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USFKI 5760.01A
01 May 2026

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



**HQ USFK
OPC 371 BOX 27
APO AP 96172-9001**

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UNITED STATES FORCES KOREA INSTRUCTION

FKRM
DISTRIBUTION: A, B

USFKI 5760.01A
01 May 2026

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

Reference(s): See Enclosure F

1. Purpose. In accordance with references at Enclosure F, this instruction provides policy and guidance for HQ USFK in the conduct of Records Management (RM) to ensure that records, regardless of its form or characteristics, possess authenticity, reliability, and maintain integrity and usability throughout the record's lifecycle.
2. Superseded/Canceled. This instruction supersedes USFK Instruction 5760.01, Records Management (RM) Policy for Headquarters (USFK, dated 12 October 2022.
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. This instruction does not apply to: United Nations Command, Combined Forces Command, service-specific records, including, but not limited to, Eighth Army, Seventh Air Force, Naval Forces Korea, Marine Forces Korea, and Special Operations Command Korea.
4. Policy.
 - a. The command is committed to an efficient and effective RM including meeting legal requirements for records retention and privacy protection, optimizing the use of space, minimizing the cost of records retention, and properly disposing of records. This instruction applies to all records, regardless of format, physical form (hard copy or electronic), or characteristics.
 - b. 36 C.F.R. §1236 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 CJCSM 5760.01B, Vol. I and Vol. II.

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c. Failure to comply will hinder the command's ability to efficiently and effectively accomplish the mission and could result in fines, imprisonment, or both if willingly or unlawfully concealing, removing, mutilating, or destroying of records under 18 U.S.C. § 2071 or other applicable laws.

d. All USFK personnel shall complete the USFK RM General Awareness course located at the Joint Knowledge Online (JKO) Portal course number US001.

4. Definitions. See Glossary (GL).

a. 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.

b. File Plan is plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Also: A document containing the identifying number, title or description, and disposition authority of files held in an office.

5. Summary of Changes. This instruction:

a. Incorporate changes from CJCSM 5760.01B Vol. II and II dated 7 June 2024.

b. Remove references to "Electronic System Functional Manager."

c. Added RM Form 06, USFK Entrance/Exit Interview.

d. Updated Principal Records Officer (PRO) and Records Custodian (RC) appointment memorandum.

e. Added RM Form 15, USFK electronic Records (eRecords).

f. Added RM Form 11, USFK Assessment Checklist.

g. Added RM Form 10, Essential Record (ER) Protection Plan Checklist form to supplement the USFK ER Management (ERM) Program and Continuity of Operations Plan (COOP).

6. Responsibilities.

a. Senior Records Officer (SRO). The Secretary Joint Staff (SJS) Director will serve as the SRO and the SJS Deputy Director as the alternate SRO.

(1) Oversees the USFK RM Program and ensures that the USFK Command Records and Information Manager (CRIM) develops policies, procedures, and executes the USFK RM Program in accordance with U.S. Indo-Pacific Command (USINDOPACOM), Joint Staff (JS), Department of War (DoW), National Archives Records and Administrator (NARA), and federal directives.

(2) Designates in writing the USFK CRIM 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 proposes changes and improvements if needed.

(4) Supports and promotes the USFK RM Program.

b. Command Records and Information Manager (CRIM)

(1) Administers, manages, and executes the USFK RM Program by developing policies, procedures, instructions, awareness, and training in accordance with USINDOPACOM, JS, DoW, NARA, and federal directives. Reviews, monitors, audits, and evaluates the overall performance of the USFK RM Program, and when needed, proposes changes and improvements.

(2) In conjunction with USFK Command Historian develops procedures to ensure the preservation of historical records.

(3) Establishes standards for record-keeping.

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

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

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

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

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

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

(10) Conducts assessments of USFK RM program to identify RM non-compliance and reports findings to SJS and INDOPACOM CRM; assists RCs with correcting non-compliance using RM Form 11, USFK RM Assessment Checklist at Enclosure E.

