters, installations, and activities. Office housekeeping files most frequently accumulate in offices of administrative assistants, administrative officers, chief clerks, or other individuals responsible for administrative matters of the office. Office housekeeping files are assigned basic file group number 100 and they are divided into three subgroups as follows:

<i>Basic Subgroup No.</i>	<i>Title</i>
101	Office General Administrative Files
102-----	Office Personnel Files
103	Office Reference Files

## 101 OFFICE GENERAL ADMINISTRATIVE FILES

The files described in this subgroup relate to the performance of routine administrative operations and in obtaining housekeeping-type services from the offices and staff sections responsible for providing them.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
<b>101-01</b>	<p><b>Suspense files.</b> Papers arranged in chronological order as a reminder that an action is required on a given date; a reply to action is expected and if not received should be traced on a given date; or transitory paper being held for reference may be destroyed on a given date.</p> <p><i>Note.</i> File numbers are not required on these papers or on labels of file drawers or folders in which the papers are filed. Examples of papers in suspense files are:</p> <p>a. A note or other reminder to submit a report or to take some other action.</p> <p>b. The file copy, or an extra copy of an outgoing communication, filed by the date on which a reply is expected.</p> <p>c. Papers which may be destroyed in 30 days or less as being without further value.</p>	<p>Destroy papers of the type described in subparagraph <i>a</i> after action is taken. Withdraw papers of the type described in subparagraph <i>b</i> when reply is received. If suspense copy is an extra copy destroy it; if it is the file copy, incorporate it with other papers for file.</p> <p>Destroy papers of the type described in subparagraph <i>c</i> on date under which suspended.</p>
<b>101-02</b>	<p><b>Office general management files.</b> Documents relating to the internal management or general administration of an office. Included are:</p> <p>Documents concerning internal office procedures, hours of duty, and individual duties that do not have continuing applicability.</p> <p>Documents relating to office participation in charitable affairs, such as blood donations and contributions to philanthropic or charitable associations.</p> <p>Documents concerning office participation in public relations and information activities, such as open house programs and special events, (but not papers concerning proposed articles, news releases, or similar communications used to promote or publicize the office's mission functions).</p> <p>Documents concerning tests of civil defense, fire, or comparable emergency evacuation procedures.</p> <p>★ Documents pertaining to security within the office, such as communications and notices about methods of insuring security, and documents concerning the security classification system in general.</p> <p>Documents relating to protective services, parking, traffic control, and allied matters.</p> <p>★ Documents relating to safety within the office, such as minutes of safety meetings, notification of safe and unsafe practices, and comparable documents.</p> <p>Documents relating to the office's involvement in forms, publications, records, and reports management, such as records and forms survey and inventory reports (but not papers relating to the initiation of specific forms, publications, and reports that pertain to the performance of the office's mission functions).</p> <p>Documents relating to the general routine use of automatic data processing (but not documents concerned with the employment of automatic data processing for performing specific mission functions or processes thereof).</p> <p>Documents similar to the categories listed above that do not pertain to the performance of the mission functions of the office and that are not described elsewhere in this appendix.</p>	<p>Destroy after 1 year or on discontinuance, whichever is first.</p>

File No.	Description	Disposition
★101-03	<p><b>Office inspection and survey files.</b> Documents relating to inspecting and surveying internal office administrative procedures. Included are:</p> <p>Extracts of IG and command inspection reports, security inspection reports, safety inspection reports, or comparable communications that pertain only to the performance of house-keeping operations within the office, including communications about pending inspections.</p> <p>Management survey reports and similar documents that are applicable to internal office procedures, layout, work flow patterns, and comparable matters.</p>	Destroy after the next comparable survey or inspection.
101-04	<p><b>Duty reporting files.</b> Documents prepared by duty officer of the day, administrative officer of the day, or by personnel performing charge of quarters duty. Included are daily activity reports and journal sheets containing a running account of the activities performed, and similar or related documents.</p>	Destroy after 6 months or on discontinuance, whichever is first.
101-05	<p><b>Housekeeping instruction files.</b> Documents relating to the preparation and issue of office memorandums or comparable continuing instructions that are applicable only to internal administrative practices and housekeeping details within the preparing office. Included are copies of the instructions and communications relating to them.</p> <p><i>Note.</i> This file number is not applicable to instructions prepared by the office that are issued on an agency-wide, command-wide, command headquarters-wide, installation-wide, or activity-wide basis. Neither is it applicable to instructions concerning the performance of mission functions of the office even though they may be issued as standing operating procedures or in comparable format.</p>	Destroy on supersession or obsolescence.
101-06	<p><b>Office organization files.</b> Documents relating to the organization and function of an office, such as copies of documents which are duplicated in the Comptroller, Management, or comparable office charged with determining the organization and functions of the agency. Included are copies of functional charts and functional statements; copies of documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; copies of tables of distribution and allowances; and similar papers. Also included are documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require evaluation and approval by the comptroller-type office.</p>	Destroy when superseded, obsolete, or no longer needed for reference.
101-07	<p><b>Office record locator files.</b> Documents used to locate files in the current files area, or files that have been transferred to the records holding area or retired to a records center. Included are lists of selected file numbers, copies of file plans not issued as directives, and retained copies of records shipment lists.</p> <p>★<i>Note.</i> Card indexes to individual mission record groups should not be identified as locator files but as reference paper files to the mission records. Lists of selected file numbers may be filed loosely in front of organized files.</p>	<p>Destroy file plans and lists of selected file numbers when superseded.</p> <p>Destroy shipment lists when records reflected thereon have been destroyed; or destroy on discontinuance, whichever is first.</p>
101-08	<p><b>Record access files.</b> Documents received or prepared by an office that show name, grade, and other identification of individuals authorized access to official records, particularly classified material. Included are requests for access and approvals thereof, rosters of individuals authorized access, and similar documents.</p>	Destroy on supersession or obsolescence of the authorization document; or on transfer, separation, or relief of the individual concerned.
101-09	<p><b>Security container record files.</b> Forms placed on safes, cabinets, or vaults containing security classified documents and used for providing a record of entry into the containers.</p>	Destroy the day following the last entry on the form, except forms involved in an investigation will be retained until completion of the investigation.

3 August 1971

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
101-10	<b>Security container information files.</b> Up-to-date records of all office safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.	Destroy on supersession or on turn-in of the container.
★101-11	<b>Office classified document receipt files.</b> Receipts for classified documents issued or transferred. If classified document receipts are used <i>concurrently</i> as a register/control file, they will be identified and disposed of under file number 101-12.	Destroy in CFA after 2 years.
★101-12	<b>Office classified document register/control files.</b> Documents reflecting the identity and location of classified papers for which the office is accountable. Included are DA Forms 455 and similar forms used for control.	Destroy in CFA 2 years after all classified documents recorded thereon have been transferred, destroyed, declassified, or entered on a new sheet.
101-13	<b>Temporary internal receipt files.</b> Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing classified documents in an office or headquarters. Such loans are normally of short duration and the borrowed documents are often returned within the same workday.	Destroy on return of the classified document to the individual or office making the loan.
101-14	<b>Office nonregistered classified document destruction certificate files.</b> Forms or other documents accumulated by an office which reflect the destruction of classified documents.	Destroy in CFA after 2 years.
101-15	<b>Office mail control files.</b> Documents which relate to the control of incoming and outgoing mail by offices other than official mail rooms and postal activities. Included are routing and suspense slips, records of messenger trips, and similar documents. In rare cases, they may also include copies of receipts for accountable mail, e.g., registered, certified, and numbered insured mail.	Accountable mail receipts: Destroy in CFA after 2 years. Other documents: Destroy after 3 months.
101-16	<b>Office financial files.</b> Documents that relate to the participation of offices in matters concerning the expenditure of funds incidental to the performance of the mission of the office, such as itineraries and cost estimates for travel and notifications to budget offices of funds required for travel; requests for long distance telephone funds, notifications from budget offices of telephone funds that are available, and reports of long-distance telephone calls; receipts for pay checks and other documents relating to the distribution of checks to individual employees; receipts for savings bonds and other documents relating to distribution of savings bonds directly to individual employees; and comparable papers.	Destroy after 1 year, or on discontinuance, whichever is first.
101-17	<b>Office service and supply files.</b> Documents relating to ordinary supplies and equipment used by an office; office space and utilities; communications, transportation, custodial or other services required by an office; and to the general maintenance of an office. Included are: Requests to supply activities for supplies, receipts for supplies and equipment, and similar papers per training to office supply matters. Requests and other documents concerning the issue of keys and/or locks to an office. Requests for publications and blank forms, and other papers relating to the supply and distribution of publications to the office. Documents relating to local transportation and drayage services required by, or available to an office. Documents relating to custodial services required by an office. Documents relating to requirements for office space, office layouts, use of office space, or comparable matters. Requests for installation of telephones, floor plans showing location of office telephone extensions, requests for change to telephone directories, and similar papers.	Destroy 1 year after completion of action, earlier disposal is authorized.

24 July 1972

C 4, AR 340-18-1

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
	Documents relating to the modification, repair, or change of office heating, lighting, ventilation, cooling, electrical, and plumbing systems.	
	Documents relating to painting, partitioning, repairing, or other aspects of maintaining the office physical structure.	
	Documents relating to other logistical type services required by, or provided to an office.	
101-18	Office property record files. Cards, lists, hand receipts, or comparable documents showing accountable property charged to the office.	Destroy when superseded, obsolete, or when the property is turned in, whichever is first.
101-19	Office equipment record files. Documents used, when required, to record individual and cumulative repairs, adjustments, and usage of items of office equipment.	Destroy on supersession or when documents have served their intended purpose.
101-20	Classified matter inventory reporting files. Documents used to report the results of physical inventories conducted to assure all classified matter is accounted for.	Destroy after next inventory or upon discontinuance, whichever is first.
101-21	Security classification regrading files. Documents authorizing the regrading of security classified documents. Included are DA Form 1575, circulars, and other authorizing documents.	Destroy in CFA 3 years after all documents have been annotated.

## 102 OFFICE PERSONNEL FILES

The files described in this subgroup are maintained by operating officials and are used in administering military and civilian employees of the organizational segments which are under their control.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
102-01	Office general personnel files. Documents that relate to the day-to-day administration of military personnel and civilian employees in individual offices. Included are papers that relate to attendance at work, copies of reports of attendance and overtime, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Government medical services, including X-rays and immunizations; notices and lists of individuals to receive training; and comparable or related papers.	Destroy after 1 year, or on discontinuance, whichever is first.
102-02	Office personnel register files. Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave, and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.	Destroy after 6 months, earlier disposal is authorized.
102-03	Office personnel locator files. Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.	Destroy on separation or transfer of the individual.
★102-04	Employee record card files. Cards that provide complete information relative to employees, positions, strength authorizations, and actions in process. Included are Standard Form 7B, OF Form 4B, and DD Form 1435, when required.	Employees separated for military service who have restoration rights: Withdraw and place in the separation for military service file (file number 102-06). Employees transferred to organizational elements within the same installation or activity: Forward to gaining operating official. Employees separated or transferred from the installation: Destroy, except that DD Form 1435 will be forwarded to the gaining agency on transfer within the Federal Government.
102-05	Job description files. Documents describing positions in an office that are used in day-to-day supervisory relationships. Included are copies of DA Form 374 (Job Description) for civilian personnel and comparable job description forms for military personnel.	Destroy on abolishment of position, supersession of job description, or when no longer needed for reference.
102-06	Separation for military service files. Standard Form 7B, and OF Form 4B, (Employee Record Card) used in considering employees separated for military service for position change actions in absentia.	Return to active file if employee is restored at expiration of the obligation period. Destroy if not restored.
102-07	Pending request files. Operating officials' or suspense copies of Standard Form 52 (Request for Personnel Action) for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.	Destroy on receipt of notification of completion of requested personnel action.

File No.	Description	Disposition
102-08	<p><b>Office personnel information files.</b> Documents pertaining to the administration of individual civilian employees and military personnel <i>which are duplicated in, or which are not appropriate for inclusion in the Official Personnel Folder, the Personnel Records Jacket, the Job Description File, or the Pending Request File.</i> Included are notice that individuals have been cleared for classified material, other documents related to personnel security, retained copies of reports and other papers relating to individual injuries, letters of appreciation and commendation, records reflecting training received by individuals, documents reflecting assigned responsibilities of individuals, copies of performance appraisals, off duty employment information, and comparable papers.</p>	<p>Review at end of calendar year and destroy documents which have been superseded or are no longer applicable.</p>
102-09	<p><b>Duty roster files.</b> Documents used for recording recurring and routine duties performed by personnel within an office, including special duties performed on a rotating basis.</p>	<p>★ Destroy 3 months after last entry or on discontinuance, whichever is first.</p>
102-10	<p><b>Standard of conduct files.</b> Documents relating to procedures used to assure that all personnel fully understand the standards of conduct and ethics required of them. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood.</p>	<p>Destroy after the next periodic application of the procedure, 1 year after obsolescence of the procedure, or on discontinuance of the office, whichever is first.</p>
102-11	<p><b>Security awareness files.</b> Documents relating to procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memo indicating that the regulations are understood.</p>	<p>Destroy after the next periodic application or on inactivation of the office, whichever is first.</p>
102-12	<p><b>Temporary duty travel files.</b> Copies of request and authorization for military personnel TDY travel and civilian personnel TDY and PCS travel, similar issuances, and related documents pertaining to travel.</p>	<p>Destroy after 1 year or on discontinuance, whichever is first.</p>

## 103 OFFICE REFERENCE FILES

This subgroup describes files maintained to provide a source of reference materials readily available to the office.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
103-01	<b>Reference publication files.</b> Copies of publications issued by any element of the Army, other Government agencies, and non-governmental organizations maintained for reference within an office.	Destroy when superseded, obsolete, or no longer needed for reference purposes, except that accountable publications will be returned to supply channels.
103-02	<b>Technical material reference files.</b> Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, charts, and maps retained for reference purposes only.	Destroy when superseded, obsolete, or no longer needed for reference, except that accountable material will be returned to supply channels.
103-03	<b>Reading files.</b> Copies of outgoing communications, arranged chronologically, and maintained for periodic review by staff members.	Destroy after 1 year. Earlier disposal is authorized.
103-04	<b>Office message reference files.</b> Copies of incoming and outgoing messages maintained in numerical or chronological order for reference purposes in offices other than signal communications centers, message centers, and official mail rooms. This description does not include official record copies of messages which must be filed in the appropriate mission files of the office.	Destroy after 1 year. Earlier disposal is authorized.
103-05	<b>Policy and precedent files.</b> Extra copies of documents establishing policy or precedent for future and continuing action. Normally, policy and precedent files are maintained at the operating level, and consist of copies of standing operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in functional files.	Destroy on discontinuance of the organizational element performing the operation to which the files relate. Earlier disposal of portions of the file or the entire file is authorized.



3 August 1971  
14 August 1969

C 3, AR 340-18-1  
AR 340-18-1

★The proponent agency of this regulation is The Adjutant General's Office. Users are invited to send comments and suggested improvement on DA Form 2028 (Recommended Changes to Publications) direct to HQDA (DAAG-ASR-P) TAGO BLDG FALLS CHURCH VA 22041.

By Order of the Secretary of the Army:

Official:  
KENNETH G. WICKHAM,  
*Major General, United States Army,  
The Adjutant General*

W. C. WESTMORELAND,  
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CHANGE  
No. 6

HEADQUARTERS  
DEPARTMENT OF THE ARMY  
WASHINGTON, DC, 20 September 1974

**OFFICE MANAGEMENT**  
**THE ARMY FUNCTIONAL FILES SYSTEM**  
**GENERAL PROVISIONS**

*Effective 1 January 1975*

*This change provides for longer retention of short-term files series in current files areas, records holding areas, and oversea records centers; modifies policy regarding deviations from disposition instructions; requires classified files to be transferred to records holding areas; clarifies instructions for records transfers; modifies instructions regarding disposition of files on change of status; more clearly defines unnecessary file material; prohibits the attachment of documents to folders in most circumstances; prescribes the maximum reuse of file folders; simplifies file number 101-07; modifies the description of file number 101-12; and adds file number 101-24.*

AR 340-18-1, 14 August 1969, is changed as follows:

1. New or changed material is indicated by a star.
2. Remove old pages and insert new pages as indicated below.

<i>Remove pages</i>	<i>Insert pages</i>
i and ii.....	i and ii
2-3 and 2-4.....	2-3 and 2-4
3-1 through 3-8.....	3-1 through 3-8
4-1 through 4-4.1.....	4-1 through 4-4
E-3 through E-6.....	E-3 through E-6
Authentication.....	Authentication

3. File this change sheet in front of the publication for reference purposes.

**The proponent agency of this regulation is The Adjutant General Center. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA (DAAG-AMR-P) WASH DC 20314.**

By Order of the Secretary of the Army:

FRED C. WEYAND  
*General, United States Army*  
*Chief of Staff*

Official:  
VERNE L. BOWERS  
*Major General, United States Army*  
*The Adjutant General*

**DISTRIBUTION:**

*Active Army, ARNG, USAR:* To be distributed in accordance with DA Form 12-9A requirements for AR, The Army Functional Files System, General Provisions—C (Qty Rqr Block No. 228).

20 September 1974

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\*AR 340-18-1

ARMY REGULATION }  
No. 340-18-1 }

HEADQUARTERS  
DEPARTMENT OF THE ARMY  
WASHINGTON, DC, 14 August 1969

OFFICE MANAGEMENT  
THE ARMY FUNCTIONAL FILES SYSTEM  
GENERAL PROVISIONS

Effective 1 January 1970

*Limited supplemental directives to this regulation are authorized. Supplemental directives will be brief and will contain only that supplemental information essential to assure compliance with procedures herein. Two copies of each supplement issued by the heads of agencies and commands listed in paragraph 1-4b, c (1), and (2), and e AR (340-1) will be forwarded immediately on issuance to HQDA (DAAG-AMR-P) Washington, DC 20314.*

	Parragraph	Page
CHAPTER 1. INTRODUCTION		
Purpose and scope.....	1-1	1-1
Applicability.....	1-2	1-1
Definitions.....	1-3	1-1
Abbreviations.....	1-4	1-2
Major functional files categories and governing regulations.....	1-5	1-2
Principles of TAFFS.....	1-6	1-2
List of selected file numbers.....	1-7	1-3
2. LABELING PROCEDURES		
Functional file numbers.....	2-1	2-1
Label entries under TAFFS.....	2-2	2-1
Label entries for exceptions to disposition instructions.....	2-3	2-2
3. DISPOSITION PROCEDURES		
Section I. GENERAL FILES DISPOSITION PROCEDURES		
Objectives.....	3-1	3-1
Source of retention periods.....	3-2	3-1
Changes to retention periods.....	3-3	3-1
Files disposal requirements.....	3-4	3-1
Emergency or accidental disposal of records.....	3-5	3-2
II. PROCEDURES FOR APPLYING DISPOSITION INSTRUCTIONS		
Disposition procedures.....	3-6	3-2
Disposition instructions.....	3-7	3-2
Deviations from disposition instructions.....	3-8	3-4
Transfer of classified files to records holding areas.....	3-9	3-5
Retirement of classified files.....	3-10	3-5
Intra-Army transfer of files.....	3-11	3-5
★ Transfer of records to the National Archives, GSA.....	3-12	
★ Transfer of records to non-Army agencies other than Federal records centers or the National Archives.....	3-12.1	
III. SPECIAL TRANSFER, RETIREMENT, AND DESTRUCTION PROCEDURES		
Disposition of joint records.....	3-13	3-6
COSMIC, NATO, SEATO, and CENTO documents.....	3-14	3-6
IV. DISPOSITION ON CHANGE IN ORGANIZATIONAL STATUS		
Transfer of functions.....	3-15	3-6
Discontinuance of Departmental Headquarters agencies.....	3-16	3-6
Discontinuance or change in status of field agencies and elements.....	3-17	3-7
★ Units of the United States Army Forces, Readiness Command.....	3-18	3-8
Orders changing status.....	3-19	3-8

**\*This regulation, together with AR 340-18-2, AR 340-18-3, AR 340-18-4, AR 340-18-5, AR 340-18-5, AR 340-18-6, AR 340-18-7, AR 340-18-8, AR 340-18-9, AR 340-18-10, AR 340-18-11, AR 340-18-12, AR 340-18-13, AR 340-18-14, and 340-18-15, all dated 14 August 1969, supersedes AR 345-210, 31 October 1962, including all changes.**

**CHAPTER 4. MAINTENANCE AND REFERENCE PROCEDURES**

Section		Paragraph	Page
I.	GENERAL		
	General.....	4-1	4-1
	Purpose.....	4-2	4-1
II.	MAINTENANCE PROCEDURES		
	General.....	4-3	4-1
	Dual responsibilities.....	4-4	4-1
	File authority.....	4-5	4-1
	Inspection of papers.....	4-6	4-1
	Assembly of papers.....	4-7	4-2
	Fastening.....	4-8	4-2
	Posting file numbers.....	4-9	4-2
	Backing sheets.....	4-10	4-3
	Cross-reference.....	4-11	4-3
	Consolidated cross-reference sheet.....	4-12	4-3
	Content listing sheet.....	4-13	4-3
	Sorting papers for file.....	4-14	4-4
	Use of guides and folders.....	4-15	4-4
	Position of guides.....	4-16	4-4
	Position of folder labels.....	4-17	4-4
	Security classified papers.....	4-18	4-5
	Cover sheets.....	4-19	4-5
	Filing bulky material.....	4-20	4-5
	Maintenance of records in libraries.....	4-21	4-5
III.	ALPHABETICAL ARRANGEMENTS		
	General.....	4-22	4-7
	Subject-alphabetic arrangement.....	4-23	4-7
	Proper name arrangement.....	4-24	4-7
	Geographical location arrangement.....	4-25	4-7
	Organizational arrangement.....	4-26	4-7
IV.	NUMERICAL ARRANGEMENT		
	General.....	4-27	4-8
	Date arrangement.....	4-28	4-8
	Straight numerical arrangement.....	4-29	4-8
	Duplex number arrangement.....	4-30	4-8
	Terminal digit arrangement.....	4-31	4-8
V.	REFERENCE PROCEDURES		
	General.....	4-32	4-8
	Submission of requests.....	4-33	4-8
	Charge-out record.....	4-34	4-8
	Cover for charged out files.....	4-35	4-9
	Charge-out suspense and followup.....	4-36	4-9

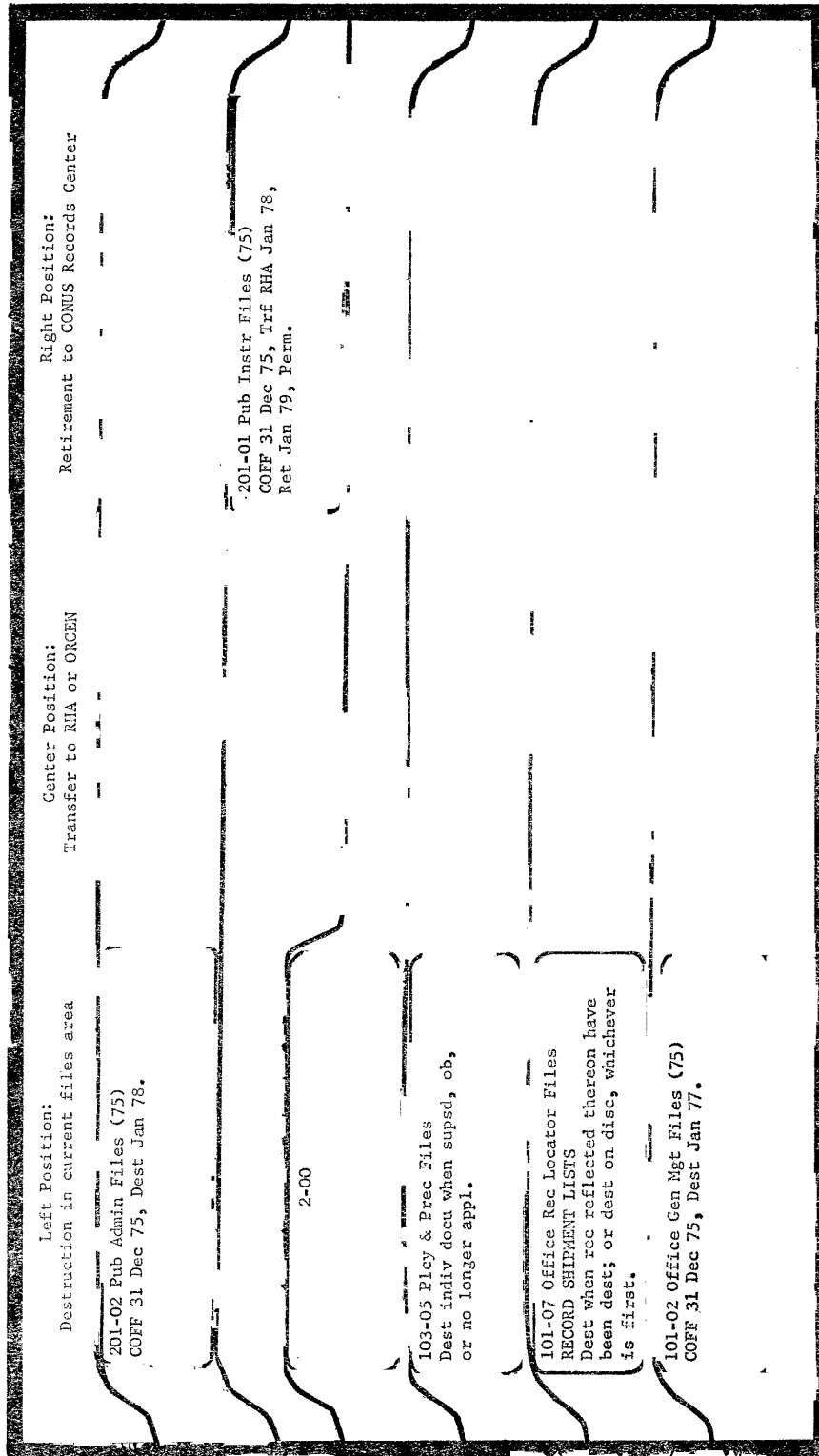


Figure 2-1. Examples of folder and guide labels. (Read from bottom.)

708-07 Adverse Suitability  
Info Files (75)  
COFF 31 Dec 75, dest Jan  
77; or dest on disc,  
whichever is first.

One file number

708-03 Info Pers Files  
(75)  
A-1  
COFF 31 Dec 75, dest Jan  
77; or dest on disc,  
whichever is first.

A portion of  
one file number  
(first drawer label)

101-02 thru 707-05 (75)

More than one file number  
(one year only)

101-02 thru 713-08 (74)  
101-02 thru 713-08 (75)

More than one file number  
(more than one year)

<p>103-01 Reference Publication Files  AR's 1-100 thru 335-30  Dest when supsd, ob, or no longer needed for ref.</p>	<p>103-01  AR's 340-1  thru 340-18 series</p>	<p>103-01  AR's 350-30  thru 385-40</p>	<p>103-01  AR's 385-55  thru 420-11</p>
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Figure 2-2. Examples of drawer and binder labels. (Read from bottom.)

## CHAPTER 3 DISPOSITION PROCEDURES

### Section I. GENERAL FILES DISPOSITION PROCEDURES

**3-1. Objective.** One of the objectives of the Army records management program is to preserve records of continuing value, systematically eliminate all other records, and remove less active current records from office space to low cost storage space. This insures preservation of permanent records, increases the usefulness of the records, and reduces the cost and effort of recordkeeping. To achieve this objective, standard procedures have been established for the disposition of all Army records.

**3-2. Source of retention periods.** Retention periods for specific Army files are published in the disposition columns in appendix E and in AR 340-18-2 through AR 340-18-15. Retention periods for files are presently described in the cited regulations are established on the basis of analyses made by The Adjutant General. The heads of agencies and major commanders will submit recommendations for the disposition of files not covered by existing disposition authority only when requested by The Adjutant General. Recommendations for changes to existing retention periods will be submitted without prior approval of The Adjutant General only when necessary to resolve conflicting instructions between records management regulations and other regulations.

**3-3. Changes to retention periods.** Retention periods are changed periodically as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. The changes are applied in accordance with the general rules in *a* and *b* below.

*a. Increased retention period.* If the change increases the retention period, the new retention period will be applied to all files of the description regardless of where they are maintained or when they were created. Inactive and cutoff files will be brought under the new retention period.

*b. Reduced retention period.* If the change reduces the retention period, the new retention period will be applied retroactively unless it is impractical or uneconomical to do so. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on an individual basis, it normally would be more

economical to retain the files for the longer period than to attempt to apply the change.

**3-4. Files disposal requirements.** *a. General.* Files authorized for destruction will be sold as waste paper, destroyed, or with the prior approval of The Adjutant General, donated to any government, organization, institution, or corporation which has made application for them.

*★b. Files salvage and disposal.* Unclassified files authorized for destruction, and exceeding 100 pounds in weight (approximately 4 linear feet), will be reported to the property disposal officer for determination as to whether disposition by sale or recycling is economically feasible. If the property disposal officer indicates reported quantities cannot be sold, disposition by other means is authorized. Disposal of FOUO information will be accomplished in accordance with the provisions of paragraph 10, AR 340-16. Classified documents will be destroyed according to the methods prescribed in DOD 5200.1-R.

*c. Donation of files.* Files eligible for destruction that possess historical or sentimental value unique to any government, organization, institution, or corporation may be donated on the request of such agency or organization with the prior approval of The Adjutant General. All requests will include a description of the files, the organization possessing the files, and the agency to which the files are to be donated.

**3-5. Emergency or accidental disposal of records.** *a. Emergency disposal.* Pursuant to the Records Disposal Act of 1943, records in the custody of the Army outside the territorial limits of the continental United States may be destroyed at any time during the existence of a state of war between the United States and any other nation, or when hostile action by a foreign power appears imminent, if their retention is prejudicial to the interests of the United States. When emergency disposal is effected, a list of files destroyed and the inclusive dates of each file will be compiled to the extent possible. This list will be forwarded to HQDA (DAAG-AMR-P) WASH DC 20314.

*b. Accidental disposal.* In cases of accidental loss or destruction of files by fire or other causes, the following actions will be taken:

(1) Reconstruction of as much of the lost or destroyed permanent files as possible. For example, Organization Planning Files will be reconstructed by replacing the lost or destroyed documents with reference copies maintained in other offices or other agencies. Other permanent files will be reconstructed in the same manner if the lost or

destroyed documents can be identified and copies can be obtained from other sources.

(2) When it is not possible to reconstruct permanent files, they will be identified on an SF 135 (Records Transmittal and Receipt) at the time of transfer of records of the same date period to a records holding area or oversea records center. This information, in turn, will be included on the SF 135 at the time of retirement of related records to a records center in the continental United States.

## Section II. PROCEDURES FOR APPLYING DISPOSITION INSTRUCTIONS

**3-6. Disposition procedures.** *a.* Except as provided in (1) and (2) below, records designated for retirement will be retired on a calendar and fiscal year basis to the Washington National Records Center, GSA.

(1) Records for which the disposition column in the AR 340-18 series provides for retirement to another records center will be retired to that records center.

(2) Records designated for retirement by Corps of Engineers divisions, districts, and outpost activities will be retired to the GSA Federal Records Center serving the geographical area in which the creating office or activity is located.

*b.* For most files, the disposition column in appendix E or in other regulations in the AR 340-18 series provides only the retention period for the file (e.g., destroy after 2 years, destroy after 10 years, destroy after card is filled, etc). In these instances, the disposition instructions in paragraph 3-7 will be used to determine the exact cutoff, transfer, retirement, and disposal dates.

*c.* For some files, the disposition column also provides specific instructions for cutoff, transfer, retirement, or establishment of inactive files. In these instances the specific instructions rather than the standard disposition instructions in paragraph 3-7 will be followed.

**★3-7. Disposition instructions.** The instructions for the cutoff, disposal, and retirement of files based on general time periods or events are listed below. Unless otherwise indicated in specific disposition instructions in the AR 340-18 series, retention periods begin on cutoff of the files. The following are examples of specific instructions containing exceptions to the general time periods and events: destroy when registrant becomes 36 years of age; withdraw and destroy on depar-

ture of the individual; destroy when superseded; destroy after next survey; and destroy the day following last entry on the form. After each instruction listed below, examples are shown of how disposition instructions should read on file labels for 1975 calendar and fiscal year files.

*a. One month or 30 days.* Cut off at the end of the month, hold 1 month in the current files area, and then destroy. Example:

COFF 30 Apr 75, Dest Jun 75

*b. Three months or 90 days.* Cut off at the end of each quarter, hold 3 months in the current files area, and then destroy. Example:

COFF 31 Mar 75, Dest Jul 75

*c. Six months.* Cut off semiannually as of 30 June and 31 December, hold 6 months in the current files area, and then destroy. Example:

COFF 30 Jun 75, Dest Jan 76

*d. One year.* Cut off at the end of the calendar year or fiscal year, hold 1 year in the current files area, and then destroy. Examples:

*Calendar year file.* COFF 31 Dec 75, Dest Jan 77

*Fiscal year file.* COFF 30 Jun 75, Dest Jul 76

*e. Two years.* Cut off at the end of the calendar year or fiscal year, hold in the current files area until the expiration of the 2-year period, and then destroy. Examples:

*Calendar year file.* COFF 31 Dec 75, Dest Jan 78.

*Fiscal year file.* COFF 30 Jun 75, Dest Jul 77.

*f. Three, 4, or 5 years.* Cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements.

(a) Cutoff files will be held 3, 4, or 5 years as applicable, in the current files area when



files space is available, and then destroyed. Examples:

- 3-year calendar year file.* COFF 31 Dec 75, Dest Jan 79.
- 3-year fiscal year file.* COFF 30 Jun 75, Dest July 78.

(b) When files space is not available, they will be held 2 years in the current files area. They will then be retired to the appropriate Federal records center where they will be held until the retention period expires, and then destroyed. Examples:

- 5-year calendar year file.* COFF 31 Dec 75, Retire WNRC Jan 78, Dest Jan 81.
- 5-year fiscal year file.* COFF 30 Jun 75, Retire WNRC Jul 77, Dest Jul 80.

(2) Army field elements *served* by a records holding area or oversea records center. Cutoff files will be held 2 years in the current files area. They will then be transferred to the records holding area or oversea records center where they will be held until the expiration of the retention period and then destroyed. Examples:

- 4-year calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Dest Jan 80.
- 4-year fiscal year file.* COFF 30 Jun 75, Trf RHA Jul 77, Dest Jul 79.

(3) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be retained in the current files area until the retention period expires, and will then be destroyed. Examples:

- 3-year calendar year file.* COFF 31 Dec 75, Dest Jan 79.
- 3-year fiscal year file.* COFF 30 Jun 75, Dest Jul 78.

*g. Six, 7, 8, 9, or 10 years.* Cutoff at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Cutoff files will be held 2 years in the current files area. They will then be retired to the Washington National Records Center, held until the retention period expires, and then destroyed. Examples:

- 10-year calendar year file.* COFF 31 Dec 75, Retire WNRC Jan 78, Dest Jan 86.
- 10-year fiscal year file.* COFF 30 Jun 75, Retire WNRC Jul 77, Dest, Jul 85.

(2) Army field elements *served* by a records holding area or oversea records center, except Corps of Engineers field elements. Cutoff files will

be held 2 years in the current files area. The following disposition will then be made:

(a) Organizational files will be transferred to the records holding area or oversea records center, held until the retention period expires, and then destroyed. Examples:

- 10-year calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Dest Jan 86.
- 10-year fiscal year file.* COFF 30 Jun 75, Trf RHA Jul 77, Dest Jan 86.

(b) Personnel-type files (e.g., letter orders) will be transferred to the records holding area or oversea records center, held 1 year, and then retired to the National Personnel Records Center. They will be held until the retention period expires, and then destroyed. Examples:

- 10-year calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Retire NPRC Jan 79, Dest Jan 86.
- 10-year fiscal year file.* COFF 30 Jun 75, Trf RHA Jul 77, retire NPRC Jul 76, Dest Jul 85.

(3) Corps of Engineers field elements. Cutoff files will be held in the current files area 2 years. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until the retention period expires and will then be destroyed. Examples:

- 6-year calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Retire FRCEN Jan 79, Dest Jan 82.
- 6-year fiscal year file.* COFF 30 Jun 75, Trf RHA Jul 77, Retire FRCEN Jul 78, Dest Jul 81.

(4) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records centers, held until the retention period expires, and then destroyed. Examples:

- 6-year calendar year file.* COFF 31 Dec 75, Retire WNRC Jan 79, Dest Jan 82.
- 6-year fiscal year file.* COFF 30 Jun 75, Retire WNRC Jul 78, Dest Jul 81.

*h. Non-permanent files with a retention period of 11 years or more.* Cutoff at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Cutoff files will be held in the current files area 2 years. They will then be retired to the Washington National Records Center, held until

the retention period expires, and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 75, Retire WNRC Jan 78, Dest Jan 96.

*20-year fiscal year file.* COFF 30 Jun 75, Retire WNRC Jul 77, Dest Jul 95.

(2) Army field elements *served* by a records holding area or oversea records center, except Corps of Engineers field elements. Cutoff files will be held 2 years in the current files area. Files will then be transferred to the records holding area or oversea records center, held 1 year, and then retired to the appropriate CONUS records center. The files will be held by the records center until the retention period expires and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Retire WNRC Jan 79, Dest Jan 96.

*20-year fiscal year file.* COFF 30 Jun 75, Trf RHA Jul 77, Retire WNRC Jul 78, Dest Jul 95.

(3) Corps of Engineers field elements. Cutoff files will be held in the current files area 2 years. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until retention period expires and will then be destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Retire FRCEN Jan 79, Dest Jan 96.

*20-year fiscal year file.* COFF 31 Jun 75, Trf RHA Jul 77, Retire FRCEN Jul 78, Dest Jul 95.

(4) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records centers, held until the retention period expires, and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 75, Retire WNRC Jan 79, Dest Jan 96.

*20-year fiscal year file.* COFF 30 Jun 75, Retire WNRC Jul 78, Dest Jul 95.

*i. Event or action.* Documents which are disposable upon the occurrence of an event, such as supersession or obsolescence, or upon the accomplishment of an action, will be withdrawn from the active file upon the occurrence of the event or accomplishment of the action and destroyed. Examples:

Destroy on supersession or obsolescence.

Destroy on completion of posting to the proper form.

*j. Time period after an event or action.* Files that are disposable after a specific retention period following the occurrence of an event or accomplishment of an action, such as audit, final payment, or completion of a project, will be terminated on the occurrence of the event or accomplishment of the action. Such files may be terminated by withdrawing from the active file and placing in an inactive file, or in the case of large volumes, simply by discontinuing further filing within the files. The inactive or terminated files will then be cut off and disposition will be effected in the same manner as for other files with the same retention period. Examples:

*Destroy 10 years after completion of project:* COFF on completion of project (for the active file).

COFF 31 Dec 75, Trf RHA Jan 78, Dest Jan 86 (file for which project was completed in 1975).

*Destroy 6 years after final payment:* PIF on final payment (for the active file).

COFF 30 Jun 75, Trf RHA Jul 78, Dest Jul 81 (file for which final payment was made in FY 75).

*k. Permanent files.* Unless otherwise specified in the disposition columns in the AR 340-18-series, permanent files will be cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Files will be held 2 years in the current files area. They will then be retired to the Washington National Records Center for retention until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 75, Retire WNRC Jan 78, Permanent.

*Fiscal year file.* COFF 30 Jun 75, Retire WNRC Jul 77, Permanent.

(2) Army field elements *served* by a records holding area or oversea records center, except Corps of Engineers field elements. Files will be held 2 years in the current files area. Files will then be transferred to the records holding area or oversea records center, held 1 year, and then retired to the appropriate CONUS records center. Files retired to Federal records centers will be held until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Retire WNRC Jan 79, Permanent.

*Fiscal year file.* COFF 30 Jun 75, Trf RHA Jul 77, Retire WNRC Jul 78, Permanent.

(3) Corps of Engineers field elements. Files will be held 2 years in the current files area. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 75, Trf RHA Jan 78, Retire FRCEN Jan 79, Permanent.

*Fiscal year file.* COFF Jun 75, Trf RHA Jul 77, Retire FRCEN Jul 78, Permanent.

(4) Army field elements *not served* by a records holding area or oversea records center. Files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records center. Files retired to Federal records centers will be held until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 75, Retire WNRC Jan 79, Permanent.

*Fiscal year file.* COFF 30 Jun 75, Retire WNRC Jul 78, Permanent.

**★3-8. Deviations from disposition instructions.**

*a. Files postdating 1949.*

(1) Installation commanders who have records holding areas are authorized to permit the accelerated transfer of files to records holding areas.

(2) Commanders and heads of organizations which have records administrators are authorized to approve specific deviations from prescribed records disposition instructions or retention periods upon specific request of a staff element or subordinate command. However, deviations which would result in files being destroyed sooner than authorized by prescribed retention periods will not be approved. Requests for deviations to permit accelerated retirement of records to a Federal records center require approval of The Adjutant General.

(3) Commanders and heads of organizations which have records administrators are authorized to permit retirement of records which have a short retention and are normally destroyed locally but are being retained due to litigation or investigation. When such records are retired, an explanation will be entered on the records transmittal (Standard Form 135).

*b. Files predating 1950.* The Adjutant General will be notified when files predating 1950 are found,

with the exception of those authorized for retention in the accumulating office in accordance with prescribed disposition instructions.

**★3-9. Transfer of classified files to records holding areas.** Eligible classified files will be transferred to records holding areas. Transmission and storage will be in accordance with Department of Defense Regulation 5200.1-R.

**3-10. Retirement of classified files** *a. CONFIDENTIAL and SECRET files.* Security requirements in Department of Defense Regulation 5200.1-R will be observed when retiring CONFIDENTIAL and SECRET files to a records center. Packing and shipping instructions for classified files are contained in chapter 5, AR 340-1.

*b. TOP SECRET files.*

(1) Except as provided in (3) below, TOP SECRET documents which cannot be destroyed under prescribed disposition instructions will *not* be retired to a records center until reduced to a lower classification. When TOP SECRET files become eligible for retirement, commanders and agency heads will—

(a) Take necessary action to insure that all TOP SECRET documents eligible for retirement are reviewed for regrading or declassification.

(b) Retain all TOP SECRET documents eligible for retirement which cannot be regraded or declassified.

(c) TOP SECRET documents subsequently regraded or declassified that form a part of the files that have already been retired to the records center will be retained and retired to the records center with the next calendar or fiscal year retirement, as applicable. A separate Records Transmittal and Receipt (SF 135) will be prepared for each of these documents or each group of documents. The Records Transmittal and Receipt will show the designation of the organization and administrative subdivision, the file number and title of the file from which the documents were withdrawn, and if known, the shipment number assigned by the records center to the shipment from which the classified documents were withdrawn.

(2) Offices, installations, activities, and units ordered to be discontinued will, prior to discontinuance, review all TOP SECRET documents for regrading or declassification. TOP SECRET documents which normally would be retained under the provisions of (1) (b) above

will be transferred to the command headquarters to which the office, installation, activity, or unit reports.

★(3) The provisions of (1) and (2) above are not applicable to TOP SECRET files of oversea commands which will be retired to records centers in accordance with prescribed disposition instructions, and to TOP SECRET material to be forwarded to the Defense Investigative Service or the US Army Motion Picture Depository.

**3-11. Intra-Army transfer of files.** *a.* The transfer of files from one Army agency to another Army agency or command is permitted only under the following conditions:

(1) When the files are retired to an Army records center, or transfer of the files is required by Army regulations.

(2) When the files are in the custody of an agency changing status and are transferred under the provisions of paragraph 3-15, 3-16, or 3-17.

