



UNITED STATES FORCES KOREA INSTRUCTION

FKSJ
DISTRIBUTION: A, B

USFKI 5760.01
12 October 2022

RECORDS MANAGEMENT (RM) POLICY FOR HEADQUARTERS (HQ) UNITED STATES FORCES KOREA (USFK)

Reference(s): See Enclosure A.

1. Purpose: Provide policy and guidance for HQ USFK RM.
2. Superseded/Canceled. This instruction supersedes USFK Regulation 923.1, USFK RM Program, dated 14 December 2020.
3. Applicability. This instruction applies to USFK personnel (military service members, federal government civilians, Korean nationals, Korean Augmentee to the U.S. Army, and U.S. contractors) who are assigned, attached, or on temporary duty to USFK.
4. Policy.
 - a. Comply with legal requirements for records retention and privacy protection.
 - b. Reference a mandates RM by federal agencies and it is the responsibility of USFK personnel to ensure records are created, maintained, and disposed of in accordance with references g and h.
 - c. Failure to comply could result in fines, imprisonment, or both if willingly or unlawfully concealing, removing, mutilating, or destroying of records (reference c).
 - d. All USFK personnel shall complete the USFK RM General Awareness course located at the JKO Portal. In the "Prefix – Course Number" tab space, type "USFK-US001" and course will appear; click "Enroll" and then click "Launch."
5. Definitions: See Enclosure A
6. Responsibilities:
 - a. Senior Records Officer (SRO). The Secretary Joint Staff (SJS) will serve as the SRO.
 - (1) Oversees the USFK RM Program and ensures that the USFK Command Records Officer (CRO) develops policies, procedures, and executes the USFK RM Program in

accordance with U.S. Indo-Pacific Command (USINDOPACOM), JS, Department of Defense (DoD), National Archives Records and Administrator (NARA), and federal directives.

(2) Designates in writing the USFK CRO to administer, manage, and execute the USFK RM Program and provides a copy of designation memorandum to USINDOPACOM Command Records Manager (CRM).

(3) Reviews the performance of the USFK RM Program and proposing changes and improvements if needed.

(4) Supports and promotes the USFK RM Program.

(5) Designates in writing a USFK Vital Records Management Team consisting of the USFK CRO, program officials, emergency coordinator, facility managers, Command Historian, Communications and Information Technology, Knowledge Management, Resource Management, Safety, Public Affairs, and Provost Marshal to manage and execute the USFK Vital Records Program.

b. Command Records Officer (CRO)

(1) Administers, manages, and executes the USFK RM Program by developing policies, procedures, instructions, awareness, and training in accordance with USINDOPACOM, JS, DoD, NARA, and federal directives.

(2) Reviews, monitors, audits, and evaluates the overall performance of the USFK RM Program, and when needed, proposes changes and improvements.

(3) Co-leads the USFK Vital Records Team.

(4) In cooperation with staff, identifies vital records; establishes a records disaster and recovery plan to ensure the preservation and availability of vital records.

(5) In conjunction with USFK History Office, develops procedures to ensure the preservation of historical records.

(6) Establishes standards for record-keeping.

(7) Establishes a uniform RM electronic records filing system and manages file plans for currency.

(8) Provides RM advice and assistance to USFK personnel.

(9) Disseminates RM information concerning governing directives and administrative rules.

(10) Provides instructions and trains Records Custodians (RC).

(11) Ensures the disposition of USFK records are carried out in accordance with applicable policies and procedures.

(12) When required, maintains and submits RM reports to USINDOPACOM, JS, and NARA.

(13) Conducts assessments, staff assistance visits, and reports findings; addresses non-compliance.

(14) Approves requests for transfer and destruction of records.

(15) Assists and provides guidance to RCs for the proper procedures to capturing, burning to DVR, and transferring of permanent email accounts to the National Archives

(16) Assists RCs, Knowledge Management, Information Management Officer, and Communications and Information Technology with the development, implementation, and maintenance of administrative, descriptive, preservation, and technical metadata schemas.

c. Staff Principals (Directorate/Special Staff)

(1) Adequately documents the transaction of government business and the services, programs, and duties for which the principal head and their principal are responsible.