(11) Approves all requests for transfer and destruction of records.

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

(13) 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.

(14) Trains and advises directorate/special staff RCs on identifying essential records and establishes a records disaster and recovery plan to ensure the preservation of essential records.

(15) Assists Records Custodians (RC) with the proper maintenance and disposition of RM Form 06, Entrance-Exit Interview.

c. Staff Principals (Directorate/Special Staff).

(1) Carries out the policies and procedures established by USFK for the efficient and economical management of records.

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

(3) Maintains the records in their care and ensures that the disposition of records are in accordance with applicable policies and procedures.

(4) 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 CRIM.

(5) Designates in writing on one appointment letter, all primary and alternate RCs for each office of record under their directorate or special staff purview (see sample at Enclosure B, Sample RC Appointment Memorandum) and forwards the signed letter to the CRIM. If an office of record is not large enough to designate an alternate RC, then no alternate RC is required.

d. Supervisors

(1) Ensure that subordinates know what types of records they are creating and maintaining; to include subordinates completing and signing the RM Form 06, Entrance/Exit Interview at Enclosure A).

(2) Designate RM responsibilities in job or position descriptions, and similar statements.

e. 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 RM-related matters in each directorate/special staff; for smaller directorates/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 CRIM.

(3) Provides guidance to directorate/special staff RCs on RM matters.

f. Records Custodian (RC)

(1) Carries out USFK RM policies and procedures. The RC is the primary point of contact for records-related matters for 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 essential records and with the assistance of the CRIM, and establishes a disaster and recovery plan using RM Form 10, Essential Records Protection Plan and Checklist at Enclosure F.

(6) With CRIM concurrence, 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) Applies the USFK standard naming convention for eRecords.

(10) Notifies the CRIM in the event of potential unlawful removal, defacing, alteration, corruption, deletion, erasure, or other destruction of record.

(11) Contacts the CRIM prior to transferring records to another directorate, special staff, or organization. Records Custodians capture and burn to a DVR the Non-secure Internet Protocol Router Network and Secure Internet Protocol Router Network email accounts of USFK Captone emails for general officers (GO), flag officers (FO), and senior executive services (SES) prior to the departure of GO/FO/SES from Headquarters USFK. Records Custodian will properly secure the DVR awaiting guidance from the CRIM for transfer to the National Archives.

(12) Conduct an records entrance and exit interview of all Records Users (RU) assigned to their office of record using RM Form 06, Entrance-Exit Interview (Enclosure A) within 10 days of arrival and departure .

g. Records Users (RU)

(1) Complete and sign RM Form 06, Entrance-Exit Interview at Enclosure A and ensure that their office of record RC files and maintains RM Form 06.

(2) Create and capture records to meet requirements for evidence of business activity and drop off records at their office of record's drop off records repository.

(3) Take appropriate action to protect the authenticity, reliability, integrity and usability of the records created.

(4) Destroy/delete non-records when no longer needed for business.

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

h. USFK Essential Records (ER) Holders

(1) Consult and work with their RC to conduct an inventory of essential records and create an essential records plan.

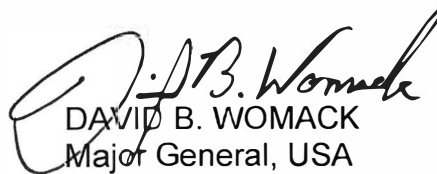
(2) Conduct an annual assessment of their essential records program using RM Form 10, ER Protection and Plan Checklist.

7. Records Management. Records must be dispositioned in accordance with the CJCSM 5760.01B Volume II, Joint Staff and Combatant Commands Records Management Manual-Disposition Schedule.

8. Releasability. This manual is approved for public release, distribution is unlimited. DoW components other federal agencies, and the public may obtain copies of this manual through the internet located at the USFK Public Website or the USFK

SharePoint Online Portal.