*b.* When the transfer of functions from one Army agency or command to another Army agency or command requires the transfer of the files, the order directing the transfer of functions will provide for the transfer of the files.

★**3-12. Transfer of records to the National Archives, GSA.** It is the policy of the Department of the Army to transfers all permanent files to the National Archives, General Services Administra-

tion. Although these files are normally transferred from records centers to the National Archives, they sometimes surface in Army offices and need to be transferred to the National Archives directly. Arrangements for the transfer of such files and the establishment of policies for their use are the exclusive responsibility of The Adjutant General.

★**3-12.1 Transfer of records to non-Army agencies other than Federal records centers or the National Archives.** *a. Policy.* Transfers of this type require approval of the Archivist of the United States. Requests will be forwarded to HQDA (DAAG-AMR-P), Washington, DC 20314. Recommendations for transfer submitted to The Adjutant General will include a concise description of the files to be transferred, an estimate of the volume in linear feet, name and location of the agency to which the files are to be transferred, and the reasons for the transfer.

*b. Exceptions.*

(1) Records may be retired to a Federal records center of the General Services Administration (chap 5, AR 340-1).

(2) Records will be transferred when the transfer of records or functions or both are required by Federal statute, Executive Order, Presidential reorganization plan, or by specific determination made thereunder (chap 5, AR 340-1).

### Section III. SPECIAL TRANSFER, RETIREMENT, AND DESTRUCTION PROCEDURES

**3-13. Disposition of joint records.** Certain records of joint agencies and commands are allocated to the Department of the Army by the Joint Chiefs of Staff; by interdepartmental agreement; or as a result of the Department of the Army acting as executive agent, management agent, administrative agent, exercising management control, or furnishing administrative support. The Army element responsible for such joint records will dispose of them in accordance with instructions in paragraph 3-7 and other applicable regulations in the AR 340-18 series. All joint records eligible for retirement will be retired to the Washington National Records Center, GSA, unless another records center is specifically designated by instructions in other regulations in the AR 340-18 series.

**3-14. COSMIC, NATO, SEATO, and CENTO documents.** *a.* AR 380-15, AR 380-16, and AR 380-17 contain disposition instructions for

COSMIC, NATO, SEATO, and CENTO documents.

*b.* Classified document receipts, destruction certificates, and registers relating to COSMIC, SEATO, TOP SECRET, and SECRET, and CENTO, TOP SECRET, and SECRET documents which reflect the final disposition of documents in a subregistry will be retained as indicated in AR 380-15, AR 380-16, and AR 380-17. However, these control records, when maintained by control points or by offices other than a subregistry, will be disposed of in accordance with appendix E or AR 340-18-5, as applicable.

*c.* Classified document receipts, destruction certificates, and other control files relating to NATO, SEATO, and CENTO documents having a lower security classification than those indicated in *b* above, will be disposed of in accordance with appendix E of this regulation or AR 340-18-5.

## Section IV. DISPOSITION OF FILES ON CHANGE OF STATUS

★3-15. **Transfer of functions.** When a function is transferred from one Army organization to another, the current files relating to the transferred function will be transferred to the gaining organization where they will be maintained as a separate entity to preserve their administrative origin. Inactive (cutoff) files relating to the transferred function which have little or no reference value will be retired to the designated records holding area or oversea records center. Agencies of Headquarters, DA and other activities that do not use a records holding area or oversea records center will transfer the files to the designated records center. A list of the files transferred to the gaining organization, and a copy of the SF 135, listing the inactive files transferred to a records holding area or oversea records center, or retired to a CONUS records center, will be furnished the records management officials of the gaining organization and the next higher headquarters.

3-16. **Discontinuance of Departmental Headquarters agencies.** On discontinuance without transfer of functions, files not authorized for immediate disposal will be retired to the designated record center. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission. When a transfer of function is involved, the procedures in paragraph 3-15 apply.

★3-17. **Discontinuance or change in status of field agencies and elements.** For elements of field commands, the procedures in *a* through *i* below will be followed on discontinuance or other change of status.

*a. Redesignation or reorganization.* On redesignation or reorganization without transfer of functions, files will be continued and cut off in the same manner as though no change had occurred.

*b. Discontinuance.*

(1) Discontinuance of an installation and placing the installation in inactive or standby status. The files required for continued maintenance of the installation will be retained until they are eligible for disposition in accordance with the AR 340-18-series. Disposition of files not required for this purpose will be in accordance with (2) below.

(2) Discontinuance relating to other circumstances.

(*a*) On discontinuance of an Army organization which does not involve a transfer of functions, files not eligible for disposal will be transferred to the records holding area or oversea records center. When not served by a records holding area or oversea records center, or in cases where these facilities are also discontinued, files not eligible for disposal will be retired to appropriate records centers. A copy of the records transmittal (SF 135) used for the transfer or retirement will be furnished the records management official in the next higher headquarters.

(*b*) On discontinuance of an Army organization with a transfer of functions, the procedures in paragraph 3-15 will be followed.

*c. Movement.*

(1) *CONUS units preparing for oversea movement.* Immediately prior to oversea movement of CONUS units, files eligible for disposal will be destroyed; files prescribed for retention by the unit will be prepared for shipment; and other files will be transferred promptly to the records holding area of the last permanent station.

(2) *Movement of Army organizations in CONUS.*

(*a*) *Movement without personnel and equipment.* On transfer of a unit without personnel and equipment, the files will be cut off as of the date of transfer and forwarded immediately prior to transfer to the records holding area of the losing installation. Files that are essential to the operation of the unit at its new location may be obtained upon request to the losing installation.

(*b*) *Movement with personnel and equipment.* On transfer of a unit or organization with personnel and equipment, files will accompany the unit or organization.

(3) *Movement of Army organizations in oversea commands.* Current records will accompany the organization and other records not required for future actions will be transferred to the appropriate oversea records center.

(4) *Movement of Army organizations from overseas to CONUS.*

(*a*) *Movement with personnel.* Records of organizations, returning to CONUS with personnel, will accompany the organization.

(*b*) *Movement without personnel.* Files will be transferred to the appropriate oversea records

center. Files that are essential to the operation of the unit in CONUS may be obtained from the over-sea center upon request.

*d. Other change in status.* On a change in status not specifically covered in the above paragraphs, the records management official should be contacted for determination of the proper procedures to be followed.

**★3-18. Units of the United States Army Forces, Readiness Command.** USARRED and Strategic Army Forces (STRAF) units will maintain an SF 135 at all times indicating those files which

will not accompany the unit in the event of movement overseas. However, the inclusive dates for the records will not be entered in item 13; and items 4, 12, and 14 will not be completed until the unit prepares to move overseas.

**3-19. Orders changing status.** Any order that changes the status of an organizational element of the Army, other than units for which disposition procedures are prescribed in AR 340-2, will prescribe that the disposition of files will be effected in accordance with the instructions in paragraph 3-15, 3-16, or 3-17, as applicable.

## CHAPTER 4 MAINTENANCE AND REFERENCE PROCEDURES

### Section I. GENERAL

**4-1. General.** Effective files maintenance and reference procedures are essential in order that a complete account of actions taken, commitments made, and the result of actions taken are available.

**4-2. Purpose.** This chapter contains the procedures to be used in establishing and maintaining all Army files and in providing reference service to them.

### Section II. MAINTENANCE PROCEDURES

**4-3. General.** The procedures in this section are designed to provide maximum efficiency in preparing papers for file, maintaining records, and in using and labeling file folders, file guides, and file containers.

**4-4. Dual responsibilities.** Officials who perform duties for more than one organization will insure that the records created in each capacity are identified and maintained separately. Physical segregation of the files will be accomplished by the most efficient and economical method, such as the use of separate file folders, drawers, or other containers. Examples of dual responsibility situations are: when a commander of a division is also commander of the installation; when a safety officer for a command is also the installation safety officer; or when the chief of a staff section is secretary of a committee.

**4-5. File authority.** *a.* Except as provided in *b* below, file authority is required on all papers to be filed. The authority will be placed in the lower right margin of the paper. The word "file" and the last name or the initials of the individual authorizing the filing of the papers constitute the minimum file authority. When more than one paper on a single transaction or case is sent to file, authority is required on the top paper only.

*b.* File authority is not required on documents that are obviously ready for filing as soon as they are prepared. Examples of these documents are the suspense copy of a mail control form, a memorandum for record prepared for file only, and a signed receipt for a classified document loaned or transferred. In addition, file authority is not required on documents placed in library-type accumulations for reference use, such as reference copies of publications or copies of messages placed in a message reference file.

**4-6. Inspection of papers.** Papers received for

file will be inspected to insure that they contain file authority (if required), to insure completeness, and to eliminate unnecessary material.

*a. File authority.* Papers, other than the types referred to in paragraph 4-5*b*, received without file authority will be returned to the action officer.

*b. Completeness.* Papers received for file will be checked to insure that all actions have been completed, and if so, that all papers which should be included to fully document the action are attached.

(1) *Incomplete actions.* If it appears that all necessary actions have not been completed, the paper will be placed in suspense or otherwise controlled to permit followup action as necessary and to insure that the case will not cut off prior to completion of final action.

(2) *Insufficient documentation.* If action is complete, but essential documentation is missing, an attempt will be made to obtain missing papers or copies of the papers. If the attempt fails, a notation of the action taken to obtain the missing papers, and the result, will be placed on the file papers.

★*c. Unnecessary material.* Unnecessary material such as used envelopes which provide the same information as that which appears on letterheads, routing slips which bear no essential information, and extra copies which do not bear notations essential for documentation purposes will be discarded. When the original of a document is returned (e.g., a reply to a letter by indorsement is required) and filed, however, the first file copy (usually a yellow tissue) need not be removed to comply with this requirement.

**4-7. Assembly of papers.** Correspondence will be assembled and filed under the *date of the latest action* as indicated below:

*a. Separate correspondence.* A separate "chain" of correspondence normally develops in completing

an action. It consists of the basic paper (the paper starting the action), any numbered or unnumbered replies in continuation of the action, inclosures, and supporting papers forming a part of the whole correspondence action. These papers will be assembled in top to bottom order as follows:

- (1) The latest action (numbered or unnumbered).
- (2) The basic paper (e.g., letter, disposition form or memorandum).
- (3) Letter indorsements or numbered comments in numerical order.
- (4) Other unnumbered replies in chronological order.
- (5) Inclosures in numerical order.
- (6) Internal actions which support the numbered or unnumbered actions (e.g., studies and coordinating actions).

*b. Related papers.* Papers which are directly related or contain specific reference to earlier papers on the same subject will be combined with those papers only if reference requirements clearly necessitate such action. If combination is deemed necessary, the related papers will be assembled separately under the method described above. The related papers will then be stapled on top of the earlier papers and will be *filed by date of the latest action*. In such cases, it may be desirable to make a cross-reference to be filed under the date the earlier papers were filed.

**★4-8. Fastening.** *a. General.* The fasteners described in *b* through *d* below will be used to hold papers together. Straight pins and paper clips will not be used for fastening papers that are filed, except that paper clips may be used in a suspense file. Documents will not be attached to folders, except for documents filed in special folders designed for filing on both sides, such as the DA Form 201.

*b. Staples.* Wire staples will be used to fasten related loose papers together. Wire staples are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers without increasing their bulk.

*c. Prong fasteners.* Prong fasteners may be used in the following situations:

- (1) When file material on an action is too thick to fasten with wire staples.

- (2) When a file containing several separate but related actions is frequently used outside the immediate file area.

- (3) When a file is loaned for use outside the files area.

*d. String and tape.* String and cloth tape will be used to hold bulky material together only when the use of fasteners is not practicable, or when an impression seal is required over the fastening.

**4-9. Posting file numbers.** *a.* The file number will be placed on a document at the time it is filed. It will be placed in the right margin, lengthwise on the paper, taking care that it does not obscure the content of the paper.

*b.* When the physical characteristics of a document make it self-identifying for filing purposes, the posting of the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are reference copies of publications, mail control forms, and bills of lading.

*c.* When the content, volume, or reference needs require the subdivision of a file series, a brief identification of the subdivision should be used to supplement the file number on the documents. *For example*, Command reporting files (228-07) might be subdivided by the designation of the reporting units, such as 16th Data Processing Unit, 35th Military Police Company, 40th Ordnance Detachment. An abbreviated reference to the designation of the unit would be added to the file number on the individual report to insure that it is filed and refiled properly.

*d.* Some documents are filed before identification under TAFFS is feasible or desirable. For example, documents relating to studies in progress, action officer pending files, and other work-in-progress files often need not be assigned a TAFFS file number until action is completed. Special attention must be given to these files to assure their subsequent correct identification. Upon completion of action, study files, action officer files, and other files of a similar nature must be properly identified and filed under TAFFS. This is necessary to assure proper documentation of actions taken, provide the means for subsequent reference to the documents, and assure correct retention and disposition of the files.

**4-10. Backing sheets.** Backing sheets will be used only when the file material is sufficiently thick to



require a prong fastener, or when protection is required for papers which have begun to fray or wear due to frequent handling. When backing sheets are used, 220 weight paper stock is sufficiently durable. Heavier backing sheets waste space in file containers.

**4-11. Cross-reference.** *a. General.* A cross-reference is a form filed under one file number or subdivision to show the location of material filed elsewhere. Cross-references will be prepared only when essential to finding needs. Cross-references may be used when—

(1) A document pertains to more than one function or action, and it is probable that reference to the document may be by any of the functions or actions to which it pertains.

(2) A document pertains to individuals, organizations, or geographical locations, and is not filed by the name or names under which requests are anticipated.

(3) Classified papers having a direct relationship to unclassified material are filed separate from the unclassified material. Care will be taken to insure that classified information is not placed on cross-references to be filed in unclassified files.

(4) Papers with various dates which document a subfunction or action, which are directly related, are filed together.

(5) A document is reclassified from one file number or subdivision to another file number or subdivision.

*b. General cross-reference.* To avoid making repetitive cross-references, a general cross-reference will be made when all references to a name or subject are to be made to another name or subject. The tabbed half of a file folder can be used for general cross-reference purposes and is placed in file to direct all references to the proper file location. The cross-reference will indicate the file classification of the cross-reference and the words "Filed under" followed by the file classification to be referred to. For example:

207-01 Pine Camp, N.Y., filed under  
207-01 Camp Drum, N.Y.

*c. Cross-reference forms.* Cross-references will be made on DA Form 1613 series (Cross-Reference). The DA Form 1613 series are 8 by 10½ inches and are printed in single sheets and in sets of two and three parts, carbon interleaved. They

are designed for interfiling with correspondence or other records of comparable size.

**4-12. Consolidated cross-reference sheet.** In most filing operations, a separate sheet is used for each cross-reference. This requires a separate filing action to place each cross-reference in its proper location in the file. The consolidated cross-reference sheet procedure differs in that cross-references of identical classifications are entered in consecutive order on a sheet maintained for that classification. This saves space, equipment, and supplies. However, when the sheets are out of file, finding the requested records may be difficult. DA Form 1614 (Consolidated Cross-Reference Sheet or List of Papers) is prescribed for use in preparing consolidated cross-reference sheets.

**4-13. Content listing sheet.** A content listing sheet is a cumulative index to papers in a folder or file subdivision. DA Form 1614 is the prescribed form for use as a content listing sheet. Because the content listing sheet requires a considerable amount of time to maintain, it is usually uneconomical. Consequently, content listing sheets are authorized only when the listed papers are filed in random sequence.

**4-14. Sorting papers for file.** After papers are arranged and fastened and any necessary cross-references are prepared, the papers and cross-references will be sorted and arranged in proper filing order. This speeds the filing of the papers and cross-references, and aids in locating papers rapidly in the event they are requested prior to filing. Detailed information on sorting methods and procedures are contained in appendix C.

**4-15. Use of guides and folders.** *★a. General.* The standard guides and folders prescribed in AR 340-4 will be used. To the maximum extent practicable, letter size folders and guides will be used for letter size material, whether letter or legal size file cabinets are used. Folders and guides will be reused to the maximum extent practicable, except that they will not be salvaged from files being transferred or retired.

*b. Guides.* Guides are used to divide files and identify each division so that filing and finding particular folders, papers, cards, or other file material are facilitated. In addition, guides provide support for the material in the file.

*c. Folders.*

(1) Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers.

(2) When the material in any folder reaches the normal capacity of the folder (three-fourths of an inch), a second folder should be prepared. The second folder should begin at a logical point such as at the beginning of a month, calendar quarter, etc.

(3) When a files series consists of documents pertaining to more than one individual or more than one serially numbered document, documents are normally filed in the same folder until the normal capacity of the folder has been reached. Included among the files series to which this instruction applies are informational personnel files, personal clothing record files, household shipment bill of lading files, purchase orders, and vouchers. Excluded are such files series as MPRJ files and OPF files which use a folder especially designed for a single individual.

**4-16. Position of guides.** *a.* Guides will be arranged in files so that the tabs are in uniform position to the left side (first position) of the file drawer.

*b.* Guides normally are placed in a file at the beginning of each major functional files category. The guides will be labeled with the functional file category numerical classification. For example: Guides identifying the major functional files categories of Planning, Programing, Management, Historical, and Combat Development Files (described in AR 340-18-2); Military Personnel Files (described in AR 340-18-7); and Training and Education Files (described in AR 340-18-10); would be labeled as 200, 700, and 1000 respectively.

*c.* When the volume of material necessitates guides for primary subdivisions, the guides should be placed at logical breaking points and as nearly as possible at 4 to 6 inch intervals. Under TAFSS, the primary subdivision is the subfunctional cate-

gory, represented by the two digits preceding the hyphens. The guides identifying these subdivisions would be labeled using the two element construction. For example: 1201, 1204, 1205, etc.

*d.* If a still more definitive breakdown is required, the functional file number identifying the individual file series would be used. For example: 902-01, 902-03, 902-06, etc.

*e.* When a large volume of records is accumulated under a single file number, a further subdivision may be necessary. This may be done by subdividing the records alphabetically or numerically. If necessary, guides may be prepared reflecting this internal arrangement. The various methods of arranging and dividing files are described in sections III and IV of this chapter, and in appendixes A, B, C, and D. As an exception to *a* above, guides with tabs in other than the first position may be used in subdividing large volumes of files accumulated under a single file number.

**4-17. Position of folder labels.** *a. The Army Functional Files System.* Under TAFSS, folder labels are placed in three positions to indicate where final disposition of the records will take place (fig. 4-1). The following rules govern the positioning of folder labels:

(1) *First position (left of center).* Files to be destroyed in the current files area.

(2) *Second position (center).* Files to be transferred to and destroyed in a records holding area or oversea records center. Offices of Headquarters, DA, and other organizations that are not serviced by a records holding area or oversea records center will *not* use the second position.

(3) *Third position (right of center).* Files to be retired to a records center in the continental United States.

(4) *Open shelf files.* As an exception to the above, all file labels may be placed in the first or third position, whichever is nearer the file aisle, when open shelf file equipment is used.

File No.	Description	Disposition
	Documents similar to the categories listed above that do not pertain to the performance of the mission functions of the office and that are not described elsewhere in this appendix.	
101-03	<p><b>Office inspection and survey files.</b> Documents relating to inspecting and surveying internal office administrative procedures. Included are:</p> <p>Extracts of IG and command inspection reports, security inspection reports, safety inspection reports, or comparable communications that pertain only to the performance of housekeeping operations within the office, including communications about pending inspections.</p> <p>Management survey reports and similar documents that are applicable to internal office procedures, layout, work flow patterns, and comparable matters.</p>	Destroy after the next comparable survey or inspection.
101-04	<p><b>Duty reporting files.</b> Documents prepared by duty officer of the day, administrative officer of the day, or by personnel performing charge of quarters duty. Included are daily activity reports and journal sheets containing a running account of the activities performed, and similar or related documents.</p>	Destroy after 6 months or on discontinuance, whichever is first.
101-05	<p><b>Housekeeping instruction files.</b> Documents relating to the preparation and issue of office memorandums or comparable continuing instructions that are applicable only to internal administrative practices and housekeeping details within the preparing office. Included are copies of the instructions and communications relating to them.</p> <p><i>Note.</i> This file number is not applicable to instructions prepared by the office that are issued on an agency-wide, command-wide, command headquarters-wide, installation-wide, or activity-wide basis. Neither is it applicable to instructions concerning the performance of mission functions of the office even though they may be issued as standing operating procedures or in comparable format.</p>	Destroy on supersession or obsolescence.
101-06	<p><b>Office organization files.</b> Documents relating to the organization and function of an office, such as copies of documents which are duplicated in the Comptroller, Management, or comparable office charged with determining the organization and functions of the agency. Included are copies of functional charts and functional statements; copies of documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; copies of tables of distribution and allowances; and similar papers. Also included are documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require evaluation and approval by the comptroller-type office.</p>	Destroy when superseded, obsolete, or no longer needed for reference.
★101-07	<p><b>Office records transmittal files.</b> Copies of records transmittal lists reflecting files transferred or retired.</p>	Destroy when records listed thereon have been destroyed, or destroy on discontinuance, whichever is first.
101-08	<p><b>Record access files.</b> Documents received or prepared by an office that show name, grade, and other identification of individuals authorized access to official records, particularly classified material. Included are requests for access and approvals thereof, rosters of individuals authorized access, and similar documents.</p>	Destroy on supersession or obsolescence of the authorization document; or on transfer, separation, or relief of the individual concerned.
101-09	<p><b>Security container record files.</b> Forms placed on safes, cabinets, or vaults containing security classified documents and used for providing a record of entry into the containers.</p> <p><i>Note.</i> Folder labels need not be placed on these individual forms.</p>	Destroy the day following the last entry on the form, except forms involved in an investigation will be retained until completion of the investigation.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
101-10	<b>Security container information files.</b> Up-to-date records of all office safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.	Destroy on supersession or on turn-in of the container.
101-11	<b>Office classified document receipt files.</b> Receipts for classified documents issued or transferred. If classified document receipts are used <i>concurrently</i> as a register/control file, they will be identified and disposed of under file number 101-12.	Destroy in CFA after 2 years.
101-12	★ <b>Office classified document register/control files.</b> Documents reflecting the identity and location of classified documents for which the office is accountable. Included are DA Forms 455, 3964, and similar forms used for control.	Destroy in CFA 2 years after all classified documents recorded thereon have been transferred, destroyed, declassified, or entered on a new sheet.
101-13	<b>Temporary internal receipt files.</b> Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing classified documents in an office or headquarters. Such loans are normally of short duration and the borrowed documents are often returned within the same workday.	Destroy on return of the classified document to the individual or office making the loan.
101-14	<b>Office nonregistered classified document destruction certificate files.</b> Forms or other documents accumulated by an office which reflect the destruction of classified documents.	Destroy in CFA after 2 years.
101-15	<b>Office mail control files.</b> Documents which relate to the control of incoming and outgoing mail by offices other than official mail rooms and postal activities. Included are routing and suspense slips, records of messenger trips, and similar documents. In rare cases, they may also include copies of receipts for accountable mail, e.g., registered, certified, and numbered insured mail.	Accountable mail receipts: Destroy in CFA after 2 years. Other documents: Destroy after 3 months.
101-16	<b>Office financial files.</b> Documents that relate to the participation of offices in matters concerning the expenditure of funds incidental to the performance of the mission of the office, such as itineraries and cost estimates for travel and notifications to budget offices of funds required for travel; requests for long distance telephone funds, notification from budget offices of telephone funds that are available, and reports of long-distance telephone calls; receipts for pay checks and other documents relating to the distribution of checks to individual employees; receipts for savings bonds and other documents relating to distribution of savings bonds directly to individual employees; and comparable papers.	Destroy after 1 year, or on discontinuance, whichever is first.
101-17	<b>Office service and supply files.</b> Documents relating to ordinary supplies and equipment used by an office; office space and utilities; communications, transportation, custodial or other services required by an office; and to the general maintenance of an office. Included are: Requests for supply activities for supplies, receipts for supplies and equipment, and similar papers pertaining to office supply matters. Requests and other documents concerning the issue of keys and/or locks to an office. Requests for publications and blank forms, and other papers relating to the supply and distribution of publications to the office.	Destroy 1 year after completion of action, earlier disposal is authorized except pinpoint distribution files (DA Form 12 series) which will be destroyed when superseded or obsolete.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
<b>101-17— Con.</b>	Documents relating to local transportation and drayage services required by, or available to an office. Documents relating to custodial services required by an office. Requests for office space and similar routine documents related to office space. Requests for installation of telephones, floor plans showing location of office telephone extensions, requests for change to telephone directories, and similar papers. Documents relating to the modification, repair, or change of office heating, lighting, ventilation, cooling, electrical, and plumbing systems. Documents relating to painting, partitioning, repairing, or other aspects of maintaining the office physical structure. Documents relating to other logistical type services required by, or provided to an office.	
<b>101-18</b>	<b>Office property record files.</b> Cards, lists, hand receipts, or comparable documents showing accountable property charged to the office.	Destroy when superseded, obsolete, or when the property is turned in, whichever is first.
<b>101-19</b>	<b>Office equipment approval and utilization files.</b> Documents related to approval and use of office property. Included are documents reflecting approval of such items of equipment as office copiers; documents reflecting individual and cumulative repairs, adjustments, and usage of items of office equipment; and similar or related documents.	Destroy when superseded, obsolete, or upon disposal of the related item of equipment, whichever is first.
<b>101-20</b>	<b>Classified matter inventory reporting files.</b> Documents used to report the results of physical inventories conducted to assure all classified matter is accounted for.	Destroy after next inventory or upon discontinuance, whichever is first.
<b>101-21</b>	<b>Security classification regrading files.</b> Documents authorizing the regrading of security classified documents. Included are DA Form 1575, circulars, and other authorizing documents.	Destroy in CFA 3 years after all documents have been annotated.
<b>101-22</b>	<b>Office management system files.</b> Documents related to the use and approval of office management systems. Included are documents reflecting approval of a miniaturization system, a word processing system, or similar system.	Destroy when system is no longer in effect.
<b>101-23</b>	<b>Office space assignment record files.</b> Documents reflecting administrative space assigned to an office. Included are space assignment records and similar or related documents.	Destroy when superseded or obsolete.
<b>★101-24</b>	<b>Office file numbers files.</b> Approved lists of selected file numbers reflecting file numbers in the AR 340-18 series which represent the functions performed by the office. <i>Note.</i> Lists of selected file numbers may be filed in the front cabinet drawer. When this option is chosen, the file number will be omitted.	Destroy when superseded by a new list or on discontinuance, whichever is first.

## 102 OFFICE PERSONNEL FILES

The files described in this subgroup are maintained by operating officials and are used in administering military and civilian employees of the organizational segments which are under their control.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
102-01	<b>Office general personnel files.</b> Documents that relate to the day-to-day administration of military personnel and civilian employees in individual offices. Included are papers that relate to attendance at work, copies of reports of attendance and overtime, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Government medical services, including X-rays and immunizations; notices and lists of individuals to receive training; and comparable or related papers.	Destroy after 1 year, or on discontinuance, whichever is first.
102-02	<b>Office personnel register files.</b> Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave, and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.	Destroy after 6 months, earlier disposal is authorized.
102-03	<b>Office personnel locator files.</b> Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.	Destroy on separation or transfer of the individual.
102-04	<b>Employee record card files.</b> Cards that provide complete information relative to employees, positions, strength authorizations, and actions in process. Included are Standard Form 7B, OF Form 4B, and DD Form 1435, when required.	Employees separated for military service who have restoration rights: Withdraw and place in the separation for military service file (file number 102-06) Employees transferred to organizational elements within the same installation or activity: Forward to gaining operating official. Employees separated or transferred from the installation: Destroy, except that DD Form 1435 will be forwarded to the gaining agency on transfer within the Federal Government.
102-05	<b>Job description files.</b> Documents describing positions in an office that are used in day-to-day supervisory relationships. Included are copies of DA Form 374 (Job Description) for civilian personnel and comparable job description forms for military personnel.	Destroy on abolishment of position, supersession of job description, or when no longer needed for reference.
102-06	<b>Separation for military service files.</b> Standard Form 7B, and OF Form 4B (Employee Record Card) used in considering employees separated for military service for position change actions in absentia.	Return to active file if employee is restored at expiration of the obligation period. Destroy if not restored.
102-07	<b>Pending request files.</b> Operating officials' or suspense copies of Standard Form 52 (Request for Personnel Action) for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.	Destroy on receipt of notification of completion of requested personnel action.

20 September 1974  
14 August 1969

C 6, AR 340-18-1  
AR 340-18-1

★The proponent agency of this regulation is The Adjutant General Center. Users are invited to send comments and suggested improvement on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA (DAAG-AMR-P) WASH DC 20314.

By Order of the Secretary of the Army:

Official:

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*Major General, United States Army,  
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Chief of Staff*

Distribution:

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CHANGE }  
No. 8 }

HEADQUARTERS  
DEPARTMENT OF THE ARMY  
WASHINGTON, DC, 28 November 1975

**OFFICE MANAGEMENT  
THE ARMY FUNCTIONAL FILES SYSTEM  
GENERAL PROVISIONS**

*Effective 1 January 1976*

*This change clarifies instructions for labeling and disposing of records; modifies procedures for preparation and submission of Standard Form 135 (Records Transmittal and Receipt); incorporates information extracted from AR 340-1 concerning packing and shipping of records, operations of records holding areas and oversea records centers, and preparation of the Summary of the Records Holdings Report; and includes a listing of records centers and their principal holdings.*

AR 340-18-1, 14 August 1969, is changed as follows:

1. New or changed material is indicated by a star.
2. Remove old pages as indicated below.

<i>Remove pages</i>	<i>Insert pages</i>
i through iii	i through iv
1-1 through 1-3	1-1 through 1-5
2-1 through 2-4	2-1 through 2-8
3-1 through 3-8	3-1 through 3-5
4-1 through 4-6	4-1 through 4-6
-----	5-1 through 5-16
-----	6-1 through 6-8
-----	7-1 and 7-2
E-3 and E-4	E-3 and E-4
-----	F-1 through F-5

3. File this change sheet in front of the publication for reference purposes.



28 November 1975

C 8, AR 340-18-1

The proponent agency of this regulation is The Adjutant General Center. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA (DAAG-AMR-P) WASH DC 20314.

By Order of the Secretary of the Army:

FRED C. WEYAND  
*General, United States Army*  
*Chief of Staff*

Official:

PAUL T. SMITH  
*Major General, United States Army*  
*The Adjutant General*

DISTRIBUTION:

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ARMY REGULATION }  
No. 340-18-1 }

HEADQUARTERS  
DEPARTMENT OF THE ARMY  
WASHINGTON, DC, 14 August 1969

OFFICE MANAGEMENT  
THE ARMY FUNCTIONAL FILES SYSTEM  
GENERAL PROVISIONS

Effective 1 January 1970

*Limited supplemental directives to this regulation are authorized. Supplemental directives will be brief and will contain only that supplemental information essential to assure compliance with procedures herein. Two copies of each supplement issued by the heads of agencies and commands listed in paragraph 1-4b, c (1), and (2), and e, AR (340-1) will be forwarded immediately on issuance to HQDA (DAAG-AMR-P) Washington, DC 20314.*

	Paragraph	Page
CHAPTER 1. INTRODUCTION		
★Purpose .....	1-1	1-1
★Application of TAFFS .....	1-2	1-1
★Applicability .....	1-2.1	1-1
Definitions .....	1-3	1-1
Abbreviations .....	1-4	1-1
Major functional files categories and governing regulations .....	1-5	1-2
Principles of TAFFS .....	1-6	1-2
List of selected file numbers .....	1-7	1-2
★Written files plan .....	1-8	1-3
★Unidentified files .....	1-9	1-3
2. LABELING PROCEDURES		
★Section I. GENERAL		
Functional file numbers .....	2-1	2-1
★Label entries under TAFFS .....	2-2	2-1
Label entries for exceptions to disposition instructions .....	2-3	2-2
II. ★PROCEDURES FOR APPLYING DISPOSITION INSTRUCTIONS		
★Disposition procedures .....	2-4	2-3
★Disposition instructions .....	2-5	2-3
CHAPTER 3. DISPOSITION PROCEDURES		
Section I. GENERAL FILES DISPOSITION PROCEDURES		
Objective .....	3-1	3-1
Source of retention periods .....	3-2	3-1
Changes to retention periods .....	3-3	3-1
Files disposal requirements .....	3-4	3-1
Emergency or accidental disposal of records .....	3-5	3-2
★Deviations from disposition instructions .....	3-6	3-2
II. ★SPECIAL FILES DISPOSITION PROCEDURES		
Disposition of joint records .....	3-7	3-2
COSMIC, NATO, SEATO, and CENTO documents .....	3-8	3-3
Intra-Army transfer of files .....	3-9	3-3
Transfer of records to the National Archives, GSA .....	3-10	3-3
Transfer of records to non-Army agencies other than Federal records centers or the National Archives .....	3-11	3-3

\* This regulation, together with AR 340-18-2, AR 340-18-3, AR 340-18-4, AR 340-18-5, AR 340-18-6, AR 340-18-7, AR 340-18-8, AR 340-18-9, AR 340-18-10, AR 340-18-11, AR 340-18-12, AR 340-18-13, AR 340-18-14, and AR 340-18-15, all dated 14 August 1969, supersedes AR 345-210, 31 October 1962, including all changes.

	Paragraph	Page
Section III. DISPOSITION OF FILES ON CHANGE OF STATUS		
Transfer of functions -----	3-12	3-3
Discontinuance of Departmental Headquarters agencies -----	3-13	3-4
Discontinuance or change in status of field agencies and elements -----	3-14	3-4
Units of the United States Army Forces, Readiness Command -----	3-15	3-4
★Orders changing status -----	3-16	3-5
★Records transmittal lists of discontinued units -----	3-17	3-5
★TOP SECRET files -----	3-18	3-5
CHAPTER 4. MAINTENANCE AND REFERENCE PROCEDURES		
Section I. GENERAL		
General -----	4-1	4-1
Purpose -----	4-2	4-1
II. MAINTENANCE PROCEDURES		
General -----	4-3	4-1
Dual responsibilities -----	4-4	4-1
★File authority ( <b>Rescinded</b> ) -----	4-5	4-1
★Inspection of papers -----	4-6	4-1
Assembly of papers -----	4-7	4-1
Fastening -----	4-8	4-2
Posting of file numbers -----	4-9	4-2
Backing sheets -----	4-10	4-2
Cross-reference -----	4-11	4-2
Consolidated cross-reference sheet -----	4-12	4-3
Content listing sheet -----	4-13	4-3
Sorting papers for file -----	4-14	4-3
Use of guides and folders -----	4-15	4-3
Position of guides -----	4-16	4-4
Position of folder labels -----	4-17	4-4
Security classified papers -----	4-18	4-4
Cover sheets -----	4-19	4-5
Filing bulky material -----	4-20	4-5
Maintenance of records in libraries -----	4-21	4-5
★Maintenance of files by fiscal year -----	4-21.1	4-5
III. ALPHABETICAL ARRANGEMENTS		
General -----	4-22	4-7
Subject-alphabetic arrangement -----	4-23	4-7
Proper name arrangement -----	4-24	4-7
Geographical locale arrangement -----	4-25	4-7
Organizational arrangement -----	4-26	4-7
IV. NUMERICAL ARRANGEMENTS		
General -----	4-27	4-8
Date arrangement -----	4-28	4-8
Straight numerical arrangement -----	4-29	4-8
Duplex number arrangement -----	4-30	4-8
Terminal digit arrangement -----	4-31	4-8
V. REFERENCE PROCEDURES		
General -----	4-32	4-8
Submission of requests -----	4-33	4-8
Charge-out record -----	4-34	4-8
Cover for charged-out files -----	4-35	4-9
Charge-out suspense and followup -----	4-36	4-9
★CHAPTER 5. RECORDS TRANSFER AND RETIREMENT PROCEDURES		
Section I. GENERAL		
Purpose -----	5-1	5-1
Clinical, outpatient, dental, and X-ray files -----	5-2	5-1
Classified files -----	5-3	5-1
FOR OFFICIAL USE ONLY files -----	5-4	5-1

	Paragraph	Page
II. SUPPLIES		
General .....	5-5	5-1
Forms .....	5-6	5-1
Shipping containers and related supplies .....	5-7	5-1
Shipping containers for odd-size documents .....	5-8	5-2
III. RECORDS TRANSMITTAL LISTS FOR TRANSFER OF RECORDS TO RECORDS HOLDING AREAS AND OVERSEA RECORDS CENTERS		
General .....	5-9	5-2
Preparing lists .....	5-10	5-3
Distributing lists .....	5-11	5-4
Including supplemental data when organizational status has changed .....	5-12	5-4
<b>(Reserved for future use)</b> .....	5-13	5-4
IV. RECORDS TRANSMITTAL LISTS FOR RETIREMENT OF RECORDS TO THE WASHINGTON NATIONAL RECORDS CENTER		
General .....	5-14	5-4
Preparing lists (HQDA Staff agencies and their field operating agencies in the National Capital Region) .....	5-15	5-4
Preparing lists (Army field elements) .....	5-16	5-6
Distributing lists (HQDA Staff agencies and their field operating agencies in the National Capital Region) .....	5-17	5-7
Distributing lists (Army field commands) .....	5-18	5-8
Including supplemental data when organizational status has changed .....	5-19	5-8
Receipts for SECRET documents .....	5-20	5-8
V. RECORDS TRANSMITTAL LISTS FOR RETIREMENT OF RECORDS TO FED- ERAL RECORDS CENTERS OTHER THAN WNRC		
General .....	5-21	5-8
Preparing lists .....	5-22	5-8
Distributing lists .....	5-23	5-10
Including supplemental data when organizational status has changed .....	5-24	5-10
VI. RECORDS TRANSMITTAL LISTS FOR TRANSFER OF RECORDS TO ORGANI- ZATIONS OTHER THAN RECORDS HOLDING AREAS OR RECORDS CEN- TERS		
General .....	5-25	5-10
Preparing lists .....	5-26	5-10
Distributing lists .....	5-27	5-11
Receipts for SECRET documents .....	5-28	5-11
VII. PACKING AND SHIPPING PROCEDURES		
General .....	5-29	5-11
Packing records in fiberboard boxes .....	5-30	5-11
Special instructions for classified files .....	5-31	5-12
Closing and sealing records shipping boxes .....	5-32	5-12
Marking records shipping boxes with identifying information .....	5-33	5-12
Stenciling or labeling boxes for mail or freight shipments .....	5-34	5-13
Shipping procedures .....	5-35	5-13
★CHAPTER 6. RECORDS HOLDING AREAS AND RECORDS CENTERS		
Section I. GENERAL		
Purpose .....	6-1	6-1
Records holding areas .....	6-2	6-1
Oversea record centers .....	6-3	6-1
Records centers in Continental United States .....	6-4	6-1
Listing of records centers .....	6-5	6-1
Section II. STAFFING AND OPERATION OF RECORDS HOLDING AREAS		
Staffing .....	6-6	6-2
Space .....	6-7	6-2
Equipment .....	6-8	6-2
Administrative files .....	6-9	6-3
Receiving procedures .....	6-10	6-3
Disposition procedures .....	6-11	6-3
Reference service .....	6-12	6-3

	Paragraph	Page
Section III. OVERSEA RECORDS CENTER OPERATING PROCEDURES		
Space .....	6-13	6-4
Equipment .....	6-14	6-4
Administrative files .....	6-15	6-4
Receiving procedures .....	6-16	6-4
Disposition procedures .....	6-17	6-5
Reference service .....	6-18	6-5
★CHAPTER 7. REPORTING PROCEDURES		
Section I. GENERAL		
Purpose .....	7-1	7-1
Use of data .....	7-2	7-1
II. SUMMARY OF RECORDS HOLDINGS—REPORTS CONTROL SYMBOL GSA-1001 (R2) (DA Form 3471)		
General .....	7-3	7-1
Officials who furnish reports to HQDA .....	7-4	7-1
Feeder reports .....	7-5	7-1
Report format and content .....	7-6	7-1
Copies prepared .....	7-7	7-1
Frequency and due date .....	7-8	7-1
Instructions for preparation .....	7-9	7-1
APPENDIX A. RULES FOR ALPHABETICAL FILING .....		A-1
B. DIVISIONS OF THE ALPHABET .....		B-1
C. SORTING .....		C-1
D. TERMINAL DIGIT FILING .....		D-1
E. MAINTENANCE AND DISPOSITION OF OFFICE HOUSEKEEPING FILES .....		E-1
★F. RECORDS CENTER LISTING .....		F-1

## CHAPTER 1

## INTRODUCTION

**★1-1. Purpose.** This regulation contains instructions on the use of the Army Functional Files System (TAFFS).

**1-2. Application of TAFFS.** *a.* TAFFS will be applied to all unclassified files and FOUO files and all classified files through SECRET. TOP SECRET files may be set up under TAFFS or in any other manner that will facilitate control and accountability.

*b.* TAFFS will not be applied to publications and blank forms stocked for filling requisitions; reference material and books in formally organized and officially designated libraries; spoiled or damaged photographic film; and reproduction materials such as stencils and multilith plates.

*c.* COSMIC, NATO, SEATO, and CENTO documents will not be identified under TAFFS. The disposition authority applicable to Army records does not constitute authority for destruction of these records. However, some Army records used in controlling and receipting for these documents should be identified under TAFFS (para 3-8).

**★1-2.1 Applicability.** *a.* This regulation applies to all elements of the Department of the Army except:

(1) Active Army TDA units conducting basic combat training (BCT) or advanced individual training (AIT).

(2) Active Army TOE units below division headquarters level.

(3) Army National Guard units.

(4) ROTC instructor groups.

(5) Army Reserve commands and units.

*b.* AR 340-2 applies to organizations listed in *a* above.

**1-3. Definitions.** *a. The Army Functional Files System.* A system for identifying and arranging Army records to facilitate reference and disposition. Records of joint commands and activities for which the Department of the Army has been designated executive agent or management agent are considered Army records for the purpose of TAFFS. TAFFS provides for the division and identification of records into 15 distinct categories. One category is reserved for Office Housekeeping Files. Each of the remaining 14 categories relates to a selected major function (or functional group) of the Department of the Army. The 15 categories of files and the regulations pertaining to each category are listed in paragraph 1-5.

*b. Retention period.* The length of time a file must be kept before it is destroyed. Files not authorized for destruction have a retention period of "permanent."

*★c. Disposition instructions.* Precise disposition instructions which specify the date or event for cutoff, transfer, retirement, or destruction of files. See paragraph 2-5 for examples.

*d. Cutoff.* The termination of a file at specified periodic intervals of time to permit transfer, retirement, or disposal in a complete block.

*e. Discontinuance.* The placing of an organization in an inactive status or in surplus status when all military functions have ceased. Whenever the term is used in this regulation, it will be interpreted to include "inactivation," "disbandment," and "reduction to zero strength."

**1-4. Abbreviations.** Common abbreviations used with TAFFS and intended especially for use on labels are as follows:

CFA	—current files area
COFF	—cutoff
dest	—destroy
disc	—discontinuance
FRCEN	—Federal records center
NPRC	—National Personnel Records Center
ORCEN	—oversea records center
PIF	—place in inactive file
REFP	—reference paper
ret	—retire; retirement
RHA	—records holding area
TAFFS	—The Army Functional Files System
trf	—transfer
RCPAC	—Reserve Components Personnel and Administration Center
WNRC	—Washington National Records Center

### 1-5. Major functional files categories and governing regulations.

Office Housekeeping Files	AR 340-18-1
Planning, Programing, Management, Historical, and Combat Development Files	AR 340-18-2
Finance and Fiscal Files	AR 340-18-3
Legal and Information Files	AR 340-18-4
Intelligence, Security, Military Police, and Mapping Files	AR 340-18-5
General Personnel Management and Safety Files	AR 340-18-6
Military Personnel Files	AR 340-18-7
Civilian Personnel Files	AR 340-18-8
Medical Files	AR 340-18-9
Training and Education Files	AR 340-18-10
Communications Files	AR 340-18-11
Transportation Files	AR 340-18-12
Research and Development Files	AR 340-18-13
Logistics Files	AR 340-18-14
Facilities Files	AR 340-18-15

**1-6. Principles of TAFFS.** *a.* The Army Functional Files System is based on the concept that each Army element or office maintains records documenting the performance of one or more specific functions or subfunctions. These functions may be to procure supplies, allot funds, assign military personnel, pay employees, or any of hundreds of others.

