



UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES



SUBJECT: USUHS Records Management Program

Instruction 5015

NOV 8 2010

(ASD)

ABSTRACT

This Instruction sets forth Uniformed Services University of the Health Sciences (USUHS) policy for maintaining active and continuing programs for the management of University records.

A. Reissuance and Purpose. This Instruction reissues USUHS Instruction 5015^a and implements DoD Directive 5015.2^b which requires agencies to establish and maintain active and continuing programs for the economical and efficient management of agency records. OSD Administration Instruction No. 15^c establishes procedures for the maintenance and disposition of records and prescribes the Records Disposal Schedule.

B. References. *See Enclosure 1.*

C. Applicability. The provisions of this Instruction apply to USUHS (to include the Armed Forces Radiobiological Research Institute (AFRRI)).

D. Procedures. *See Enclosure 2.*

E. Responsibilities.

1. Director, Administrative Support Division will:

- a. Direct and administer the Records Management Program.
- b. Establish effective control over the creation, organization, maintenance,

use and disposition of all USUHS records.

c. Cooperate with the National Archives and Records Administration (NARA) in:

(1) Developing and applying standard procedures and techniques to improve the management of records.

(2) Ensuring the maintenance and security of records of continuing value.

(3) Facilitating the identification, segregation and disposal of all records of temporary value.

d. Ensure compliance with the provisions of the Federal Records Act of 1950^d.

e. Coordinate, in conjunction with the Director, University Information System (UIS), with the Deputy Assistant Secretary of Defense, Management Systems (DASD(MS)), and the Office of the Assistant Secretary of Defense, Comptroller (OASD(C)) on records management matters pertaining to Automatic Data Processing (ADP) and machine-readable records.

2. The Records Manager will:

a. Establish a comprehensive USUHS Records Management Program to support the requirements of this Instruction, DoD Directive 5015.2^b, OSD Administrative Instruction No. 15 (AI-15)^c, and the Federal Records Act of 1950^d.

b. Ensure effective control over the creation, organization, maintenance, use, designation and disposition of all USUHS records.

c. Develop and apply standards, procedures and techniques designed to improve the management of records; ensure the maintenance and timely retirement of records of continuing value; and facilitate the segregation and disposal of all records of temporary value.

d. Provide each USUHS department and activity with a copy of OSD AI-15^c, and coordinate the efforts of each department and activity in implementing its contents.

e. Act as liaison official with the NARA, Washington Headquarters Service (WHS), other government agencies, private industry, and private citizens on records management matters.

f. Institute a Records Management Evaluation Program, pursuant to FMR^e, to ensure compliance on the part of USUHS departments and activities with the provisions of this Instruction.

g. Ensure that all policies and important decisions are adequately documented and recorded.

h. Make provisions for the continued analysis and improvement of such matters as records classification and indexing systems.

i. Ensure that the creation of duplicate files and copies of documents is minimized but consistent with the

needs of effective management communications.

j. Coordinate requests for mandatory declassification review of records, and ensure timely responses, controls and reporting.

k. Provide USUHS departments and activities with advice and management assistance at the time of creation of new records to ensure adequate documentation, retention and disposal.

l. Provide advice and assistance to USUHS officials pertaining to the identification, segregation, retention and disposition of personal papers.

m. Coordinate, control, and supervise access to USUHS records essential to historical research, ensuring appropriate safeguards for security and privacy.

n. Exercise management control over the transfer of records to, and retrieval from, the Washington National Records Center (WNRC).

o. Institute records "clean-out" campaigns when requested by WHS, NARA, or when the volume of unnecessary records on hand becomes excessive.

p. Issue, in conjunction with the Director, UIS, retention and disposal standards for the records used in ADP management.