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



DAVID B. WOMACK
Major General, USA
Chief of Staff

Enclosures:

- A - RM Form 06, USFK Entrance/Exit Interview
- B - Sample PRO & RC Appointment Memos
- C - RM Form 15, USFK eRecords
- D - RM Form 11, USFK RM Assessment Checklist
- E - RM Form 10, USFK Essential Record Protection Plan Checklist
- F - References
- GL - Glossary

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ENCLOSURE A

RM FORM 06, ENTRANCE/EXIT INTERVIEW

United States Forces Korea (USFK) Records Entrance & Exit Interview

Purpose: To ensure that all United States Forces Korea (USFK) employees (military, Federal civilians, contractors, and Korean Nationals) are aware of their responsibilities in the creation, maintenance, and disposition of USFK and U.S. Government official records upon their assignment to and departure from USFK.

Authority: Title 36 Code of Federal Regulation, Part 1220, Subchapter B, Records Management

Policy: It is the policy of USFK to ensure that all employees assigned, attached, or temporarily assigned understand their responsibilities when creating, maintaining, and disposing of records. The entrance/exit interviews shall be conducted within 10 days of assignment or 10 days prior to departure by the unit's Records Custodian (RC) and ensure that the interview form is filed in the individual's personnel file.

Enforcement: Any individual who willfully or unlawfully conceals, removes, mutilates, obliterates, or destroys, or attempts to do so, or, with intent to do so takes and carries away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined under this title or imprisoned not more than three years, or both (Title 18 United States Code, Section 2071).

Objectives:

- To ensure that all records are created, maintained, and disposed of in accordance with USFK, US Indo-Pacific Command (USINDOPACOM), Joint Staff (JS), Department of War (DoW), and Federal directives.
- To ensure that records are not erroneously disposed or removed from USFK.

Procedure:

- Arrival/Departure.** When an employee is assigned (permanent or temporary) or scheduled to depart USFK, the supervisor must schedule an entrance/exit interview for the employee with the unit's RC.
- Interview/Signature.** Within 10 days of assignment or 10 prior to departure of the employee, the RC must conduct an entrance and exit interview. Upon completion of interview, the interviewee or employee will sign and date the form and provided a copy.
- File.** The RC will ensure that the interview form is filed in their office of records's electronic Documents-Records records repository.

Employee's Name:	Rank:	Category (Mil. Civ. Ctr. KLN or KATUSA):
Organization: HQ USFK	Office:	
Arrival Date:	Departure Date:	
Entrance Interview I understand my responsibilities when creating, maintaining, and disposing of records in accordance with USFK, USINDOPACOM, JS, DoD, and Federal directives. 		
Employee's Signature _____		Date: _____
Exit Interview 1. Do you possess any USFK/Federal records (Initial by choice)? YES ____ NO ____ If YES, provided authorization. 2. I acknowledge that my statement is true to best of my knowledge and do not possess any USFK/Federal records. 		
Employee's Signature _____		Date: _____

See Reverse for Explanation of Terms (Form filed under 0900-03C, Records Management)

RM Form 06, USFK Records Entrance and Exit Interview, 20250811 (Previous Form Version is Obsolete)

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Enclosure A

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ENCLOSURE A

RM FORM 06, ENTRANCE/EXIT INTERVIEW (CONTINUED)

EXPLANATION OF TERMS REFERENCED IN INTERVIEW FORM

Office of Record is the administrative unit within which records are created or received and accumulated in the course of its principal activity.

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.

Records creation means the production or reproduction of any record.

Records Custodian (RC) is the individual appointed to perform records management functions of an office of record.

Records disposition means any activity with respect to:

- (1) disposal of temporary records no longer necessary for the conduct of business by destruction or donation;
- (2) transfer of records to Federal agency storage facilities or records centers;
- (3) transfer to the National Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation; or
- (4) transfer of records from one Federal agency to any other Federal agency.

Records maintenance and use means any activity involving:

- (1) location of records of a Federal agency;
- (2) storage, retrieval, and handling of records kept at office file locations by or for a Federal agency;
- (3) processing of records by a Federal agency; or
- (4) selection and utilization of equipment and supplies associated with records and copying.