*b.* In carrying out the assigned functions or subfunctions, the responsible office may engage in one or more activities. For example, the following activities may be performed in the personnel movements section of a transportation office: prepare installation or activity transportation plans; prepare and maintain

statistical data relating to space requirements and personnel movement costs; arrange for the movement of troops as individuals or groups, including accompanying material and impediments; aid in obtaining passports; inspect baggage of military personnel, and issue necessary clearance certificates for its shipment; maintain, account for, and issue transportation requests and meal tickets; maintain, account for, and issue local ferry tickets, bridge toll tickets, and local commercial bus tokens; and issue local instructions relating to the movement of personnel. All these activities support the basic function of providing *transportation for personnel*. All the file numbers needed to arrange records maintained to document these activities are contained in AR 340-18-12 which governs the maintenance and disposition of transportation records.

*c.* In addition to records documenting the performance of mission activities, the office will generate certain records on the administration of the office. These records relate to such matters as requests for furniture, equipment, and supplies required to operate the office; instructions on office operating procedures and staff duty assignments; participation in charitable fund drives; and allocation of funds and personnel to operate the office. These matters are not directly related to the office's mission of providing transportation services. Therefore, the records on these matters are housekeeping in nature, and appendix E is used to select file numbers.

**1-7. List of selected file numbers.** A list of file numbers used in an office will be prepared to facilitate filing and reference, to aid in training new personnel, and to eliminate the constant referral to this regulation or other regulations in the AR 340-18 series. The list will contain the file numbers, file titles, and if desired, a brief description of each file maintained in the office. This list will be kept current by making changes as file numbers are added or deleted from the file. *A copy of each list and change will be furnished the records management officer for review and authorization to implement.* A recommended format for preparation of the list of selected file numbers is shown in figure 1-1.

**★1-8. Written files plan.** *a.* The records management directive of each HQDA Staff office, field command headquarters, and installation/division headquarters will, as a minimum, specify the type of files plan used by the headquarters and identify the mission files of the organization.

*b.* Types of files plans.

(1) The "Functional Files Plan" provides for files documenting each function of the headquarters to be maintained in the particular element where the function is performed.

(2) The "Modified Functional Files Plan" is a variation of the plan described above whereby most files are maintained in the office where they are accumulated, but a few selected files of agency-wide interest and use are centrally located for common use by all headquarters elements.

(3) The "Centralized Files Plan" provides for all files of an agency to be maintained in one location by one element, usually a "central files unit" or similar administrative entity. This type of plan is effective in small activities when all elements are contiguous and have ready access to the central files. It is ineffective in larger organizations because of inaccessibility of documents and the need for copies, additional files equipment, supplies, space, and personnel.

*c.* Mission Files. Files that document each mission of the headquarters will be identified in the plan, together with the office that main-

tains the record copies. Identification of files by major functional and subfunctional file category is adequate. A sample extract of a files plan showing portions of a mission files listing is provided in figure 1-2.

**★1-9. Unidentified files.** The file title "Unidentified Files," described in the common mission portions of AR 340-18-2 through AR 340-18-15, file number \_01-08, is to be used for filing documents which are not currently described under file numbers in appropriate subfunctional categories. When such documents accumulate, the organization's records manager will accomplish the following in the sequence indicated:

*a.* Analyze the functions of the organizational element concerned and insure that the documents are related to the office mission and are needed in the conduct of official business.

*b.* Authorize the temporary use of file number \_01-08 (select the appropriate functional category) for interim identification.

*c.* Prepare letter requesting a file number be added to the related subfunctional category of the appropriate regulation in the AR 340-18 series. The request will include selected representative documents from the accumulation that will reflect a complete audit trail. The request with inclosures will be forwarded through channels to HQDA (DAAG-AMR-P), WASH DC 20314.

### LIST OF SELECTED FILE NUMBERS

Programs Branch, Records Management Division, TAGCEN

101-02	Office General Management Files. Documents concerning functional assignments, branch activity reports, and extra copies of staff directories.
102-08	Office Personnel Information Files. Documents related to personnel security, notices that individuals have been cleared for access to classified material, copies of performance appraisals, and letters of appreciation or commendation.
103-01	Reference Publication Files. Reference copies of AR's and other publications that are issued by organizations other than the branch.



- 201-01 **Records Management Instruction Files.**  
Documents affecting the content of AR's or other publications for which the branch is the proponent. Recommendations, coordination actions, and copies of the publication.
- 201-02 **Records Management Administrative Files.**  
Documents concerning routine questions on TAFFS, replies, and suggestions; but not documents revising publications.
- 201-07 **Records Management Reference Paper Files.**  
Documents received for general information purposes that require no action and are not required for documentation of specific functions.
- 220-01 **Records Management Survey Files.**  
Letters of notification, survey reports, and the replies thereto.
- 220-02 **Records Management Survey Background Files.**  
Documents accumulated prior to and during surveys. Installation organization charts, statements of functions, local directives, statistical data on records volume, and general notes.
- 220-07 **Records Disposal Authorization Files.**  
Documents authorizing disposal of Army records and background data. Files disposition studies, archival appraisals, coordination actions, and approvals or disapprovals.
- 220-13 **Records Holding Reporting Files.**  
Feeder reports and consolidated reports of record holdings.

★*Figure 1-1*

## EXTRACT OF FILES PLAN

## LOCATION OF MISSION FILES

<i>Office of record</i>	<i>Major functional category</i>	<i>Subfunctional file category</i>
Information Office	200	228—Military history program and operations files.
	400	412—Information services files.
	600	413—Command information files. 610—Heraldic files.
Inspector General	200	223—Command inspection and visit files.
		224—Inspector General inspection files.
Management Information Systems Office	200	225—Data processing systems, procedures, and operations files.
Staff Judge Advocate	400	402—General legal files.
		410—Litigation files.
Logistics Directorate	200	209—Operational readiness files.
	1400	1401—Logistics common mission files.
		1415—Stock control and requisition files.
		1416—General supply accounting files.
		1417—Self-service supply files.
		1420—Maintenance files.
		1422—Ammunition supply files.
	1429—Motor vehicle supply files. 1434—Supplies disposition files.	

★Figure 1-2

## CHAPTER 2

### LABELING PROCEDURES

#### ★Section I. GENERAL

**2-1. Functional file numbers.** *a.* The file number assigned to a file by appendix E or other regulations in the AR 340-18 series serves to identify the documents it contains for filing and reference, and represents the disposition authority. File numbers, by their composition, represent three significant elements: the major or primary functional category, the subdivision of the category, and numerical sequence in which the file is described under the subdivision. For example, file number 314-09 (which is described in AR 340-18-3) represents:

File Number	3	14	-09
Major Functional Category	300		
Subdivision of major category		314	
Sequence of file description			314-09

*b.* In the above example, the first digit (3) represents the major functional category of *Finance and Fiscal Administration* which has been assigned the numerical file classification of 300. The two digits preceding the hyphen (14) represent the subdivision *Nonappropriated Funds*. The number (09) following the hyphen represents the ninth file described under Nonappropriated Funds, and describes files accumulated in the process of administering nonappropriated fund accounts. The file number for records described as Nonappropriated Fund Account Files is, therefore, 314-09.

**★2-2. Label entries under TAFFS.** *a. General.* This paragraph explains the preparation of labels under TAFFS. File drawers, bookcases, shelves, other file containers, and folders will be labeled to facilitate filing, searching, and disposition. The labels prescribed in table 5-1 will be used for labeling folders and guides, except that information may be placed directly on folders

when fewer than six folders are being prepared. Drawer labels will be prepared on card stock. All labels should be typewritten; when this is not practicable, they will be hand-lettered. Abbreviations in AR 310-50 and paragraph 1-4 may be used.

*b. Captions.*

(1) Folder labels will bear the file number, file title, and disposition instructions for the file, in that sequence. In addition, the year of the file will be shown after the title when the disposition instructions prescribe cutoff after a time period (e.g., cutoff annually). The file number and file title are entered on the label as they appear in appendix E or in other regulations in the AR 340-18 series. The disposition instructions are those in paragraph 2-5 which are applicable to the specific retention period for the file as shown in the disposition column of appendix E or other regulations in the AR 340-18 series. The following examples illustrate the proper entry of information on labels. For clarity, file titles have not been abbreviated in the illustrations.

*(a) Headquarters, Department of the Army Offices:*

1101-02 Audio-visual Administrative Files (76)  
COFF 31 Dec 76 Dest Jan 79  
411-02 Legislative Comment Files (76)  
COFF 31 Dec 76 Ret WNRC Jan 79  
Dest Jan 82

*(b) Army field commands:*

1108-10 Postal Activity Inspection and Audit Files (76)  
COFF 31 Dec 76 Dest Jan 78  
403-20 Agency Claim Files (76)  
COFF 31 Dec 76 Trf RHA Jan 79  
Dest Jan 87

(2) When a file series consists of a number of folders identified by the same file number, only the label on the first folder of the series must show the file number, file title, year of the file (when appropriate), and disposition instructions. Labels on the other folders in the same series may show only the file number, a brief identification of the material in the folder, and the year of the file. For example, if training inspections, training memorandums, and training schedules were filed in separate folders from other material in the training media file (1002-07), these separate folders would require only the following information on the folder labels:

1002-07 Training Inspections	(76)
1002-07 Training Memorandums	(76)
1002-07 Training Schedules	(76)

(3) When a file series of the type described above comprises one or more file drawers, the posting of the file number and other information to each folder label or document is not required. Usually, the documents in a file series of this volume will bear a distinctive identification (e.g., the name on a personnel records jacket or financial data records folder, the number on a voucher, etc.). In these instances, only the label on the first folder (or dummy folder) of the series and the label on the first drawer or other container must contain the complete identification and disposition instructions. Remaining folders and drawers or other containers need only be identified by the name, number, or other feature identifying the contents. A dummy folder contains no file material. It may be used when needed to insure that a label containing complete file identification and disposition instructions remains at the front of the file series even though the addition of new subdivisions or withdrawal of original subdivisions may alter the sequence of folders within the file series.

(4) When a file drawer or other container contains more than one file series, information on the drawer label may be limited to a brief general description of the contents of the drawer.

(5) If TOP SECRET files are arranged under a system other than TAFFS, the labels will contain as much of the information specified in (1) above as it is practicable to place on them.

(6) When the disposition of a file is governed by the occurrence of an event or completion of an action, complete disposition instructions often cannot be determined in advance. Therefore, only the file number, file title, and instructions stating when to place the documents in an inactive file (PIF) are shown on the active file folder. Upon occurrence of the event or completion of the action, the documents become inactive and are transferred to an inactive file. The complete disposition instructions can then be determined and are placed on the folder containing the inactive documents. For example, documents concerning the designation of a postal clerk, while the appointment is in effect, would be maintained in a folder identified as follows:

1108-05 Postal Personnel Dsg Files  
PIF upon termination of designation

Assume the designation of the postal clerk was terminated on 17 March 1976. The documents designating that postal clerk would become inactive on that date and transferred to the 1976 inactive files. The label entries on the folder containing the inactive documents would appear as follows:

1108-05 Postal Personnel Dsg Files (76)  
INACTIVE  
COFF 31 Dec 76, Dest Jan 79.

*c. Examples.* Examples of folder and guide labels are shown in figure 2-1. Examples of drawer and binder labels are shown in figure 2-2.

**2-3. Label entries for exceptions to disposition instructions.** Where written exceptions to disposition instructions or retention periods have been granted, a reference to the document authorizing the exception will be included on the folder label either after the file number or after the disposition instructions. A simple way to do this is to serially number all exceptions received and then use the appropriate exception number in parentheses as part of the file number. For example, if an exception has been granted to an installation to retain individual academic record files, described under file number 1012-03, in the current files area for 5 years instead of 3, and the exception is number 9 on the list, the file number entry on the label

would read 1012-03(9). Another way to record the authority for exception is to enter a reference to the authorizing document after the disposition instructions. For example:

1012-03 Individual Academic Record Files  
COFF 31 DEC 76 trf RHA and retire NPRC Jan 81  
dest Jan 2017 (ltr ATAG-ASR, 14 Jul 69).

## ★Section II. PROCEDURES FOR APPLYING DISPOSITION INSTRUCTIONS

**★2-4. Disposition procedures.** *a.* Except as provided in (1) and (2) below, records designated for retirement will be retired on a calendar and fiscal year basis to the Washington National Records Center, GSA.

(1) Records for which the disposition column in the AR 340-18 series provides for retirement to another records center will be retired to that records center.

(2) Records designated for retirement by Corps of Engineers divisions, districts, and off-post activities will be retired to the GSA Federal Records Center serving the geographical area in which the creating office or activity is located.

*b.* For most files, the disposition column in appendix E or in other regulations in the AR 340-18 series provides only the retention period for the file (e.g., destroy after 2 years, destroy after 10 years, destroy after card is filled, etc). In these instances, the disposition instruments in paragraph 2-5 will be used to determine the exact cutoff, transfer, retirement, and disposal dates.

*c.* For some files, the disposition column also provides specific instructions for cutoff, transfer, retirement, or establishment of inactive files. In these instances the specific instructions rather than the standard disposition instructions in paragraph 2-5 will be followed.

**★2-5. Disposition instructions.** The instructions for the cutoff, disposal, and retirement of files based on general time periods or events are listed below. Unless otherwise indicated in specific disposition instructions in the AR 340-18 series, retention periods begin on cutoff of the files. The following are examples of specific instructions containing exceptions to the general time periods and events: destroy when registrant becomes 36 years of age; withdraw and destroy on departure of the individual; destroy when superseded; destroy after next survey; and destroy the day following last entry

on the form. After each instruction listed below, examples are shown of how disposition instructions should read on file labels for calendar year 1976 and fiscal year 1977 files.

*a. One month or 30 days.* Cut off at the end of the month, hold 1 month in the current files area, and then destroy. Example:

COFF 30 Apr 76, Dest Jun 76.

*b. Three months or 90 days.* Cut off at the end of each quarter, hold 3 months in the current files area, and then destroy. Example:

COFF 31 Mar 76. Dest Jul 76.

*c. Six months.* Cut off semi-annually as of 30 June and 31 December, hold 6 months in the current files area, and then destroy. Example:

COFF 30 Jun 76, Dest Jan 77.

*d. One year.* Cut off at the end of the calendar year or fiscal year, hold 1 year in the current files area, and then destroy. Examples:

*Calendar year file.* COFF 31 Dec 76, Dest Jan 78.

*Fiscal year file.* COFF 30 Sep 76, Dest Oct 77.

*e. Two years.* Cut off at the end of the calendar year or fiscal year, hold in the current files area until the expiration of the 2-year period, and then destroy. Examples:

*Calendar year file.* COFF 31 Dec 76, Dest Jan 79.

*Fiscal year file.* COFF 30 Sep 76, Dest Oct 77.

*f. Three, 4, or 5 years.* Cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements.

(a) Cutoff files will be held 3, 4, or 5 years, as applicable, in the current files area when files space is available, and then destroyed. Examples:

*3-year calendar year file.* COFF 31 Dec 76, Dest Jan 80.

*3-year fiscal year file.* COFF 30 Sep 76, Dest Oct 79.

(b) When files space is not available, they will be held 2 years in the current files area. They will then be retired to the appropriate Federal records center where they will be held until the retention period expires, and then destroyed. Examples:

*5-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Dest Jan 82.

*5-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 78, Dest Oct 81.

(2) Army field elements *served* by a records holding area or oversea records center. Cutoff files will be held 2 years in the current files area. They will then be transferred to the records holding area or oversea records center where they will be held until the expiration of the retention period and then destroyed. Examples:

*4-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Dest Jan 81.

*4-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Dest Oct 80.

(3) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be retained in the current files area until the retention period expires, and will then be destroyed. Examples:

*3-year calendar year file.* COFF 31 Dec 76, Dest Jan 80.

*3-year fiscal year file.* COFF 30 Sep 76, Dest Oct 79.

*g. Six, 7, 8, 9, or 10 years.* Cutoff at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Cutoff files will be held 2 years in the current files area. They will then be retired to the Washington National Records Center, held until the retention period expires, and then destroyed. Examples:

*10-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Dest Jan 87.

*10-year fiscal file.* COFF 30 Sep 76, Retire WNRC Oct 18, Dest, Oct 86.

(2) Army field elements *served* by a records holding area or oversea records center, except Corps of Engineers field elements. Cutoff files will be held 2 years in the current files area. The following disposition will then be made:

(a) Organizational files will be transferred to the records holding area or oversea records center, held until the retention period expires, and then destroyed. Examples:

*10-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Dest Jan 87.

*10-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Dest Oct 86.

(b) Personnel-type files (e.g., letter orders) will be transferred to the records holding area or oversea records center, held until the retention period expires, and then destroyed. Examples:

*10-year calendar file.* COFF 31 Dec 76, Trf RHA Jan 79, Dest Jan 87.

*10-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Dest Oct 86.

(3) Corps of Engineers field elements. Cutoff files will be held in the current files area 2 years. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until the retention period expires and will then be destroyed. Examples:

*6-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire FRCEN Jan 80, Dest Jan 83.

*6-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire FRCEN Oct 79, Dest Oct 82.

(4) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records centers, held until the retention period expires, and then destroyed. Examples:

*6-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 80, Dest Jan 83.

*6-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 79, Dest Oct 82.

*h. Nonpermanent files with a retention period of 11 years or more.* Cutoff at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Cutoff files will be held in the current files area 2 years. They will then be retired to the Washington National Records Center, held

until the retention period expires, and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 78, Dest Oct 96.

(2) Army field elements *served* by a records holding area or oversea records center, except Corps of Engineers field elements. Cutoff files will be held 2 years in the current files area. Files will then be transferred to the records holding area or oversea records center, held 1 year, and then retired to the appropriate CONUS records center. The files will be held by the records center until the retention period expires and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire WNRC Jan 80, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire WNRC Oct 79, Dest Oct 96.

(3) Corps of Engineers field elements. Cutoff files will be held in the current files area 2 years. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until retention period expires and will then be destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire FRcen Jan 80, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire FRcen Oct 79, Dest Oct 96.

(4) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records centers, held until the retention period expires, and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 80, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 79, Dest Oct 96.

*i. Event or action.* Documents which are disposable upon the occurrence of an event, such as supersession or obsolescence, or upon the accomplishment of an action, will be withdrawn from the active file upon the occurrence of the

event or accomplishment of the action and destroyed. Examples:

Destroy on supersession or obsolescence.

Destroy on completion of posting to the proper form.

*j. Time period after an event or action.* Files that are disposable after a specific retention period following the occurrence of an event or accomplishment of an action, such as audit, final payment, or completion of a project, will be terminated on the occurrence of the event or accomplishment of the action. Such files may be terminated by withdrawing from the active file and placing in an inactive file, or in the case of large volumes, simply by discontinuing further filing within the files. The inactive or terminated files will then be cut off and disposition will be effected in the same manner as for other files with the same retention period. Examples:

*Destroy 10 years after completion of project:* PIF on completion of project (for the active file).

COFF 31 Dec 76, Trf RHA Jan 79, Dest Jan 87 (file for which project was completed in 1976).

*Destroy 6 years after final payment:* PIF on final payment (for the active file).

COFF 30 Sep 76, Trf RHA Oct 78, Dest Oct 82 (file for which final payment was made in FY 76).

*k. Permanent files.* Unless otherwise specified in the disposition columns in the AR 340-18-series, permanent files will be cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Files will be held 2 years in the current files area. They will then be retired to the Washington National Records Center for retention until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 78, Permanent.

(2) Army field elements *served* by a records holding area or oversea records center, except Corps of Engineers field elements. Files will be held 2 years in the current files area. Files will then be transferred to the records holding area or oversea records center, held 3 years, and then retired to the appropriate CONUS records center. Files retired to Federal records centers

will be held until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire WNRC Jan 82, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire WNRC Oct 81, Permanent.

(3) Corps of Engineers field elements. Files will be held 2 years in the current files area. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire FRCEN Jan 80, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire FRCEN Oct 79, Permanent.

(4) Army field elements *not served* by a records holding area or oversea records center. Files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records center. Files retired to Federal records centers will be held until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 80, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 79, Permanent.



Left Position: Destruction in current files area

Center Position: Transfer to RHA or ORGEN

Right Position: Retirement to CONUS Records Center

201-02 Pub Admin Files (76)  
COFF 31 Dec 76, Dest Jan 79.

201-01 Pub Instr Files (76)  
COFF 31 Dec 76, Trf RHA Jan 79,  
Ret WNRRC Jan 80, Perm.

200

103-05 Plcy & Prec Files  
Dest indiv docu when supsd,  
ob, or no longer appl.

101-07 Office Rec Transmittal  
Files. Dest when rec listed  
thereon have been destroyed,  
or dest on disc, whichever  
is first.

101-02 Ofc Gen Mgt Files (75)  
COFF 31 Dec 75, Dest Jan 78

★ Figure 2-1. Examples of folder and guide labels. (Read from bottom.)

708-07 Adverse Suitability  
Info Files (76)

COFF 31 Dec 76, dest Jan  
78; or dest on disc which-  
ever is first.

708-06 Military Personnel  
Auxiliary Files (76)

A-L

COFF 31 Dec 76, dest  
Jan 78.

One file number

A portion of one  
file number. (first  
drawer label)

101-02 thru 707-05 (76)

101-02 thru 713-08 (75)

101-02 thru 713-08 (76)

More than one file number  
(one year only)

More than one file number  
(more than one year)

<p>103-01 Ref Pub Files</p> <p>AR's 1-100 thru 335-30</p> <p>Dest when supsd, ob, or no longer needed for ref.</p>	<p>103-01</p> <p>AR's 340-1</p> <p>thru</p> <p>340-18 series</p>	<p>103-01</p> <p>AR's</p> <p>350-30</p> <p>thru</p> <p>385-40</p>	<p>103-01</p> <p>AR's</p> <p>385-55</p> <p>thru</p> <p>420-11</p>
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★Figure 2-2. Examples of drawer and binder labels.  
(Read from bottom.)

## CHAPTER 3

## DISPOSITION PROCEDURES

## Section I. GENERAL FILES DISPOSITION PROCEDURES

**3-1. Objective.** One of the objectives of the Army records management program is to preserve records of continuing value, systematically eliminate all other records, and remove less active current records from office space to low cost storage space. This insures preservation of permanent records, increases the usefulness of the records, and reduces the cost and effort of recordkeeping. To achieve this objective, standard procedures have been established for the disposition of all Army records.

**3-2. Source of retention periods.** Retention periods for specific Army files are published in the disposition columns in appendix E and in AR 340-18-2 through AR 340-18-15. Retention periods for files described in the cited regulations are established on the basis of analyses made by The Adjutant General which are approved by the Archivist of the United States. Recommendations for changes to existing retention periods will be submitted to The Adjutant General when necessary to resolve conflicting instructions between records management regulations and other regulations.

**3-3. Changes to retention periods.** Retention periods are changed periodically as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. The changes are applied in accordance with the general rules in *a* and *b* below.

*a. Increased retention period.* If the change increases the retention period, the new retention period will be applied to all files of the description regardless of where they are maintained or when they were created. Inactive and cutoff files will be brought under the new retention period.

*★b. Change from "permanent" to a retention period.* Instructions in *a* above apply.

*c. Reduced retention period.* If the change reduces the retention period, the new retention period will be applied retroactively unless it is impractical or uneconomical to do so. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on an individual basis, it normally would be more economical to retain the files for the longer period than to attempt to apply the change.

**3-4. Files disposal requirements.** *a. General.* Files authorized for destruction will be sold as waste paper, destroyed, or with the prior approval of The Adjutant General, donated to any government, organization, institution, or corporation which has made application for them.

*b. Files salvage and disposal.* Unclassified files authorized for destruction, and exceeding 100 pounds in weight (approximately 4 linear feet), will be reported to the property disposal officer for determination as to whether disposition by sale or recycling is economically feasible. If the property disposal officer indicates reported quantities cannot be sold, disposition by other means is authorized. Disposal of FOUO information will be accomplished in accordance with the provisions of paragraph 10, AR 340-16. Classified documents will be destroyed according to the methods prescribed in DOD 5200.1-R and AR 380-5.

*c. Donation of files.* Files eligible for destruction that possess historical or sentimental value unique to any government, organization, institution, or corporation may be donated on the request of such agency or organization with the prior approval of The Adjutant General. All

requests will include a description of the files, the organization possessing the files, and the agency to which the files are to be donated.

**3-5. Emergency or accidental disposal of records.** *a. Emergency disposal.* Pursuant to the Records Disposal Act of 1943, records in the custody of the Army outside the territorial limits of the Continental United States may be destroyed at any time during the existence of a state of war between the United States and any other nation, or when hostile action by a foreign power appears imminent, if their retention is prejudicial to the interests of the United States. When emergency disposal is effected, a list of files destroyed and the inclusive dates of each file will be compiled to the extent possible. This list will be forwarded to HQDA (DAAG-AMR-P) WASH DC 20314.

*b. Accidental disposal.* In cases of accidental loss or destruction of files by fire or other causes, the following actions will be taken:

(1) Reconstruction of as much of the lost or destroyed permanent files as possible. For example, Organization Planning files will be reconstructed by replacing the lost or destroyed documents with reference copies maintained in other offices or other agencies. Other permanent files will be reconstructed in the same manner if the lost or destroyed documents can be identified and copies can be obtained from other sources.

(2) When it is not possible to reconstruct permanent files, they will be identified on an SF 135 (Records Transmittal and Receipt) at the time of transfer of records of the same date period to a records holding area or oversea records center. This information, in turn, will be

included on the SF 135 at the time of retirement of related records to a records center in the Continental United States.

**★3-6. Deviations from disposition instructions.** *a. Files less than 25 years old.*

(1) Installation commanders who have records holding areas are authorized to permit the accelerated transfer of files to records holding areas.

(2) Heads of organizations and commanders who have records administrators are authorized to approve requests of their staff elements, subordinate commands, or tenant activities for specific, limited deviations to prescribed records disposition instructions as indicated below. All other requests for deviations from records disposition standards prescribed in the AR 340-18 series require approval of The Adjutant General.

*(a)* Extending the retention period of records having a 2, 3, or 4-year retention standard for one additional year beyond the period prescribed in the AR 340-18 series.

*(b)* Holding records in the current files area up to 5 years.

*(c)* Retirement of records which have a short retention and are normally destroyed locally but are being retained due to litigation or investigation. When such records are retired, an explanation will be entered on the records transmittal (SF 135).

*b. Files more than 25 years old.* The Adjutant General will be notified when files more than 25 years old are found, with the exception of those authorized for retention in the accumulating office in accordance with prescribed disposition instructions.

## ★Section II. SPECIAL FILES DISPOSITION PROCEDURES

**3-7. Disposition of joint records.** Certain records of joint agencies and commands are allocated to the Department of the Army by the Joint Chiefs of Staff; by interdepartmental agreement; or as a result of the Department of the Army acting as executive agent, management agent, administrative agent, exercising management control, or furnishing administrative support. The Army element responsible for

such joint records will dispose of them in accordance with instructions in paragraph 2-5 and other applicable regulations in the AR 340-18 series. All joint records eligible for retirement will be retired to the Washington National Records Center, GSA, unless another records center is specifically designated by instructions in other regulations in the AR 340-18 series.

**3-8. COSMIC, NATO, SEATO, and CENTO documents.** *a.* AR 380-15, AR 380-16, and AR 380-17 contain disposition instructions for COSMIC, NATO, SEATO, and CENTO documents. These documents will not be interfiled/retired with files maintained under TAFFS.

*b.* Classified document receipts, destruction certificates, and registers relating to COSMIC, SEATO, TOP SECRET, and SECRET, and CENTO, TOP SECRET, and SECRET documents which reflect the final disposition of documents in a subregistry will be retained permanently, as indicated in AR 380-15, AR 380-16, and AR 380-17. However, these control records, when maintained by control points or by offices other than a subregistry, will be disposed of in accordance with appendix E or AR 340-18-5, as applicable.

*c.* Classified document receipts, destruction certificates, and other control files relating to NATO, SEATO, and CENTO documents having a lower security classification than those indicated in *b* above, will be disposed of in accordance with appendix E or AR 340-18-5.

**3-9. Intra-Army transfer of files.** *a.* The transfer of files from one Army agency to another Army agency or command is permitted only under the following conditions:

(1) When the files are retired to an Army records center, or transfer of the files is required by Army regulations.

(2) When the files are in the custody of an agency changing status and are transferred under the provisions of paragraph 3-12, 3-13 or 3-14.

*b.* When the transfer of functions from one Army agency or command to another Army agency or command requires the transfer of files, the order directing the transfer of functions will provide for the transfer of the files.

**3-10. Transfer of records to the National Archives, GSA.** It is the policy of the Department of the Army to transfer all permanent files to the National Archives, General Services Administration. Although these files are normally transferred from records centers to the National Archives, they sometimes surface in Army offices and need to be transferred to the National Archives directly. Arrangements for the transfer of such files and the establishment of policies for their use are the exclusive responsibility of The Adjutant General.

**3-11. Transfer of records to non-Army agencies other than Federal records centers or the National Archives.** *a. Policy.* Transfers of this type require approval of the Archivist of the United States. Requests will be forwarded to HQDA (DAAG-AMR-P), WASH, DC 20314. Recommendations for transfer submitted to The Adjutant General will include a concise description of the files to be transferred, an estimate of the volume in linear feet, name and location of the agency to which the files are to be transferred, and the reasons for the transfer.

*b. Exceptions.* Records will be transferred when the transfer of records or functions or both are required by Federal statute, Executive Order, Presidential reorganization plan, or by specific determination made thereunder.

### Section III. DISPOSITION OF FILES ON CHANGE OF STATUS

**3-12. Transfer of functions.** When a function is transferred from one Army organization to another, the current files relating to the transferred function will be transferred to the gaining organization where they will be maintained as a separate entity to preserve their administrative origin. Inactive (cutoff) files relating to the transferred function which have little or no reference value will be retired to the designated records holding area or oversea records center. Agencies of Headquarters, DA and other activi-

ties that do not use a records holding area or oversea records center will transfer the files to the designated records center. A list of the files transferred to the gaining organization, and a copy of the SF 135, listing the inactive files transferred to a records holding area or oversea records center, or retired to a CONUS records center, will be furnished the records management officials of the gaining organization and the next higher headquarters.

**3-13. Discontinuance of Departmental Headquarters agencies.** On discontinuance without transfer of functions, files not authorized for immediate disposal will be retired to the designated records center. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission. When a transfer of function is involved, the procedures in paragraph 3-12 apply.

**3-14. Discontinuance or change in status of field agencies and elements.** For elements of field commands, the procedures in *a* through *d* below will be followed on discontinuance or other change of status.

*a. Redesignation or reorganization.* On redesignation or reorganization without transfer of functions, files will be continued and cut off in the same manner as though no change had occurred.

*b. Discontinuance.*

(1) Discontinuance of an installation and placing the installation in active or standby status. The files required for continued maintenance of the installation will be retained until they are eligible for disposition in accordance with the AR 340-18-series. Disposition of files not required for this purpose will be in accordance with (2) below.

(2) Discontinuance relating to other circumstances.

*(a)* On discontinuance of an Army organization which does not involve a transfer of functions, files not eligible for disposal will be transferred to the records holding area or overseas records center. When not served by a records holding area or overseas records center, or in cases where these facilities are also discontinued, files not eligible for disposal will be retired to appropriate records centers. A copy of the records transmittal (SF 135) used for the transfer or retirement will be furnished the records management official in the next higher headquarters.

*(b)* On discontinuance of an Army organization with a transfer of functions, the procedures in paragraph 3-12 will be followed.

*c. Movement.*

(1) *CONUS units preparing for oversea movement.* Immediately prior to oversea movement of CONUS units, files eligible for disposal will be destroyed; files prescribed for retention by the unit will be prepared for shipment; and other files will be transferred promptly to the records holding area of the last permanent station.

(2) *Movement of Army organizations in CONUS.*

*(a) Movement without personnel and equipment.* On transfer of a unit without personnel and equipment, the files will be cut off as of the date of transfer and forwarded immediately prior to transfer to the records holding area of the losing installation. Files that are essential to the operation of the unit at its new location may be obtained upon request to the losing installation.

*(b) Movement with personnel and equipment.* On transfer of a unit or organization with personnel and equipment, files will accompany the unit or organization.

(3) *Movement of Army organizations in oversea commands.* Current records will accompany the organization and other records not required for future actions will be transferred to the appropriate oversea records center.

(4) *Movement of Army organizations from overseas to CONUS.*

*(a) Movement with personnel.* Records of organizations, returning to CONUS with personnel, will accompany the organization.

*(b) Movement without personnel.* Files will be transferred to the appropriate oversea records center. Files that are essential to the operation of the unit in CONUS may be obtained from the oversea center upon request.

*d. Other change in status.* On a change in status not specifically covered in the above paragraphs, the records management official should be contacted for determination of the proper procedures to be followed.

**3-15. Units of the United States Army Forces, Readiness Command.** USARRED and Strategic Army Forces (STRAF) units will maintain an SF 135 at all times indicating those files

**28 November 1975**

**C 8, AR 340-18-1**

which will not accompany the unit in the event of movement overseas. However, the inclusive dates for the records will not be entered in item 13; and items 4, 12, and 14 will not be completed until the unit prepares to move overseas.

**★3-16. Orders changing status.** Any order that changes the status of an organizational element of the Army, other than units for which disposition procedures are prescribed in AR 340-2, will prescribe that the disposition of files will be effected in accordance with the instructions in paragraphs 3-12, 3-13, or 3-14, as appropriate.

**★3-17. Records transmittal lists of discontin-**

**ued units.** Units being discontinued will furnish the next higher headquarters copies of all records transmittal lists reflecting records previously transferred or retired, and those reflecting files transferred to successor organizations. Units reporting directly to HQDA being discontinued will forward one copy to HQDA (DAAG-AMR) WASH DC, 20314.

**★3-18. TOP SECRET files.** Prior to discontinuance, all TOP SECRET documents will be reviewed for downgrading or declassification. Those which must retain the TOP SECRET classification will be transferred to the next higher headquarters.

## CHAPTER 4

### MAINTENANCE AND REFERENCE PROCEDURES

#### Section I. GENERAL

**4-1. General.** Effective files maintenance and reference procedures are essential in order that a complete account of actions taken, commitments made, and the result of actions taken are available.

**4-2. Purpose.** This chapter contains the procedures to be used in establishing and maintaining all Army files and in providing reference service to them.

#### Section II. MAINTENANCE PROCEDURES

**4-3. General.** The procedures in this section are designed to provide maximum efficiency in preparing papers for file, maintaining records, and in using and labeling file folders, file guides, and file containers.

**4-4. Dual responsibilities.** Officials who perform duties for more than one organization will insure that the records created in each capacity are identified and maintained separately. Physical segregation of the files will be accomplished by the most efficient and economical method, such as the use of separate file folders, drawers, or other containers. Examples of dual responsibility situations are: when a commander of a division is also commander of the installation; when a safety officer for a command is also the installation safety officer; or when the chief of a staff section is secretary of a committee.

**★4-5. File authority. Rescinded.**

**★4-6. Inspection of papers.** Papers received for file will be inspected to insure completeness, and to eliminate unnecessary material.

*a. Completeness.* Papers received for file will be checked to insure that all actions have been completed, and if so, that all papers which should be included to fully document the action are attached.

(1) *Incomplete actions.* If it appears that all necessary actions have not been completed, the

paper will be placed in suspense or otherwise controlled to permit followup action as necessary and to insure that the case will not cut off prior to completion of final action.

(2) *Insufficient documentation.* If action is complete, but essential documentation is missing, an attempt will be made to obtain missing papers or copies of the papers. If the attempt fails, a notation of the action taken to obtain the missing papers, and the result, will be placed on the file papers.

*b. Unnecessary material.* Unnecessary material such as used envelopes which provide the same information as that which appears on letterheads, routing slips which bear no essential information, and extra copies which do not bear notations essential for documentation purposes will be discarded. When the original of a document is returned (e.g., a reply to a letter by indorsement is required) and filed, however, the first file copy (usually a yellow tissue) need not be removed to comply with this requirement.

**4-7. Assembly of papers.** Correspondence will be assembled and filed under the *date of the latest action* as indicated below:

*a. Separate correspondence.* A separate "chain" of correspondence normally develops in completing an action. It consists of the basic paper (the paper starting the action), any numbered or unnumbered replies in continuation of



the action, inclosures, and supporting papers forming a part of the whole correspondence action. These papers will be assembled in top to bottom order as follows:

- (1) The latest action (numbered or unnumbered).
- (2) The basic paper (e.g., letter, disposition form, or memorandum).
- (3) Letter indorsements or numbered comments in numerical order.
- (4) Other unnumbered replies in chronological order.
- (5) Inclosures in numerical order.
- (6) Internal actions which support the numbered or unnumbered actions (e.g., studies and coordinating actions).

*b. Related papers.* Papers which are directly related or contain specific reference to earlier papers on the same subject will be combined with those papers only if reference requirements clearly necessitate such action. If combination is deemed necessary, the related papers will be assembled separately under the method described above. The related papers will then be stapled on top of the earlier papers and will be *filed by date of the latest action*. In such cases, it may be desirable to make a cross-reference to be filed under the date the earlier papers were filed.

**4-8. Fastening.** *a. General.* The fasteners described in *b* through *d* below will be used to hold papers together. Straight pins and paper clips will not be used for fastening papers that are filed, except that paper clips may be used in a suspense file. Documents will not be attached to folders, except for documents filed in special folders designed for filing on both sides, such as the DA Form 201.

*b. Staples.* Wire staples will be used to fasten related loose papers together. Wire staples are inexpensive, easy to apply and remove, cause little damage to file material, and can hold a fairly large number of papers without increasing their bulk.

*c. Prong fasteners.* Prong fasteners may be used in the following situations:

- (1) When file material on an action is too thick to fasten with wire staples.

- (2) When a file containing several separate but related actions is frequently used outside the immediate file area.

- (3) When a file is loaned for use outside the files area.

*d. String and tape.* String and cloth tape will be used to hold bulky material together only when the use of fasteners is not practicable, or when an impression seal is required over the fastening.

**4-9. Posting file numbers.** *a.* The file number will be placed on a document at the time it is filed. It will be placed in the right margin, lengthwise on the paper, taking care that it does not obscure the content of the paper.

*b.* When the physical characteristics of a document make it self-identifying for filing purposes, the posting of the file number to the document is unnecessary. Examples of documents not requiring the posting of a file number are reference copies of publications, mail control forms, and bills of lading.

*★c.* When the content, volume, or reference needs require the subdivision of a file series, a brief identification of the subdivision should be used to supplement the file number on the documents. *For example*, Command reporting files (228-07) might be subdivided by the designation of the reporting units, such as 16th Data Processing Unit, 35th Military Police Company, 40th Ordnance Detachment. An abbreviated reference to the designation of the unit would be added to the file number on the individual report to insure that it is filed and refiled properly.

**4-10. Backing sheets.** Backing sheets will be used only when the file material is sufficiently thick to require a prong fastener, or when protection is required for papers which have begun to fray or wear due to frequent handling. When backing sheets are used, 220 weight paper stock is sufficiently durable. Heavier backing sheets waste space in file containers.

**4-11. Cross-reference.** *a. General.* A cross-reference is a form filed under one file number or subdivision to show the location of material filed elsewhere. Cross-references will be pre-

pared only when essential to finding needs. Cross-references may be used when—

(1) A document pertains to more than one function or action, and it is probable that reference to the document may be by any of the functions or actions to which it pertains.

(2) A document pertains to individuals, organizations, or geographical locations, and is not filed by the name or names under which requests are anticipated.

(3) Classified papers having a direct relationship to unclassified material are filed separate from the unclassified material. Care will be taken to insure that classified information is not placed on cross-references to be filed in unclassified files.

(4) Papers with various dates which document a subfunction or action, which are directly related, are filed together.

(5) A document is reclassified from one file number or subdivision to another file number or subdivision.

★*b. General cross-reference.* To avoid making repetitive cross-references, a general cross-reference will be made when all references to a name or subject are to be made to another name or subject. The cross-reference will indicate the file classification of the cross-reference and the words "Filed under" followed by the file classification to be referred to. For example:

207-01 Pine Camp, N.Y., filed under  
207-01 Fort Drum, N.Y.

*c. Cross-reference forms.* Cross-references will be made on DA Form 1613 series (Cross-Reference). The DA Form 1613 series are 8 by 10<sup>1</sup>/<sub>2</sub> inches and are printed in single sheets and in sets of two and three parts, carbon interleaved. They are designed for interfiling with correspondence or other records of comparable size.

**4-12. Consolidated cross-reference sheet.** In most filing operations, a separate sheet is used for each cross-reference. This requires a separate filing action to place each cross-reference in its proper location in the file. The consolidated cross-reference sheet procedure differs in that cross-references of identical classifications are entered in consecutive order on a sheet maintained for that classification. This saves

space, equipment, and supplies. However, when the sheets are out of file, finding the requested records may be difficult. DA Form 1614 (Consolidated Cross-Reference Sheet or List of Papers) is prescribed for use in preparing consolidated cross-reference sheets.

**4-13. Content listing sheet.** A content listing sheet is a cumulative index to papers in a folder or file subdivision. DA Form 1614 is the prescribed form for use as a content listing sheet. Because the content listing sheet requires a considerable amount of time to maintain, it is usually uneconomical. Consequently, content listing sheets are authorized only when the listed papers are filed in random sequence.

**4-14. Sorting papers for file.** After papers are arranged and fastened and any necessary cross-references are prepared, the papers and cross-references will be sorted and arranged in proper filing order. This speeds the filing of the papers and cross-references, and aids in locating papers rapidly in the event they are requested prior to filing. Detailed information on sorting methods and procedures are contained in appendix C.

**4-15. Use of guides and folders.** ★*a. General.* The standard guides and folders prescribed in table 2-1 will be used. To the maximum extent practicable, letter size folders and guides will be used for letter size material, whether letter or legal size file cabinets are used. Folders and guides will be reused to the maximum extent practicable, except that they will not be salvaged from files being transferred or retired.

*b. Guides.* Guides are used to divide files and identify each division so that filing and finding particular folders, papers, cards, or other file material are facilitated. In addition, guides provide support for the material in the file.

*c. Folders.*

(1) Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers.

(2) When the material in any folder reaches the normal capacity of the folder, a second folder should be prepared. The second folder

should begin at a logical point such as at the beginning of a month, calendar quarter, etc.

(3) When a files series consists of documents pertaining to more than one individual or more than one serially numbered document, documents are normally filed in the same folder until the normal capacity of the folder has been reached. Included among the files series to which this instruction applies are informational personnel files, personal clothing record files, household shipment bill of lading files, purchase orders, and vouchers. Excluded are such files series MPRJ files and OPF files which use a folder especially designed for a single individual.

**4-16. Position of guides.** *a.* Guides will be arranged in files so that the tabs are in uniform position to the left side (first position) of the file drawer.