(2) Maintains records in their care and ensures disposition of records in accordance with applicable policies and procedures.

(3) Designates in writing, a primary Principal Records Officer (PRO) for each directorate and special staff (see sample at Enclosure B, Sample PRO Appointment Memorandum) and forwards the signed letter to the CRO.

(4) Designates in writing, a primary and alternate RC for each office of record under their purview (see sample at Enclosure C, Sample Records Custodian Appointment Memorandum) and forwards the signed letter to the CRO. Note, if an office of record is not large enough to designate an alternate RC, then no alternate RC is required.

d. Electronic System Functional Manager or Equivalent

(1) Contacts the CRO when planning to implement systems that will be creating, maintaining, or disposing of e-records.

(2) Ensures routine backup of systems creating, maintaining, or disposing of e-records.

(3) Does not destroy records without approval of the CRO and notifies the CRO if e-records are accidentally deleted.

e. Network/System Administrator, Information Management Officer, or equivalent

- (1) Works with RCs to assign permissions and access controls for e-record folders.
- (2) Ensures continuous and reliable operation of record-systems under their control.
- (3) Ensures system documentation is complete and up-to-date.

f. Supervisors

- (1) Ensure that subordinates know what types of records they are creating and maintaining.
- (2) Designate RM responsibilities in job descriptions, and similar statements.

g. Principal Records Officer (PRO)

- (1) Ensures that all RCs under their purview carry out USFK RM policies and procedures. The PRO is the primary point of contact for records-related matters in each directorate or special staff; for smaller directorates or special staffs, a PRO can also be a RC.
- (2) Completes the PRO/RC training within 60 days after initial appointment. This training can be scheduled through the CRO.
- (3) Provides management support to directorate or special staff RCs on RM matters.

h. Records Custodian (RC)

- (1) Carries out USFK RM policies and procedures. The RC is the primary point of contact for records-related matters in each office of record.
- (2) Completes the PRO/RC training within 60 days after initial appointment.
- (3) Disseminates pertinent RM information to office of record personnel.
- (4) Advises heads of directorate/special staff on RM matters.
- (5) Identifies vital records and with the assistance of the CRO, establishes a disaster and recovery plan.
- (6) With concurrence of CRO, properly disposes records in accordance with records disposition schedule, and properly documents and files in official records repository.
- (7) Provides RM training to office of record personnel.

(8) Inventories records and develops file plans.

(9) Notifies the CRO in the event of actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, erasure, or other destruction of record.

(10) Contacts the CRO prior to transferring records to another directorate, special staff, or organization.

(11) In conjunction with the directorate's or special staff's IMO, RC captures and burns to a DVR the Non-secure Internet Protocol Router Network and Secure Internet Protocol Router Network email accounts of USFK general officers, flag officers, and senior executive services prior to the departure from USFK of these senior USFK members. Records Custodian will properly secure the DVR awaiting guidance from the CRO for transfer to the National Archives.

i. Records Users

(1) Create and capture records to meet requirements for evidence of business activity.


(2) Take appropriate action to protect record authenticity, reliability, integrity and usability.

(3) Destroy/delete non-record material when no longer needed for business operations.

(4) Notify supervisors or RCs if a record is accidentally destroyed/deleted.

7. Releasability. This instruction is approved for public release; distribution is unlimited. DoD components, other federal agencies, and the public may obtain copies of this instruction through the internet from the USFK home page www.usfk.mil

8. Effective Date. This instruction is effective upon receipt.


BRAD SULLIVAN
Major General, USAF
Chief of Staff

Enclosure(s):

- A - Definitions
- B - Sample PRO Appointment Memo
- C - Sample RC Appointment Memo
- D - References