Records Management is 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.

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ENCLOSURE B

SAMPLE PRINCIPAL RECORDS OFFICER (PRO) APPOINTMENT LETTER



HEADQUARTERS, UNITED STATES FORCES KOREA
OPC 371 BOX 27
APO AP 96271-9001

FKXX

DD Mmm|YYYY

MEMORANDUM FOR FCRM RECORDS MANAGEMENT OFFICE

SUBJECT: PRINCIPAL RECORDS OFFICER (PRO) DESIGNATION LETTER FOR
"REPLACE THIS TEXT WITH APPROPRIATE DIRECTORATE/SPECIAL
STAFF"

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

NAME (LAST, FIRST INT.)	GRADE/RANK	D-PHONE	OFF SYM	DEROS

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

Directorate/Special Staff Director/Deputy
Signature Block

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

"IMPORTANT NOTE: REPLACE ALL BOLDDED TEXT WITH APPLICABLE INFORMATION"

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Enclosure B

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ENCLOSURE B

SAMPLE RECORDS CUSTODIAN (RC) APPOINTMENT LETTER



HEADQUARTERS, UNITED STATES FORCES KOREA
OPC 371 BOX 27
APO AP 96271-9001

FKXX

DD Mmm YYYY

MEMORANDUM FOR FKRM RECORDS MANAGEMENT OFFICE

SUBJECT: RECORDS CUSTODIAN (RC) DESIGNATION LETTER FOR
"REPLACE THIS TEXT WITH APPROPRIATE DIRECTORATE/SPECIAL
STAFF"

1. Per USFKI 5760.01A, Records Management (RM) Policy for Headquarters U.S. Forces Korea (USFK), paragraph 6.c.(5), the following person is appointed as the Primary RC:

NAME (LAST, FIRST INT.)	GRADE/RANK	D-PHONE	OFF SYM	DEROS

2. Per USFK 5760.01A, paragraph 6.c.(5), 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.

Directorate/Special Staff Director/Deputy
Signature Block

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

"IMPORTANT NOTE: REPLACE ALL BOLDDED TEXT WITH APPLICABLE INFORMATION"

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Enclosure B

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ENCLOSURE C

RM FORM 15, USFK ELECTRONIC (ERECORDS) FORM

USFK electronic Records (eRecords)		
OFFICE OF RECORD:	RECORD NO. AND TITLE:	SET TYPE:
SUBJECT:		
PURPOSE: To capture a complete eRecords set or single eRecord from non-eRecords Management (NeRM) compliant applications/systems. For example, awards, cases, contracts, decorations, investigations, personnel, procurements, projects, studies, tasks, etc., including briefings & reports from NeRM applications/systems.		
INSTRUCTIONS: To add original supporting final documents/records, 1st click "File" and select "Insert Page, Insert File..." and select the applicable documents/records to insert. 2nd (NO. 1 to 3), list the order based on importance are signed approved/disapproved final documents, USFK Summary Sheet (SSS), signed documents, and if applicable, legal review memorandum; and 3rd (NO. 4) followed by original documents from task. 4th (NO. 5) supporting documents are optionally added. Finally, Records Custodian (RC) verifies completeness of RM Form 15 by signing at the bottom of form and eiling to electronic Documents-Records (eDR) records repository. Contact Directorate/Special Staff's RC or USFK Records & Information Manager for assistance at 755-4325 or email USFK-RecordsManagement@army.mil. NOTE: (1) DO NOT PASSWORD PROTECT OR ENCRYPT DOCUMENTS/RECORDS & (2) SEE PAGE 02 TO DROP OFF RECORDS AND NAMING CONVENTION.		
LIST OF CONTENTS		
NO.	TITLE	
1	Final complete Signed SSS.	
2	Signed approved/disapproved final document.	
3	Legal Review Memorandum.	
4	Original task documents, if applicable.	
5	Supporting documents are optionally listed, if only a few (3 or less), recommend adding to "List of Contents."	
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
DESCRIPTION & COMMENTS: Type a clear and concise description of staff action, etc. This is optional, but high encourage to provide background for future staff actions similar to this one.		
POC NAME & PHONE NO.:	RECORDS CUSTODIAN SIGNATURE:	DATE FILED:

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ENCLOSURE C

RM FORM 15, USFK ELECTRONIC (ERECORDS) FORM (CONTINUED)

Tips

WHERE TO DROP OFF RECORDS

Drop off records at the USFK Records Users Center at the following link: <https://armyeraas.sharepoint-mil.us/sites/USFKRM-RecordsUsersRUCenter>
Action Officers of Records Users click on applicable Directorate/Special Staff to drop off records.

The screenshot shows a web interface titled "DROP OFF RECORDS". It features a grid with columns for record types (CC, DC, CS, CC-LNO, DC-SA (SOFA), CIG, CH, CMDT, EN, HO, IG, JA, KM, PA, PR, PM, RM, SG, SJS) and rows for dates (J1, J2, J3, J4, J5, J6, J8). The interface is highlighted with a red border.

NAMING CONVENTION

Applying a naming convention provides the most efficient and effective means to filing, searching, and retrieving documents/records. It is the responsibility of the Records Custodian (RC) to apply the proper naming convention when filing the electronic record, but is highly encourage that Records Users (RU) or Action Officer apply the proper naming convention. Click here or on image below to view the Naming Convention Records Management Training Aide on Naming Convention.

- A uniform convention of naming e-files/records following a set of rules
- A form of metadata tagging

- Ask 5 Ws: 1 - Where, 2 - Who, 3 - What, 4 - Which, & 5 - When

- Example: **0900-06N** **FKJ33** **LTR** **Security-Mgr-Appt** **20220818.pdf**

NOTE: Use underscore (_) to separate the 5 Ws & use dash (-) within the 1 Where & 4 Which
File Code Origin Office Type Subj < 25 characters Date YYYYMMDD File ext. e