*b.* Guides normally are placed in a file at the beginning of each major functional files category. The guides will be labeled with the functional file category numerical classification. For example: Guides identifying the major functional files categories of Planning, Programming, Management, Historical, and Combat Development Files (described in AR 340-18-2); Military Personnel Files (described in AR 340-18-7); and Training and Education Files (described in AR 340-18-10); would be labeled as 200, 700, and 1000 respectively.

*c.* When the volume of material necessitates guides for primary subdivisions, the guides should be placed at logical breaking points and as nearly as possible at 4- to 6-inch intervals. Under TAFFS, the primary subdivision is the subfunctional category, represented by the two digits preceding the hyphens. The guides identifying these subdivisions would be labeled using the two element construction. For example: 1201, 1204, 1205, etc.

*d.* If a still more definitive breakdown is required, the functional file number identifying the individual files series would be used. For example; 902-01, 902-03, 902-06, etc.

*★e.* When a large volume of records is accumulated under a single file number, a further subdivision may be necessary. This may be

done by subdividing the records alphabetically or numerically. If necessary, guides may be prepared reflecting this internal arrangement. As an exception to *a* above, guides with tabs in other than the first position may be used in subdividing large volumes of files accumulated under a single file number.

**4-17. Position of folder labels.** *a. The Army Functional Files System.* Under TAFFS, folder labels are placed in three positions to indicate where final disposition of the records will take place (fig. 4-1). The following rules govern the positioning of folder labels:

(1) *First position (left of center).* Files to be destroyed in the current files area.

(2) *Second position (center).* Files to be transferred to and destroyed in a records holding area or oversea records center. Offices of Headquarters, DA, and other organizations that are not serviced by a records holding area or oversea records center will *not* use the second position.

(3) *Third position (right of center).* Files to be retired to a records center in the continental United States.

(4) *Open shelf files.* As an exception to the above, all file labels may be placed in the first or third position, whichever is nearer the file aisle, when open shelf file equipment is used.

*b. Other systems.* Folders containing material arranged by systems other than TAFFS (*for example*, TOP SECRET material arranged by control numbers) will be labeled, as far as possible, in a pattern similar to that established in *a* above.

**4-18. Security classified papers.** Security classified papers will be filed in separate files and in separate file containers from unclassified papers. Exception to this instruction is permitted when the record of an action or transaction consists of both classified and unclassified papers and it is essential for reference purposes that both be filed together. The inter-filing of unclassified and classified papers is restricted to those papers which directly support, explain, or document the record of the action or transaction. Further exceptions to the restriction on filing unclassified papers in security containers are authorized by AR 340-4.

**28 November 1975**

**C 8, AR 340-18-1**

**4-19. Cover sheets.** Classified document cover sheet and similar cover sheets will be removed before papers are placed in file. Exception is permitted when papers are placed in suspense files or cases are placed in filing equipment pending completion of the action.

**4-20. Filing bulky material.** Bulky material will be filed separately in storage equipment suited to its size. This material may be maintained in file number, serial number, or date order. A cross-reference to the bulky material will be prepared and filed with the file papers, or a notation indicating location of the bulky material will be placed in a conspicuous location on the file papers. The bulky material should be marked to show storage location, file classification, and sufficient identifying information to associate it with the related file papers. A copy of the cross-reference prepared for the regular

file can be attached to the bulky material to serve this purpose.

**4-21. Maintenance of records in libraries.** Record copies of publications or other documents will not be maintained as a part of library collections or manuscript collections in libraries or museums. This does not preclude the filing of extra copies of record materials in libraries or museums. However, when extra copies are maintained, they will be distinctly marked "LIBRARY COPY" or "MUSEUM COPY" to insure their distinction from the record copy.

**★4-21.1. Maintenance of files by fiscal year.** Some files series, such as those relating to budget and financial matters, serve the user better if maintained by fiscal instead of calendar year. When this procedure is used, all files within the office will be maintained by fiscal year.

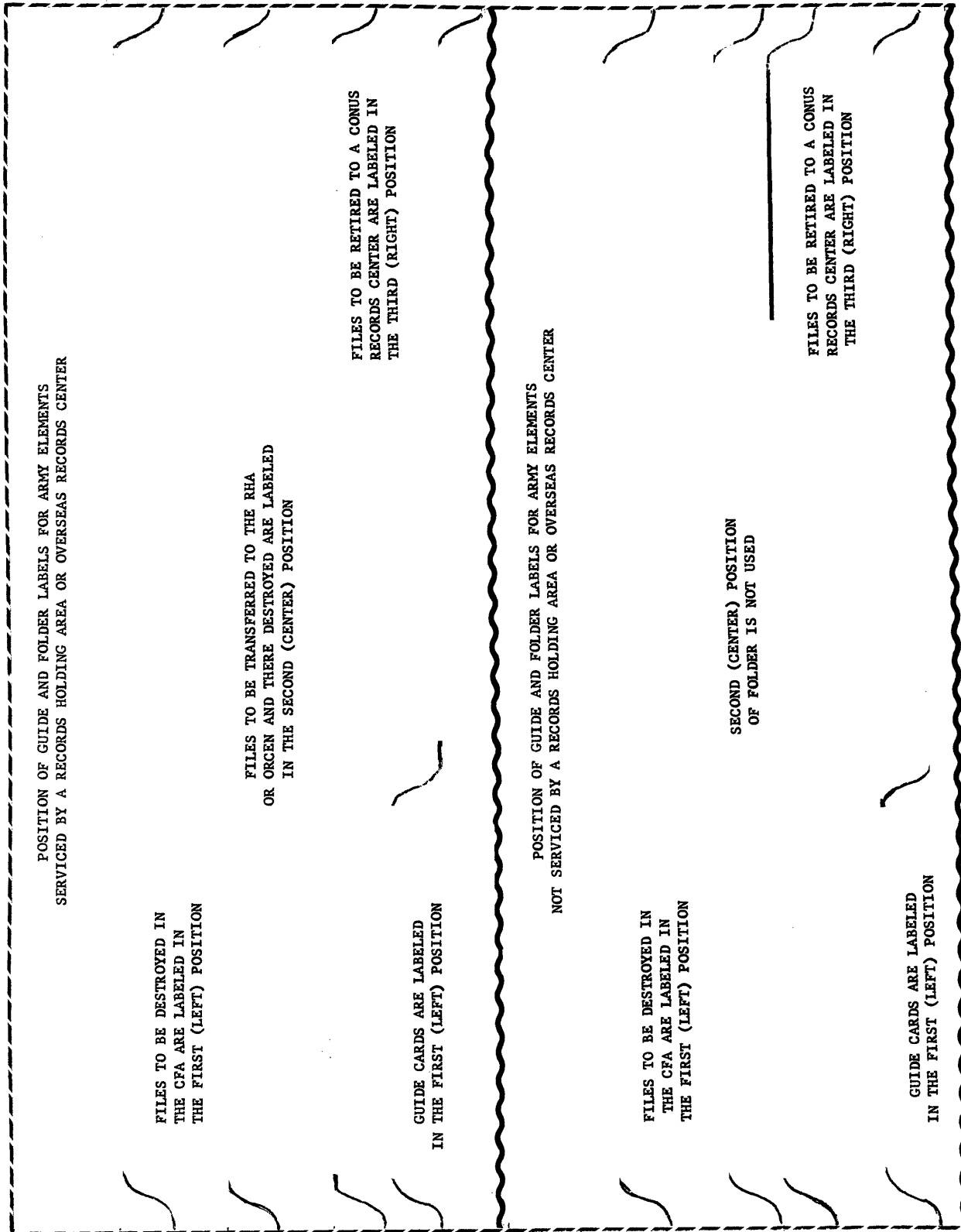


Figure 4-1.

## ★CHAPTER 5

## RECORDS TRANSFER AND RETIREMENT PROCEDURES

## Section I. GENERAL

**5-1. Purpose.** This chapter provides procedures for the packing and shipping of records to records holding areas, oversea records center, CONUS records centers, and other organizations. These procedures are applicable to all elements of the Department of the Army, except those organizations governed by AR 340-2.

**5-2. Clinical, outpatient, dental, and X-ray files.** In addition to applicable instructions in this chapter, special instructions in AR 340-18-9 also apply.

**5-3. Classified files.** *a. TOP SECRET.* TOP SECRET files will not be retired to a records center until reduced to a lower classification, except those in oversea commands and those which are to be deposited in the Defense Invest-

igative Service or the Training Material Support Division, Training Aids Management Agency. When TOP SECRET files are retired to a records center, transmission and accountability will be in accordance with DOD 5200.1-R and AR 380-5. Listing and receipting will be governed by instructions in this chapter for SECRET files.

*b. SECRET and CONFIDENTIAL.* Instructions for listing, receipting, packing, and shipping material of these classifications are contained in subsequent paragraphs of this chapter.

**5-4. FOR OFFICIAL USE ONLY files.** Files bearing the FOUO protective marking will be packed in the manner prescribed in this chapter for unclassified files.

## Section II. SUPPLIES

**5-5. General.** Standard folders, guides, labels, fasteners, binders, and label holders described in table 5-1 will be used by all activities. In those exceptional cases where nonstandard materials are more efficient and/or economical, their use will be justified in writing and approved by the records manager.

**5-6. Forms.** SF 135 will be used for transferring or retiring records to records holding areas, records centers, and other organizations or agencies. When more than one page is required, SF 135A (Records Transmittal and Receipt—Continuation) will be used. SFs 135 and 135A will be obtained through normal publications channels. Instructions for the preparation of these forms are provided in sections III through VI. A sample completed form is illustrated in figure 5-1.

**5-7. Shipping containers and related supplies.** The standard records shipping containers and related supplies described below will be used for the transfer of files to records holding areas and oversea records centers, and for the retirement of files to records centers in the Continental United States. They will be obtained through normal supply channels. Federal records centers of the General Services Administration will not accept records that are merely wrapped and tied, or shipped in odd-sized containers, except as outlined in paragraph 5-8.

*a. Fiberboard boxes.*

(1) For shipping computer tape records: Box, fiberboard, special purpose tuck-bottom,  $14\frac{3}{4}'' \times 11\frac{3}{4}'' \times 11\frac{3}{4}''$ , NSN 8115-00-117-8347.

(2) For shipping small-sized paper records: Box, fiberboard,  $14\frac{3}{4}'' \times 9\frac{1}{2}'' \times 4\frac{7}{8}''$ , NSN 8115-

00-117-8338. (This box is commonly known as the "half-size" box.)

(3) For shipping letter-size and legal-size paper records: Box, fiberboard, metal-stapled overlap joint, 200-pound test, 15" x 12" x 10", NSN 8115-00-290-3379.

*b. Sealing tapes.*

(1) *Gummed kraft paper tape.* The tape below may be used to seal fiberboard boxes containing files to be transferred to records-holding areas. Boxes containing files to be retired to records centers will be resealed with the pressure sensitive tape described in (2) below, at the time the files are prepared for shipment from the records holding area. Care will be exercised to insure that readily removable gummed kraft paper tape is completely removed from such boxes. Gummed kraft paper tape will be procured at the rate of one roll (200 yards) for each lot of 135 fiberboard boxes, or fraction thereof. The description of the tape is as follows:

Gummed kraft paper tape, medium duty, 200 yard roll, 3 inches wide; NSN 8135-00-270-8717.

(2) *Pressure sensitive tape.* The tape described below will be used to seal fiberboard boxes containing files retired to records centers. This tape also will be used for sealing fiber-

board boxes containing files to be transferred to oversea records centers from installations, activities, organizations, and units in oversea commands. The tape will be procured at the rate of one roll (120 yards) for each lot of 80 fiberboard boxes, or fraction thereof. The description of the tape is as follows:

Tape, pressure sensitive, water resistant, paper; 3-inch width; 120 yard roll, NSN 7510-00-297-6656.

*c. Banding tape.* The tape described below will be used for reinforcing sealed boxes transferred to oversea records centers or retired to records centers in CONUS.

Tape, pressure sensitive, filament reinforced, 1-inch width; 60-yard roll; NSN 7510-00-290-8036.

*d. Containers for shipping boxes of records.* Records shipped to CONUS records centers from an oversea location will be packed in TRIWALL containers, NSN-8115-00-774-6562. CONEX containers will not be used.

**5-8. Shipping containers for odd-size documents.** When the size of the documents being shipped precludes the use of the containers described in paragraph 5-7a, the documents will be securely packed and shipped in a manner that will preclude damage en route. Boxes for odd-size documents should be selected from those listed in the GSA stock catalog.

### Section III. RECORDS TRANSMITTAL LISTS FOR TRANSFER OF RECORDS TO RECORDS HOLDING AREAS AND OVERSEA RECORDS CENTERS

**5-9. General.** *a.* This section prescribes procedures for preparing and distributing records transmittal lists to records holding areas and oversea records centers.

*b.* SFs 135 and 135A will be typewritten. All ribbon copies of the forms relating to a shipment will be fastened together in box number sequence to form a consolidated records transmittal list. Carbon copies of the forms will be fastened together in the same manner.

*c.* When classified information is disclosed on SF 135 or 135A by reference to long titles and classification of specific classified documents, the forms will be classified according to the degree of classified information disclosed. SFs

135 and 135A prepared for transmittal of classified files will not be classified when—

(1) Information entered on the form in itself does not disclose classified information. An indication of the degree of classification of records on SF 135 or 135A is not considered classified information.

(2) Files titles or descriptions entered on SF 135 or 135A are the same as those contained in unclassified Department of the Army records management directives.

(3) General descriptions of classified files are used and such descriptions do not identify the long title and classification of specific classified documents.

**5-10. Preparing lists.** *a. Separate transmittals.* Prepare separate SFs 135 for the following categories of records.

- (1) Classified records.
- (2) Unclassified records.

*b. Number of copies.* Prepare three copies for shipments to records holding areas and four copies for shipments to oversea records centers. One additional copy will be made on discontinuance.

*c. Entries.*

(1) *"FROM" block.* Enter name and address, including ZIP code of shipper.

(2) *"TO" block.* Delete "Federal Records Center, GSA" and enter the address of the records holding area.

(3) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these should also be entered.

(4) *Items 2 and 3.* Omit.

(5) *Item 4.* Enter the total number of boxes covered by the transmittal. A partially filled box will be counted as one box.

(6) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(7) *Item 6.* Enter the building and room number in which the records to be transferred are located.

(8) *Item 7.* Enter the telephone number of the shipper.

(9) *Item 8.* Omit.

(10) *Item 9.* The records official responsible for the transfer will sign.

(11) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(12) *Item 11.* Enter the date the transmittal is prepared.

(13) *Item 12.* Enter the box number of the first box of the shipment in the "AGENCY" column. The box number will reflect its relationship to the overall shipment (e.g., 1/9). Enter the next box number when the description of the contents of the box has been completed. The box numbers need not be repeated when the box contains several items described in item

13. However, when the description of the contents of a box is carried forward to another page, the box number will be carried over to the new page.

(14) *Item 13.* The first entry will be the name of the organization that created the records. The following instructions govern the entry of the name of the organization and other information in item 13:

(a) *Name of the organization.* Enter the name of the organization which created the records. "Directorate of Plans and Training" and "1st Battalion, 1st Infantry" are examples. The name of the organization may differ from the organization named in the "FROM" block if it was discontinued and its records are being transferred or retired by another organization.

(b) *Historical data.* Indicate any historical data involving the organization that created the records, including dates of the authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent change of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date. Enter "no change" when applicable.

(c) *Organizational elements.* Enter complete title of organizational element, and underline. For example, use "Training Division, Directorate of Plans and Training." Use only authorized abbreviations. When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(d) *Files description.* Enter the file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc.). The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in Department of the Army records management directives, a title and general description of the files will be entered. If the records series is contained in more than one box, the contents of



each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(15) *Item 14.* Enter "AR 340-18 series" on first line. Enter disposition information opposite each records series description in item 13. If records are permanent, indicate "Permanent." If the records are authorized for disposal, enter date that the records should be destroyed.

**5-11. Distributing lists.** *a.* Under normal circumstances (i.e., other than discontinuance).

(1) For records transferred to oversea records centers.

(a) Forward original and one copy to the oversea records center in advance of shipment.

(b) Place one copy in an envelope and file as the first item in the first box of the shipment.

(c) Retain one copy for file.

(2) For records transferred to records holding areas.

(a) Forward original and one copy to records holding areas.

(b) Retain triplicate for file.

#### Section IV. RECORDS TRANSMITTAL LISTS FOR RETIREMENT OF RECORDS TO THE WASHINGTON NATIONAL RECORDS CENTER

**5-14. General.** *a.* This section prescribes procedures for preparing and distributing records transmittal lists to the Washington National Records Center.

*b.* SFs 135 and 135A will be typewritten. All ribbon copies of the forms relating to a shipment will be fastened together in box number sequence to form a consolidated records transmittal list. Carbon copies of the forms will be fastened together in the same manner.

*c.* The policy for assigning a security classification marking to SFs 135 and 135A is stated in paragraph 5-9c.

*d.* SFs 135 and 135A will describe records in sufficient detail to permit rapid retrieval of specific documents within statutory time limits imposed on the Department of the Army by the Freedom of Information Act (AR 340-17). Files that are not internally sequenced by name or number on each file folder should be described on the SF 135 or 135A to insure little or no

*b.* *On discontinuance.* Distribute copies according to *a* above and forward one copy to the records manager of the next higher headquarters. Organizations reporting directly to the Department of the Army will submit copy to HQDA (DAAG-AMR) WASH DC, 20314.

**5-12. Including supplemental data when organizational status has changed.** Attach the following to the original copy of the transmittal:

*a.* Organization chart showing the new organizational relationship.

*b.* Listing showing files transferred to another agency above or retired directly to a Federal records center, when applicable.

**5-13. (Reserved for future use.)**

difficulty in finding them. The Army command/installation retiring the records is responsible for retrieval to meet Freedom of Information requests.

**5-15. Preparing lists. (HQDA Staff agencies and their field operating agencies in the National Capital Region.)** *a.* Separate transmittals. Prepare separate SFs 135 for the following categories of records:

(1) *SECRET.* However, if there are fewer than five boxes in this category, a single SF 135 may be prepared for SECRET and CONFIDENTIAL files.

(2) *CONFIDENTIAL.* However, if there are fewer than five boxes in this category, a single SF 135 may be prepared for SECRET and CONFIDENTIAL files.

*b. Number of copies.* Prepare four copies. One additional copy will be prepared on discontinuance of the unit.

*c. Entries.*

## (1) Accession numbers.

(a) Staff agencies and their field operating agencies in the Washington, DC, area will enter the inclusive accession number of the shipment in the block titled "ACCESSION number" in the upper right portion of the form. The accession numbers consist of three parts, the record group number assigned by National Archives, the fiscal year number, and 3-digit sequential number. For each record group, the 3-digit sequential accession number will begin with 001 and continue consecutively through the fiscal year. For example, the record group number assigned to The Judge Advocate General is 153, so the first accession number used by The Judge Advocate General for Fiscal Year 1976 would be 153-76-001, and the second number would be 153-76-002. HQDA Staff agencies assigned an exclusive record group number are responsible for the development and assignment of accession numbers. The Director of the Army Staff (DACS-DMS) will control and assign accession numbers to HQDA Staff agencies sharing Record Group No. 319.

(b) Each file described by file number and title in item 13, SFs 135 and 135A, is considered a file series. A different accession number will be assigned to each file series retired to the Washington National Records Center, except for "mixed series" accessions ((d) below).

(c) When records in the same series that were accumulated during 2 or more years are retired, they will have different disposal dates. Therefore, a different accession number will be assigned for each disposal date.

(d) A "mixed series" accession is a shipment which consists of more than one file series to a box and is assigned one accession number. When a shipment includes one to five boxes, it may be given the same accession number and titled "mixed series" accession, provided no more than 5 boxes are grouped into one accession.

(2) *Record group numbers.* Enter the records center's record group number in the block entitled "RECORD GROUP NUMBER" located in the upper right portion of the form.

(3) *"FROM" block.* Enter the shipper's name and mailing address in the "FROM" block.

(4) *"TO" block.* Enter address, including ZIP code, of the records center. A substitution does not need to be made for "Federal Records Center, GSA."

(5) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these also should be entered.

(6) *Item 2.* Enter an "x" in the appropriate block to indicate the type of space being cleared.

(7) *Item 3.* Enter an "x" in the appropriate block to indicate the type of filing equipment emptied.

(8) *Item 4.* Enter the total number of boxes covered by the transmittal. If records are not packed in the standard box described in paragraph 5-7a(3), enter the linear feet of records.

(9) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(10) *Item 6.* Enter the building and room number in which the records to be transferred or retired are located.

(11) *Item 7.* Enter telephone number of shipper.

(12) *Item 8.* Enter an "x" in the "yes" box.

(13) *Item 9.* The records official responsible for the transfer or retirement of records will sign in item 9.

(14) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(15) *Item 11.* Enter the date that the records transmittal is prepared.

(16) *Item 12.* Enter the box number of the first box of the shipment in the column entitled "AGENCY." Assign consecutive box numbers to each file series beginning with box number "1." For example, enter "1/9" for box 1 of a nine-box accession. In packing records, begin each "files series" in a separate box. All records in a box should have the same disposal date except for a "mixed series" accession ((1)(d) above).

(17) *Item 13. (Name of the organization.)* Enter the name of the organization that created the records. "Headquarters, Department of the Army" will be used by Headquarters, Department of the Army agencies.

(18) *Item 13. (Historical data).* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent change of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(19) *Item 13. (Certification of classification review.)* The certification of classification review prescribed in paragraph 3-602, DOD 5200.1-R and paragraph 2-11, AR 380-5 will be entered as the next item.

(20) *Item 13. (Organizational elements.)* Enter complete title of organizational element, and underline. For example, use "Policy Branch, Management and Evaluation Division, Plans and Policy Directorate, Office of the Chief of Research, Development and Acquisition." Use only authorized abbreviations. When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(21) *Item 13. (Files description.)* Enter the accession number assigned to the file series before listing the file description. The file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc.) will be entered next. The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in the Department of the Army records management directives, a title and a general description of the files will be entered. If the records series is contained in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(22) *Item 14.* Enter "AR 340-18 series" on first line. If permanent files are being retired, begin the following statements on the next line: "The Adjutant General Center, Department of the Army (TAGCEN) is reviewing disposal standards in the AR 340-18 series to determine if the present retention standards for permanent records should be changed. TAGCEN is

submitting appropriate documentation on a scheduled basis." For each permanent records description enter "Permanent."

**5-16. Preparing lists (Army elements).** *a. Separate transmittals.* Prepare separate SFs 135 for the following categories of records:

(1) *SECRET permanent.* However, if there are fewer than ten boxes in this category, a single SF 135 may be prepared for SECRET and CONFIDENTIAL permanent files.

(2) *SECRET nonpermanent.* However, if there are fewer than ten boxes in this category, a single SF 135 may be prepared for SECRET and CONFIDENTIAL nonpermanent files.

(3) CONFIDENTIAL permanent.

(4) CONFIDENTIAL nonpermanent.

(4) Unclassified permanent.

(6) Unclassified nonpermanent.

*b. Number of copies.* Prepare four copies. One additional copy will be made on discontinuance.

*c. Entries.*

(1) "*FROM*" block. Enter name and address, including ZIP code, of shipper.

(2) "*TO*" block. Enter address, including ZIP code of records center.

(3) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these should also be entered.

(4) *Item 2.* Enter an "x" in the appropriate block to indicate type of space cleared.

(5) *Item 3.* Enter an "x" in the appropriate block to indicate the type of filing equipment emptied.

(6) *Item 4.* Enter the total number of boxes covered by the transmittal. A partially-filled box will be counted as one box. If records are not packed in the standard boxes described in paragraph 5-7a(3), enter the linear feet of records.

(7) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(8) *Item 6.* Enter the building and room number in which the records to be retired are located.

(9) *Item 7.* Enter the telephone number of the shipper. Include area code.

(10) *Item 8.* Enter an "x" in the yes box.

(11) *Item 9.* The records official responsible for the retirement will sign.

(12) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(13) *Item 11.* Enter the date the transmittal is prepared.

(14) *Item 12.* Enter the box number of the first box of the shipment in the "AGENCY" column. The box number will reflect its relationship to the overall shipment (e.g., 1/9). Enter the next box number when the description of the contents of the box has been completed. The box number need not be repeated when the box contains several items described in item 13. However, when the description of the contents of a box is carried forward to another page, the box number will be carried over to the new page.

(15) *Item 13.* The first entry will be the name of the organization that created the records. The following instructions govern the entry of the name of the organization and other information in item 13:

(a) *Name of the organization.* Enter the name of the organization that created the records. For example, "1st Battalion, 1st Infantry" or "Headquarters, US Army Engineer Center and Fort Belvoir." The name of the organization may differ from the organization named in the "FROM" block if it was discontinued and its records are being transferred or retired by another organization.

(b) *Historical data.* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent changes of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(c) *Certification of classification review.* The certification of classification review pre-

scribed in paragraph 3-602, DOD 5200.1-R and paragraph 2-11, AR 380-5 will be entered as the next item.

(d) *Organizational elements.* Enter complete title of organizational element, and underline. For example, "Training Division, Directorate of Plans and Training." Use only authorized abbreviations. When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(e) *Files description.* Enter the file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc.). The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in the Department of the Army records management directives, a title and a general description of the files will be entered. If the records series is packed in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(16) *Item 14.* Enter "AR 340-18 series" on the first line. If permanent files are being retired, begin the following statements on the next line: "The Adjutant General Center, Department of the Army (TAGCEN) is reviewing disposal standards in the AR 340-18 series to determine if the present retention standards for permanent records should be changed. TAGCEN is submitting appropriate documentation on a scheduled basis." For each permanent records description enter "Permanent."

**5-17. Distributing lists (HQDA Staff agencies and their field operating agencies in the National Capital Region).** a. Under normal circumstances (i.e., other than discontinuance)—

(1) Forward the original and two copies to the Washington National Records Center, WASH, DC 20409 in time to arrive not later than three weeks prior to the date the files are delivered. WNRC will return a copy.

(2) One copy will be retained by the office retiring the files until the copy reflecting acknowledgement of receipt is received from WNRC.

*b. On discontinuance.* Distribute copies according to *a* above and forward one copy to the records manager of the next higher headquarters.

**5-18. Distributing lists (Army field commands).** *a. Under normal circumstances (i.e., other than discontinuance)—*

(1) Forward the original and two copies to the Washington National Records Center, WASH, DC 20409. (Records will *not* be shipped at this time.) WNRC will return copy #3 bearing an accession number(s) within one week after they receive the lists. If WNRC's approved SFs 135 are not received within 15 working days, notify HQDA (DAAG-AMR-P), WASH, DC 20314 (AUTOVON 223-1937), telephonically through the major command records administrator.

(2) One copy will be retained by the office retiring the files until the copy bearing the accession number is received from WNRC.

*b. On discontinuance.* Distribute copies according to *a* above and forward 1 copy to the

records manager of the next higher headquarters. Commands reporting directly to HQDA being discontinued will forward one copy to HQDA (DAAG-AMR), WASH, DC 20314.

**5-19. Including supplemental data when organizational status has changed.** Attach the following to the transmittal to be forwarded:

*a.* Organization chart showing the new organizational relationship.

*b.* Listing showing files transferred to another organization or retired directly to a Federal records center, when applicable.

**5-20. Receipts for SECRET documents.** Commanders or organizational heads will determine whether SECRET documents being retired must be identified individually. If so, each must be listed separately on the SFs 135 and 135A. WNRC will sign this form but will not sign other types of classified document receipts. Where possible, documents will be retained until downgraded to CONFIDENTIAL or declassified.

#### Section V. RECORDS TRANSMITTAL LISTS FOR RETIREMENT OF RECORDS TO FEDERAL RECORDS CENTERS OTHER THAN WNRC.

**5-21. General.** *a.* This section prescribes procedures for preparing and distributing records transmittal lists to the Federal records centers other than WNRC.

*b.* SFs 135 and 135A will be typewritten. All ribbon copies of the forms relating to a shipment will be fastened together in box number sequence to form a consolidated records transmittal list. Carbon copies of the forms will be fastened together in the same manner.

*c.* The policy for assigning a security classification marking to SFs 135 and 135A is stated in paragraph 5-9c.

**5-22. Preparing lists.** *a. Separate transmittals.* Prepare separate SFs 135 for the following categories of records.

(1) Classified records.

(2) Unclassified records, except Civil Works Site Audit Files (file number 313-02).

(3) Civil Works Site Audit Files.

*b. Number of copies.* Prepare four copies. One additional copy will be made on discontinuance.

*c. Entries.*

(1) "*RECORD GROUP NO.*" For Civil Works Site Audit Files, file number 313-02, enter Record Group No. "217." (These files become GAO property when they have served their Department of the Army purposes.) This block will be left blank on transmittals of other records.

(2) "*FROM*" block. Enter name and address, including ZIP code, of shipper.

(3) "*TO*" block. Enter address, including ZIP code of records center.

(4) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these should also be entered.

(5) *Item 2.* Enter an "x" in the appropriate block to indicate type of space cleared.

(6) *Item 3.* Enter an "x" in the appropriate block to indicate the type of filing equipment emptied.

(7) *Item 4.* Enter the total number of boxes covered by the transmittal. If records are not packed in the standard boxes described in paragraph 5-7a(3), enter the linear feet of records.

(8) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(9) *Item 6.* Enter the building and room number in which the records to be retired are located.

(10) *Item 7.* Enter the telephone number of the shipper. Include area code.

(11) *Item 8.* Enter an "x" in the yes box.

(12) *Item 9.* The records official responsible for the retirement will sign.

(13) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(14) *Item 11.* Enter the date the transmittal is prepared.

(15) *Item 12.* Enter the box number of the first box of the shipment in the "AGENCY" column. The box number will reflect its relationship to the overall shipment (e.g., 1/9). Enter the next box number when the description of the contents of the box has been completed. The box number need not be repeated when the box contains several items described in item 13. However, when the description of the contents of a box is carried forward to another page, the box number will be carried over to the new page.

(16) *Item 13.* The first entry will be the name of the organization that created the records. The following instructions govern the entry of the name of the organization and other information in item 13:

(a) *Name of the organization.* Enter the name of the organization that created the records. For example, "1st Battalion, 1st Infantry" or "Headquarters, US Army Engineer Center and Fort Belvoir." The name of the organization may differ from the organization named in the "FROM" block if it was discontinued and its records are being transferred or retired by another organization.

(b) *Historical data.* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent changes of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(c) *Certification of classification review.* The certification of classification review prescribed in paragraph 3-602, DOD 5200.1-R and paragraph 2-11, AR 380-5 will be entered as the next item.

(d) *Organizational elements.* Enter complete title of organizational element, and underline. For example, use "Training Division, Directorate of Plans and Training." Use only authorized abbreviations. When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(e) *Files description.* Enter the file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc.). The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in the Department of the Army records management directives, a title and general description of the files will be entered. If the records series is contained in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(17) *Item 14.* Enter "AR 340-18 series" on the first line. If permanent files are being retired, begin the following statements on the next line: "The Adjutant General Center, Department of the Army (TAGCEN) is reviewing disposal standards in the AR 340-18 series to determine if the present retention standards for permanent records should be changed. TAGCEN is submitting appropriate documentation on a scheduled basis." For each permanent records description enter "Permanent."

**5-23. Distributing lists.** *a. Under normal circumstances (i.e., other than discontinuance)—*

(1) Transmittals reflecting Civil Works Site Audit Files (file No. 313-02).

(a) Original and three copies of the form will be sent to the designated records center in advance of the shipment with a request for approval of a definite shipping date for the records.

(b) One copy will be retained by the organization retiring the files.

(2) Transmittals reflecting files other than Civil Works Site Audit Files (file No. 313-02).

(a) The original and duplicate will be forwarded to the Federal records center 3 weeks in advance of the shipment.

(b) Triplicate will accompany the files.

(c) Quadruplicate will be retained by the organization retiring the files.

*b. On discontinuance.* Distribute copies according to *a* above and forward one copy to the records manager of the next higher headquarters.

**5-24. Including supplemental data when organizational status has changed.** Attach the following to the transmittal to be forwarded:

*a.* Organization chart showing the new organizational relationship.

*b.* Listing showing files transferred to another organization or retired directly to a Federal records center, when applicable.

## Section VI. RECORDS TRANSMITTAL LISTS FOR TRANSFER OF RECORDS TO ORGANIZATIONS OTHER THAN RECORDS HOLDING AREAS OR RECORDS CENTERS

**5-25. General.** *a.* This section prescribes procedures for preparing and distributing records transmittal lists to organizations other than records holding areas or records centers.

*b.* SFs 135 and 135A will be typewritten. All ribbon copies of the forms relating to a shipment will be fastened together in box number sequence to form a consolidated records transmittal list. Carbon copies of the forms will be fastened together in the same manner.

*c.* The policy for assigning a security classification marking to SFs 135 and 135A is stated in paragraph 5-9c.

*d.* Provisions in chapter 3 govern intra-Army records transfers and records transfers to other Government agencies.

**5-26. Preparing lists.** *a. Number of copies.* Prepare three copies. One additional copy will be made on discontinuance.

*b. Entries.*

(1) *"FROM" block.* Enter name and address, including ZIP code of shipper.

(2) *"TO" block.* Delete "Federal Records Center, GSA" and enter the address of the gaining organization.

(3) *Item 1.* If transmittal covers classified records, enter highest security classification. If

records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these should also be entered.

(4) *Items 2 and 3.* Omit.

(5) *Item 4.* Enter the total number of boxes covered by the transmittal. A partially filled box will be counted as one box.

(6) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(7) *Item 6.* Enter the building and room number in which the records to be transferred are located.

(8) *Item 7.* Enter the telephone number of the shipper.

(9) *Item 8.* Enter an "x" in the appropriate box.

(10) *Item 9.* The records official responsible for the transfer will sign.

(11) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(12) *Item 11.* Enter the date the transmittal is prepared.

(13) *Item 12.* Enter the box number of the first box of the shipment in the "AGENCY" column. The box number will reflect its relationship to the overall shipment (e.g., 1/9). Enter the next box number when the description

of the contents of the box has been completed. The box numbers need not be repeated when the box contains several items described in item 13. However, when the description of the contents of a box is carried forward to another page, the box number will be carried over to the new page.

(14) *Item 13.* The first entry will be the name of the organization that created the records. The following instructions govern the entry of the name of the organization and other information in item 13:

(a) *Name of the organization.* Enter the name of the organization that created the records. For example, "Directorate of Plans and Training."

(b) *Historical data.* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent changes of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(c) *Organizational elements.* Enter complete title of organizational element, and underline. For example, use "Training Division, Directorate of Plans and Training." When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

## Section VII. PACKING AND SHIPPING PROCEDURES

**5-29. General.** This section prescribes procedures for packing and shipping records to records holding areas, records centers, and other organizations. Not less than 10 boxes of records will be shipped to a Federal records center. (*Records forwarded in envelopes, tied packages, or in other flimsy containers will not be accepted.*) Records in current files areas, records holding areas, and oversea records centers which are eligible for retirement to a Federal records center will be retained until at least 10

(d) *Files description.* Enter the file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc). The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in Department of the Army records management directives, a title and general description of the files will be entered. If the records series is contained in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(15) *Item 14.* Enter "AR 340-18 series" on the first line. Enter disposition information opposite each description in item 13. For permanent files, enter "Permanent" and time records are to be retired (e.g., Permanent. Retire January 1977).

**5-27. Distributing lists.** a. *Under normal circumstances (i.e., other than discontinuance)*—

(1) Forward original and duplicate to gaining organization.

(2) Retain triplicate.

b. *On discontinuance.* Distribute copies according to a above and forward one copy to the records manager of the next higher headquarters.

**5-28. Receipts for SECRET documents.** Receipts will be prepared for SECRET documents in accordance with DOD 5200.1-R and AR 380-5. The original and duplicate of the receipt will be forwarded with the records transmittal forms and the triplicate will be suspended by the organization transferring the records pending receipt of the signed original.

boxes are available for shipment. They should then be placed in containers or transporters and shipped by other than United States mail so as to prevent the boxes from becoming separated in transit.

**5-30. Packing records in fiberboard boxes.** a. *General.*

(1) Records will be arranged in file number sequence. Letter and legal size papers will be packed as shown in figure 5-2.



(2) The dimensions of the corrugated fiberboard box are such that when the containers are filled to capacity with files, no packing material is required between the files and the inner walls of the box. In instances when it is necessary to ship partially filled boxes, the space between the files and the inner walls of the box will be packed with crumpled or wadded paper or other suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, wax paper, additional file material, or surplus file folders will not be used as packing material.

*b.* Boxes will be filled to capacity when sufficient files are available. However, care will be exercised to insure that boxes are not packed so tight that files cannot be serviced while in the containers.

### 5-31. Special instructions for classified files.

*a. General.* The shipment of large quantities of unclassified material in classified shipments is prohibited. TOP SECRET files will not be shipped to Federal records centers.

*b. Headquarters, Department of the Army agencies and other organizations in the National Capital Region.*

(1) When the Washington National Records Center assumes custody of records at the shipper's site, the following procedure will govern:

*(a)* Files classified SECRET or CONFIDENTIAL of sufficient volume to warrant use of the records shipping container described in paragraph 5-7a(3) will be placed in fiberboard boxes.

*(b)* The boxes will be sealed, marked, and labeled in the manner indicated in subsequent paragraphs of this section. Storage after packing, pending pickup by records center personnel, will be in accordance with DOD 5200.1-R and AR 380-5.

*(c)* Authorized records center personnel will sign for the records shipment at the time physical custody is assumed.

(2) When the Federal Records Center does not assume custody of records at the shipper's site, the procedures prescribed in *c*(1) and (2) below for files of Army field commands will be followed.

*c. Army field commands.*

(1) Files classified SECRET or CONFIDENTIAL, of sufficient volume to warrant use of the records shipping container in paragraph 5-7a(3) will be wrapped in heavy brown paper and tied securely. Paper will completely cover the files, preventing their disclosure to view; the paper will be sealed and marked in accordance with DOD 5200.1-R and AR 380-5.

(2) When files classified SECRET or CONFIDENTIAL are to be shipped in fiberboard boxes, the files will be wrapped in two packages of approximately equal dimensions. The boxes will be sealed in the manner indicated in paragraph 5-33. No indication of the classified nature of the contents will be placed on the outside of the box.

### 5-32. Closing and sealing records shipping boxes.

*a.* Except as indicated in *d* below, prior to the shipment of files to records centers, each box will be sealed and banded with the tape described in paragraph 5-7. The use of liners or pads inside the boxes is not authorized. However, when boxes are not filled to capacity, the packing material specified in paragraph (5-30a(2)) will be used to fill the empty space in the box.

*b.* One 19-inch strip of tape will be used to seal each top and bottom flap seam of the box. The tape strip will be centered and adhered over flap seams allowing approximately 2 inches on each end of the strips to adhere to the surface ends of the box.

*c.* When a heavy-duty stapling machine is available, it may be used in lieu of tape for fastening the bottom flaps of the fiberboard box. However, staples will not be used for fastening the top of the box.

*d.* When shipping unclassified records to the Washington National Records Center, agencies in the National Capital Region may interlock the top flaps of fiberboard boxes in lieu of sealing them. The bottom flaps of boxes will be sealed as prescribed in *b* or *c* above. The tops of boxes containing classified files will be sealed with the tape described in paragraph 5-7b(2).

### 5-33. Marking records shipping boxes with identifying information.

*a. General.* The con-

tents of the box will be reflected on the records transmittal list rather than on the box itself.

*b. Box number.* Each box of records being shipped to a records holding area or records center will be marked with a box number. The number will be related to the overall shipment (e.g., 1/4, 2/4) and will be entered on one end of the box in the upper right-hand corner.

*c. Accession number.* Each box of records being shipped to the Washington National Records Center will bear an accession number as well as a box number. HQDA Staff agencies and other Army elements in the National Capital Region will use a number from the block of accession numbers assigned by the Army Staff Records Administrator. Other Army elements will use the number placed on the copy of the approved records transmittal list returned to them by WNRC. The accession number will be placed in the upper left corner of one end of the box (the 12-inch side).

**5-34. Stenciling or labeling boxes for mail or freight shipments.** *a. Freight shipments.*

(1) Each box will be stenciled or labeled clearly, using an address label, indicating name and address of the shipper, designation, and address of the receiving records center, gross weight, outside cubic measurement of container, and the number of the box in relation to the entire shipment, e.g., "Box 1/4," "Box 3/4."

(2) When stenciling is used on a fiberboard box, the information prescribed in (1) above will be stenciled over the top flap of the box after the flaps have been secured by the sealing tape prescribed in paragraph 5-7b(2).

(3) When a shipping label is used on a fiberboard box, the information prescribed in (1) above, will be placed on the label which will be firmly attached to the top of the box with glue or other suitable adhesive material.

(4) When filled to capacity with records, the fiberboard box weighs approximately 25 pounds. The outside cubic measurement of this container is 1 cubic foot.

*b. Mail shipments.* Each box will be labeled with a standard mailing label showing the address of the appropriate records center.

**5-35. Shipping procedures.** *a. General.* Records will be shipped by rail/motor freight, using

Government bills of lading, within CONUS. TRIWALL containers will be used for oversea records shipments. Mail will be avoided where possible because of the possibility of some boxes being separated from the shipment while in transit.

*b. Special instructions for shipping SECRET and CONFIDENTIAL records.*

(1) Files classified SECRET or CONFIDENTIAL will be shipped by REA Express, using Armed Surveillance Service, after advance arrangements have been made with REA Express for special protection from the time the files leave the hands of the consignor until delivered to the consignee. If this method is impracticable in any given instance, any method authorized by DOD 5200.1-R and AR 380-5 for transmission of material of a particular classification may be used.

(2) Files containing cryptographic documents and messages may be shipped by REA Express provided that in all instances they are accompanied by an officer courier in addition to armed guard(s).

*c. Special instructions for Army field elements shipping records to WNRC.*

(1) Receipt of copy No. 3 of the SF 135 from WNRC bearing the accession number authorizes the shipper to send the records identified thereon to WNRC. The following steps will then be taken:

(a) Enter the appropriate WNRC accession number on the end of each box (the 12" side).

(b) Make a copy of the approved SF 135 and place it in the first box of the shipment.

(c) Ship the records as one unit within 30 days after receipt of SF 135. If unforeseen circumstances prevent shipment within 30 days, send a copy of the approved SF 135 with an explanation to HQDA (DAAG-AMR-P), WASH DC 20314, so that action can be taken to revoke the WNRC accession number.