3. Department Chairpersons/Activity Heads will:

a. Establish within their offices a Records Management Program to support the requirements as outlined in OSD AI-15^c.

b. Provide the continued analysis and improvements in the Records Management Program necessary to ensure that records are maintained economically, efficiently, and in such a

manner that their maximum usefulness is attained.

c. Institute measures to ensure that the records of continuing value are preserved and that appropriate disposition or retirement is made of records no longer of current use to USUHS.

d. Ensure the efficient and economical management of records in a manner that is consistent with this Instruction.

e. Establish written policies stating or explaining where the record copy is filed. These locations are known as Office of Record.

f. Submit a listing to the Director, Administrative Support Division of all locations used to store records.

F. Effective Date. This Instruction is effective immediately.



Charles L. Rice, M.D.
President

Enclosures:

1. References
2. Procedures

REFERENCES

- (a) USUHS Instruction 5015, "USUHS Records Management Program," dated May 16, 1995 (hereby cancelled)
- (b) DoD Directive 5015.2, "Records Management Program," dated March 6, 2000
- (c) OSD Administrative Instruction No. 15, "Administrative Procedures and Records Disposition Schedules," dated August 11, 1994
- (d) The Federal Records Act of 1950, as Amended by Public Law 94-575 (44 U.S. Code, Chapter 29)
- (e) Federal Management Regulation (FMR), Part 102-193, 194, 195 (41 CFR 102-193, 194, 195)

PROCEDURES

1. Filing Procedures.

a. Match the file designation of the papers with the folder labels before placing papers in the folders.

b. File papers loosely in the proper folder with the latest date in front, avoiding the use of pronged fasteners. Use pronged fasteners when the files are frequently used, when sequence of arrangement is of special importance, and when all documents pertain to the same transaction case or project.

c. Keep folder labels visible by neatly arranging papers in the folders. When the contents of the folder increase to the point that the papers begin to obscure folder labels, crease the bottom front of the folder. When contents of the folder reach three-fourths of an inch, make a new folder bearing the same file designation and place it in front of the full folder, showing inclusive dates on the folders.

d. Prevent overcrowding files by allowing at least 4 inches of space in each active file drawer to permit sufficient working space.

e. Avoid cluttering the files. File bulky material separately in storage equipment suited to its size. Maintain this material in file classification, date, or serial number order. Make a cross-reference to the bulky material and annotate in a conspicuous location or with the filed papers. Mark the bulky material with storage location information and file numbers to associate it with related papers kept in the primary location.

2. Chargeout Procedures. An SD-169 (OSD Records Chargeout) is prepared as a substitute for documents or other records borrowed or permanently

withdrawn from the files. The chargeout card is placed in the subject folder at the exact place where the material was filed so that the "OUT" portion is visible. This facilitates identification of charged out files and expedites refiling them. When chargeout material is refiled, the entry on the form is lined out and the form reused.

3. Files Cutoff Procedures.

a. "Files Cutoff" is the process of transferring a file from the active to the inactive state. Generally, this is expressed as, for example, "COFF 31 Dec 91," followed by transfer or destruction information. Until the file is transferred to a Federal Records Center or destroyed, it is held for reference only; no new documents will be added after the cutoff date. Inactive files must be kept separate from active ones to guard against misfiles. A new folder is put into the active files to replace the old one.

b. On an annual or fiscal year basis, whichever is appropriate, all offices shall cut off files and separate active from inactive; retire, transfer, or destroy eligible material according to disposition procedures contained in DoD Administrative Instruction 15, enclosure 4^c; and review and destroy all duplicate or extraneous materials. Cut off:

(1) Calendar year files on December 31.

(2) Fiscal year files on September 30.

(3) Files with a retention period of less than 1 year on a monthly or quarterly basis, as with chronological reading files.

(4) Files maintained as case or project files are cut off upon the

occurrence of a certain event, such as separation of personnel, final contract payment, or project completion. Upon cutoff, move such files to an inactive file until they are eligible for destruction or transfer to a Records Center, in accordance with disposition procedures contained in DoD Administrative Instruction 15, enclosure 4^c.