→ Refer to your office of record file plan for this code or record series

EXAMPLES OF COMMON RECORD NAMING CONVENTION

TYPE RECORD	1 - Where (Dep Schedule No. & insert "1" for RA/RG)	2 - Who (Office of Record)	3 - What (Type Action)	4 - Which (Subj/Person)	5 - When (if in date & add 24 hr for annuals) YYYYMMDD	COMPLETE NAMING CONVENTION (If possible, all e-records must be saved in PDF; permanent e-records saved in PDF A1 version)
Account	0900-03N	FKJC	Govt Purchases Card (GPC)	Subjecter Person 2104315725-S00000	Approve Date	0900-03N_FKJC_GPC_2104315725-S00000.pdf
Appointment Delegation	0900-06N	FKJ33	Letter (LTR or MEMO) (Order (ORD))	Appointment of Security Manager	Sign Date	0900-06N_FKJ33_LTR_Security Mgr Appt_20100114.pdf
Activities, Events & Schedules (calendar)	0900-02N 0900-04F (Form)	FKSJ	Calendar (CALDR)	Daily Synch Matrix Other CALDRs	End Date	0900-02N_FKSJ_CALDR_SJS-Daily Matrix_20250714.pdf 0900-04F_FKJS_CALDR_Outlook_20250901.mapi (Port of CAPSTONE)
Brief	0900-06Q	FKCH	Brief (Origination (ORENT))	191JC	Sign Date	0900-06Q_FKCH_Brief_Man_20100114.pdf
Certificate	0900-03	FKBN	Certificates (CERT)	Long Range & East name first middle initials	Date	0900-03_FKBN_CERT_ARM Lvl 2 Doc JB_20201114.pdf
Contract	0900-03N	FKJ34	Contract (CTR)	CT423456789 Company Hewlett-Packard (HP)	Effective Date	0900-03N_FKJ34_CTR_No123456789 HP_20101011.pdf
Decorations & Award	0900-02P	FKJ14	DMISM, JCSCA, etc.	Last name first middle initials of latest person sending email	End Date	0900-02P_FKJ14_DMISM_Doc JB_20101231.pdf
Email	0900-02Y	FKJ0	Email	Subj of email & Last name first & middle initials of person sending email	YYYYMMDD.0001	0900-02Y_FKJ0_Email_Working Group Minutes_Doc JB_20100114.0001.pdf
Event, Record (ER)	0900-04Q	FKJ02	Publisher (PUB)	COOP	Approve Date	0900-04Q_FKJ02_PUB_COOP_20100106.pdf
Form	0900-06N	FKJ0	002875	SAAR Doc, John B.	Sign Date	0900-06N_FKJ0_002875_SAAR Doc JB_20100101.pdf
Insurance	0900-02N	FKJ08	Policy & No. Policy ID (POL)	USFK Records Mgmt	Approve Date	0900-02N_FKJ08_POLICY Policy ID USFK Records Mgmt_20100111.pdf
Joint Committee Doc Leave	0900-04B 0900-02N	FKJC-SA FKSJ	151JC Leave (LV)	FOUB Last name first middle initials of person	Sign Date	0900-04B_FKJC-SA_151JC_FOUB_20100111.pdf 0900-02N_FKSJ_LV_KSCM 090314-KimCA_20200416.pdf
Performance Report	0900-03C	FKJ4	Evaluation (EVAL)	Last name first middle initials of person evaluation	End Date	0900-03C_FKJ4_EVAL_Doc JB_20100111.pdf
Staff Summary Sheet (SSS)	0900-02Y	FKJ4	SSS	Subj, last name initials	Date	0900-02Y_FKJ4_SSS_Logistics Spt Unit #1M12 No USFK XXXXXX_20200101.pdf
Timecards	0900-03Q	FKSJ	Time & Attendance (TA)	Last name first middle initials of person	Sign Date	0900-03Q_FKJS_TA_KTAM ChucU_20200226.pdf 0900-03Q_FKJS_TA_KSC KimCA_20200416.pdf