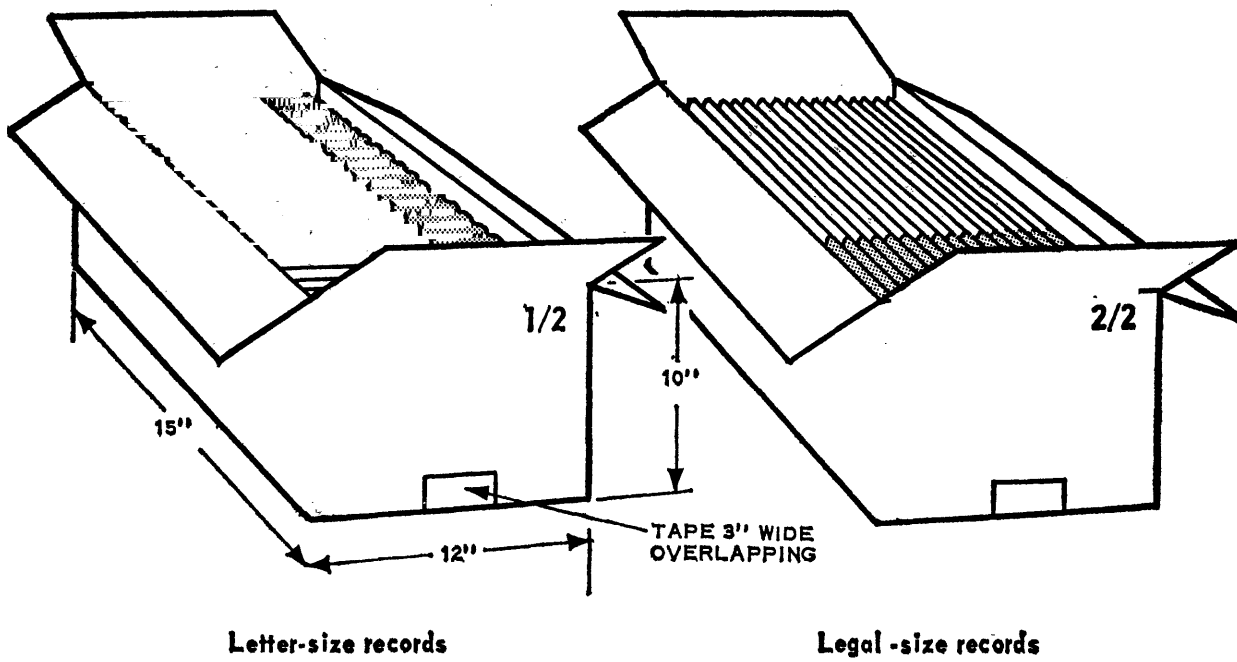
(2) WNRC will furnish the shipper copy No. 2 of SF 135 as a receipt which will show WNRC warehouse locational data for the records, in addition to the accession numbers. The shipper will annotate copy No. 3 with the locational data and forward the form to HQDA (DAAG-AMR-S), WASH DC 20314.

Table 5-1. Standard Filing Supplies

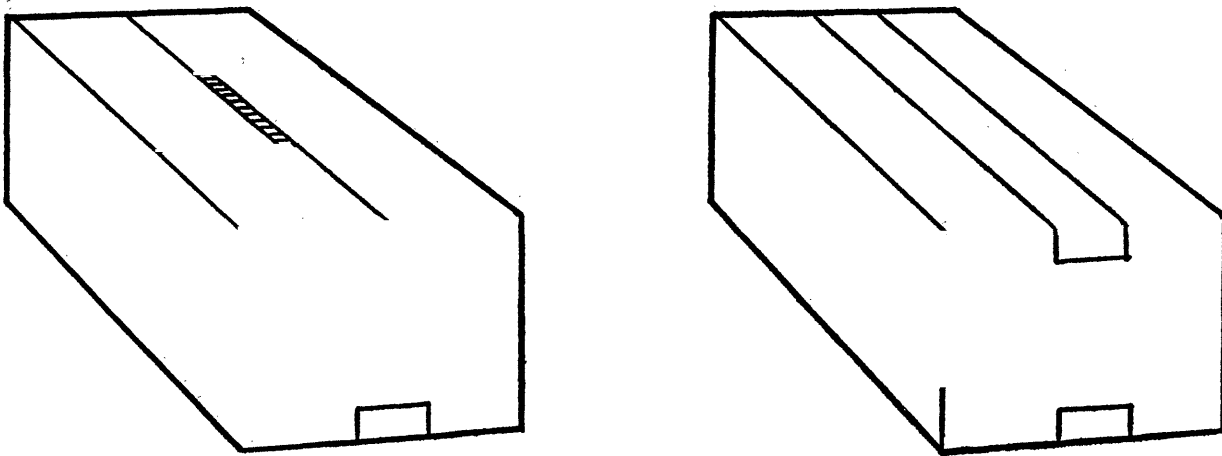
Folders	Fasteners
Folder, file, Letter size, manila, vertical, plain bottom, 9.5-point, $\frac{3}{4}$ -inch expansion, $9\frac{1}{2}$ x $11\frac{3}{4}$ inches, square cut. NSN 7530-00-291-0098	Fastener, paper, spaced, prong-type, base only without compressor, $2\frac{3}{4}$ inches between prongs, 1- or 2-inch capacity. NSN 7510-00-223-6815 1-inch capacity. NSN 7510-00-223-6814 2-inch capacity.
Folder, file, Legal size, manila, vertical, plain bottom, 9.5-point, $\frac{3}{4}$ -inch expansion, $9\frac{1}{2}$ x $14\frac{3}{4}$ inches, square cut. NSN 7530-00-285-1732	Compressor, spaced prong, paper fastener, metal, $2\frac{3}{4}$ inches between prongs. NSN 7510-00-291-0140
Folder, file, Letter size, kraft, reinforced self-tab, 11-point, square-cut; for shelf files. NSN 7530-00-881-2957	Binders
Folder, file, Legal size, kraft, reinforced self-tab, 11-point, square-cut, for shelf files. NSN 7530-00-926-8975	Binder, looseleaf three-ring, canvas-bound or stiff black coated, cloth bound, 11 x $8\frac{1}{2}$ inches, 1- or 2-inch capacity. NSN 7510-00-188-6945 1-inch canvas bound. NSN 7510-00-188-6955 2-inch canvas bound. NSN 7510-00-281-6180 1-inch black coated, cloth bound. NSN 7510-00-530-8881 2-inch black coated, cloth bound.
Guides	Label Holders
Card, guide, file, pressboard, gray, unprinted, 25-point, self-tab, $\frac{1}{3}$ -cut, first position, without lower projection, $9\frac{1}{2}$ x $11\frac{3}{4}$ inches. NSN 7530-00-988-6515	Label holder, slip on type, for use with binders, 1- or 2-inch. NSN 7510-00-281-5972 1-inch. NSN 7510-00-272-3044 2-inch.
Card, guide, file, pressboard, gray, unprinted, 25-point, self-tab, $\frac{1}{3}$ -cut, first position, without lower project, $9\frac{1}{2}$ X $14\frac{7}{8}$ inches. NSN 7530-00-988-6520	
Card, guide, file, pressboard, gray, with metal shelf hook, for shelf files. NSN 7530-00-989-0184	
Folder Labels	
Label, rectangular, fanfold, white, pressure sensitive, 1 x $3\frac{1}{2}$ inches. NSN 7530-00-082-2661	<i>Note</i> Standard filing supplies listed above will be used when practicable. Requests for non-standard supplies will include the reasons that standard items cannot be used. Requests must be approved by the records management officer prior to procurement.

<p><b>STANDARD FORM 135</b> JULY 1961 EDITION GENERAL SERVICES ADMIN. FPMR (41 CFR) 101-11.4</p>	<p><b>RECORDS TRANSMITTAL AND RECEIPT</b></p>	<p>PAGE 1 OF <u>5</u> PAGES</p> <p><b>TO BE COMPLETED AT FEDERAL RECORDS CENTER</b></p> <p>ACCESSION NO. _____ RECORD GROUP NO. _____</p> <p>SIGNATURE _____ DATE RECORDS RECEIVED _____</p> <p>TITLE _____</p>																		
<p><b>INSTRUCTIONS</b> Send original and two copies to appropriate Federal Records Center.</p>																				
<p><b>FROM:</b> (Name and address of Agency transferring records) US Army Hospital Fort Knight, RI 13599</p>	<p><b>TO:</b> <del>Records Holding Area</del> Records Holding Area US Army Warfare Center Fort Knight, RI 13599</p>																			
<p>1. CITE SECURITY CLASSIFICATION AND/OR RESTRICTION ON USE OF RECORDS, IF ANY  <div style="text-align: center;">Unclassified</div> </p>																				
<p>2. SQUARE FEET OF SPACE CLEARED</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 33%; border: none;">A. OFFICE</td> <td style="width: 33%; border: none;">B. STORAGE</td> <td style="width: 33%; border: none;">3. FILE CABINETS (No.)</td> <td style="width: 33%; border: none;">FILING EQUIPMENT EMPTIED</td> <td style="width: 33%; border: none;">4. CUBIC FEET OF RECORDS TRANSFERRED</td> </tr> <tr> <td style="border: none;"></td> <td style="border: none;"></td> <td style="border: none;"></td> <td style="border: none;">B. TRANS. FILES (No.)</td> <td style="border: none;">C. SHELVING (Lm. Ft.)</td> </tr> </table>			A. OFFICE	B. STORAGE	3. FILE CABINETS (No.)	FILING EQUIPMENT EMPTIED	4. CUBIC FEET OF RECORDS TRANSFERRED				B. TRANS. FILES (No.)	C. SHELVING (Lm. Ft.)								
A. OFFICE	B. STORAGE	3. FILE CABINETS (No.)	FILING EQUIPMENT EMPTIED	4. CUBIC FEET OF RECORDS TRANSFERRED																
			B. TRANS. FILES (No.)	C. SHELVING (Lm. Ft.)																
<p>5. NAME OF AGENCY CUSTODIAN OF RECORDS I. J. KAYE</p>																				
<p>6. BUILDING AND ROOM NO. Building 76, Room 12</p>																				
<p>7. TELEPHONE NO. 908-6271</p>																				
<p>8. MAY THE RECORDS BE DESTROYED AS SCHEDULED WITHOUT FURTHER AGENCY CONCURRENCE? <input type="checkbox"/> YES <input type="checkbox"/> NO</p>																				
<p>9. AGENCY OFFICIAL (Signature) <i>J. J. Doe</i></p>																				
<p>10. TITLE Records Coordinator</p>																				
<p>11. DATE 8 Jan 73</p>																				
<p>12. BOX NUMBERS 13. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES (Show organizational component creating records)</p> <p style="text-align: center;">US Army Hospital, Fort Knight, Rhode Island</p>																				
<p>14. DISPOSAL AUTHORITY (Schedule and Item No.) AR 340-18 series</p>																				
<p>The US Army Dispensary, Fort Knight, Rhode Island, was redesignated the US Army Hospital, Fort Knight, Rhode Island, effective 1 January 1971, per US Army Warfare Center General Order 135, 18 December 1970.</p>																				
<p><u>Adjutant</u></p> <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">1/40 227-01, Pub Rec Set Files, 71 GO's 1-213</td> <td style="width: 40%;">Permanent</td> </tr> <tr> <td>902-01, Blood Prog Files, 71, arranged chronologically</td> <td>Permanent</td> </tr> <tr> <td colspan="2" style="text-align: center;">Registrar</td> </tr> <tr> <td>904-03, Med Info Release Files, 71, arranged chronologically</td> <td>Permanent</td> </tr> <tr> <td>908-05, Birth Rpt Files, 71, arranged alphabetically</td> <td>Permanent</td> </tr> <tr> <td>908-06, Civil Death Rpt Files, 71, arranged alphabetically</td> <td>Permanent</td> </tr> </table> <p><u>Adjutant</u></p> <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">2/40 201-02, Emerg Planning Admin Files, 71, arranged chronologically</td> <td style="width: 40%;">Destroy Jan 74</td> </tr> <tr> <td>901-02, Med Treatment Fac Admin Files, 71, arranged chronologically</td> <td>Destroy Jan 74</td> </tr> <tr> <td>901-06, Med Treatment Fac Staff Visit Files, 71, arranged chronologically</td> <td>Destroy Jan 74</td> </tr> </table>			1/40 227-01, Pub Rec Set Files, 71 GO's 1-213	Permanent	902-01, Blood Prog Files, 71, arranged chronologically	Permanent	Registrar		904-03, Med Info Release Files, 71, arranged chronologically	Permanent	908-05, Birth Rpt Files, 71, arranged alphabetically	Permanent	908-06, Civil Death Rpt Files, 71, arranged alphabetically	Permanent	2/40 201-02, Emerg Planning Admin Files, 71, arranged chronologically	Destroy Jan 74	901-02, Med Treatment Fac Admin Files, 71, arranged chronologically	Destroy Jan 74	901-06, Med Treatment Fac Staff Visit Files, 71, arranged chronologically	Destroy Jan 74
1/40 227-01, Pub Rec Set Files, 71 GO's 1-213	Permanent																			
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901-06, Med Treatment Fac Staff Visit Files, 71, arranged chronologically	Destroy Jan 74																			
<p>STANDARD FORM 135 JULY 1961 EDITION</p> <p style="text-align: center;">(Use Standard Form 135A for continuation sheets)</p> <p style="text-align: right;">135-105</p> <p style="text-align: center; font-size: small;">U.S. GOVERNMENT PRINTING OFFICE : 1967 O-286-125 (72-42)</p>																				

Figure 5-1. Completed SF 135.



**Packing arrangements for records transfer or retirement**



**Methods of closing top flaps of boxes for transferring records to a records holding area**

*Figure 5-2. Packing records in standard-size records shipping containers.*

## ★CHAPTER 6

## RECORDS HOLDING AREAS AND RECORDS CENTERS

## Section I. GENERAL

**6-1. Purpose.** This chapter contains policies and procedures on the establishment and operation of records holding areas and overseas records centers. It assigns responsibility for administering records centers in the Continental United States, and defines the files allocated to those centers.

**6-2. Records holding area. a. General.** Records holding areas are facilities which are established for the purpose of maintaining cutoff files pending their destruction or retirement to a records center. These facilities use less desirable and less expensive space and equipment than are used in current files areas.

*b. Establishment.*

(1) A records holding area will be established at each installation or off-post activity which has an annual accumulation of 100 or more linear feet of files having a retention period of 3 or more years. Only one records holding area will be permitted at an installation or off-post activity. However, the records holding area may be located in more than one building. When there are two or more off-post activities in the same geographical location, every effort will be made to establish a records holding area for use jointly by all of the activities.

(2) Records holding areas may be established in offices of Headquarters, Department of the Army, when space is available.

*c. Discontinuance.* When a records holding area receives less than 100 linear feet of records annually for 2 consecutive years, it will be discontinued. Files in the records holding area which cannot be destroyed upon discontinuance

of the holding area will be retired to the appropriate records center.

**6-3. Oversea records centers. a. Purpose.** Oversea records centers are established to receive, maintain, and service cutoff files in less desirable and less costly space and filing equipment than that used in current files areas. These centers dispose of records of short-term value to eliminate the expense of transporting them to the United States. They also consolidate shipments of records of long-term value destined for records centers in the United States to conserve shipping space and reduce shipping costs.

*b. Establishment.* An overseas records center will be established in each major overseas command. The commander of each major overseas command is responsible for notifying HQDA (DAAG-AMR-P) WASH DC 20314, of the activation, change of address, or discontinuance of any overseas records center within his command jurisdiction.

**6-4. Records centers in Continental United States.** Records centers are established in the Continental United States to receive and maintain all files having long-term or permanent value, pending their deposit in the National Archives or other disposition. These centers provide service by furnishing documents or supplying information from files, and when necessary, making administrative determinations or completing administrative action in cases not requiring decision of higher authority.

**6-5. Listing of records centers.** Appendix F contains a list of records centers used by the Department of the Army, the addresses of these centers, and a description of the files maintained by each one.

Section II. STAFFING AND OPERATION OF RECORDS HOLDING AREAS

**6-6. Staffing.** *a.* Man-hours expended in records holding areas will be restricted to the minimum required to receive, furnish reference service, and effect disposition of files.

*b.* The following production standards will be used in computing records holding area personnel requirements, except as otherwise provided in *d* below:

- (1) Receiving records—6 linear feet per man-hour.
- (2) Disposal or retirement of records—5 linear feet per man-hour.
- (3) Furnishing reference service—4 reference services per man-hour.

*c.* Personnel requirements will be computed on the basis of 1,800 productive man-hours per man-year. Leave and other nonproductive time has been deducted from the total possible 2,016 man-hours per man-year. The following illustrates the computation of personnel requirements for a records holding area having an annual workload of 1,000 linear feet of records received, 1,000 linear feet of records destroyed or retired, and, 1,000 reference services:

1,000 linear feet of records received	
÷ 6 = -----	167
1,000 linear feet of records destroyed	
or retired ÷ 5 = -----	200
1,000 reference service ÷ 4 = -----	250
	-----
Total man-hours -----	617
617 ÷ 1,800 = Approximately one-third	
of a man-year.	

Therefore, the records holding area workload would require approximately one-third of the time of one individual.

*d.* Records holding areas having workloads that require more than one full-time person can obtain greater production than that given in the production standards in *b* above, because of a steadier flow of work and the capability of mass production. In such holding areas, personnel requirements will be determined on the basis of actual production, rather than the standards in *b* above.

**6-7. Space.** *a.* The amount of space assigned for records holding area use will be limited to

the minimum required for the records in the holding area. Maximum space utilization can be achieved by using the equipment described in paragraph 6-8, and by limiting aisles between shelving units to 34 inches or less. The minimum files to space ratio acceptable in holding areas is 2 linear feet of files to each square foot of floor space. A ratio of 3 or more linear feet of files to each square foot of floor space is attainable under optimum conditions of ceiling height, floor load capacity, and suitability of space.

*b.* Normally, warehouse-type space will be used for records holding areas. When warehouse-type space is not available or is not readily accessible, office space may be used, provided not more than 400 square feet of space is used and a ratio of at least 2½ linear feet of files to each square foot of floor space is attained.

**6-8. Equipment.** The shelving and containers described in this paragraph are prescribed for maintaining records in records holding areas.

*a. Shelving.* Steel shelving of the type manufactured by the Federal Prisons Industries, Incorporated (NSN 7125-00-550-6015, Open Type "E," Class III, Metal Storage and Display Shelving) will be used to the maximum extent practicable. Each unit of shelving is shipped completely disassembled and is fully equipped to include: 10 shelves, four side and two rear cross strap braces, four steel uprights and nuts and bolts to erect the unit. Overall unit measurements are 42 inches wide by 30 inches deep by 111 inches high. When ceiling height or floor load capacity will not permit the use of units 10 shelves high, a lesser number of shelves may be used. A unit of steel shelving is illustrated in figure 6-1. Methods of reinforcing steel shelves are illustrated in figures 6-2 and 6-3.

*b. Containers.*

(1) *Fiberboard boxes.* Corrugated fiberboard boxes, as described in paragraph 5-7a, will be used for maintaining records in records holding areas. These containers will serve also as the containers in which the records will be shipped to records centers.

(2) *File cabinets.* Security file cabinets may be used for the maintenance of classified records in records holding areas. File cabinets will not be used for maintaining unclassified records.

*c. Other accessories.* Ladders, carts, or combination ladder-carts of a suitable size and type may be used in order to facilitate removal and use of containers. Such devices will provide the necessary safety features, and may be procured from local commercial sources.

**6-9. Administrative files.** Only those administrative files listed in this paragraph will be maintained by records holding areas. Their disposition will be governed by the standards contained in AR 340-18-2.

*a. Locator and disposition file.* This file consists of the original copies of SF 135 arranged by designation of the headquarters, installation, activity, or unit whose records are in the custody of the records holding area. The purpose of this file is to facilitate location and disposition of records holdings. No other files will be maintained for this purpose.

*b. Charge-out suspense file.* This file consists of suspense slips (duplicate copies of DA Form 543 (Request for Records)) filed by the dates that files on loan are to be returned to the records holding area. The purpose of this file is for followup on records that are not returned by the due dates.

**6-10. Receiving procedures.** *a. Packing lists.* SF 135 will be prepared by the transferring activity in the manner prescribed in paragraphs 5-5 through 5-35. In the case of units of division or comparable size preparing for overseas movement, the duplicate (first carbon) copy of the consolidated records transmittal list will be forwarded by the records holding area to the Washington National Records Center.

*b. Transfer of files.*

(1) Files will be transferred to records holding areas in January and October of each year.

(2) Arrangements for the movement of files to the records holding area normally will be made by the transferring activity.

*c. Locator information.* Upon receipt of the records and the records transmittal, location

numbers will be assigned to the boxes of records and entered in column 12 of the records transmittal in the locator and disposition file. The boxes then will be stored according to assigned location numbers and the original SF 135 will be filed in the locator and disposition file.

**6-11. Disposition procedures.** *a. Disposal.* Records eligible for disposal will be destroyed or salvaged in January and October of each year. To determine records eligible for disposal, a review of the records transmittals in the locator and disposition files will be made just prior to the end of each calendar and fiscal year. Files to be destroyed or salvaged will not be screened to reclaim file folders and fasteners, nor will paper-by-paper screening be accomplished to reduce the volume of temporary papers in permanent files. Classified files will be destroyed by any method authorized in DOD 5200.1-R and AR 380-5. FOUO files normally will be destroyed by tearing. If a substantial quantity of FOUO material is involved, the files may be shredded or destroyed in any manner authorized for the disposal of classified material.

*b. Retirement.*

(1) Records in records holding areas will be retired as prescribed in chapter 5. Every effort will be made to have records with disposal standards of over 10 years that were created by units and activities that have been discontinued or reduced to zero strength, or that are no longer stationed at the installation, retired on the next scheduled retirement date. The review for disposal made pursuant to *a* above will serve also to determine records to be retired to the Washington National Records Center on the next regular retirement date.

(2) New SFs 135 will be prepared in the manner prescribed in paragraphs 5-5 through 5-20 for records to be retired to Washington National Records Center.

*c. Posting of disposition action.* When records are destroyed or retired to a records center, this information will be posted to the copies of the records transmittals in the locator and the disposition file.

**6-12. Reference service.** *a. Hours of operation.* So far as practicable, records holding areas will be open for reference service only part-



time. Those receiving 20 or fewer requests a week should be open only 5 hours a week. Those receiving more than 20 requests a week should be open 1 additional hour for every four additional requests.

*b. Requests for information.* Routine requests for information from the files will be handled by telephone when possible. Inquiries of a technical nature requiring written extracts from records should be handled by personnel of the activities that transferred the files. Files should be used to the fullest extent possible in the records holding area, thereby keeping the loan of files to a minimum. Correspondence service in a records holding area will be restricted to the absolute minimum.

*c. Loan of files.*

(1) When records are loaned outside the records holding area, a DA Form 543 will be

prepared in triplicate. The transfer slip (original) will be fastened to the records loaned. The suspense slip (duplicate copy) will be filed in the suspense control file under the date that the file is due for return. The charge-out slip (triplicate copy) will be placed in the box from which the files are removed. If files are in binders the entire contents of the binder will be loaned without the removal of individual papers. Normally, files loaned will be delivered through regular messenger channels or picked up by the requester. When the files are returned, they will be placed in the original location and all copies of DA Form 543 destroyed.

(2) Every effort will be made by personnel of the records holding area to have loaned records returned to the records holding area prior to retirement of files to a records center.

### Section III. OVERSEA RECORDS CENTER OPERATING PROCEDURES

**6-13. Space.** Space selected for overseas records centers must be weathertight and, if practicable, of fire resistive construction. Holes in walls and floors should be sealed as a minimum precaution against insects and rodents. If insects are found among the records, immediate extermination should be accomplished, using a dry base insecticide. The amount of space assigned for overseas records center use will be restricted to the minimum required for the records in the center and for the personnel responsible for center operations. Maximum space utilization can be achieved by using the equipment described in paragraph 6-8 and by limiting aisles between shelving units to 34 inches or less.

**6-14. Equipment.** *a.* Steel shelving described in paragraph 6-8*a* will be used in overseas records centers to a maximum extent practical. When ceiling height or floorload capacity will not permit the use of shelving 10 shelves high, units with fewer shelves may be used.

*b.* Records received in overseas records centers in fiberboard boxes will be shipped in these boxes to records centers in the Continental United States in TRIWALL containers described in Chapter 5.

**6-15. Administrative files.** The administrative files listed in this paragraph will be maintained by overseas records centers. The disposition of the files will be governed by the standards contained in AR 340-18 series.

*a. Locator file.* This file consists of the original copies of SF 135 arranged by designation of the headquarters, installation, activity, or unit whose records are in the custody of the overseas records center. The purpose of the file is to facilitate the location of records holdings.

*b. Disposition control file.* This file contains the duplicate copies of the consolidated records transmittals which are filed in numerical sequence by box location numbers. This file is used to determine the records that are eligible for destruction or for retirement to a records center in the Continental United States.

*c. Charge-out suspense file.* See paragraph 6-9*b*.

**6-16. Receiving procedures.** The receiving procedures for overseas records centers will be the same as those prescribed in paragraph 6-10 for records holding areas, *except* that box location numbers also will be entered in column 12 of the duplicate SF 135. These records transmit-

tal lists will be filed in the disposition control file.

**6-17. Disposition procedures.** *a. Disposal.* Records eligible for disposal will be destroyed or salvaged in January and October of each year. To determine records eligible for disposal, a review of the SFs 135 in the disposition control file will be made just prior to the end of each calendar and fiscal years.

*b. Retirement.*

(1) Records in overseas records centers will be retired as prescribed in chapter 5. Every effort will be made to have records with disposal standards of more than 10 years that were created by units and activities that have been discontinued or reduced to zero strength or that are no longer stationed at the installation, retired on the next scheduled retirement date. The review for disposal made just prior to

the end of the calendar year as prescribed in *a* above will serve also to determine records to be retired to the appropriate records center on the next regular retirement date.

(2) New records transmittals will be prepared in the manner prescribed in section IV, chapter 5, for records to be retired to a CONUS records center.

*c. Posting disposition action.* When records are destroyed or retired to a records center in the Continental United States, this information will be posted to the records transmittals in the locator file and the disposition control file.

**6-18. Reference service.** Reference requirements will be satisfied to the maximum extent by furnishing information from the records rather than by loan of files. When it is necessary to loan files, the procedures outlined for records holding areas in paragraph 6-12 will govern.

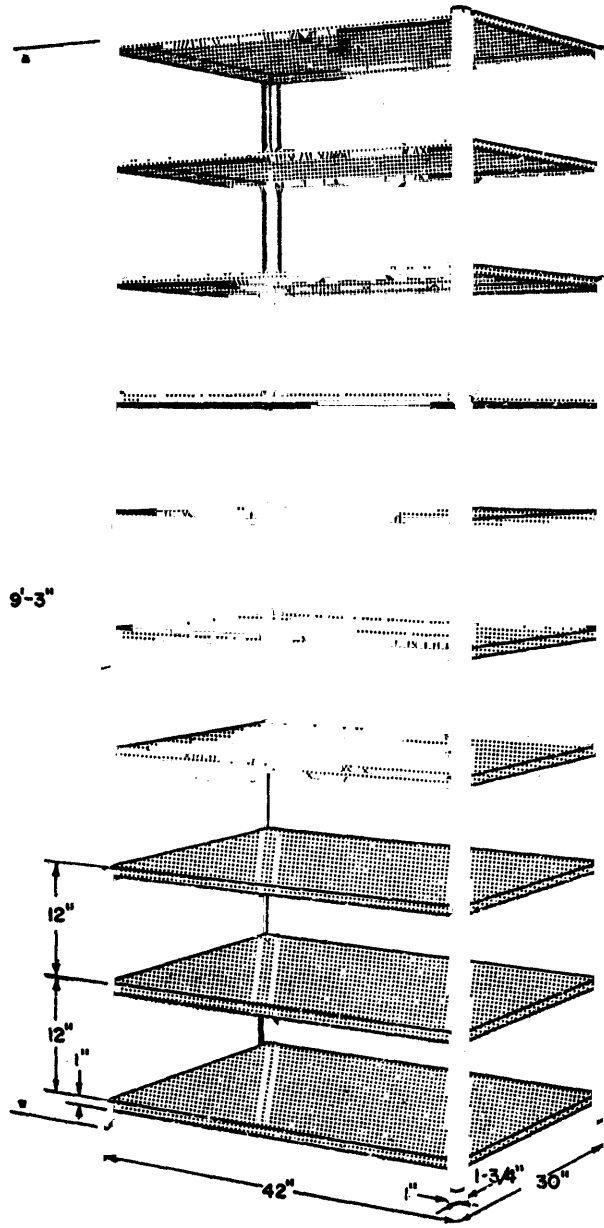


Figure 6-1. Steel shelving unit for fiberboard boxes, 10 high, double row.

28 November 1975

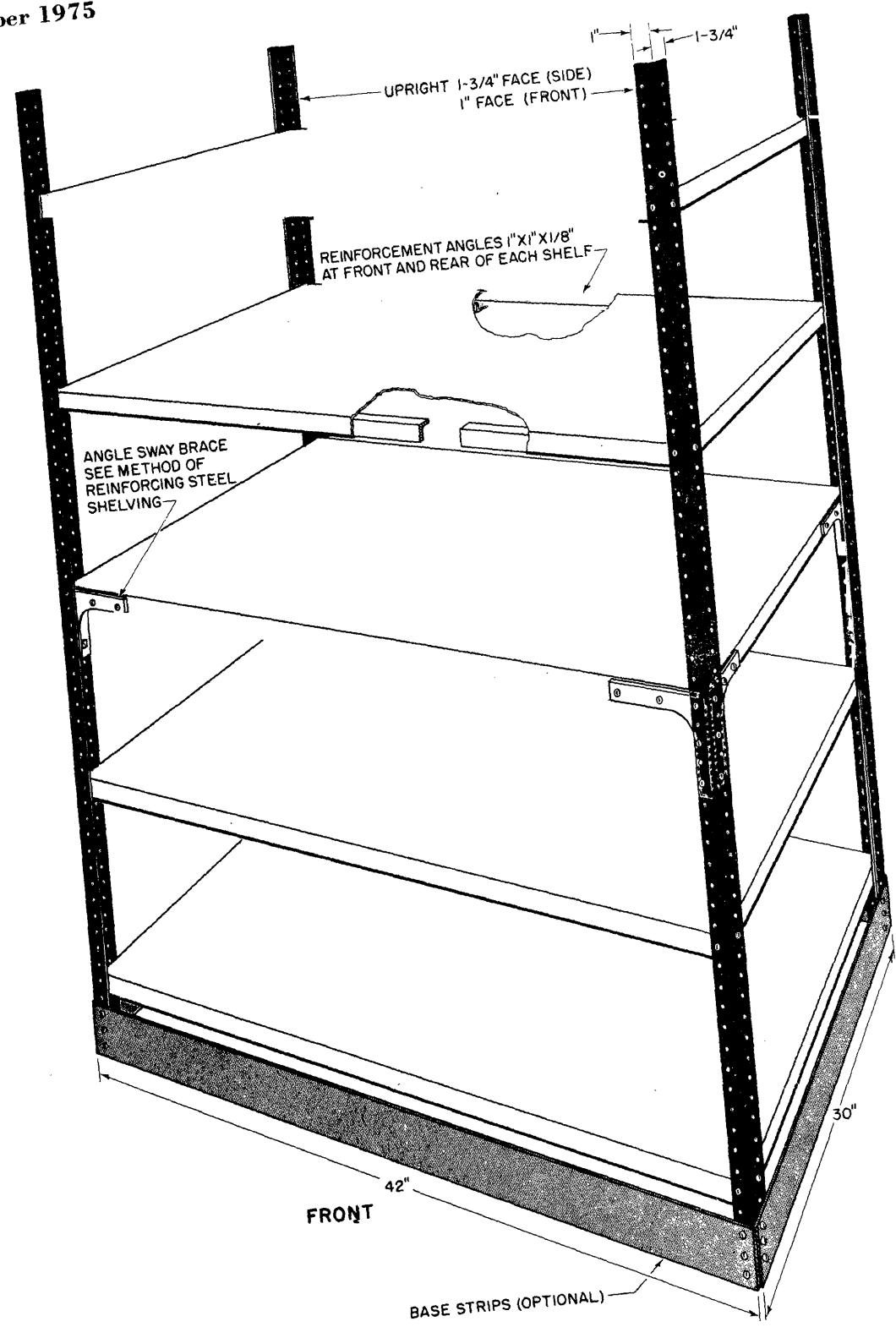
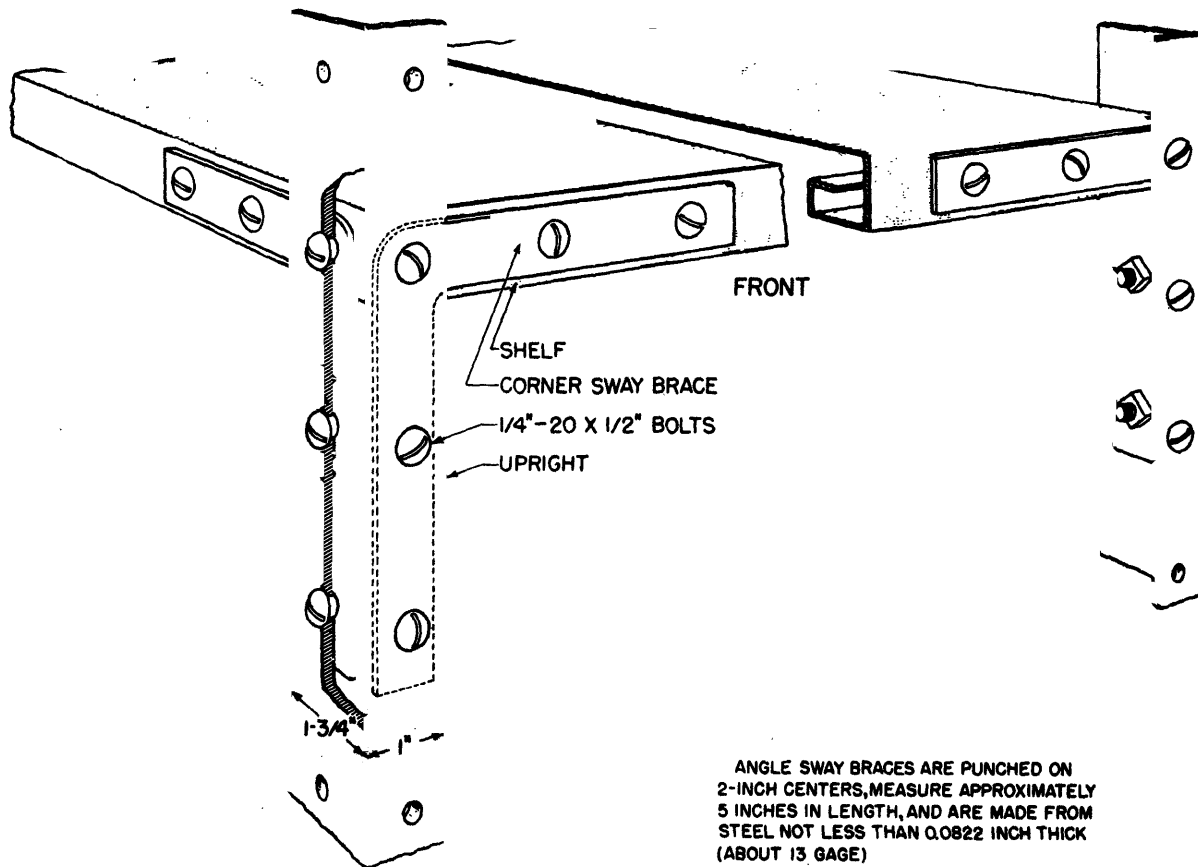


Figure 6-2. Erection detail for steel shelving unit.



**METHOD OF REINFORCING STEEL SHELVING**

*Figure 6-3. Methods of reinforcing steel shelving unit.*

## ★CHAPTER 7

## REPORTING PROCEDURES

## Section I. GENERAL

**7-1. Purpose.** This chapter contains the requirements for reporting status and progress of records management in the Army.

**7-2. Use of data.** Date received in these re-

ports are used as a basis for reporting to the Administrator of General Services in accordance with regulations issued by the Administrator pursuant to title V—Federal Records, Public Law 754, 81st Congress.

**Section II. SUMMARY OF RECORDS HOLDINGS**  
**Reports Control Symbol GSA-1001(R2) (DA Form 3471)**

**7-3. General.** This report will be prepared for records of all elements of the Army, except organizations governed by AR 340-2.

**7-4. Officials who furnish reports to HQDA.** Heads of Department of the Army Staff agencies and major Army commanders will submit consolidated reports of records holdings to HQDA (DAAG-AMR-P). The report will reflect data for his immediate office or headquarters and each organization under the commander's jurisdiction. For the purpose of this report, officials will obtain information from organizations that are under the records management jurisdiction of other commands. For example, the Commanding General, US Army Materiel Command will report records holdings of an AMC activity located on and supported by a TRADOC installation.

**7-5. Feeder reports.** Organizations which furnish HQDA records holdings reports will obtain feeder reports from agencies, activities, installations, or units under their command jurisdiction. Due dates will be established.

**7-6. Report format and content.** The Summary of Records Holdings will be prepared on DA Form 3471. The report will contain data on the volume of records measured in linear (running) feet for current files areas and records

holding areas (if applicable) in the following categories:

- a. On hand beginning of report period.
- b. Transferred to Federal records centers or National Archives.
- c. Destroyed.
- d. On hand end of report period.
- e. Number of reels of magnetic computer tape. (All reels of magnetic tape, regardless of size, will be reported.)

**7-7. Copies prepared.** The report will be prepared in duplicate. The original will be furnished the next higher echelon and a copy will be retained for file.

**7-8. Frequency and due date.** The report will be prepared every fifth year, as of 31 May, for years ending in 4 and 9; e.g., 1974, 1979. The report will contain data as of the date of preparation. Consolidated reports will be dispatched to HQDA (DAAG-AMR-P) WASH DC 20314 *not later than 10 workdays* after the close of the reporting period. *Oversea commands will transmit the report by airmail.*

**7-9. Instructions for preparation.** a. All letter and legal size records will be reported in linear (running) feet. Linear measurements of card records, maps, and other odd-size material will be converted to the letter-size equivalent. This

will be accomplished by computing the number of cubic inches of material (not cubic inches of the container) and dividing by 1,008. The result will be the number of linear feet that should be reported.

b. When filled to normal working capacity, file drawers with an outside depth of 25 inches will be considered to house  $1\frac{1}{2}$  linear feet of records; file drawers with an outside depth of 28 inches, 2 linear feet of records.

c. All fractions of linear feet will be converted to the nearest full linear foot. Fractions less than one-half foot will be disregarded; fractions of one-half foot or more will be converted to the next higher linear foot.

d. Card records housed in vertical file equipment and in visible record files will be reported in accordance with the following equivalents:

- 6 running feet of  $5" \times 3"$  cards will be reported as 1 linear foot.
- 2 running feet of  $8" \times 5"$  cards will be reported as 1 linear foot.
- 4 running feet of  $6" \times 4"$  cards will be reported as 1 linear foot.
- 3 running feet of  $7\frac{1}{2}" \times 3\frac{1}{4}"$  EAM cards will be reported as 1 linear foot.
- 80 trays of  $5" \times 3"$  cards with 80 to 90 pockets per tray will be reported as 1 linear foot.

40 trays of  $8" \times 5"$  cards with 60 to 75 pockets per tray will be reported as 1 linear foot.

55 trays of  $6" \times 4"$  cards with 70 to 80 pockets per tray will be reported as 1 linear foot.

e. Records that are received, filed, and later forwarded to another element of the Department of the Army as a matter of operating procedure will be reported (e.g., personnel record jackets, financial folders, and similar records).

f. The volume of reference publications files will *not* be reported.

g. Stocks of publications and blank forms maintained for the purpose of issue to requesters will not be reported.

h. Library material will not be reported in this report. For purposes of this regulation, library material is defined as all reference material in formally organized and officially designated libraries.

i. All magnetic tapes, regardless of size, *will* be reported.

j. All files, including records of TOE units maintained in records holding areas will be reported.

File No.	Description	Disposition
	Documents similar to the categories listed above that do not pertain to the performance of the mission functions of the office and that are not described elsewhere in this appendix.	
101-03	<p><b>Office inspection and survey files.</b> Documents relating to inspecting and surveying internal office administrative procedures. Included are:</p> <p>Extracts of IG and command inspection reports, security inspection reports, safety inspection reports, or comparable communications that pertain only to the performance of housekeeping operations within the office, including communications about pending inspections.</p> <p>Management survey reports and similar documents that are applicable to internal office procedures, layout, work flow patterns, and comparable matters.</p>	Destroy after the next comparable survey or inspection.
101-04	<p><b>Duty reporting files.</b> Documents prepared by duty officer of the day, administrative officer of the day, or by personnel performing charge of quarters duty. Included are daily activity reports and journal sheets containing a running account of the activities performed, and similar or related documents.</p>	Destroy after 6 months or on discontinuance, whichever is first.
101-05	<p><b>Housekeeping instruction files.</b> Documents relating to the preparation and issue of office memorandums or comparable continuing instructions that are applicable only to internal administrative practices and housekeeping details within the preparing office. Included are copies of the instructions and communications relating to them.</p> <p><i>Note.</i> This file number is not applicable to instructions prepared by the office that are issued on an agency-wide, command-wide, command headquarters-wide, installation-wide, or activity-wide basis. Neither is it applicable to instructions concerning the performance of mission functions of the office even though they may be issued as standing operating procedures or in comparable format.</p>	Destroy on supersession or obsolescence.
101-06	<p><b>Office organization files.</b> Documents relating to the organization and function of an office, such as copies of documents which are duplicated in the Comptroller, management, or comparable office charged with determining the organization and functions of the agency. Included are copies of functional charts and functional statements; copies of documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; copies of table of distribution and allowances; and similar papers. Also included are documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require evaluation and approval by the comptroller-type office.</p>	Destroy when superseded, obsolete, or no longer needed for reference.
101-07	<p><b>Office records transmittal files.</b> Copies of records transmittal lists reflecting files transferred or retired.</p>	Destroy when records listed thereon have been destroyed, or destroy on discontinuance, whichever is first.
101-08	<p><b>Record access files.</b> Documents received or prepared by an office that show name, grade, and other identification of individuals authorized access to official records, particularly classified material. Included are requests for access and approvals thereof, rosters of individuals authorized access, and similar documents.</p>	Destroy on supersession or obsolescence of the authorization document; or on transfer, separation, or relief of the individual concerned.
101-09	<p><b>Security container record files.</b> Forms placed on safes, cabinets, or vaults containing security classified documents and</p>	Destroy the day following the last entry on the form, except forms involved in



File No.	Description	Disposition
	used for providing a record of entry into the containers. <i>Note.</i> Folder labels need not be placed on these individual forms.	an investigation will be retained until completion of the investigation.
101-10	<b>Security container information files.</b> Up-to-date records of all office safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.	Destroy on supersession or on turn-in of the container.
101-11	<b>Office classified document receipt files.</b> Receipts for classified documents issued or transferred. If classified document receipts are used <i>concurrently</i> as a register/control file, they will be identified and disposed of under file number 101-12.	★Destroy after 2 years.
101-12	<b>Office classified document register/control files.</b> Documents reflecting the identity and location of classified documents for which the office is accountable. Included are DA Forms 455, 3964, and similar forms used for control.	★Destroy 2 years after all classified documents recorded thereon have been transferred, destroyed, declassified, or entered on a new sheet.
101-13	<b>Temporary internal receipt files.</b> Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing classified documents in an office or headquarters. Such loans are normally of short duration and the borrowed documents are often returned within the same workday.	Destroy on return of the classified document to the individual or office making the loan.
101-14	<b>Office nonregistered classified document destruction certificate files.</b> Forms or other documents accumulated by an office which reflect the destruction of classified documents.	★Destroy after 2 years.
101-15	<b>Office mail control files.</b> Documents which relate to the control of incoming and outgoing mail by offices other than official mail rooms and postal activities. Included are routing and suspense slips, records of messenger trips, and similar documents. In rare cases, they may also include copies of receipts for accountable mail, e.g., registered, certified, and numbered insured mail.	★Accountable mail receipts: Destroy after 2 years. Other documents: Destroy after 3 months.
101-16	<b>Office financial files.</b> Documents that relate to the participation of offices in matters concerning the expenditure of funds incidental to the performance of the mission of the office, such as itineraries and cost estimates for travel and notifications to budget offices of funds required for travel; requests for long distance telephone funds, notifications from budget offices of telephone funds that are available, and reports of long-distance telephone calls; receipts for pay checks and other documents relating to the distribution of checks to individual employees; receipts for savings bonds and other documents relating to distribution of savings bonds directly to individual employees; and comparable papers.	Destroy after 1 year, or on discontinuance, whichever is first.
101-17	<b>Office service and supply files.</b> Documents relating to ordinary supplies and equipment used by an office; office space and utilities; communications, transportation, custodial or other services required by an office; and to the general maintenance of an office. Included are: Requests to supply activities for supplies, receipts for supplies and equipment, and similar papers pertaining to office supply matters. Requests and other documents concerning the issue of keys and/or locks to an office. Requests for publications and blank forms, and other papers relating to the supply and distribution of publications to the office.	Destroy 1 year after completion of action, earlier disposal is authorized except pinpoint distribution files (DA Form 12 series) which will be destroyed when superseded or obsolete.