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ENCLOSURE A

DEFINITIONS

- a. Capstone approach. NARA's recommended method to managing email records as permanent records per General Records Schedule 6.1, Email Managed under a Capstone Approach.
- b. Command Records Manager (CRM). The records manager responsible for the entire US Indo-Pacific Command RM program and its Direct Reporting Units, and Sub Unified Commands and provides the planning, directing, controlling, organizing, training, promoting and managing of records.
- c. Command Records Officer (CRO). The records officer responsible for the entire USFK RM program providing the planning, directing, controlling, organizing, training, promoting and managing of records.
- d. Electronic records (e-records). Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record under the Federal Records Act. The term includes both record content and associated metadata that the agency determines is required to meet agency business needs.
- e. Office of record. The office or administrative unit within which records are created or received and accumulated in the course of its principal activity.
- f. Principal Records Officer (PRO). The records officer responsible for the overseeing the Records Custodians assigned to their principal' (directorate/special staff) office of records.
- g. Record. Includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.
- h. Records Custodian (RC). The records manager assigned to an office of record.
- i. Records Management (RM). The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of federal policies and transactions, and effective and economical management of the agency operations.
- j. Senior Records Officer (SRO). The records official responsible for the overall USFK RM program ensuring that the USFK Command Records Officer (CRO) properly administers, manages, and executes the RM program command wide; the USFK SRO is the Secretary Joint Staff (SJS).

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ENCLOSURE B

SAMPLE PRINCIPLE RECORDS OFFICER (PRO) APPOINTMENT MEMORANDUM



HEADQUARTERS, UNITED STATES FORCES KOREA
UNIT #15237
APO AP 96271-5237

FKXX

DD Mmm YYYY

MEMORANDUM FOR FKXX RECORDS MANAGEMENT OFFICE

SUBJECT: PRINCIPAL RECORDS OFFICER (PRO) DESIGNATION LETTER

1. Per USFKI 5760.01, Records Management (RM) Policy for Headquarters U.S. Forces Korea (USFK), paragraph 6.c.(3), the following person is appointed as the PRO:

Name Grade / Rank / Room Phone # / Office Code / DEROS

2. Questions can be directed to POC at 75X-XXXX or Email.

Principal/Deputy/Div Br Chief or equivalent
Signature Block

Courtesy copy:
Office identified in the letter
USINDOPACOM Command Records
Manager

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ENCLOSURE C

SAMPLE RECORDS CUSTODIAN (RC) APPOINTMENT MEMORANDUM



HEADQUARTERS, UNITED STATES FORCES KOREA
UNIT #15237
APO AP 96271-5237

FKXX

DD Mmm YYYY

MEMORANDUM FOR FKXX RECORDS MANAGEMENT OFFICE

SUBJECT: RECORDS CUSTODIAN (RC) DESIGNATION LETTER

1. Per USFKI 5760.01, Records Management (RM) Policy for Headquarters U.S. Forces Korea (USFK), paragraph 6.c.(4), the following person is appointed as the Primary RC:

Name Grade / Rank / Room Phone # / Office Code / DEROS

2. Per USFK 5760.01, paragraph 6.c.(4), the following person is appointed as the Alternate RC:

Name Grade / Rank / Room Phone # / Office Code / DEROS

3. Questions can be directed to POC at 75X-XXXX or Email.

Principal/Deputy/Div Br Chief or equivalent
Signature Block

Courtesy copy:

Office identified in the letter

USINDOPACOM Command Records
Manager

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ENCLOSURE D

REFERENCES

- a. Title 18, United States Code, Chapter 101, Section 2071, Concealment, Removal, or Mutilation Generally.
- b. Title 36, Code of Federal Regulations, Chapter XII, Subchapter B, Part 1236.
- c. Title 44, United States Code, Chapter 31, Section 3101, RM by Federal Agencies.
- d. Executive Office of the President, Office of Management and Budget, Memorandum M-12-18.
- e. Executive Office of the President, Office of Management and Budget, Memorandum M-19-21, Transition to Electronic Records.
- f. National Archives and Records Administration, General Records Schedules 6.1, Transmittal 31, Email Managed under a Capstone Approach.
- g. CJCSM 5760.01A, Vol. I, Joint Staff and Combatant Command RM Manual, Procedures.
- h. CJCSM 5760.01A, Vol. II, Joint Staff and Combatant Commands RM Manual, Disposition Schedule.
- i. International Standards Organization (ISO) 15489-1, Information and documentation-RM.
- j. USPACOMINST 0923.01, U.S. PACOM RM Program.

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