## ★APPENDIX F

## RECORDS CENTER LISTING

	<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
A-1.	US Army Reserve Components Personnel and Administration Center, 9700 Page Blvd St. Louis, MO 63132	<p>a. Individual official military personnel folders of members of the USAR and retired officers (except RA general officer files maintained at MILPERCEN and ARNGUS general officer files maintained by the NGB)</p> <p>b. Individual Military Personnel Jackets (field files) of members of the Individual Ready Reserve (except Ready Reserve members residing in the European and Pacific areas, including Hawaii, and Officer Active Duty Obligor), Standby Reserve, and Retired Reserve.</p> <p>c. Morning reports and personnel rosters for the last 3 years.</p> <p>d. Reserve unit attendance files dating generally from 1951.</p> <p>e. Morning reports of organized Reserve Corps units for period 1949-1953 and those for Reserve units for ADT dating from 1952.</p> <p>f. Archival and personnel-type records of persons who served in the Army of the United States, or Philippine Commonwealth Army guerrilla units during the World War II period.</p>	The Adjutant General is responsible for the custody and administration of files maintained at the US Army Reserve Components Personnel and Administration Center.
A-2.	Training Material Support Division USA Training Aids Management Agency, Tobyhanna Army Depot Tobyhanna, PA 18466	Army motion picture photographic files.	Commanding General, US Army Training and Doctrine Command is responsible for custody of these files.
A-3.	US Army Audio-Visual Agency, Pentagon	Army still picture photographic files 1940 to the present.	Commanding General, US Army Military District of Washington is responsible for custody of these files.
A-4.	USA Crime Records Directorate, USACIDC, Fort Holabird, MD 21219	Reports of criminal investigations, selected military police reports, and other related records.	Commanding General, USACIDC is responsible for custody of these files.
A-5.	Investigative Records Repository, Ft George G Meade, MD 20755	Personal security, counterintelligence, and intelligence files.	The Commanding General, USAINTA is responsible for custody of these files.
A-6.	Overseas Records Centers: a. US Forces Support District, (Norddeutschland) ATTN: US Army Records Center APO New York 09069	All files designated for transfer to an overseas records center under provisions of the AR 340-18-series and AR 340-2.	The commanders of major overseas commands are responsible for custody and administration of files maintained in their respective overseas records centers.

	<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
	b. Oversea Records Center, Korea APO San Francisco 96259		
	c. USARJ Oversea Records Center APO San Francisco 96348		
A-7.	National Personnel Records Center (Military Records) 9700 Page Blvd. St. Louis, MO 63132	Individual official military personnel records of completely separated Army personnel including deceased personnel. b. Morning reports and personnel rosters over 3 years old; and sick reports through 1954. c. Clinical, consultative service, outpatient, and dental records of active military personnel, retired military personnel and members of Reserve components on active duty for training not held by US Army medical facilities. These files were received prior to 1974. d. Files of Army field commands. Retired files of elements of Army field commands (except Corps of Engineers field offices) and of decentralized elements of Headquarters, Department of the Army offices, dated generally 1951 through 1963. e. Separated non-Federal National Guard 201 files. f. Personnel-type orders. g. Secondary School academic records.	The Administrator of General Services is responsible for custody and administration of files in the National Personnel Records Center.
A-8.	National Personnel Records Center (Civilian Records) 111 Winnebago Street St. Louis, MO 63118	a. Individual personnel files of separated civilian employees of the Army.  b. Individual pay and medical records of active and separated employees of Department of the Army. c. Permanent and final X-ray films of Army military personnel. d. Clinical, outpatient, consultative service, and dental records of Active military personnel and their dependents, retired military personnel, and members of Reserve components on active duty for training not held by US Army medical facilities. Except for files pertaining to dependents of military personnel, these files were received after 1973.	The Administrator of General Services is responsible for custody and administration of these files.
A-9.	Federal Archives and Records Center, GSA 1557 St. Joseph St. East Point, GA 30044	a. Bills of lading files of the Army field commands dated prior to 1 January 1959, including bills of lading registers, car record books, and intransit records. b. World War I registration cards.	The Administrator of General Services is responsible for the custody and administration of these files.

	<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
A-10.	Federal Archives and Records Center, GSA Region 1. 380 Trapelo Road Waltham, MA 02154	Civil works site audit files, civil works contract files, and other retired files of Corps of Engineer field offices in the following locations: Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island.	The Administrator of General Services is responsible for the custody and administration of these files.
A-10.1	Federal Archives and Records Center, GSA Region 2. Military Ocean Terminal Building 22 Bayonne, NJ 07002	New York, New Jersey, Puerto Rico, the Virgin Islands, European and Mediterranean Divisions.	
A-10.2	Federal Archives and Records Center, GSA Region 3. 5000 Wissahickon Ave. Philadelphia, PA 19144	Delaware and Pennsylvania (east of Lancaster).	
A-10.3	Federal Records Center GSA Region 3. Naval Supply Depot, Bldg 308 Mechanicsburg, PA 17055	Pennsylvania, except areas east of Lancaster.	
A-10.4	Federal Archives and Records Center, GSA Region 3. Washington National Records Center Washington, DC 20409	District of Columbia, Maryland, Virginia, and West Virginia.	
A-10.5	Federal Archives and Records Center, GSA Region 4. 1557 St. Joseph Ave East Point, GA 30344	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky.	
A-10.6	Federal Archives and Records Records Center, GSA Region 5. 7358 S. Pulaski Road Chicago, IL 60629	Illinois, Wisconsin, and Minnesota.	
A-10.7	Federal Archives and Records Center, GSA Region 5. 3050 Bertwynne Drive Dayton, OH 45439	Indiana, Michigan, and Ohio.	
A-10.8	Federal Archives and Records Service, GSA Region 6. 2304 East Bannister Rd Kansas City, MO 64131	Kansas, Iowa, Nebraska, and Missouri, except Greater St. Louis area.	
A-10.9	Federal Archives and Records Center, GSA Region 6. National Personnel Records Center (Civilian records) 111 Winnebago Street St. Louis, MO 63118	Greater St. Louis, MO, area.	

	<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
A-10.10	Federal Archives and Records Center, GSA Region 7. 4900 Hemphill Street Fort Worth, TX 76115	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico.	
A-10.11	Federal Archives and Records Center, GSA Region 8. Bldg 48, Denver Federal Center Denver, CO 80255	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota.	
A-10.12	Federal Archives and Records Center, GSA Region 9. 1000 Commodore Dr San Bruno, CA 94066	Nevada, except Clark County; California, except Southern California.	
A-10.13	Federal Archives and Records Center, GSA Region 9. 4747 Eastern Ave Bell, CA 90201	Arizona; Clark County, Nevada; and Southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, San Diego).	
A-10.14	Federal Archives and Records Center, GSA Region 10. 6125 San Point Way Seattle, WA 98115	Washington, Oregon, Idaho, Alaska, and Pacific Ocean areas.	
A-11.	Military Archives Division, National Archives and Records Service Pennsylvania Ave and 8th St., N. W. Washington, DC 20408	HQDA organizational files, 1954 and earlier; field organizational files 1950 and earlier; military personnel and medical records of Army officer personnel dated generally 30 June 1917 and earlier; Army enlisted personnel records dated generally 31 October 1912 and earlier.	The Administrator of General Services is responsible for the custody and administration of these files.
A-12.	Washington National Records Center <i>Address for shipments mailed:</i> Washington, DC 20409 <i>Address for shipments by common carrier:</i> 4205 Suitland Road Suitland, MD	<p data-bbox="688 1159 1142 1287">a. <i>Records of activities.</i> Records of activities in the District of Columbia, Maryland, Virginia, and West Virginia, dated generally 1955 through the present.</p> <p data-bbox="688 1393 1142 1713">b. <i>Offices of Headquarters, Department of the Army.</i> Files of Headquarters, Department of the Army offices located at the seat of the Government, exclusive of specialized files otherwise provided for in this appendix. These files are dated generally 1939 and later. (Files of The Judge Advocate General's Office, to include courts-martial, claims, and litigation files should be requested through the Judge Advocate General's Office).</p> <p data-bbox="688 1713 1142 1791">c. <i>Headquarters, United States Continental Army Command.</i> These files are dated generally 1939 and later.</p>	The Administrator of General Services is responsible for custody and administration of these files.

*Location*

*Description of files maintained*

*Administrative responsibility*

- d. *Army field commands and special Army activities in the field.* These files are dated generally 1940 through 1950 and 1964 and later.
- e. *Combined records.* Records allocated to the Department of the Army for retirement purposes.
- f. *Joint records.* Joint records dated generally 1939 and later, except Joint Chiefs of Staff records.
- g. *Captured records.* Files which were captured or confiscated in time of war under the provisions of international law, including records of foreign governmental, military, private, and other institutions.

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CHANGE }  
No. 9 }

HEADQUARTERS  
DEPARTMENT OF THE ARMY  
WASHINGTON, DC, 30 September 1976

OFFICE MANAGEMENT  
THE ARMY FUNCTIONAL FILES SYSTEM  
GENERAL PROVISIONS

Effective 1 January 1977

*This change modifies the description of file number 101-16; revises the description and disposition instructions for file number 102-04; rescinds file number 102-08; adds file number 102-13; provides instructions concerning retirement of files to the US Army Security Agency Records Center and for preparing SF's 135 for retiring files subject to the Privacy Act; authorizes use of Kraft file folders; and provides general updating.*

AR 340-18-1, 14 August 1969, is changed as follows:

1. New or changed material is indicated by a star.
2. Remove old pages and insert new pages as indicated below:

<i>Remove pages</i>	<i>Insert pages</i>
i through iv -----	i through iv
1-1 and 1-2 -----	1-1 and 1-2
2-3 through 2-6 -----	2-3 through 2-6
3-1 and 3-2 -----	3-1 and 3-2
3-5 -----	3-5
4-3 through 4-9 -----	4-3 through 4-9
5-1 and 5-2 -----	5-1 and 5-2
5-5 through 5-14 -----	5-5 through 5-14.1
6-3 and 6-4 -----	6-3 and 6-4
7-1 and 7-2 -----	7-1 and 7-2
E-3 through E-8 -----	E-3 through E-8
F-1 through F-5 -----	F-1 through F-5

3. File this change sheet in front of publication for reference purposes.

**The proponent agency of this regulation is The Adjutant General Center. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) direct to HQDA (DAAG-AMR-P) WASH DC 20314.**

By Order of the Secretary of the Army:

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*General, United States Army*  
*Chief of Staff*

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*Major General, United States Army*  
*The Adjutant General*

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ARMY REGULATION }  
No. 340-18-1 }HEADQUARTERS  
DEPARTMENT OF THE ARMY  
WASHINGTON, DC, 14 August 1969OFFICE MANAGEMENT  
THE ARMY FUNCTIONAL FILES SYSTEM  
GENERAL PROVISIONS*Effective 1 January 1970*

*Limited supplemental directives to this regulation are authorized. Supplemental directives will be brief and will contain only that supplemental information essential to assure compliance with procedures herein. Two copies of each supplement issued by the heads of agencies and commands listed in paragraph 1-4b, c (1), and (2), and e, AR (340-1) will be forwarded immediately on issuance to HQDA (DAAG-AMR-P) Washington, DC 20314.*

	Paragraph	Page
CHAPTER 1. INTRODUCTION		
Purpose .....	1-1	1-1
Application of TAFFS .....	1-2	1-1
Applicability .....	1-2.1	1-1
Definitions .....	1-3	1-1
Abbreviations .....	1-4	1-1
Major functional files categories and governing regulations .....	1-5	1-2
Principles of TAFFS .....	1-6	1-2
List of selected file numbers .....	1-7	1-2
Written files plan .....	1-8	1-3
Unidentified files .....	1-9	1-3
2. LABELING PROCEDURES		
Section I. General		
Functional file numbers .....	2-1	2-1
Label entries under TAFFS .....	2-2	2-1
Label entries for exceptions to disposition instructions .....	2-3	2-2
II. Procedures for Applying Disposition Instructions		
Disposition procedures .....	2-4	2-3
Disposition instructions .....	2-5	2-3
CHAPTER 3. DISPOSITION PROCEDURES		
Section I. General Files Disposition Procedures		
Objective .....	3-1	3-1
Source of retention periods .....	3-2	3-1
Changes to retention periods .....	3-3	3-1
Files disposal requirements .....	3-4	3-1
Emergency or accidental disposal of records .....	3-5	3-2
Deviations from disposition instructions .....	3-6	3-2
II. Special Files Disposition Procedures		
Disposition of joint records .....	3-7	3-2
COSMIC, NATO, SEATO, and CENTO documents .....	3-8	3-3
Intra-Army transfer of files .....	3-9	3-3
Transfer of records to the National Archives, GSA .....	3-10	3-3
Transfer of records to non-Army agencies other than Federal records centers or the National Archives .....	3-11	3-3

\* This regulation, together with AR 340-18-2, AR 340-18-3, AR 340-18-4, AR 340-18-5, AR 340-18-6, AR 340-18-7, AR 340-18-8, AR 340-18-9, AR 340-18-10, AR 340-18-11, AR 340-18-12, AR 340-18-13, AR 340-18-14, and AR 340-18-15, all dated 14 August 1969, supersedes AR 345-210, 31 October 1962, including all changes.



	Paragraph	Page
CHAPTER 3—Continued		
Section III. Disposition of Files on Change of Status		
Transfer of functions -----	3-12	3-3
Discontinuance of departmental headquarters agencies -----	3-13	3-4
Discontinuance or change in status of field agencies and elements -----	3-14	3-4
Units of the United States Army Forces Readiness Command -----	3-15	3-4
★Orders changing status. Rescinded. -----	3-16	3-5
Records transmittal lists of discontinued units -----	3-17	3-5
TOP SECRET files -----	3-18	3-5
CHAPTER 4. MAINTENANCE AND REFERENCE PROCEDURES		
Section I. General		
General -----	4-1	4-1
Purpose -----	4-2	4-1
II. Maintenance Procedures		
General -----	4-3	4-1
Dual responsibilities -----	4-4	4-1
File authority. Rescinded. -----	4-5	4-1
Inspection of papers -----	4-6	4-1
Assembly of papers -----	4-7	4-1
Fastening -----	4-8	4-2
Posting of file numbers -----	4-9	4-2
Backing sheets -----	4-10	4-2
Cross-reference -----	4-11	4-2
Consolidated cross-reference sheet -----	4-12	4-3
Content listing sheet -----	4-13	4-3
Sorting papers for file -----	4-14	4-3
Use of guides and folders -----	4-15	4-3
Position of guides -----	4-16	4-4
Position of folder labels -----	4-17	4-4
Security classified papers -----	4-18	4-4
Cover sheets -----	4-19	4-5
Filing bulky material -----	4-20	4-5
Maintenance of records in libraries -----	4-21	4-5
★Maintenance of files by fiscal year. Rescinded. -----	4-21.1	4-5
★Arrangement—General -----	4-22	4-5
★Arrangement restrictions -----	4-22.1	4-5
Subject—alphabetic arrangement -----	4-23	4-5
Proper name arrangement -----	4-24	4-5
Geographical locale arrangement -----	4-25	4-5
Organizational arrangement -----	4-26	4-6
★General. Rescinded. -----	4-27	4-6
Date arrangement -----	4-28	4-6
Straight numerical arrangement -----	4-29	4-6
Duplex number arrangement -----	4-30	4-6
Terminal digit arrangement -----	4-31	4-6
III. Reference Procedures		
General -----	4-32	4-7
Submission of requests -----	4-33	4-7
Charge-out record -----	4-34	4-7
Cover for charged-out files -----	4-35	4-7
Charge-out suspense and followup -----	4-36	4-7
CHAPTER 5. RECORDS TRANSFER AND RETIREMENT PROCEDURES		
Section I. General		
Purpose -----	5-1	5-1
Clinical, outpatient, dental, and X-ray files -----	5-2	5-1
Classified files -----	5-3	5-1
FOR OFFICIAL USE ONLY files -----	5-4	5-1

	Paragraph	Page
CHAPTER 5—Continued		
Section II. Supplies		
General .....	5-5	5-1
Forms .....	5-6	5-1
Shipping containers and related supplies .....	5-7	5-1
Shipping containers for odd-size documents .....	5-8	5-2
III. Records Transmittal Lists for Transfer of Records to Records Holding Areas and Oversea Records Centers		
General .....	5-9	5-2
Preparing lists .....	5-10	5-3
Distributing lists .....	5-11	5-4
Including supplemental data when organizational status has changed .....	5-12	5-4
(Reserved for future use) .....	5-13	5-4
IV. Records Transmittal Lists for Retirement of Records to the Washington National Records Center		
General .....	5-14	5-4
Preparing lists (HQDA Staff agencies and their field operating agencies in the National Capital Region) .....	5-15	5-4
Preparing lists (Army field elements) .....	5-16	5-6
Distributing lists (HQDA Staff agencies and their field operating agencies in the National Capital Region) .....	5-17	5-8
Distributing lists (Army field elements) .....	5-18	5-8
Including supplemental data when organizational status has changed .....	5-19	5-8
Receipts for SECRET documents .....	5-20	5-8
V. Records Transmittal Lists for Retirement of Records to Federal Records Centers Other Than WNRC		
General .....	5-21	5-8
Preparing lists .....	5-22	5-8
Distributing lists .....	5-23	5-10
Including supplemental data when organizational status has changed .....	5-24	5-10
VI. Records Transmittal Lists for Transfer of Records to Organizations Other Than Records Holding Areas or Records Centers		
General .....	5-25	5-10
Preparing lists .....	5-26	5-11
Distributing lists .....	5-27	5-12
Receipts for SECRET documents .....	5-28	5-12
VII. Packing and Shipping Procedures		
General .....	5-29	5-12
Packing records in fiberboard boxes .....	5-30	5-12
Special instructions for classified files .....	5-31	5-12
Closing and sealing records shipping boxes .....	5-32	5-13
Marking records shipping boxes with identifying information .....	5-33	5-13
Stenciling or labeling boxes for mail or freight shipments .....	5-34	5-13
Shipping procedures .....	5-35	5-13
CHAPTER 6. RECORDS HOLDING AREAS AND RECORDS CENTERS		
Section I. General		
Purpose .....	6-1	6-1
Records holding areas .....	6-2	6-1
Oversea record centers .....	6-3	6-1
Records centers in Continental United States .....	6-4	6-1
Listing of records centers .....	6-5	6-1
II. Staffing and Operation of Records Holding Areas		
Staffing .....	6-6	6-2
Space .....	6-7	6-2
Equipment .....	6-8	6-2
Administrative files .....	6-9	6-3
Receiving procedures .....	6-10	6-3
Disposition procedures .....	6-11	6-3
Reference service .....	6-12	6-3

CHAPTER 6—Continued

	Paragraph	Page
Section III. Oversea Records Center Operating Procedures		
Space .....	6-13	6-4
Equipment .....	6-14	6-4
Administrative files .....	6-15	6-4
Receiving procedures .....	6-16	6-4
Disposition procedures .....	6-17	6-5
Reference service .....	6-18	6-5

CHAPTER 7. REPORTING PROCEDURES

Section I. General		
Purpose .....	7-1	7-1
Use of data .....	7-2	7-1
★II. Summary of Records Holdings—Requirement Control Symbol 1094-GSA-AN (DA Form 3471)		
General .....	7-3	7-1
Officials who furnish reports to HQDA .....	7-4	7-1
Feeder reports .....	7-5	7-1
Report format and content .....	7-6	7-1
Copies prepared .....	7-7	7-1
Frequency and due date .....	7-8	7-1
Instructions for preparation .....	7-9	7-2

APPENDIX A. RULES FOR ALPHABETICAL FILING .....	A-1
B. DIVISIONS OF THE ALPHABET .....	B-1
C. SORTING .....	C-1
D. TERMINAL DIGIT FILING .....	D-1
E. MAINTENANCE AND DISPOSITION OF OFFICE HOUSEKEEPING FILES .....	E-1
★F. RECORDS CENTER LISTING .....	F-1

## CHAPTER 1

### INTRODUCTION

**1-1. Purpose.** This regulation contains instructions on the use of the Army Functional Files System (TAFFS).

**1-2. Application of TAFFS.** *a.* TAFFS will be applied to all unclassified files and FOUO files and all classified files through SECRET, TOP SECRET files may be set up under TAFFS or in any other manner that will facilitate control and accountability.

*b.* TAFFS will not be applied to publications and blank forms stocked for filling requisitions; reference material and books in formally organized and officially designated libraries; spoiled or damaged photographic film; and reproduction materials, such as stencils and multilith plates.

*c.* COSMIC, NATO, SEATO, and CENTO documents will not be identified under TAFFS. The disposition authority applicable to Army records does not constitute authority for destruction of these records. However, some Army records used in controlling and receipting for these documents should be identified under TAFFS (para 3-8).

**1-2.1 Applicability.** *a.* This regulation applies to all elements of the Department of the Army except:

(1) Active Army TDA units conducting basic combat training (BCT) or advanced individual training (AIT).

(2) Active Army TOE units below division headquarters level.

(3) Army National Guard units.

(4) ROTC instructor groups.

(5) Army Reserve commands and units.

*b.* AR 340-2 applies to organizations listed in *a* above.

**1-3. Definitions.** *a. The Army Functional Files System.* A system for identifying and arranging Army records to facilitate reference and disposition. Records of joint commands and activities for which the Department of the Army has been designated executive agent or management agent are considered Army records for the purpose of TAFFS. TAFFS provides for the division and identification of records into 15 distinct categories. One category is reserved for office housekeeping files. Each of the remaining 14 categories relates to a selected major function (or functional group) of the Department of the Army. The 15 categories of files and the regulations pertaining to each category are listed in paragraph 1-5.

*b. Retention period.* The length of time a file must be kept before it is destroyed. Files not authorized for destruction have a retention period of "permanent."

*c. Disposition instructions.* Precise disposition instructions which specify the date or event for cutoff, transfer, retirement, or destruction of files. See paragraph 2-5 for examples.

*d. Cutoff.* The termination of a file at specified periodic intervals of time to permit transfer, retirement, or disposal in a complete block.

*e. Discontinuance.* The placing of an organization in an inactive status or in surplus status when all military functions have ceased. Whenever the term is used in this regulation, it will be interpreted to include "inactivation," "disbandment," and "reduction to zero strength."

**1-4. Abbreviations.** Common abbreviations used with TAFFS and intended especially for use on labels are as follows:

CFA	—current files area
COFF	—cutoff
dest	—destroy
disc	—discontinuance
★FARC	—Federal Archives and Records Center
NPRC	—National Personnel Records Center
ORCEN	—oversea records center
PIF	—place in inactive file
REFP	—reference paper
ret	—retire; retirement
RHA	—records holding area
TAFFS	—The Army Functional Files System
trf	—transfer
RCPAC	—Reserve Components Personnel and Administration Center
WNRC	—Washington National Records Center

### 1-5. Major functional files categories and governing regulations.

Office Housekeeping Files	AR 340-18-1
Planning, Programing, Management, Historical, and Combat Development Files	AR 340-18-2
Finance and Fiscal Files	AR 340-18-3
Legal and Information Files	AR 340-18-4
Intelligence, Security, Military Police, and Mapping Files	AR 340-18-5
General Personnel Management and Safety Files	AR 340-18-6
Military Personnel Files	AR 340-18-7
Civilian Personnel Files	AR 340-18-8
Medical Files	AR 340-18-9
Training and Education Files	AR 340-18-10
Communications Files	AR 340-18-11
Transportation Files	AR 340-18-12
Research and Development Files	AR 340-18-13
Logistics Files	AR 340-18-14
Facilities Files	AR 340-18-15
★Civil Affairs Files	AR 340-18-16

**1-6. Principles of TAFFS.** *a.* The Army Functional Files System is based on the concept that each Army element or office maintains records documenting the performance of one or more specific functions or subfunctions. These functions may be to procure supplies, allot funds, assign military personnel, pay employees, or any of hundreds of others.

*b.* In carrying out the assigned functions or subfunctions, the responsible office may engage in one or more activities. For example, the following activities may be performed in the personnel movements section of a transportation office: Prepare installation or activity transportation plans; prepare and maintain

statistical data relating to space requirements and personnel movement costs; arrange for the movement of troops as individuals or groups, including accompanying material and impediments; aid in obtaining passports; inspect baggage of military personnel, and issue necessary clearance certificates for its shipment; maintain, account for, and issue transportation requests and meal tickets; maintain, account for, and issue local ferry tickets, bridge toll tickets, and local commercial bus tokens; and issue local instructions relating to the movement of personnel. All these activities support the basic function of providing *transportation for personnel*. All the file numbers needed to arrange records maintained to document these activities are contained in AR 340-18-12, which governs the maintenance and disposition of transportation records.

*c.* In addition to records documenting the performance of mission activities, the office will generate certain records on the administration of the office. These records relate to such matters as requests for furniture, equipment, and supplies required to operate the office; instructions on office operating procedures and staff duty assignments; participation in charitable fund drives; and allocation of funds and personnel to operate the office. These matters are not directly related to the office's mission of providing transportation services. Therefore, the records on these matters are housekeeping in nature, and appendix E is used to select file numbers.

**1-7. List of selected file numbers.** A list of file numbers used in an office will be prepared to facilitate filing and reference, to aid in training new personnel, and to eliminate the constant referral to this regulation or other regulations in the AR 340-18 series. The list will contain the file numbers, file title, and if desired, a brief description of each file maintained in the office. This list will be kept current by making changes as file numbers are added or deleted from the file. *A copy of each list and change will be furnished the records management officer for review and authorization to implement.* A recommended format for preparation of the list of selected file numbers is shown in figure 1-1.

would read 1012-03(9). Another way to record the authority for exception is to enter a reference to the authorizing document after the disposition instructions.

★For example:

1012-03 Individual Academic Record Files (76)  
COFF 31 Dec 76, trf RHA and retire NPRC Jan  
82, Dest Jan 2017 (1 tr ATAG-ASR, 14 Jul 75)

## Section II. PROCEDURES FOR APPLYING DISPOSITION INSTRUCTIONS

**2-4. Disposition procedures.** *a.* Except as provided in (1) and (2) below, records designated for retirement will be retired on a calendar and fiscal year basis to the Washington National Records Center, GSA.

(1) Records for which the disposition column in the AR 340-18 series provides for retirement to another records center will be retired to that records center.

(2) Records designated for retirement by Corps of Engineers divisions, districts, and off-post activities will be retired to the GSA Federal Records Center serving the geographical area in which the creating office or activity is located.

*b.* For most files, the disposition column in appendix E or in other regulations in the AR 340-18 series provides only the retention period for the file (e.g., destroy after 2 years, destroy after 10 years, destroy after card is filled, etc). In these instances, the disposition instruments in paragraph 2-5 will be used to determine the exact cutoff, transfer, retirement, and disposal dates.

*c.* For some files, the disposition column also provides specific instructions for cutoff, transfer, retirement, or establishment of inactive files. In these instances, the specific instructions rather than the standard disposition instructions in paragraph 2-5 will be followed.

**2-5. Disposition instructions.** The instructions for the cutoff, disposal, and retirement of files based on general time periods or events are listed below. Unless otherwise indicated in specific disposition instructions in the AR 340-18 series, retention periods begin on cutoff of the files. The following are examples of specific instructions containing exceptions to the general time periods and events: Destroy when registrant becomes 36 years of age; withdraw

and destroy on departure of the individual; destroy when superseded; destroy after next survey; and destroy the day following last entry on the form. After each instruction listed below, examples are shown of how disposition instructions should read on file labels for calendar year and fiscal year files.

*a. One month or 30 days.* Cut off at the end of the month, hold 1 month in the current files area, and then destroy. Example:

COFF 31 Mar 76, Dest Jul 76.

*b. Three months or 90 days.* Cut off at the end of each quarter, hold 3 months in the current files area, and then destroy. Example:

COFF 30 Jun 76, Dest Jul 77.

*c. Six months.* Cut off semiannually as of 30 June and 31 December, hold 6 months in the current files area, and then destroy. Example:

COFF 30 Jun 76, Dest Jan 77.

*d. One year.* Cut off at the end of the calendar year or fiscal year, hold 1 year in the current files area, and then destroy. Examples:

*Calendar year file.* COFF 31 Dec 76, Dest Jan 78.

*Fiscal year file.* COFF 30 Sep 76, Dest Oct 77.

*e. Two years.* Cut off at the end of the calendar year or fiscal year, hold in the current files area until the expiration of the 2-year period, and then destroy. Examples:

*Calendar year file.* COFF 31 Dec 76, Dest Jan 79.

*Fiscal year file.* COFF 30 Sep 76, Dest Oct 77.

*f. Three, 4, or 5 years.* Cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements.

(*a*) Cutoff files will be held 3, 4, or 5 years, as applicable, in the current files area

when files space is available, and then destroyed. Examples:

*3-year calendar year file.* COFF 31 Dec 76, Dest Jan 80.

*3-year fiscal year file.* COFF 30 Sep 76, Dest Oct 79.

(b) When files space is not available, they will be held 2 years in the current files area. They will then be retired to the appropriate Federal records center where they will be held until the retention period expires, and then destroyed. Examples:

*5-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Dest Jan 82.

*5-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 78, Dest Oct 81.

(2) Army field elements *served* by a records holding area or oversea records center. Cutoff files will be held 2 years in the current files area. They will then be transferred to the records holding area or oversea records center where they will be held until the expiration of the retention period and then destroyed. Examples:

*4-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Dest Jan 81.

*4-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Dest Oct 80.

(3) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be retained in the current files area until the retention period expires, and will then be destroyed. Examples:

*3-year calendar year file.* COFF 31 Dec 76, Dest Jan 80.

*3-year fiscal year file.* COFF 30 Sep 76, Dest Oct 79.

*g. Six, 7, 8, 9, or 10 years.* Cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Cutoff files will be held 2 years in the current files area. They will then be retired to the Washington National Records Center, held until the retention period expires, and then destroyed. Examples:

*10-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Dest Jan 87.

*10-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 18, Dest Oct 86.

★(2) Army field elements served by a records holding area or oversea records center, except Corps of Engineers field elements. Cutoff files will be held 2 years in the current files area, then transferred to the records holding area or oversea records center, held until the retention period expires, and then destroyed. Examples:

*10-year calendar year file.* COFF 31 Dec 76, RHA Jan 79, Dest Jan 87.

*10-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Dest Oct 86.

*Note.* A few files series have a retention period of 10 years and 3 months. These files also may be retained in the records holding area or oversea records center until the retention period expires and then destroyed, unless the files series disposition instructions specifically provide otherwise.

(3) Corps of Engineers field elements. Cutoff files will be held in the current files area 2 years. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until the retention period expires and will then be destroyed. Examples:

*6-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire FRCEN Jan 80, Dest Jan 83.

*6-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire FRCEN Oct 79, Dest Oct 82.

(4) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records centers, held until the retention period expires, and then destroyed. Examples:

*6-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 80, Dest Jan 83.

*6-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 79, Dest Oct 82.

*h. Nonpermanent files with a retention period of 11 years or more.* Cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Cutoff files will be held in current files area 2 years. They will then be retired to the Washington National Records Center, held until the retention period expires, and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 78, Dest Oct 96.

★(2) Army field elements served by a records holding area or oversea records center, except Corps of Engineers field elements. Cutoff files will be held 2 years in the current files area. Files will then be transferred to the records holding area or oversea records center, held 3 years, and then retired to the appropriate CONUS records center. The files will be held by the records center until the retention period expires and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire WNRC Jan 82, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire WNRC Oct 81, Dest Oct 96.

(3) Corps of Engineers field elements. Cutoff files will be held in the current files area 2 years. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center until retention period expires and will then be destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire FRCEN Jan 80, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire FRCEN Oct 79, Dest Oct 96.

(4) Army field elements *not served* by a records holding area or oversea records center. Cutoff files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records centers, held until the retention period expires, and then destroyed. Examples:

*20-year calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 80, Dest Jan 97.

*20-year fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 79, Dest Oct 96.

*i. Event or action.* Documents which are disposable upon the occurrence of an event, such as supersession or obsolescence, or upon the accomplishment of an action, will be withdrawn from the active file upon the occurrence of the event or accomplishment of the action and destroyed. Examples:

Destroy on supersession or obsolescence.

Destroy on completion of posting to the proper form.

*j. Time period after an event or action.* Files that are disposable after a specific retention period following the occurrence of an event or accomplishment of an action, such as audit, final payment, or completion of a project, will be terminated on the occurrence of the event or accomplishment of the action. Such files may be terminated by withdrawing from the active file and placing in an inactive file, or, in the case of large volumes, simply by discontinuing further filing within the files. The inactive or terminated files will then be cut off and disposition will be effected in the same manner as for other files with the same retention period. Examples:

*Destroy 10 years after completion of project:* PIF on completion of project (for the active file).

COFF 31 Dec 76, Trf RHA Jan 79, Dest Jan 87 (file for which project was completed in 1976).

*Destroy 6 years after final payment:* PIF on final payment (for the active file).

COFF 30 Sep 76, Trf RHA Oct 78, Dest Oct 82 (file for which final payment was made in FY 76).

*k. Permanent files.* Unless otherwise specified in the disposition columns in the AR 340-18-series, permanent files will be cut off at the end of the calendar or fiscal year. The following disposition will then be made:

(1) Headquarters, Department of the Army elements. Files will be held 2 years in the current files area. They will then be retired to the Washington National Records Center for retention until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 79, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 78, Permanent.

(2) Army field elements *served* by a records holding area or oversea records center, except



Corps of Engineers field elements. Files will be held 2 years in the current files area. Files will then be transferred to the records holding area or oversea records center, held 3 years, and then retired to the appropriate CONUS records center. Files retired to Federal records centers will be held until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire WNRC Jan 82, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire WNRC Oct 81, Permanent.

(3) Corps of Engineers field elements. Files will be held 2 years in the current files area. The files will then be transferred to the records holding area, held 1 year, and then retired to the appropriate Federal records center. The files will be held by the Federal records center

until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Trf RHA Jan 79, Retire FRCEN Jan 80, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Trf RHA Oct 78, Retire FRCEN Oct 79, Permanent.

(4) Army field elements *not served* by a records holding area or oversea records center. Files will be held 3 years in the current files area. They will then be retired to the appropriate CONUS records center. Files retired to Federal records centers will be held until they are transferred to the National Archives. Examples:

*Calendar year file.* COFF 31 Dec 76, Retire WNRC Jan 80, Permanent.

*Fiscal year file.* COFF 30 Sep 76, Retire WNRC Oct 79, Permanent.

## CHAPTER 3

### DISPOSITION PROCEDURES

#### Section I. GENERAL FILES DISPOSITION PROCEDURES

**3-1. Objective.** One of the objectives of the Army records management program is to preserve records of continuing value, systematically eliminate all other records, and remove less active current records from office space to low cost storage space. This insures preservation of permanent records, increases the usefulness of the records, and reduces the cost and effort of recordkeeping. To achieve this objective, standard procedures have been established for the disposition of all Army records.

**3-2. Source of retention periods.** Retention periods for specific Army files are published in the disposition columns in appendix E and in AR 340-18-2 through AR 340-18-15. Retention periods for files described in the cited regulations are established on the basis of analyses made by The Adjutant General which are approved by the Archivist of the United States. Recommendations for changes to existing retention periods will be submitted to The Adjutant General when necessary to resolve conflicting instructions between records management regulations and other regulations.

**3-3. Changes to retention periods.** Retention periods are changed periodically as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. The changes are applied in accordance with the general rules in *a* and *b* below.

*a. Increased retention period.* If the change increases the retention period, the new retention period will be applied to all files of the description regardless of where they are maintained or when they were created. Inactive and cutoff files will be brought under the new retention period.

*b. Change from "permanent" to a retention period.* Instructions in *a* above apply.

*c. Reduced retention period.* If the change reduces the retention period, the new retention period will be applied retroactively unless it is impractical or uneconomical to do so. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on an individual basis, it normally would be more economical to retain the files for the longer period than to attempt to apply the change.

**3-4. Files disposal requirements.** *a. General.* Files authorized for destruction will be sold as waste paper, destroyed, or, with the prior approval of The Adjutant General, donated to any Government, organization, institution, or corporation which has made application for them.

*b. Files salvage and disposal.* Unclassified files authorized for destruction, and exceeding 100 pounds in weight (approximately 4 linear feet), will be reported to the property disposal officer for determination as to whether disposition by sale or recycling is economically feasible. If the property disposal officer indicates reported quantities cannot be sold, disposition by other means is authorized. Disposal of FOUO information will be accomplished in accordance with the provisions of paragraph 10, AR 340-16. Classified documents will be destroyed according to the methods prescribed in DOD 5200.1-R and AR 380-5.

★*c. Donation of files.* Files eligible for destruction, that possess historical or sentimental value unique to any Government, organization, institution, corporation, or person, may be donated on the request of such agency or organization with the prior approval of The Adjutant Gen-

eral. All requests will include a description of the files, the organization possessing the files, and the agency to which the files are to be donated.

**3-5. Emergency or accidental disposal of records.** *a. Emergency disposal.* Pursuant to the Records Disposal Act of 1943, records in the custody of the Army outside the territorial limits of the continental United States may be destroyed at any time during the existence of a state of war between the United States and any other nation, or when hostile action by a foreign power appears imminent, if their retention is prejudicial to the interests of the United States. When emergency disposal is effected, a list of files destroyed and the inclusive dates of each file will be compiled to the extent possible. This list will be forwarded to HQDA (DAAG-AMR-P) WASH DC 20314.

*b. Accidental disposal.* In cases of accidental loss or destruction of files by fire or other causes, the following actions will be taken:

(1) Reconstruction of as much of the lost or destroyed permanent files as possible. For example, Organization Planning files will be reconstructed by replacing the lost or destroyed documents with reference copies maintained in other offices or other agencies. Other permanent files will be reconstructed in the same manner if the lost or destroyed documents can be identified and copies can be obtained from other sources.

(2) When it is not possible to reconstruct permanent files, they will be identified on an SF 135 (Records Transmittal and Receipt) at the time of transfer of records of the same date period to a records holding area or overseas records center. This information, in turn, will be

included on the SF 135 at the time of retirement of related records to a records center in the continental United States.

**3-6. Deviations from disposition instructions.** *a. Files less than 25 years old.*

(1) Installation commanders who have records holding areas are authorized to permit the accelerated transfer of files to records holding areas.

(2) Heads of organizations and commanders who have records administrators are authorized to approve requests of their staff elements, subordinate commands, or tenant activities for specific, limited deviations to prescribed records disposition instructions as indicated below. All other requests for deviations from records disposition standards prescribed in the AR 340-18 series require approval of The Adjutant General.

★(a) Extending the retention period of records having a 1, 2, 3, or 4 year retention standard for one additional year beyond the period prescribed in the AR 340-18 series.

(b) Holding records in the current files area up to 5 years.

(c) Retirement of records which have a short retention and are normally destroyed locally, but are being retained due to litigation or investigation. When such records are retired, an explanation will be entered on the records transmittal (SF 135).

*b. Files more than 25 years old.* The Adjutant General will be notified when files more than 25 years old are found, with the exception of those authorized for retention in the accumulating office in accordance with prescribed disposition instructions.

## Section II. SPECIAL FILES DISPOSITION PROCEDURES

**3-7. Disposition of joint records.** Certain records of joint agencies and commands are allocated to the Department of the Army by the Joint Chiefs of Staff; by interdepartmental agreement; or as a result of the Department of the Army acting as executive agent, management agent, administrative agent, exercising management control, or furnishing administrative support. The Army element responsible for

such joint records will dispose of them in accordance with instructions in paragraph 2-5 and other applicable regulations in the AR 340-18 series. All joint records eligible for retirement will be retired to the Washington National Records Center, GSA, unless another records center is specifically designated by instructions in other regulations in the AR 340-18 series.

which will not accompany the unit in the event of movement overseas. However, the inclusive dates for the records will not be entered in item 13; and items 4, 12, and 14 will not be completed until the unit prepares to move overseas.

**★3-16. Orders changing status. Rescinded.**

**3-17. Records transmittal lists of discontinued units.** Units being discontinued will furnish the next higher headquarters copies of all records transmittal lists reflecting records previously

transferred or retired, and those reflecting files transferred to successor organizations. Units reporting directly to HQDA being discontinued will forward one copy to HQDA (DAAG-AMR) WASH DC, 20314.

**3-18. TOP SECRET files.** Prior to discontinuance, all TOP SECRET documents will be reviewed for downgrading or declassification. Those which must retain the TOP SECRET classification will be transferred to the next higher headquarters.

pared only when essential to finding needs. Cross-references may be used when—

(1) A document pertains to more than one function or action, and it is probable that reference to the document may be by any of the functions or actions to which it pertains.

(2) A document pertains to individuals, organizations, or geographical locations, and is not filed by the name or names under which requests are anticipated.

(3) Classified papers having a direct relationship to unclassified material are filed separate from the unclassified material. Care will be taken to insure that classified information is not placed on cross-references to be filed in unclassified files.

(4) Papers with various dates which document a subfunction or action, which are directly related, are filed together.

(5) A document is reclassified from one file number or subdivision to another file number or subdivision.

*b. General cross-reference.* To avoid making repetitive cross-references, a general cross-reference will be made when all references to a name or subject are to be made to another name or subject. The cross-reference will indicate the file classification of the cross-reference and the words "Filed under" followed by the file classification to be referred to. For example:

207-01 Pine Camp, N.Y., filed under 207-01 Fort Drum, N.Y.

*c. Cross-reference forms.* Cross-references will be made on DA Form 1613 series (Cross-Reference). The DA Form 1613 series are 8 by 10½ inches and are printed in single sheets and in sets of two and three parts, carbon interleaved. They are designed for interfiling with correspondence or other records of comparable size.

**4-12. Consolidated cross-reference sheet.** In most filing operations, a separate sheet is used for each cross-reference. This requires a separate filing action to place each cross-reference in its proper location in the file. The consolidated cross-reference sheet procedure differs in that cross-references of identical classifications are entered in consecutive order on a sheet

maintained for that classification. This saves space, equipment, and supplies. However, when the sheets are out of file, finding the requested records may be difficult. DA Form 1614 (Consolidated Cross-Reference Sheet or List of Papers) is prescribed for use in preparing consolidated cross-reference sheets.

**4-13. Content listing sheet.** A content listing sheet is a cumulative index to papers in a folder or file subdivision. DA Form 1614 is the prescribed form for use as a content listing sheet. Because the content listing sheet requires a considerable amount of time to maintain, it is usually uneconomical. Consequently, content listing sheets are authorized only when the listed papers are filed in random sequence.

**4-14. Sorting papers for file.** After papers are arranged and fastened and any necessary cross-references are prepared, the papers and cross-references will be sorted and arranged in proper filing order. This speeds the filing of the papers and cross-references, and aids in locating papers rapidly in the event they are requested prior to filing. Detailed information on sorting methods and procedures are contained in appendix C.

**4-15. Use of guides and folders.** *★a. General.* The standard guides and folders prescribed in tables 5-1 will be used. To the maximum extent practicable, letter size folders and guides will be used for letter size material, whether letter or legal size file cabinets are used. Folders and guides will be reused to the maximum extent practicable, except that they will not be salvaged from files being transferred or retired.

*b. Guides.* Guides are used to divide files and identify each division so that filing and finding particular folders, papers, cards, or other file material are facilitated. In addition, guides provide support for the material in the file.

*c. Folders.*

(1) Folders are used to keep related papers together, to provide a guide to the papers by the label identification, and to protect the papers.

(2) When the material in any folder reaches the normal capacity of the folder, a second folder should be prepared. The second

folder should begin at a logical point, such as at the beginning of a month, calendar, quarter, etc.

(3) When a files series consists of documents pertaining to more than one individual or more than one serially numbered document, documents are normally filed in the same folder until the normal capacity of the folder has been reached. Included among the files series to which this instruction applies are informational personnel files, personal clothing record files, household shipment bill of lading files, purchase orders, and vouchers. Excluded are such files series, MPRJ files, and OPF files which use a folder especially designed for a single individual.

**4-16. Position of guides.** *a.* Guides will be arranged in files so that the tabs are in uniform position to the left side (first position) of the file drawer.

*b.* Guides normally are placed in a file at the beginning of each major functional files category. The guides will be labeled with the functional file category numerical classification. For example: Guides identifying the major functional files categories of Planning, Programing, Management, Historical, and Combat Development Files (described in AR 340-18-2); Military Personnel Files (described in AR 340-18-7); and Training and Education Files (described in AR 340-18-10) would be labeled as 200, 700, and 1000 respectively.

*c.* When the volume of material necessitates guides for primary subdivisions, the guides should be placed at logical breaking points and, as nearly as possible, at 4- to 6-inch intervals. Under TAFFS, the primary subdivision is the subfunctional category, represented by the two digits preceding the hyphens. The guides identifying these subdivisions would be labeled using the two element construction. For example: 1201, 1204, 1205, etc.

*d.* If a still more definitive breakdown is required, the functional file number identifying the individual files series would be used. For example: 902-01, 902-03, 902-06, etc.

*e.* When a large volume of records is accumulated under a single file number, a further subdivision may be necessary. This may be done

by subdividing the records alphabetically or numerically. If necessary, guides may be prepared reflecting this internal arrangement. As an exception to *a* above, guides with tabs in other than the first position may be used in subdividing large volumes of files accumulated under a single file number.

**4-17. Position of folder labels.** *a. The Army Functional Files System.* Under TAFFS, folder labels are placed in three positions to indicate where final disposition of the records will take place (fig. 4-1). The following rules govern the positioning of folder labels:

(1) *First position (left of center).* Files to be destroyed in the current files area.

(2) *Second position (center).* Files to be transferred to and destroyed in a records holding area or oversea records center. Offices of Headquarters, DA, and other organizations that are not serviced by a records holding area or oversea records center will *not* use the second position.

(3) *Third position (right of center).* Files to be retired to a records center in the continental United States.

(4) *Open shelf files.* As an exception to the above, all file labels may be placed in the first or third position, whichever is nearer the file aisle, when open shelf file equipment is used.

*b. Other systems.* Folders containing material arranged by systems other than TAFFS (for example, TOP SECRET material arranged by control numbers) will be labeled, as far as possible, in a pattern similar to that established in *a* above.

**4-18. Security classified papers.** Security classified papers will be filed in separate files and in separate file containers from unclassified papers. Exception to this instruction is permitted when the record of an action or transaction consists of both classified and unclassified papers and it is essential for reference purposes that both be filed together. The interfiling of unclassified and classified papers is restricted to those papers which directly support, explain, or document the record of the action or transaction. Further exceptions to the restriction on

filing unclassified papers in security containers are authorized by AR 340-4.

**4-19. Cover sheets.** Classified document cover sheet and similar cover sheets will be removed before papers are placed in file. Exception is permitted when papers are placed in suspense files or cases are placed in filing equipment pending completion of the action.

**4-20. Filing bulky material.** Bulky material will be filed separately in storage equipment suited to its size. This material may be maintained in file number, serial number, or date order. A cross-reference to the bulky material will be prepared and filed with the file papers, or a notation indicating location of the bulky material will be placed in a conspicuous location on the file papers. The bulky material should be marked to show storage location, file classification, and sufficient identifying information to associate it with the related file papers. A copy of the cross-reference prepared for the regular file can be attached to the bulky material to serve this purpose.

**4-21. Maintenance of records in libraries.** Record copies of publications or other documents will not be maintained as a part of library collections or manuscript collections in libraries or museums. This does not preclude the filing of extra copies of record materials in libraries or museums. However, when extra copies are maintained, they will be distinctly marked "LIBRARY COPY" or "MUSEUM COPY" to insure their distinction from the record copy.

**★4-21.1. Maintenance of files by fiscal year. Rescinded.**

**★4-22. Arrangement—General.** The filing arrangements described in paragraphs 4-23 through 4-31 are intended and authorized for use in identifying subdivisions of a file number under TAFSS. They are also authorized for use as primary file arrangements for TOP SECRET records and for records of multinational organizations such as NATO, SEATO, and CENTO.

**★4-22.1 Arrangement restrictions.** Files in the AR 340-18 series which are also described in AR 340-21, The Army Privacy Program, are arranged for retrieval by personal identifier. AR 340-21 contains systems notices prepared according to the provisions of the Privacy Act and published in the *Federal Register*. Other files in the AR 340-18 series will not be arranged for retrieval by personal identifier until they are included in AR 340-21.

**4-23. Subject-alphabetic arrangement.** In identifying subdivisions of a TAFSS file number, the subject headings selected should be meaningful and helpful in filing and finding papers. It is often desirable to arrange the subjects alphabetically, first by broad subject and thereunder by subject. *For example:* Bayonet, Basic; and Bayonet, Refresher might be logical subdivisions of Training Operation files, file number 1002-02. When used as a primary file arrangement, as might be done for TOP SECRET files, subject-alphabetic files should be identified first by broad group or function and thereunder by subfunction. *For example:* Personnel, Military, Promotion; Training, Bayonet, Basic; Training, Bayonet, Refresher.

**4-24. Proper name arrangement.** Files maintained by names of persons will be arranged alphabetically by surname and thereunder by first name and middle initial in accordance with the standard rules for alphabetical filing contained in appendix A. Where several identical names occur, they may be further arranged by Social Security account number, date of birth, or by some other distinguishing feature. Divisions of the alphabet are contained in appendix B.

**4-25. Geographical locale arrangement.** When papers are referred to by name of geographical location, one of the following arrangements will be used:

*a.* Alphabetically, first by geographical areas, major commands, countries, territories, etc., and thereunder by progressively specific designation and name, as required. *For example:* Far East—China, Japan, Okinawa; First US Army

—Fort Dix, Fort Eustis, Fort Lee; France—Cherbourg, Paris.

b. By specific name of location, and thereunder alphabetically by general name or location. *For example: Springfield, IL; Springfield, MA; Springfield, MO; Washington, DC; Washington, PA; Washington, VA.*

**4-26. Organizational arrangement.** When reference to papers is primarily by Army or civilian organizational designation, one of the following arrangements will be used:

a. *Army organizations, tactical units, and installations.*

(1) Alphabetically by general type of organization (e.g., band, company, depot) and thereunder alphabetically or numerically by the specific name or number of the organization. The general type of organization is usually determined by the last word of the designation. *For example: Frankford Arsenal, Redstone Arsenal, 82nd Quartermaster Company, 101st Quartermaster Company, Atlanta Army Depot.* Where there are both numbered and named organizations or units of the same general type, the numbered series will be filed before the named series. *For example: 25th Station Hospital would precede DeWitt Army Hospital.*

(2) Alphabetically by name of designation, regardless of the general type of organization. *For example: Atlanta Army Depot, DeWitt Army Hospital, Frankford Arsenal, Tobyhanna Army Depot.*

(3) Numerically by number designation and thereunder alphabetically by general type of organization. *For example: 3d Infantry Regiment, 25th Infantry Division, 25th Station Hospital, 25th Artillery Regiment, 101st Quartermaster Company.*

b. *Civilian organizations.* Instructions for arranging papers by designation of civilian organization are contained in appendix A.

★4-27. **General. Rescinded.**

**4-28. Date arrangement.** The arrangement of papers in date order usually is applied to

papers in the smallest file subdivision, such as a case or folder. Reference or disposition needs may require that some entire files be maintained in an overall date order. In this instance, papers will be arranged first by year and thereunder by month and day of the month.

**4-29. Straight numerical arrangement.** Under this method, papers are arranged in straight numerical sequence; 1, 2, 3, 4, 5, etc. This method is used generally when less than 10,000 papers a year are filed in numerical sequence. Such papers as purchase orders and papers filed by Army unit numbers are particularly suited to this arrangement.

**4-30. Duplex number arrangement.** A duplex number consists of two or more parts, separated by a dash, space, or a comma. *For example: 611-201; 096 10 2594; 100,20,300.* Under this method, papers are arranged in straight numerical sequence by the first part of the number, and thereunder by succeeding parts of the number. *For example: papers numbered 36-1-1, 1-100-2, and 30-9960 would be arranged in the following sequence: 1-100-2, 30-99-60, and 36-1-1.* Army regulations are filed under this method. Other examples of duplex numbers are social security numbers and functional file numbers.

**4-31. Terminal digit arrangement.** Serially numbered documents may be filed by terminal digit as well as by the conventional method of filing in consecutive numeric sequence. The terminal digit is the last digit in a number (e.g., in 74923, "3" is the terminal digit). Conventional filing of numbered documents requires reading the number from left to right. When filing by terminal digit, however, the document number is read from right to left, normally in groups of two or three digits. Voluminous records, such as contracts, bills of lading, X-ray film, and selected personnel-type records are types of records which are frequently filed by terminal digit. Detailed information is provided in appendix D.



### Section III. REFERENCE PROCEDURES

**4-32. General.** The effectiveness of any file or file room operation can be judged in large measure by the speed and accuracy with which requested files or information can be found and furnished. The procedures in this section are designed to provide rapid and efficient files reference services.

**4-33. Submission of requests.** Requests for files should be written directly on the form used to charge out files to avoid rewriting the information later. Complete information needed to locate and charge out the requested material should be obtained from the requester. Information needed to act on a request includes—

- a. Identification of material and file classification, if known.
- b. Name of writers (organization or individual).
- c. Date of paper (specific or approximate).
- d. Requester's name, organization, location, and telephone number.

**4-34. Charge-out record.** *a. General.* A charge-out record will be made and substituted for all papers removed from a file for reference purposes. Information entered on the charge-out record is used for locating the file material that is removed from the file.

*b. Forms.*

(1) *DA Form 543 (Request for Records).* This form will be used for all papers charged-out when suspense control is required. Entries on this form may be typewritten or handwritten. The top sheet (original) is attached to the file material and serves as a routing form and cover sheet. The second sheet (first carbon copy) is retained in the files area and filed in a followup or suspense file. The bottom sheet (second carbon copy) is placed in the filing location from which the file material is removed.

(2) *Optional Form 23 (Charge-out Record).* This form will be used for papers charged out when suspense control is not desired. Normally, it is unnecessary to maintain suspense control on documents charged out for use within a files area or for short-term reference (3 days or less) outside of a files area. Optional

Form 23 is placed in the filed location from which the file material is removed. When charged-out papers are refiled, the entries on the form are lined out, and the form is then available for re-use. Optional Form 23 in the file should be checked frequently to insure that file material is not kept out of the file for excessively long periods, particularly if file material is loaned to persons outside the immediate organization.

(3) *Optional Form 24 and 25 (Shelf File Charged-Out Record).* These forms are shelf file charge-out records for letter and legal size files respectively. They may be used in lieu of Optional Form 23 when open shelf equipment is used.

**4-35. Cover for charged-out files.** Generally, DA Form 543 affords adequate protection for contents of unclassified files, and cover sheets normally will not be used when files are charged-out.

**4-36. Charge-out suspense and followup.** *a. General.* The charge-out system utilizing DA Form 543 involves a suspense and followup procedure to control loaned records. A uniform followup or tracing time for charged out material should be established. Papers which have been out of file for the tracing period (usually 5 to 10 days) should be traced to prevent loss.

*b. Suspense file.*

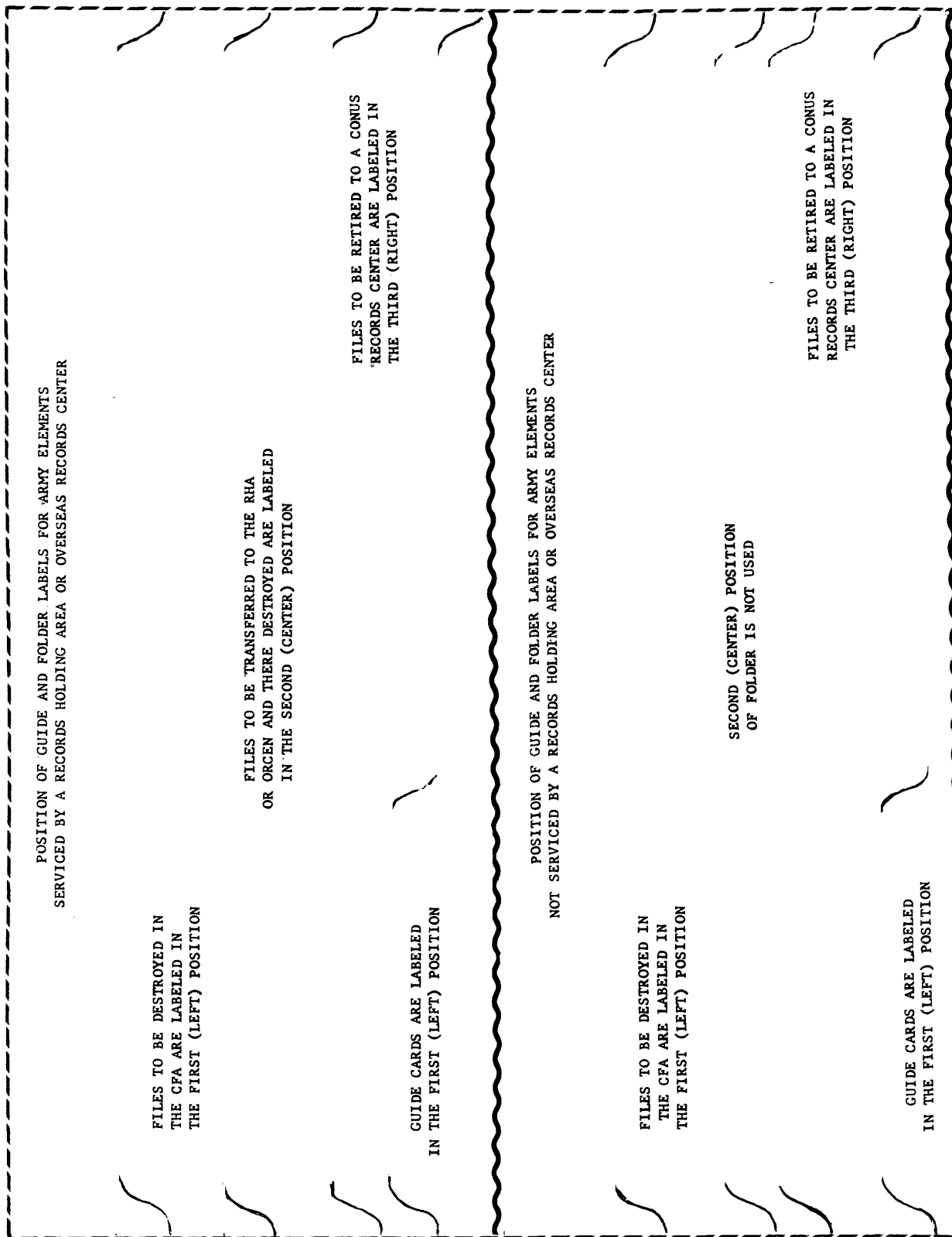
(1) The suspense file facilitates the tracing of material. This file will consist of the first carbon copy of each DA Form 543 representing charged-out papers. This copy will be filed by the suspense or tracing date established for the papers that are loaned. In instances when the requester indicates an estimate of the time that the papers will be used, the estimated date of return may be established as the suspense or tracing date.

(2) When the established suspense or tracing date is reached, the suspense copy of the charge-out will be withdrawn from the file and the individual to whom the papers are charged will be contacted by telephone, personal visit, or through the use of DA Form 1874 (Tracer of Overdue Records) to determine the date the

borrowed papers will be returned. This date will be noted in item 6 of the suspense copy of DA Form 543 and the form will be refiled in the suspense file according to the new suspense date.

*c. Clearing the suspense files.* Charged-out material returned to file normally will be sent first to the suspense file for removal and de-

struction of the suspense copy of the charge-out. Returned material should be checked for completeness and unrelated papers which may have become attached. The file material will then be refiled and the second carbon copy of the charge-out form removed from the file and destroyed.



POSITION OF GUIDE AND FOLDER LABELS FOR ARMY ELEMENTS SERVICED BY A RECORDS HOLDING AREA OR OVERSEAS RECORDS CENTER

FILES TO BE DESTROYED IN THE CFA ARE LABELED IN THE FIRST (LEFT) POSITION

FILES TO BE TRANSFERRED TO THE RHA OR ORCEN AND THERE DESTROYED ARE LABELED IN THE SECOND (CENTER) POSITION

FILES TO BE RETIRED TO A CONUS RECORDS CENTER ARE LABELED IN THE THIRD (RIGHT) POSITION

GUIDE CARDS ARE LABELED IN THE FIRST (LEFT) POSITION

POSITION OF GUIDE AND FOLDER LABELS FOR ARMY ELEMENTS NOT SERVICED BY A RECORDS HOLDING AREA OR OVERSEAS RECORDS CENTER

FILES TO BE DESTROYED IN THE CFA ARE LABELED IN THE FIRST (LEFT) POSITION

SECOND (CENTER) POSITION OF FOLDER IS NOT USED

GUIDE CARDS ARE LABELED IN THE FIRST (LEFT) POSITION

FILES TO BE RETIRED TO A CONUS RECORDS CENTER ARE LABELED IN THE THIRD (RIGHT) POSITION

Figure 4-1

## CHAPTER 5

### RECORDS TRANSFER AND RETIREMENT PROCEDURES

#### Section I. GENERAL

**5-1. Purpose.** This chapter provides procedures for the packing and shipping of records to records holding areas, oversea records center, CONUS records centers, and other organizations. These procedures are applicable to all elements of the Department of the Army, except those organizations governed by AR 340-2.

**5-2. Clinical, outpatient, dental, and X-ray files.** In addition to applicable instructions in this chapter, special instructions in AR 340-18-9 also apply.

**5-3. Classified files.** ★*a. TOP SECRET.* TOP SECRET files will not be retired to a records center until reduced to a lower classification, except those in oversea commands and those which are to be deposited in the Defense Investigative Service, the Training Material Support Division, Training Aids Management Agency, and the USASA Records Center (see

*c* below). When TOP SECRET files are retired to a records center, transmission and accountability will be in accordance with DOD 5200.1-R and AR 380-5. Listing and receipting will be governed by instructions in this chapter for SECRET files.

*b. SECRET and CONFIDENTIAL.* Instructions for listing, receipting, packing, and shipping material of these classifications are contained in subsequent paragraphs of this chapter.

★*c.* Files containing *Special Intelligence* documents, to include TOP SECRET, will only be retired to the USASA Records Center. Transmission and accountability will be in accordance with AR 380-35.

**5-4. FOR OFFICIAL USE ONLY files.** Files bearing the FOUO protective marking will be packed in the manner prescribed in this chapter for unclassified files.

#### Section II. SUPPLIES

**5-5. General.** Standard folders, guides, labels, fasteners, binders, and label holders described in table 5-1 will be used by all activities. In those exceptional cases where nonstandard materials are more efficient and/or economical, their use will be justified in writing and approved by the records manager.

**5-6. Forms.** SF 135 will be used for transferring or retiring records to records holding areas, records centers, and other organizations or agencies. When more than one page is required, SF 135A (Records Transmittal and Receipt—Continuation) will be used. SF 135 and SF 135A will be obtained through normal publications channels. Instructions for the preparation of these forms are provided in sections

III through VI. A sample completed form is illustrated in figure 5-1.

**5-7. Shipping containers and related supplies.** The standard records shipping containers and related supplies described below will be used for the transfer of files to records holding areas and oversea records centers, and for the retirement of files to records centers in the continental United States. They will be obtained through normal supply channels. Federal records centers of the General Services Administration will not accept records that are merely wrapped and tied, or shipped in odd-sized containers, except as outlined in paragraph 5-8.

*a. Fiberboard boxes.*

(1) For shipping computer tape records:

Box, fiberboard, special purpose tuck-bottom, 14 $\frac{3}{4}$ "  $\times$  11 $\frac{3}{4}$ "  $\times$  11 $\frac{3}{4}$ ", NSN 8115-00-117-8347.

(2) For shipping small-sized paper records: Box, fiberboard, 14 $\frac{3}{4}$ "  $\times$  9 $\frac{1}{2}$ "  $\times$  4 $\frac{7}{8}$ ", NSN 8115-00-117-8338. (This box is commonly known as the "half-size" box.)

(3) For shipping letter-size and legal-size paper records: Box, fiberboard, metal-stapled overlap joint, 200-pound test, 15"  $\times$  12"  $\times$  10", NSN 8115-00-290-3379.

*b. Sealing tapes.*

(1) *Gummed kraft paper tape.* The tape below may be used to seal fiberboard boxes containing files to be transferred to records holding areas. Boxes containing files to be retired to records centers will be resealed with the pressure sensitive tape, described in (2) below, at the time the files are prepared for shipment from the records holding area. Care will be exercised to insure that readily removable gummed kraft paper tape is completely removed from such boxes. Gummed kraft paper tape will be procured at the rate of one roll (200 yards) for each lot of 135 fiberboard boxes, or fraction thereof. The description of the tape is as follows:

Gummed kraft paper tape, medium duty, 200 yard roll, 3-inches wide; NSN 8135-00-270-8717.

(2) *Pressure sensitive tape.* The tape described below will be used to seal fiberboard boxes containing files retired to records centers.

### Section III. RECORDS TRANSMITTAL LISTS FOR TRANSFER OF RECORDS TO RECORDS HOLDING AREAS AND OVERSEA RECORDS CENTERS

**5-9. General.** *a.* This section prescribes procedures for preparing and distributing records transmittal lists to records holding areas and oversea records centers.

*b.* SF's 135 and 135A will be typewritten. All ribbon copies of the forms relating to a shipment will be fastened together in box number sequence to form a consolidated records transmittal list. Carbon copies of the forms will be fastened together in the same manner.

*c.* When classified information is disclosed on SF's 135 or 135A by reference to long titles and classification of specific classified documents, the forms will be classified according to the degree of classified information disclosed. SF's

This tape also will be used for sealing fiberboard boxes containing files to be transferred to oversea records centers from installations, activities, organizations, and units in oversea commands. The tape will be procured at the rate of one roll (120 yards) for each lot of 80 fiberboard boxes, or fraction thereof. The description of the tape is as follows:

Tape, pressure sensitive, water resistant, paper; 3-inch width; 120-yard roll; NSN 7510-00-297-6656.

*c. Banding tape.* The tape described below will be used for reinforcing sealed boxes transferred to oversea records centers or retired to records centers in CONUS.

Tape, pressure sensitive, filament reinforced; 1-inch width; 60-yard roll; NSN 7510-00-290-8036.

*d. Containers for shipping boxes of records.* Records shipped to CONUS records centers from an oversea location will be packed in TRIWALL containers, NSN-8115-00-774-6562. CONEX containers will not be used.

**5-8. Shipping containers for odd-size documents.** When the size of the documents being shipped precludes the use of the containers described in paragraph 5-7a, the documents will be securely packed and shipped in a manner that will preclude damage en route. Boxes for odd-size documents should be selected from those listed in the GSA stock catalog.

135 and 135A prepared for transmittal of classified files will not be classified when—

(1) Information entered on the form in itself does not disclose classified information. An indication of the degree of classification of records on SF's 135 or 135A is not considered classified information.

(2) Files, titles, or descriptions entered on SF's 135 or 135A are the same as those contained in unclassified Department of the Army records management directives.

(3) General descriptions of classified files are used and such descriptions do not identify the long title and classification of specific classified documents.

*c. Entries.*(1) *Accession numbers.*

(a) Staff agencies and their field operating agencies in the Washington, DC area will enter the inclusive accession number of the shipment in the block titled "ACCESSION number" in the upper right portion of the form. The accession numbers consist of three parts: The record group number assigned by National Archives; the fiscal year number; and 3-digit sequential number. For each record group, the 3-digit sequential accession number will begin with 001 and continue consecutively through the fiscal year. For example, the record group number assigned to The Judge Advocate General is 153, so the first accession number used by The Judge Advocate General for Fiscal Year 1976 would be 153-76-001, and the second number would be 153-76-002. HQDA Staff agencies assigned an exclusive record group number are responsible for the development and assignment of accession numbers. The Director of the Army Staff (DACS-DMS) will control and assign accession numbers to HQDA Staff agencies sharing Record Group No. 319.

(b) Each file described by file number and title in item 13, SF's 135 and 135A, is considered a file series. A different accession number will be assigned to each file series retired to the Washington National Records Center, except for "mixed series" accessions ((d) below).

(c) When records in the same series that were accumulated during 2 or more years are retired, they will have different disposal dates. Therefore, a different accession number will be assigned for each disposal date.

(d) A "mixed series" accession is a shipment which consists of more than one file series to a box and is assigned one accession number. When a shipment includes one to five boxes, it may be given the same accession number and titled "mixed series" accession, provided no more than 5 boxes are grouped into one accession.

(2) *Record group numbers.* Enter the records center's record group number in the block entitled "RECORD GROUP NUMBER" located in the upper right portion of the form.

(3) *"FROM" block.* Enter the shipper's name and mailing address in the "FROM" block.

(4) *"TO" block.* Enter address, including ZIP code, of the records center. A substitution does not need to be made for "Federal Records Center, GSA."

(5) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these also should be entered.

(6) *Item 2.* Enter an "x" in the appropriate block to indicate the type of space being cleared.

(7) *Item 3.* Enter an "x" in the appropriate block to indicate the type of filing equipment emptied.

(8) *Item 4.* Enter the total number of boxes covered by the transmittal. If records are not packed in the standard box described in paragraph 5-7a(3), enter the linear feet of records.

(9) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(10) *Item 6.* Enter the building and room number in which the records to be transferred or retired are located.

(11) *Item 7.* Enter telephone number of shipper.

(12) *Item 8.* Enter an "x" in the "yes" box.

(13) *Item 9.* The records official responsible for the transfer or retirement of records will sign in item 9.

(14) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(15) *Item 11.* Enter the date that the records transmittal is prepared.

(16) *Item 12.* Enter the box number of the first box of the shipment in the column entitled "AGENCY." Assign consecutive box numbers to each file series beginning with box number "1." For example, enter "1/9" for box 1 of a nine-box accession. In packing records, begin each "files series" in a separate box. All records in a box should have the same disposal date except for a "mixed series" accession ((1)(d) above).

(17) *Item 13. (Name of the organization.)* Enter the name of the organization that created the records. "Headquarters, Department of the Army" will be used by Headquarters, Department of the Army agencies.

★(18) *Item 13. (Privacy Statement.)* The following statement must be included here for files subject to the provisions of the Privacy Act and *included in AR 340-21 as a records system*: "These records are an accretion to a system of records previously retired to the records center and the information previously submitted by Headquarters, Department of the Army is still applicable." If the shipment relates to a system of records included in AR 340-21, *not* previously retired, the following statement will be included in lieu of the above: "These records are the initial shipment of a new system of records subject to the Privacy Act." If the files are a system of records, as defined in paragraph 1-5i, AR 340-21, and are not covered by a system notice in appendixes B or C of that regulation, retirement will be deferred and HQDA (DAAG-AMR-P) WASH DC 20314 will be notified promptly. DAAG-AMR-P will arrange for preparation of an applicable system notice or provide special maintenance and disposition instructions.

(19) *Item 13. (Historical data.)* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters, and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent change of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(20) *Item 13. (Certification of classification review.)* The certification of classification review prescribed in paragraph 3-602, DOD 5200.1-R and paragraph 2-11, AR 380-5 will be entered as the next item.

(21) *Item 13. (Organizational elements.)* Enter complete title of organizational element, and underline. For example, use "Policy

Branch, Management and Evaluation Division, Plans and Policy Directorate, Office of the Chief of Research, Development, and Acquisition." Use only authorized abbreviations. When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(22) *Item 13. (Files description.)* Enter the accession number assigned to the file series before listing the file description. The file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc.) will be entered next. The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in the Department of the Army records management directives, a title and a general description of the files will be entered. If the records series is contained in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(23) *Item 14.* Enter "AR 340-18 series" on first line. If permanent files are being retired, begin the following statements on the next line: "The Adjutant General Center, Department of the Army (TAGCEN) is reviewing disposal standards in the AR 340-18 series to determine if the present retention standards for permanent records should be changed. TAGCEN is submitting appropriate documentation on a scheduled basis." For each permanent records description, enter "Permanent."

**5-16. Preparing lists (Army field elements).** *a. Separate transmittals.* Prepare separate SF's 135 for the following categories of records:

(1) *SECRET permanent.* However, if there are fewer than ten boxes in this category, a single SF 135 may be prepared for SECRET and CONFIDENTIAL permanent files.

(2) *SECRET nonpermanent.* However, if there are fewer than ten boxes in this category, a single SF 135 may be prepared for SECRET and CONFIDENTIAL nonpermanent files.

(3) *CONFIDENTIAL permanent.*

(4) *CONFIDENTIAL nonpermanent.*

(4) *Unclassified permanent.*

(6) *Unclassified nonpermanent.*

b. *Number of copies.* Prepare four copies. One additional copy will be made on discontinuance.

c. *Entries.*

(1) *"FROM" block.* Enter name and address, including ZIP code, of shipper.

(2) *"TO" block.* Enter address, including ZIP code of records center.

(3) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these should also be entered.

(4) *Item 2.* Enter an "x" in the appropriate block to indicate type of space cleared.

(5) *Item 3.* Enter an "x" in the appropriate block to indicate the type of filing equipment emptied.

(6) *Item 4.* Enter the total number of boxes covered by the transmittal. A partially-filled box will be counted as one box. If records are not packed in the standard boxes described in paragraph 5-7a(3), enter the linear feet of records.

(7) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(8) *Item 6.* Enter the building and room number in which the records to be retired are located.

(9) *Item 7.* Enter the telephone number of the shipper. Include area code.

(10) *Item 8.* Enter an "x" in the yes box.

(11) *Item 9.* The records official responsible for the retirement will sign.

(12) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(13) *Item 11.* Enter the date the transmittal is prepared.

(14) *Item 12.* Enter the box number of the first box of the shipment in the "AGENCY" column. The box number will reflect its relationship to the overall shipment (e.g., 1/9). Enter the next box number when the description of the contents of the box has been completed. The box number need not be repeated when the box contains several items described in item 13. However, when the description of the contents of a box is carried forward to another page, the

box number will be carried over to the new page.

(15) *Item 13.* The first entry will be the name of the organization that created the records. The following instructions govern the entry of the name of the organization and other information in item 13:

(a) *Name of the organization.* Enter the name of the organization that created the records. For example, "1st Battalion, 1st Infantry" or "Headquarters, US Army Engineer Center and Fort Belvoir." The name of the organization may differ from the organization named in the "FROM" block if it was discontinued and its records are being transferred or retired by another organization.

(b) *Historical data.* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters, and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent changes of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(c) *Certification of classification review.* The certification of classification review prescribed in paragraph 3-602, DOD 5200.1-R and paragraph 2-11, AR 380-5 will be entered as the next item.

(d) *Organizational elements.* Enter complete title of organizational element, and underline. For example, "Training Division, Directorate of Plans and Training." Use only authorized abbreviations. When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(e) *Files description.* Enter the file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical etc.). The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in the Department of the Army records management



directives, a title and a general description of the files will be entered. If the records series is packed in more than one box, the contents of each box (eg., A-K, L-Z, 1-250, 251-500) will be indicated.

(16) *Item 14.* Enter "AR 340-18 series" on the first line. If permanent files are being retired, begin the following statements on the next line: "The Adjutant General Center, Department of the Army (TAGCEN) is reviewing disposal standards in the AR 340-18 series to determine if the present retention standards for permanent records should be changed. TAGCEN is submitting appropriate documentation on a scheduled basis." For each permanent records description, enter "Permanent."

**5-17. Distributing lists (HQDA Staff agencies and their field operating agencies in the National Capital Region).** *a.* Under normal circumstances (i.e., other than discontinuance)—

(1) Forward the original and two copies to the Washington National Records Center, WASH, DC 20409 in time to arrive not later than three weeks prior to the date the files are delivered. WNRC will return a copy.

(2) One copy will be retained by the office retiring the files until the copy reflecting acknowledgement of receipt is received from WNRC.

*b. On discontinuance.* Distribute copies according to *a* above and forward one copy to the records manager of the next higher headquarters.

**5-18. Distributing lists (Army field elements).** *a. Under normal circumstances (i.e., other than discontinuance)—*

(1) Forward the original and two copies to

the Washington National Records Center, WASH, DC 20409. (Records will *not* be shipped at this time.) WNRC will return copy #3 bearing an accession number(s) within one week after they receive the lists. If WNRC's approved SF's 135 are not received within 15 working days, notify HQDA (DAAG-AMR-P), WASH, DC 20314 (AUTOVON 223-1937), telephonically through the major command records administrator.

(2) One copy will be retained by the office retiring the files until the copy bearing the accession number is received from WNRC.

*b. On discontinuance.* Distribute copies according to *a* above and forward 1 copy to the records manager of the next higher headquarters. Commands reporting directly to HQDA being discontinued will forward one copy to HQDA (DAAG-AMR), WASH, DC 20314.

**5-19. Including supplemental data when organizational status has changed.** Attach the following to the transmittal to be forwarded:

*a.* Organization chart showing the new organizational relationship.

*b.* Listing showing files transferred to another organization or retired directly to a Federal records center, when applicable.

**5-20. Receipts for SECRET documents.** Commanders or organizational heads will determine whether SECRET documents being retired must be identified individually. If so, each must be listed separately on the SF 135 and SF 135A. WNRC will sign this form, but will not sign other types of classified document receipts. Where possible, documents will be retained until downgraded to CONFIDENTIAL or declassified.

## Section V. RECORDS TRANSMITTAL LISTS FOR RETIREMENT OF RECORDS TO FEDERAL RECORDS CENTERS OTHER THAN WNRC.

**5-21. General.** *a.* This section prescribes procedures for preparing and distributing records transmittal lists to the Federal records centers other than WNRC.

*b.* SF 135 and SF 135A will be typewritten. All ribbon copies of the forms relating to a shipment will be fastened together in box number sequence to form a consolidated records

transmittal list. Carbon copies of the forms will be fastened together in the same manner.

*c.* The policy for assigning a security classification marking to SF 135 and SF 135A is stated in paragraph 5-9c.

**5-22. Preparing lists.** *a. Separate transmittals.* Prepare a separate SF 135 for the following

categories of records.

(1) Classified records.

(2) Unclassified records, except Civil Works Site Audit Files (file number 313-02).

(3) Civil Works Site Audit Files.

b. *Number of copies.* Prepare four copies. One additional copy will be made on discontinuance.

c. *Entries.*

(1) "*RECORD GROUP NO.*" For Civil Works Site Audit Files, file number 313-02, enter Record Group No. "217." (These files become GAO property when they have served their Department of the Army purposes.) This block will be left blank on transmittals of other records.

(2) "*FROM*" block. Enter name and address, including ZIP code, of shipper.

(3) "*TO*" block. Enter address, including ZIP code of records center.

(4) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these should also be entered.

(5) *Item 2.* Enter an "x" in the appropriate block to indicate type of space cleared.

(6) *Item 3.* Enter an "x" in the appropriate block to indicate the type of filing equipment emptied.

(7) *Item 4.* Enter the total number of boxes covered by the transmittal. If records are not packed in the standard boxes described in paragraph 5-7a(3), enter the linear feet of records.

(8) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(9) *Item 6.* Enter the building and room number in which the records to be retired are located.

(10) *Item 7.* Enter the telephone number of the shipper. Include area code.

(11) *Item 8.* Enter an "x" in the yes box.

(12) *Item 9.* The records official responsible for the retirement will sign.

(13) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(14) *Item 11.* Enter the date the transmittal is prepared.

(15) *Item 12.* Enter the box number of the first box of the shipment in the "AGENCY" column. The box number will reflect its relationship to the overall shipment (e.g., 1/9). Enter the next box number when the description of the contents of the box has been completed. The box number need not be repeated when the box contains several items described in item 13. However, when the description of the contents of a box is carried forward to another page, the box number will be carried over to the new page.

(16) *Item 13.* The first entry will be the name of the organization that created the records. The following instructions govern the entry of the name of the organization and other information in item 13:

(a) *Name of the organization.* Enter the name of the organization that created the records. For example, "1st Battalion, 1st Infantry" or "Headquarters, US Army Engineer Center and Fort Belvoir." The name of the organization may differ from the organization named in the "FROM" block if it was discontinued and its records are being transferred or retired by another organization.

★(b) *Privacy statement.* The following statement must be included here for files subject to the provisions of the Privacy Act and included in AR 340-21 as a records system: "These records are an accretion to a system of records previously retired to the records center and the information previously submitted by Headquarters, Department of the Army is still applicable." If the shipment relates to a system of records included in AR 340-21 not previously retired, the following statement will be included in lieu of the above: "These records are the initial shipment of a new system of records subject to the Privacy Act." If the files are a system of records, as defined in paragraph 1-5i, AR 340-21 and are not covered by a system notice in appendixes B or C of that regulation, retirement will be deferred and HQDA (DAAG-AMR-P) WASH DC 20314 will be notified promptly. DAAG-AMR-P will arrange for preparation of an applicable system notice

or provide special maintenance and disposition instructions.

(c) *Historical data.* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent changes of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(d) *Certification of classification review.* The certification of classification review prescribed in paragraph 3-602, DOD 5200.1-R and paragraph 2-11, AR 380-5 will be entered as the next item.

(e) *Organizational elements.* Enter complete title of organizational element, and underline. For example, use "*Training Division, Directorate of Plans and Training.*" Use only authorized abbreviations. When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(f) *Files description.* Enter the file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc.). The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in the Department of the Army records management directives, a title and general description of the files will be entered. If the records series is contained in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(17) *Item 14.* Enter "AR 340-18 series" on the first line. If permanent files are being

retired, begin the following statements on the next line: "The Adjutant General Center, Department of the Army (TAGCEN) is reviewing disposal standards in the AR 340-18 series to determine if the present retention standards for permanent records should be changed. TAGCEN is submitting appropriate documentation on a scheduled basis." For each permanent records description, enter "Permanent."

**5-23. Distributing lists.** *a. Under normal circumstances (i.e., other than discontinuance)—*

(1) Transmittals reflecting Civil Works Site Audit Files (file No. 313-02).

(a) Original and three copies of the form will be sent to the designated records center in advance of the shipment with a request for approval of a definite shipping date for the records.

(b) One copy will be retained by the organization retiring the files.

(2) Transmittals reflecting files other than Civil Works Site Audit Files (file No. 313-02).

(a) The original and duplicate will be forwarded to the Federal records center 3 weeks in advance of the shipment.

(b) Triplicate will accompany the files.

(c) Quadruplicate will be retained by the organization retiring the files.

*b. On discontinuance.* Distribute copies according to *a* above and forward one copy to the records manager of the next higher headquarters.

**5-24. Including supplemental data when organizational status has changed.** Attach the following to the transmittal to be forwarded:

*a.* Organization chart showing the new organizational relationship.

*b.* Listing showing files transferred to another organization or retired directly to a Federal records center, when applicable.

## Section VI. RECORDS TRANSMITTAL LISTS FOR TRANSFER OF RECORDS TO ORGANIZATIONS OTHER THAN RECORDS HOLDING AREAS OR RECORDS CENTERS

**5-25. General.** *a.* This section prescribes procedures for preparing and distributing records transmittal lists to organizations other than records holding areas or records centers.

*b.* SF 135 and SF 135A will be typewritten. All ribbon copies of the forms relating to a shipment will be fastened together in box number sequence to form a consolidated records

transmittal list. Carbon copies of the forms will be fastened together in the same manner.

c. The policy for assigning a security classification marking to SF 135 and SF 135A is stated in paragraph 5-9c.

d. Provisions in chapter 3 govern intra-Army records transfers and records transfers to other Government agencies.

**5-26. Preparing lists.** a. *Number of copies.* Prepare three copies. One additional copy will be made on discontinuance.

b. *Entries.*

(1) *"FROM" block.* Enter name and address, including ZIP code of shipper.

(2) *"TO" block.* Delete "Federal Records Center, GSA" and enter the address of the gaining organization.

(3) *Item 1.* If transmittal covers classified records, enter highest security classification. If records are unclassified, enter "Unclassified." If any special restrictions are imposed on use of the records, these should also be entered.

(4) *Items 2 and 3.* Omit.

(5) *Item 4.* Enter the total number of boxes covered by the transmittal. A partially filled box will be counted as one box.

(6) *Item 5.* Enter the name of the individual who is custodian of the records listed thereon.

(7) *Item 6.* Enter the building and room number in which the records to be transferred are located.

(8) *Item 7.* Enter the telephone number of the shipper.

(9) *Item 8.* Enter an "x" in the appropriate box.

(10) *Item 9.* The records official responsible for the transfer will sign.

(11) *Item 10.* Enter the title of the official preparing the records transmittal. Signature of this official will appear in item 9.

(12) *Item 11.* Enter the date the transmittal is prepared.

(13) *Item 12.* Enter the box number of the first box of the shipment in the "AGENCY" column. The box number will reflect its relationship to the overall shipment (e.g., 1/9). Enter the next box number when the description of the contents of the box has been com-

pleted. The box numbers need not be repeated when the box contains several items described in item 13. However, when the description of the contents of a box is carried forward to another page, the box number will be carried over to the new page.

(14) *Item 13.* The first entry will be the name of the organization that created the records. The following instructions govern the entry of the name of the organization and other information in item 13.

(a) *Name of the organization.* Enter the name of the organization that created the records. For example, "Directorate of Plans and Training."

(b) *Historical data.* Indicate any historical data involving the organization that created the records, including dates of and authorities for events during the period covered by the records listed on SF 135. Examples of historical data are activation, changes of command channels, names and locations of next higher headquarters, and inclusive dates of command jurisdiction, transfer of functions, dual operating functions, changes of mission, redesignation, permanent changes of station, discontinuance, disbandment, and inactivation. On each successive retirement of records, bring historical background information up to date.

(c) *Organizational elements.* Enter complete title of organizational element, and underline. For example, use "Training Division, Directorate of Plans and Training." When the records listing is complete for one organizational element, enter the next organizational element on the second line below the last entry.

(d) *Files description.* Enter the file number, title, year of accumulation, and filing arrangement (i.e., alphabetical, numerical, etc). The title will be the same as that shown in the Department of the Army records management directives. When files are not identified in Department of the Army records management directives, a title and general description of the files will be entered. If the records series is contained in more than one box, the contents of each box (e.g., A-K, L-Z or 1-250, 251-500) will be indicated.

(15) *Item 14.* Enter "AR 340-18 series" on the first line. Enter disposition information

opposite each description in item 13. For permanent files, enter "Permanent" and time records are to be retired (e.g., Permanent. Retire January 1977).

**5-27. Distributing lists.** *a. Under normal circumstances (i.e., other than discontinuance)—*

(1) Forward original and duplicate to gaining organization.

(2) Retain triplicate.

*b. On discontinuance.* Distribute copies ac-

ording to *a* above and forward one copy to the records manager of the next higher headquarters.

**5-28. Receipts for SECRET documents.** Receipts will be prepared for SECRET documents in accordance with DOD 5200.1-R and AR 380-5. The original and duplicate of the receipt will be forwarded with the records transmittal forms and the triplicate will be suspended by the organization transferring the records pending receipt of the signed original.

## Section VII. PACKING AND SHIPPING PROCEDURES

★**5-29. General.** This section prescribes procedures for packing and shipping records to records holding areas, records centers, and other organizations. Not less than 10 boxes of records will be shipped to a Federal records center. (*Records forwarded in envelopes, tied packages, or in other flimsy containers will not be accepted.*) Records in current files areas, records holding areas, and oversea records centers which are eligible for retirement to a Federal records center will be retained until at least 10 boxes are available for shipment. They should then be placed in containers or transporters and shipped by other than United States mail so as to prevent the boxes from becoming separated in transit.

*Note.* The 10-box restriction does not apply to shipments of personnel-type records retired to the National Personnel Records Center.

**5-30. Packing records in fiberboard boxes.** *a.* Records will be arranged in file number sequence. Letter and legal size papers will be packed as shown in figure 5-2.

*b.* The dimensions of the corrugated fiberboard box are such that when the containers are filled to capacity with files, no packing material is required between the files and the inner walls of the box. In instances when it is necessary to ship partially filled boxes, the space between the files and the inner walls of the box will be packed with crumpled or wadded paper or other suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, wax paper, additional file material, or surplus file folders

will not be used as packing material. Boxes will be filled to capacity when sufficient files are available. However, care will be exercised to insure that boxes are not packed so tight that files cannot be serviced while in the containers.

**5-31. Special instructions for classified files.** *a. General.* The shipment of large quantities of unclassified material in classified shipments is prohibited. TOP SECRET files will not be shipped to Federal records centers.

*b. Headquarters, Department of the Army agencies and other organizations in the National Capital Region.*

(1) When the Washington National Records Center assumes custody of records at the shipper's site, the following procedure will govern:

(*a*) Files classified SECRET or CONFIDENTIAL, of sufficient volume to warrant use of the records shipping container described in paragraph 5-7*a*(3) will be placed in fiberboard boxes.

(*b*) The boxes will be sealed, marked, and labeled in the manner indicated in subsequent paragraphs of this section. Storage after packing, pending pickup by records center personnel, will be in accordance with DOD 5200.1-R and AR 380-5.

(*c*) Authorized records center personnel will sign for the records shipment at the time physical custody is assumed.

(2) When the Federal Records Center does not assume custody of records at the shipper's site, the procedures prescribed in *c*(1) and (2)

below for files of Army field commands will be followed.

*c. Army field commands.*

(1) Files classified SECRET or CONFIDENTIAL, of insufficient volume to warrant use of the records shipping container in paragraph 5-7a(3), will be wrapped in heavy brown paper and tied securely. Paper will completely cover the files, preventing their disclosure to view; the paper will be sealed and marked in accordance with DOD 5200.1-R and AR 380-5.

(2) When files classified SECRET or CONFIDENTIAL are to be shipped in fiberboard boxes, the files will be wrapped in two packages of approximately equal dimensions. The boxes will be sealed in the manner indicated in paragraph 5-33. No indication of the classified nature of the contents will be placed on the outside of the box.

**5-32. Closing and sealing records shipping boxes.**

*a.* Except as indicated in *d* below, prior to the shipment of files to records centers, each box will be sealed and banded with the tape described in paragraph 5-7. The use of liners or pads inside the boxes is not authorized. However, when boxes are not filled to capacity, the packing material specified in paragraph 5-30a(2) will be used to fill the empty space in the box.

*b.* One 19-inch strip of tape will be used to seal each top and bottom flap seam of the box. The tape strip will be centered and adhered over flap seams allowing approximately 2 inches on each end of the strips to adhere to the surface ends of the box.

*c.* When a heavy-duty stapling machine is available, it may be used in lieu of tape for fastening the bottom flaps of the fiberboard box. However, staples will not be used for fastening the top of the box.

*d.* When shipping unclassified records to the Washington National Records Center, agencies in the National Capital Region may interlock the top flaps of fiberboard boxes in lieu of sealing them. The bottom flaps of boxes will be sealed as prescribed in *b* or *c* above. The tops of boxes containing classified files will be sealed with the tape described in paragraph 5-7b(2).

**5-33. Marking records shipping boxes with identifying information.** *a. General.* The con-

tents of the box will be reflected on the records transmittal list rather than on the box itself.

*b. Box number.* Each box of records being shipped to a records holding area or records center will be marked with a box number. The number will be related to the overall shipment (e.g., 1/4, 2/4) and will be entered on one end of the box in the upper right-hand corner.

*c. Accession number.* Each box of records being shipped to the Washington National Records Center will bear an accession number as well as a box number. HQDA Staff agencies and other Army elements in the National Capital Region will use a number from the block of accession numbers assigned by the Army Staff Records Administrator. Other Army elements will use the number placed on the copy of the approved records transmittal list returned to them by WNRC. The accession number will be placed in the upper left corner of one end of the box (the 12-inch side).

**5-34. Stenciling or labeling boxes for mail or freight shipments.** *a. Freight shipments.*

(1) Each box will be stenciled or labeled clearly, using an address label, indicating name and address of the shipper, designation, and address of the receiving records center, gross weight, outside cubic measurement of container, and the number of the box in relation to the entire shipment; e.g., "Box 1/4," "Box 3/4."

(2) When stenciling is used on a fiberboard box, the information prescribed in (1) above will be stenciled over the top flap of the box after the flaps have been secured by the sealing tape prescribed in paragraph 5-7b(2).

(3) When a shipping label is used on a fiberboard box, the information prescribed in (1) above will be placed on the label which will be firmly attached to the top of the box with glue or other suitable adhesive material.

(4) When filled to capacity with records, the fiberboard box weighs approximately 25 pounds. The outside cubic measurement of this container is 1 cubic foot.

*b. Mail shipments.* Each box will be labeled with a standard mailing label showing the address of the appropriate records center.

**5-35. Shipping procedures.** *a. General.* Records will be shipped by rail/motor freight, using

Government bills of lading, within CONUS. TRIWALL containers will be used for oversea records shipments. Mail will be avoided where possible because of the possibility of some boxes being separated from the shipment while in transit.

*b. Special instructions for shipping SECRET and CONFIDENTIAL records.*

(1) Files classified SECRET or CONFIDENTIAL will be shipped by a carrier using Armed Surveillance Service, after advance arrangements have been made with the carrier for special protection from the time the files leave the hands of the consignor until delivered to the consignee. If this method is impracticable in any given instance, any method authorized by DOD 5200.1-R and AR 380-5 for transmission of material of a particular classification may be used.

(2) Files containing cryptographic documents and messages may be shipped provided that, in all instances, they are accompanied by an officer courier in addition to armed guard(s).

*c. Special instructions for Army field elements shipping records to WNRC.*

(1) Receipt of copy No. 3 of the SF 135 from WNRC bearing the accession number authorizes the shipper to send the records identified thereon to WNRC. The following steps will then be taken:

(a) Enter the appropriate WNRC accession number on the end of each box (the 12" side).

(b) Make a copy of the approved SF 135 and place it in the first box of the shipment.

(c) Ship the records as one unit within 30 days after receipt of SF 135. If unforeseen circumstances prevent shipment within 30 days, send a copy of the approved SF 135 with an explanation to HQDA (DAAG-AMR-P), WASH DC 20314, so that action can be taken to revoke the WNRC accession number.

(2) WNRC will furnish the shipper copy No. 2 of SF 135 as a receipt which will show MNRC warehouse locational data for the records, in addition to the accession numbers. The shipper will annotate copy No. 3 with the locational data and forward the form to HQDA (DAAG-AMR-S), WASH DC 20314.

Table 5-1. Standard Filing Supplies

Folders	Fasteners
Folder, file, Letter size, manila, vertical plain bottom, 9.5-point, $\frac{3}{4}$ -inch expansion, $9\frac{1}{2}$ x $11\frac{3}{4}$ inches, square cut. NSN 7530-00-291-0098	Fastener, paper, spaced, prong-type, base only without compressor, $2\frac{3}{4}$ inches between prongs, 1- or 2-inch capacity. NSN 7510-00-223-6815 1-inch capacity. NSN 7510-00-223-6814 2-inch capacity.
Folder, file, Legal size, manila, vertical, plain bottom, 9.5-point, $\frac{3}{4}$ -inch expansion, $9\frac{1}{2}$ x $14\frac{3}{4}$ inches, square cut. NSN 7530-00-285-1732	Compressor, spaced prong, paper fastener, metal, $2\frac{3}{4}$ inches between prongs. NSN 7510-00-291-0140
Folder, file, Letter size, kraft, vertical, plain bottom, 11-point, $\frac{3}{4}$ -inch expansion, $9\frac{1}{2}$ x $11\frac{3}{4}$ inches, square cut. NSN 7530-00-663-0031	Binders
Folder, file, Legal size, kraft, vertical, plain bottom, 11-point, $\frac{3}{4}$ -inch expansion, $9\frac{1}{2}$ x $14\frac{3}{4}$ inches, square cut. NSN 7530-00-200-4308	Binder, looseleaf, three-ring, canvas-bound or stiff black coated, cloth bound, 11 x $8\frac{1}{2}$ inches, 1- or 2-inch capacity. NSN 7510-00-188-6945 1-inch canvas bound. NSN 7510-00-188-6955 2-inch canvas bound. NSN 7510-00-281-6180 1-inch black coated, cloth bound. NSN 7510-00-530-8881 2-inch black coated, cloth bound.
Folder, file, Letter size, kraft, reinforced self-tab, 11-point, square-cut, for shelf files. NSN 7530-00-881-2957	Label Holders
Folder, file, Legal size, kraft, reinforced self-tab, 11-point, square-cut, for shelf files. NSN 7530-00-926-8975	Label holder, slip-on type, for use with binders, 1- or 2-inch. NSN 7510-00-281-5972 1-inch. NSN 7510-00-272-3044 2-inch.
Guides	<i>Note.</i> Standard filing supplies listed above will be used when practicable. Requests for nonstandard supplies will include the reasons that standard items cannot be used. Requests must be approved by the records management officer prior to procurement.
Card, guide, file, pressboard, gray, unprinted, 25-point, self-tab, $\frac{1}{3}$ -cut, first position, without lower projection, $9\frac{1}{2}$ x $11\frac{3}{4}$ inches. NSN 7530-00-988-6515	★The letter and legal size kraft vertical folders should be used for storing records that are kept for longer periods of time; otherwise, the manila folder should be used.
Card, guide, file, pressboard, gray, unprinted, 25-point, self-tab, $\frac{1}{3}$ -cut, first position, without lower project, $9\frac{1}{2}$ x $14\frac{7}{8}$ inches. NSN 7530-00-988-6520	
Card, guide, file, pressboard, gray, with metal shelf hook, for shelf files. NSN 7530-00-989-0184	
Folder Labels	
Label, rectangular, fanfold, white, pressure sensitive, 1 x $3\frac{1}{2}$ inches. NSN 7530-00-082-2661	



(2) *File cabinets.* Security file cabinets may be used for the maintenance of classified records in records holding areas. File cabinets will not be used for maintaining unclassified records.

*c. Other accessories.* Ladders, carts, or combination ladder-carts of a suitable size and type may be used in order to facilitate removal and use of containers. Such devices will provide the necessary safety features, and may be procured from local commercial sources.

**6-9. Administrative files.** Only those administrative files listed in this paragraph will be maintained by records holding areas. Their disposition will be governed by the standards contained in AR 340-18-2.

*a. Locator and disposition file.* This file consists of the original copies of SF 135 arranged by designation of the headquarters, installation, activity, or unit whose records are in the custody of the records holding area. The purpose of this file is to facilitate location and disposition of records holdings. No other files will be maintained for this purpose.

*b. Charge-out suspense file.* This file consists of suspense slips (duplicate copies of DA Form 543 (Request for Records)) filed by the dates that files on loan are to be returned to the records holding area. The purpose of this file is for followup on records that are not returned by the due dates.

**6-10. Receiving procedures.** ★*a. Packing lists.* SF 135 will be prepared by the transferring activity in the manner prescribed in paragraphs 5-5 through 5-35.

*b. Transfers of files.*

(1) Files will be transferred to records holding areas in January and October of each year.

(2) Arrangements for the movement of files to the records holding area normally will be made by the transferring activity.

*c. Locator information.* Upon receipt of the records and the records transmittal, location numbers will be assigned to the boxes of records and entered in column 12 of the records

transmittal in the locator and disposition file. The boxes then will be stored according to assigned location numbers and the original SF 135 will be filed in the locator and disposition file.

**6-11. Disposition procedures.** *a. Disposal.* Records eligible for disposal will be destroyed or salvaged in January and October of each year. To determine records eligible for disposal, a review of the records transmittals in the locator and disposition files will be made just prior to the end of each calendar and fiscal year. Files to be destroyed or salvaged will not be screened to reclaim file folders and fasteners, nor will paper-by-paper screening be accomplished to reduce the volume of temporary papers in permanent files. Classified files will be destroyed by any method authorized in DOD 5200.1-R and AR 380-5. FOUO files normally will be destroyed by tearing. If a substantial quantity of FOUO material is involved, the files may be shredded or destroyed in any manner authorized for the disposal of classified material.

*b. Retirement.*

(1) Records in records holding areas will be retired as prescribed in chapter 5. Every effort will be made to have records with disposal standards of over 10 years that were created by units and activities that have been discontinued or reduced to zero strength, or that are no longer stationed at the installation, retired on the next scheduled retirement date. The review for disposal made pursuant to *a* above will serve also to determine records to be retired to the Washington National Records Center on the next regular retirement date.

(2) New SF's 135 will be prepared in the manner prescribed in paragraphs 5-5 through 5-20 for records to be retired to Washington National Records Center.

*c. Posting of disposition action.* When records are destroyed or retired to a records center, this information will be posted to the copies of the records transmittals in the locator and the disposition files.

**6-12. Reference service.** *a. Hours of operation.* So far as practicable, records holding areas will be open for reference service only part-

time. Those receiving 20 or fewer requests a week should be open only 5 hours a week. Those receiving more than 20 requests a week should be open 1 additional hour for every four additional requests.

*b. Requests for information.* Routine requests for information from the files will be handled by telephone when possible. Inquiries of a technical nature requiring written extracts from records should be handled by personnel of the activities that transferred the files. Files should be used to the fullest extent possible in the records holding area, thereby keeping the loan of files to a minimum. Correspondence service in a records holding area will be restricted to the absolute minimum.

*c. Loan of files.*

(1) When records are loaned outside the records holding area, a DA Form 543 will be

prepared in triplicate. The transfer slip (original) will be fastened to the records loaned. The suspense slip (duplicate copy) will be filed in the suspense control file under the date that the file is due for return. The charge-out slip (triplicate copy) will be placed in the box from which the files are removed. If files are in binders, the entire contents of the binder will be loaned without the removal of individual papers. Normally, files loaned will be delivered through regular messenger channels or picked up by the requester. When the files are returned, they will be placed in the original location and all copies of DA Form 543 destroyed.

(2) Every effort will be made by personnel of the records holding area to have loaned records returned to the records holding area prior to retirement of files to a records center.

### Section III. OVERSEA RECORDS CENTER OPERATING PROCEDURES

**6-13. Space.** Space selected for overseas records centers must be weathertight and, if practicable, of fire resistive construction. Holes in walls and floors should be sealed as a minimum precaution against insects and rodents. If insects are found among the records, immediate extermination should be accomplished, using a dry base insecticide. The amount of space assigned for overseas records center use will be restricted to the minimum required for the records in the center and for the personnel responsible for center operations. Maximum space utilization can be achieved by using the equipment described in paragraph 6-8 and by limiting aisles between shelving units to 34 inches or less.

**6-14. Equipment.** *a.* Steel shelving described in paragraph 6-8*a* will be used in overseas records centers to a maximum extent practical. When ceiling height or floorload capacity will not permit the use of shelving 10 shelves high, units with fewer shelves may be used.

*b.* Records received in overseas records centers in fiberboard boxes will be shipped in these boxes to records centers in the Continental United States in TRIWALL containers described in chapter 5.

**6-15. Administrative files.** The administrative files listed in this paragraph will be maintained by overseas records centers. The disposition of the files will be governed by the standards contained in AR 340-18 series.

*a. Locator file.* This file consists of the original copies of SF 135 arranged by designation of the headquarters, installation, activity, or unit whose records are in the custody of the overseas records center. The purpose of the file is to facilitate the location of records holdings.

*b. Disposition control file.* This file contains the duplicate copies of the consolidated records transmittals which are filed in numerical sequence by box location numbers. This file is used to determine the records that are eligible for destruction or for retirement to a records center in the Continental United States.

*c. Charge-out suspense file.* See paragraph 6-9*b*.

**6-16. Receiving procedures.** The receiving procedures for overseas records centers will be the same as those prescribed in paragraph 6-10 for records holding areas, *except* that box location numbers also will be entered in column 12 of the duplicate SF 135. These records transmit-

## CHAPTER 7

### REPORTING PROCEDURES

#### Section I. GENERAL

**7-1. Purpose.** This chapter contains the requirements for reporting status and progress of records management in the Army.

**7-2. Use of data.** Data received in these reports

are used as a basis for reporting to the Administrator of General Services in accordance with regulations issued by the Administrator pursuant to Title V—Federal Records, Public Law 754, 81st Congress.

#### Section II. SUMMARY OF RECORDS HOLDINGS

##### ★Requirement Control Symbol 1094-GSA-AN (DA Form 3471)

**7-3. General.** This report will be prepared for records of all elements of the Army, except organizations governed by AR 340-2.

**7-4. Officials who furnish reports to HQDA.** Heads of Department of the Army Staff agencies and major Army commanders will submit consolidated reports of records holdings to HQDA (DAAG-AMR-P). The report will reflect data for his/her immediate office or headquarters and each organization under the commander's jurisdiction. For the purpose of this report, officials will obtain information from organizations that are under the records management jurisdiction of other commands. For example: Commander, US Army Materiel Development and Readiness Command will report records holdings of a DARCOM activity located on and supported by a TRADOC installation.

**7-5. Feeder reports.** Organizations which furnish HQDA records holdings reports will obtain feeder reports from agencies, activities, installations, or units under their command jurisdiction. Due dates will be established.

**7-6. Report format and content.** The Summary of Records Holdings will be prepared on DA Form 3471. The report will contain data on

the volume of records measured in linear (running) feet for current files areas and records holding areas (if applicable) in the following categories:

- a. On hand beginning of report period.
- b. Transferred to Federal records centers or National Archives.
- c. Destroyed.
- d. On hand end of report period.
- e. Number of reels of magnetic computer tape. (All reels of magnetic tape, regardless of size, will be reported.)

**7-7. Copies prepared.** The report will be prepared in duplicate. The original will be furnished the next higher echelon and a copy will be retained for file.

**★7-8 Frequency and due date.** The report will be prepared every fifth year, as of 31 Aug for years ending in 4 and 9; e.g., 1974, 1979. The report will contain data as of the date of preparation. Consolidated reports will be dispatched to HQDA (DAAG-AMR-P) WASH DC 20314 not later than 10 workdays after the close of the reporting period. *Oversea commands will transmit the report by airmail.*

**7-9. Instructions for preparation.** *a.* All letter and legal size records will be reported in linear (running) feet. Linear measurements of card records, maps, and other odd-size material will be converted to the letter-size equivalent. This will be accomplished by computing the number of cubic inches of material (not cubic inches of the container) and dividing by 1,008. The result will be the number of linear feet that should be reported.

*b.* When filled to normal working capacity, file drawers with an outside depth of 25 inches will be considered to house  $1\frac{1}{2}$  linear feet of records; file drawers with an outside depth of 28 inches, 2 linear feet of records.

*c.* All fractions of linear feet will be converted to the nearest full linear foot. Fractions less than one-half foot will be disregarded; fractions of one-half foot or more will be converted to the next higher linear foot.

*d.* Card records housed in vertical file equipment and in visible record files will be reported in accordance with the following equivalents:

- 6 running feet of 5" × 3" cards will be reported as 1 linear foot.
- 2 running feet of 8" × 5" cards will be reported as 1 linear foot.
- 4 running feet of 6" × 4" cards will be reported as 1 linear foot.

3 running feet of  $7\frac{1}{2}$ " ×  $3\frac{1}{4}$ " EAM cards will be reported as 1 linear foot.

80 trays of 5" × 3" cards with 80 to 90 pockets per tray will be reported as 1 linear foot.

40 trays of 8" × 5" cards with 60 to 75 pockets per tray will be reported as 1 linear foot.

55 trays of 6" × 4" cards with 70 to 80 pockets per tray will be reported as 1 linear foot.

*e.* Records that are received, filed, and later forwarded to another element of the Department of the Army as a matter of operating procedure will be reported (e.g., personnel record jackets, financial folders, and similar records).

*f.* The volume of reference publications files will *not* be reported.

*g.* Stocks of publications and blank forms maintained for the purpose of issue to requesters will not be reported.

*h.* Library material will not be reported in this report. For purposes of this regulation, library material is defined as all reference material in formally organized and officially designated libraries.

*i.* All magnetic tapes, regardless of size, *will* be reported.

*j.* All files, including records of TOE units maintained in records holding areas, will be reported.

File No.	Description	Disposition
	Documents similar to the categories listed above that do not pertain to the performance of the mission functions of the office and that are not described elsewhere in this appendix.	
101-03	<p><b>Office inspection and survey files.</b> Documents relating to inspecting and surveying internal office administrative procedures. Included are:</p> <p>Extracts of IG and command inspection reports, security inspection reports, safety inspection reports, or comparable communications that pertain only to the performance of house-keeping operations within the office, including communications about pending inspections.</p> <p>Management survey reports and similar documents that are applicable to internal office procedures, layout, work flow patterns, and comparable matters.</p>	Destroy after the next comparable survey or inspection.
101-04	<p><b>Duty reporting files.</b> Documents prepared by duty officer of the day, administrative officer of the day, or by personnel performing charge of quarters duty. Included are daily activity reports and journal sheets containing a running account of the activities performed, and similar or related documents.</p>	Destroy after 6 months or on discontinuance, whichever is first.
101-05	<p><b>Housekeeping instruction files.</b> Documents relating to the preparation and issue of office memorandums or comparable continuing instructions that are applicable only to internal administrative practices and housekeeping details within the preparing office. Included are copies of the instructions and communications relating to them.</p> <p><i>Note.</i> This file number is not applicable to instructions prepared by the office that are issued on an agency-wide, command-wide, command headquarters-wide, installation-wide, or activity-wide basis. Neither is it applicable to instructions concerning the performance of mission functions of the office even though they may be issued as standing operating procedures or in comparable format.</p>	Destroy on supersession or obsolescence.
101-06	<p><b>Office organization files.</b> Documents relating to the organization and function of an office, such as copies of documents which are duplicated in the comptroller, management, or comparable office charged with determining the organization and functions of the agency. Included are copies of functional charts and functional statements; copies of documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; copies of tables of distribution and allowances; and similar papers. Also included are documents reflecting minor changes in the organization of the office which are made by the office chief and which do not require evaluation and approval by the comptroller-type office.</p>	Destroy when superseded, obsolete, or no longer needed for reference.
101-07	<p><b>Office records transmittal files.</b> Copies of records transmittal lists reflecting files transferred or retired.</p>	Destroy when records listed thereon have been destroyed, or destroy on discontinuance, whichever is first.
101-08	<p><b>Record access files.</b> Documents received or prepared by an office that show name, grade, and other identification of individuals authorized access to official records, particularly classified material. Included are requests for access and approvals thereof, rosters of individuals authorized access, and similar documents.</p>	Destroy on supersession or obsolescence of the authorization document; or on transfer, separation, or relief of the individual concerned.

File No.	Description	Disposition
101-09	<p>Security container record files. Forms placed on safes, cabinets, or vaults containing security classified documents and used for providing a record of entry into the containers.</p> <p><i>Note.</i> Folder labels need not be placed on these individual forms.</p>	<p>Destroy the day following the last entry on the form, except forms involved in an investigation will be retained until completion of the investigation.</p>
101-10	<p>Security container information files. Up-to-date records of all office safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.</p>	<p>Destroy on supersession or on turn-in of the container.</p>
101-11	<p>Office classified document receipt files. Receipts for classified documents issued or transferred. If classified document receipts are used <i>concurrently</i> as a register/control file, they will be identified and disposed of under file number 101-12.</p>	<p>Destroy in CFA after 2 years.</p>
101-12	<p>Office classified document register/control files. Documents reflecting the identity and location of classified documents for which the office is accountable. Included are DA Form 455, 3964, and similar forms used for control.</p>	<p>Destroy in CFA 2 years after all classified documents recorded thereon have been transferred, destroyed, declassified or entered on a new sheet.</p>
101-13	<p>Temporary internal receipt files. Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing classified documents in an office or headquarters. Such loans are normally of short duration and the borrowed documents are often returned within the same workday.</p>	<p>Destroy on return of the classified document to the individual or office making the loan.</p>
101-14	<p>Office nonregistered classified document destruction certificate files. Forms or other documents accumulated by an office which reflect the destruction of classified documents.</p>	<p>Destroy in CFA after 2 years.</p>
101-15	<p>Office mail control files. Documents which relate to the control of incoming and outgoing mail by offices other than official mail rooms and postal activities. Included are routing and suspense slips, records of messenger trips, and similar documents. In rare cases, they may also include copies of receipts for accountable mail; e.g., registered, certified, and numbered insured mail.</p>	<p>Accountable mail receipts: Destroy in CFA after 2 years. Other documents: Destroy after 3 months.</p>
101-16	<p>Office financial files. ★Documents that relate to the participation of offices in matters concerning the expenditure of funds incidental to the performance of the mission of the office, such as itineraries and cost estimates for travel and notifications to budget offices of funds required for travel; requests for long-distance telephone funds, notification from budget offices of telephone funds that are available, and reports of long-distance telephone calls.</p>	<p>Destroy after 1 year, or on discontinuance, whichever is first.</p>
101-17	<p>Office service and supply files. Documents relating to ordinary supplies and equipment used by an office; office space and utilities; communications, transportation, custodial, or other services required by an office; and to the general maintenance of an office. Included are:</p> <p>Requests to supply activities for supplies, receipts for supplies and equipment, and similar papers per training to office supply matters.</p> <p>Requests and other documents concerning the issue of keys and/or locks to an office.</p>	<p>Destroy 1 year after completion of action; earlier disposal is authorized except pinpoint distribution files (DA Form 12 series) which will be destroyed when superseded or obsolete.</p>

File No.	Description	Disposition
	Requests for publications and blank forms, and other papers relating to the supply and distribution of publications to the office.	
	Documents relating to local transportation and drayage services required by, or available to an office.	
	Documents relating to custodial services required by an office.	
	Requests for office space and similar routine documents related to office space.	
	Requests for installation of telephones, floor plans showing location of office telephone extensions, requests for change to telephone directories, and similar papers.	
	Documents relating to the modification, repair, or change of office heating, lighting, ventilation, cooling, electrical, and plumbing systems.	
	Documents relating to painting, partitioning, repairing, or other aspects of maintaining the office physical structure.	
	Documents relating to other logistical-type services required by, or provided to an office.	
101-18	Office property record files. Cards, lists, hand receipts, or comparable documents showing accountable property charged to the office.	Destroy when superseded, obsolete, or when the property is turned-in, whichever is first.
101-19	Office equipment approval and utilization files. Documents related to approval and use of office property. Included are documents reflecting approval of such items of equipment as office copiers; documents reflecting individual and cumulative repairs, adjustments, and usage of items of office equipment; and similar or related documents.	Destroy when superseded, obsolete, or upon disposal of the related item of equipment, whichever is first.
101-20	Classified matter inventory reporting files. Documents used to report the results of physical inventories conducted to assure all classified matter is accounted for.	Destroy after next inventory or upon discontinuance, whichever is first.
101-21	Security classification regrading files. Documents authorizing the regrading of security classified documents. Included are DA Form 1575, circulars, and other authorizing documents.	Destroy in CFA 3 years after all documents have been annotated.
101-22	Office management system files. Documents related to the use and approval of office management systems. Included are documents reflecting approval of a miniaturization system, a word processing system, or similar system.	Destroy when system is no longer in effect.
101-23	Office space assignment record files. Documents reflecting administrative space assigned to an office. Included are space assignment records and similar or related documents.	Destroy when superseded or obsolete.
101-24	Office file numbers files. Approved lists of selected file numbers reflecting file numbers in the AR 340-18 series which represent the functions performed by the office.	Destroy when superseded by a new list or on discontinuance, whichever is first.
	<i>Note.</i> Lists of selected file numbers may be filed in the front cabinet drawer. When this option is chosen, the file number will be omitted.	

## 102 OFFICE PERSONNEL FILES

The files described in this subgroup are maintained by operating officials and are used in administering military and civilian employees of the organizational segments which are under their control.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
102-01	Office general personnel files. Documents that relate to the day-to-day administration of military personnel and civilian employees in individual offices. Included are papers that relate to attendance at work, copies of reports of attendance and overtime, and notices of holidays and hours worked; notices about participation in athletic events and employee unions; notifications and lists of employees to receive Government medical services, including X-rays and immunizations; notices and lists of individuals to receive training; and comparable or related papers.	Destroy after 1 year, or on discontinuance, whichever is first.
102-02	Office personnel register files. Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave, and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.	Destroy after 6 months; earlier disposal is authorized.
102-03	Office personnel locator files. Documents reflecting the name, address, telephone number, and similar data for each office employee. Included are cards or sheets containing such information.	Destroy on separation or transfer of the individual.
★102-04	Supervisor/manager employee record files. Documents containing information pertaining to individual civilian employees which are duplicated in or generated in support of actions recorded in the Official Personnel Folder or related personnel files maintained in a civilian personnel office. Each file is maintained by employee name and contains: <ol style="list-style-type: none"> <li>a. Cards that provide complete information relative to employees, positions, and actions in process. Included are Standard Form 7B (Service Record), and DD Form 1435 (Cryptographic Maintenance Training and Experience Record), when required.</li> <li>b. Notices that individuals have been cleared for access to classified material, other documents related to personnel security, retained copies of reports, and other papers relating to individual injuries, letters of appreciation and commendation, records reflecting training received by individuals, documents reflecting assigned responsibilities of individuals, copies of performance appraisals and/or counseling, and duplicate forms filed in the Official Personnel Folder.</li> </ol>	<p>Review at end of each year and destroy documents which have been superseded or are no longer applicable.</p> <p>When employee leaves the activity through transfer or other separation, the file will be forwarded to the servicing personnel office maintaining the Official Personnel Folder. There it is to be screened to assure it contains no documents that should be permanently filed in the official personnel folders.</p> <p>Employees separated for military service who have restoration rights: Withdraw and place in file number 102-06.</p> <p>Employees transferred to organizational elements within the same appointing authority on an installation: Forward to gaining operating official.</p> <p>Employees separated or transferred from the installation or to an activity on an installation having different appointing authority: Destroy, except that DD Form 1435 will be forwarded to the gaining authority within the Federal Government.</p>



<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
102-05	<b>Job description files.</b> Documents describing positions in an office that are used in day-to-day supervisory relationships. Included are copies of DA Form 374 (Job Description) for civilian personnel and comparable job description forms for military personnel.	Destroy on abolishment of position, supersession of job description, or when no longer needed for reference.
102-06	<b>Separation for military service files.</b> Standard Form 7B (Employee Record Card) used in considering employees separated for military service for position change actions in absentia.	Return to active file if employee is restored at expiration of the obligation period. Destroy if not restored.
102-07	<b>Pending request files.</b> Operating officials' or suspense copies of Standard Form 52 (Request for Personnel Action) for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.	Destroy on receipt of notification of completion of requested personnel action.
102-08	<b>Office personnel information files. Rescinded.</b> Use 102-04 or 102-13.	
102-09	<b>Duty roster files.</b> Documents used for recording recurring and routine duties performed by personnel within an office, including special duties performed on a rotating basis.	Destroy 3 months after last entry or on discontinuance, whichever is first.
102-10	<b>Standard of conduct files.</b> Documents relating to procedures used to assure that all personnel fully understand the standards of conduct and ethics required of them. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood.	Destroy after the next periodic application of the procedure, 1 year after obsolescence of the procedure, or on discontinuance of the office, whichever is first.
102-11	<b>Security awareness files.</b> Documents relating to procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memo indicating that the regulations are understood.	Destroy after the next periodic application or on inactivation of the office, whichever is first.
102-12	<b>Temporary duty travel files.</b> Copies of request and authorization for military personnel TDY travel and civilian personnel TDY and PCS travel, similar issuances, and related documents pertaining to travel.	Destroy after 1 year or on discontinuance, whichever is first.
★102-13	<b>Office military personnel files.</b> Documents relating to the supervision of military personnel performance duty in a staff office. Included are papers pertaining to classification, promotion, orders, sponsors, indebtedness, leave, enlistment, waivers, statement of service, bonus, evaluations, identification, group life insurance, applications for appointment, application for outside employment, academic and individual training reports and instructor evaluations, and related documents.	Destroy 1 year after transfer or separation of individual.

*Note.* For Privacy Act purposes, this files series is covered by system notice A0708.03bDAPC.

## 103 OFFICE REFERENCE FILES

This subgroup describes files maintained to provide a source of reference materials readily available to the office.

<i>File No.</i>	<i>Description</i>	<i>Disposition</i>
103-01	Reference publication files. Copies of publications issued by any element of the Army, other Government agencies, and non-Governmental organizations maintained for reference within an office.	Destroy when superseded, obsolete, or no longer needed for reference purposes, except that accountable publications will be returned to supply channels.
103-02	Technical material reference files. Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, charts, and maps retained for reference purposes only.	Destroy when superseded, obsolete or no longer needed for reference, except that accountable material will be returned to supply channels.
103-03	Reading files. Copies of outgoing communications, arranged chronologically, and maintained for periodic review by staff members.	Destroy after 1 year. Earlier disposal is authorized.
103-04	Office message reference files. Copies of incoming and outgoing messages maintained in numerical or chronological order for references purposes in offices other than signal communications centers, message centers, and official mail rooms. This description does not include official record copies of messages which must be filed in the appropriate mission files of the office.	Destroy after 1 year. Earlier disposal is authorized.
103-05	Policy and precedent files. Extra copies of documents establishing policy or precedent for future and continuing action. Normally, policy and precedent files are maintained at the operating level, and consist of copies of standing operating procedures, statements of policy or procedure, examples of typical cases, and other documents duplicated in functional files.	Destroy individual documents when superseded or obsolete. Destroy entire file on discontinuance of organizational elements to which it relates.

## APPENDIX F

### RECORDS CENTER LISTING

<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
<p>A-1. US Army Reserve Components Personnel and Administration Center, 9700 Page Blvd. St. Louis, MO 63132</p>	<p>a. Individual official military personnel folders of members of the USAR and retired officers.</p> <p>b. Individual Military Personnel Jackets (field files) of members of the Individual Ready Reserve (except Ready Reserve members residing in the European and Pacific areas, including Hawaii, and Officer Active Duty Obligor), Standby Reserve, and Retired Reserve.</p> <p>c. Morning reports and personnel rosters for the last 3 years.</p> <p>d. Reserve unit attendance files dating generally from 1951.</p> <p>e. Morning reports of organized Reserve Corps units for period 1949-1953 and those for Reserve units for ADT dating from 1952.</p> <p>f. Archival and personnel-type records of persons who served in the Army of the United States, or Philippine Commonwealth Army guerrilla units during the World War II period.</p>	<p>The Adjutant General is responsible for the custody and administration of files maintained at the US Army Reserve Components Personnel and Administration Center.</p>
<p>A-2. Training Material Support Division, USA Training Aids Management Agency, Tobyhanna Army Depot Tobyhanna, PA 18466</p>	<p>Army motion picture photographic files.</p>	<p>Commanding General, US Army Training and Doctrine Command is responsible for custody of these files.</p>
<p>A-3. US Army Audio-Visual Agency Pentagon</p>	<p>Army still picture photographic files 1940 to the present.</p>	<p>Commanding General, US Army Military District of Washington is responsible for custody of these files.</p>
<p>A-4. USA Crime Records Directorate, USACIDC, 2301 Chesapeake Ave Baltimore MD 21222</p>	<p>Reports of criminal investigations, selected military police reports, and other related records.</p>	<p>Commanding General, USACIDC is responsible for custody of these files.</p>
<p>A-5. Investigative Records Repository Ft George G Meade, MD 20755</p>	<p>Personal security, counterintelligence, and intelligence files.</p>	<p>The Commanding General, USAINTA is responsible for custody of these files.</p>

	<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
A-6.	Oversea Records Centers: a. US Forces Support District, (Norddeutschland) ATTN: US Army Records Center APO New York 09069 b. Oversea Records Center, Korea APO San Francisco 96259 c. USARJ Oversea Records Center APO San Francisco 96343	All files designated for transfer to an overseas records center under provisions of the AR 340-18 series and AR 340-2.	The commanders of major overseas commands are responsible for custody and administration of files maintained in their respective overseas records centers.
A-7.	National Personnel Records Center (Military Records) 9700 Page Blvd. St. Louis, MO 63132	a. Individual official military personnel records of completely separated Army personnel, including deceased personnel. b. Morning reports and personnel rosters over 3 years old; and sick reports through 1954. c. Clinical, consultative service, outpatient, and dental records of active military personnel, retired military personnel and members of Reserve Components on active duty for training not held by US Army medical facilities. These files were received prior to 1974. d. Files of Army field commands. Retired files of elements of Army field commands (except Corps of Engineers field offices) and of decentralized elements of Headquarters, Department of the Army offices, dated generally 1951 through 1963. e. Separated non-Federal National Guard 201 files.	The Administrator of General Services is responsible for custody and administration of files in the National Personnel Records Center.
A-8.	National Personnel Records Center (Civilian Records) 111 Winnebago Street St Louis, MO 63118	a. Individual personnel files of separated civilian employees of the Army. b. Individual pay and medical records of active and separated employees of Department of the Army. c. Permanent and final X-ray films of Army military personnel. d. Clinical, outpatient, consultative service, and dental records of active military personnel and their dependents, retired military personnel, and members of Reserve Components on active duty for training not held by US Army medical facilities. Except for files pertaining to dependents of military personnel, these files were received after 1973.	The Administrator of General Services is responsible for custody and administration of these files.
★A-9.	Federal Archives and Records Center, GSA 1557 St. Joseph Ave East Point, GA 30344	a. Bills of lading files of the Army field commands dated prior to 1 January 1959, including bills of lading registers, car record books, and intransit records. b. World War I registration cards.	The Administrator of General Services is responsible for the custody and administration of these files.

	<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
A-10.	Federal Archives and Records Center, GSA Region 1. 380 Trapelo Road Waltham, MA 02154	Civil works site audit files, civil works contract files, and other retired files of Corps of Engineer field offices in the following locations: Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island.	The Administrator of General Services is responsible for the custody and administration of these files.
A-10.1	Federal Archives and Records Center, GSA Region 2. Military Ocean Terminal Building 22 Bayonne, NJ 07002	New York, New Jersey, Puerto Rico, the Virgin Islands, European and Mediterranean Divisions.	
A-10.2	Federal Archives and Records Center, GSA Region 3. 5000 Wissahickon Ave. Philadelphia, PA 19144	Delaware and Pennsylvania (east of Lancaster).	
A-10.3	Federal Records Center GSA Region 3. Naval Supply Depot, Bldg 308 Mechanicsburg, PA 17055	Pennsylvania, except areas east of Lancaster.	
A-10.4	Federal Archives and Records Center, GSA Region 3. Washington National Records Center Washington, DC 20409	District of Columbia, Maryland, Virginia, and West Virginia.	
A-10.5	Federal Archives and Records Center, GSA Region 4. 1557 St. Joseph Ave East Point, GA 30344	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, and Kentucky.	
A-10.6	Federal Archives and Records Center, GSA Region 5. 7358 S. Pulaski Road Chicago, IL 60629	Illinois, Wisconsin, and Minnesota.	
A-10.7	Federal Archives and Records Center, GSA Region 5. 3050 Bertwynne Drive Dayton, OH 45439	Indiana, Michigan, and Ohio.	
A-10.8	Federal Archives and Records Center, GSA Region 6. 2304 East Bannister Rd Kansas City, MO 64131	Kansas, Iowa, Nebraska, and Missouri, except Greater St. Louis area.	
A-10.9	Federal Archives and Records Center, GSA Region 6. National Personnel Records Center (Civilian records) 111 Winnebago Street St. Louis, MO 63118	Greater St. Louis, MO, area.	

<i>Location</i>	<i>Description of files maintained</i>	<i>Administrative responsibility</i>
A-10.10 Federal Archives and Records Center, GSA Region 7. 4900 Hemphill Street Fort Worth, TX 76115	Texas, Oklahoma, Arkansas, Louisiana, and New Mexico.	
A-10.11 Federal Archives and Records Center, GSA Region 8. Bldg 48, Denver Federal Center Denver, CO 80255	Colorado, Wyoming, Utah, Montana, North Dakota, and South Dakota.	
A-10.12 Federal Archives and Records Center, GSA Region 9. 1000 Commodore Dr San Bruno, CA 94066	Nevada, except Clark County; California, except Southern California.	
★A-10.13 Federal Archives and Records Center, GSA Region 9. 2400 Avila Rd Laguna Niguel, CA 92677	Arizona; Clark County, Nevada; and Southern California (counties of San Luis Obispo, Kern, San Bernardino, Santa Barbara, Ventura, Orange, Los Angeles, Riverside, Inyo, Imperial, San Diego).	
A-10.14 Federal Archives and Records Center, GSA Region 10. 6125 San Point Way Seattle, WA 98115	Washington, Oregon, Idaho, Alaska, and Pacific Ocean areas.	
A-11. Military Archives Division, National Archives and Records Service Pennsylvania Ave and 8th St., N.W. Washington, DC 20408	HQDA organizational files, 1954 and earlier; field organizational files 1950 and earlier, military personnel and medical records of Army officer personnel dated generally 30 June 1917 and earlier; Army enlisted personnel records dated generally 31 October 1912 and earlier.	The Administrator of General Services is responsible for the custody and administration of these files.
A-12. Washington National Records Center <i>Address for shipments mailed:</i> Washington, DC 20409 <i>Address for shipments by common carrier:</i> 4205 Suitland Road Suitland, MD	<p>a. <i>Records of activities.</i> Records of activities in the District of Columbia, Maryland, Virginia, and West Virginia, dated generally 1955 through the present.</p> <p>b. <i>Offices of Headquarters, Department of the Army.</i> Files of Headquarters, Department of the Army offices located at the seat of the Government, exclusive of specialized files otherwise provided for in this appendix. These files are dated generally 1939 and later. (Files of The Judge Advocate General's Office, to include courts-martial, claims, and litigation files should be requested through the Judge Advocate General's Office).</p> <p>c. <i>Army field commands and special Army activities in the field.</i> These files are dated generally 1940 through 1950 and 1964 and later.</p>	The Administrator of General Services is responsible for custody and administration of these files.

Location	Description of files maintained	Administrative responsibility
A-13. ★a. Army Security Agency Records Center HQ, USASA ATTN: IAPER-AR Arlington Hall Station Arlington, VA 22212 (Shipments will be IAW DOD Dir S-5200.17 (M-2))	d. <i>Combined records.</i> Records allocated to the Department of the Army for retirement purposes. e. <i>Joint records.</i> Joint records dated generally 1939 and later, except Joint Chiefs of Staff records. f. <i>Captured records.</i> Files which were captured or confiscated in time of war under the provisions of international law, including records of foreign governmental, military, private, and other institutions.	The Commanding General, US Army Security Agency is responsible for custody of these files.
	Signal Security files; Special Intelligence files; Signal Intelligence files.	