ENCLOSURE D

RM FORM 11, USFK RECORDS MANAGEMENT (RM) ASSESSMENT CHECKLIST

USFK Records Management (RM) Assessment Checklist			
ORG/OFF SYMBOL:	RECORDS CUSTODIAN (RC):	PHONE:	
PURPOSE: Form available at: USFK Records Management SharePoint Online site under the "Forms" button: https://armyetaas.sharepoint-mil.us/sites/USFK-RM			
REFERENCES: USFKI 5760.01A, CJCSM 5760.01B, Vol. 1 & Vol. 2, DoDD 5400.11 & DoDD 5400.11R			
CHECKLIST			
Administrative			Yes No NA
1. Is there a current appointment letter filed under records series 0200-06-N, Additional Duty, Design, Deleg. of Authority?			☐ ☐ ☐
2. Is RC disseminating pertinent RM information to office of record personnel?			☐ ☐ ☐
3. Is RC advising and assisting heads of directorate/special staff on RM matters?			☐ ☐ ☐
Training			Yes No NA
4. Has RC (including alternate RC) completed USFK RM Level 2, PRO/RC Training?			☐ ☐ ☐
5. Has (including alternate RC) completed USFK RM Level 3, electronic Documents-Records (eDR) Training?			☐ ☐ ☐
6. Has RC (including alternate RC) provided training to personnel under his/her purview or office of record?			☐ ☐ ☐
Inventory/File Plan			Yes No NA
7. Is the file plan up to date and approved by the Command Records & Information Manager (CRIM)?			☐ ☐ ☐
8. Has RC familiarized all personnel under his/her purview with the location of the file plan, official records, and records drop off?			☐ ☐ ☐
9. Is Joint Staff (JS) Form 30, JS RM Survey completed and on file for unscheduled records?			☐ ☐ ☐
10. Are Essential Records (ER), formerly Vital Records backed up & located in another location no closer than 30 miles from current location?			☐ ☐ ☐
11. Are ER updated as often as possible?			☐ ☐ ☐
Records Repository			Yes No NA
12. Does the RC know how to access the eDR?			☐ ☐ ☐
13. Is the e-records repository set up with the appropriate access controls (full access for CRIM, limited access for RC & read-only for all others)?			☐ ☐ ☐
14. Are e-records repositories set up properly on both NIPR & SIPR? CENTRIX-K should not hold USFK e-records.			☐ ☐ ☐
Creation/Receipt			Yes No NA
15. Are containers, drawers, binders, guide cards, & folders properly labeled?			☐ ☐ ☐
16. Are file codes placed at the top-right corner of physical records? Example: File 0000-0001.			☐ ☐ ☐
17. Are naming conventions applied to e-records? The SWs (1) Where (Records Series No.); (2) Who (Office); (3) What (Type); (4) Which (Subj) & When (YYYYMMDD)			☐ ☐ ☐
18. Have temporary e-records been saved as a "PDF"?			☐ ☐ ☐
19. Have permanent e-records been saved as a "PDF A1"?			☐ ☐ ☐
Have official e-records residing in approved Emails and Social Media (Facebook, Twitter, internet, etc.) been moved to appropriate eDR records repository and properly applied naming convention?			☐ ☐ ☐
Maintenance/Use			Yes No NA
20. Is storage of records both physical and electronic (including email records) filed in an approved storage container, server, or device designated as the official records (includes e-records) repository?			☐ ☐ ☐
21. Are active and inactive paper/hardcopy files stored in an area safe from environmental dangers (water, fire, insects, etc.) with appropriate temperature and humidity controls?			☐ ☐ ☐
22. Are active & inactive audiovisual records and records on electronic storage devices (CDs, DVDs, floppy diskettes, external hard drives, etc.) stored physically apart from paper files with appropriate temperature and humidity controls periodically reviewed for obsolescence, and if needed, migrated to new storage media?			☐ ☐ ☐
23. This number is for Privacy Act (PA) & Personally Identifiable Information (PII):			☐ ☐ ☐
a. Are Physical PA & PII records protected so that the security & confidentiality of the info preserved?			☐ ☐ ☐
b. Are e-records password protected & access controlled for those having a need-to-know?			☐ ☐ ☐
24. Are email records saved in the appropriate manner to include all Encl., Atch., Appendices, etc.?			☐ ☐ ☐
25. Are temporary email records less than 6 months/180 days retention may retained on Microsoft (MS) Outlook, but separated from non-record material? NOTE: Does not have to be saved in Adobe Portable Document Format (PDF)			☐ ☐ ☐
26. Are all e-records both temporary and permanent email records saved in PDF?			☐ ☐ ☐
27. Are personal papers (0200-05) maintained separately from official records?			☐ ☐ ☐
28. When matters of official business are included in personal correspondence, is the portion concerning official business extracted and made part of the official records?			☐ ☐ ☐
29. Are primary metadata fields/columns complete and accurate? (1) Name; (2) Action; (3) Document Type; (4) OFC SYM; (5) Cutoff; (6) Cutoff Length; (7) Date Cutoff; (8) Record No./Title; (9) Precedence & (10) Restrictions			☐ ☐ ☐
Disposition (Litigation/Transfer/Destruction)			Yes No NA
30. Are records with disposition of no longer needed, superseded, obsolete, rescinded, and less than 1 year deleted?			☐ ☐ ☐
31. Are all required metadata correct and complete? (Record No., Title, Cutoff, Cutoff Length, Date Cutoff, Precedence, Restrictions & Class)			☐ ☐ ☐
32. Have record sets from ETMS2 or other locations been inserted into RM Form 15, USFK Record Sets Form?			☐ ☐ ☐
33. Have records on litigation been placed on hold until written authorization from USFK Judge Advocate Office to destroy?			☐ ☐ ☐
34. Has proper documentation (SF 135/SF 258/ARCIS) been completed for transfer & retirement of records?			☐ ☐ ☐
COMMENTS (Use Page 02 for comments)			
DATE OF ASSESSMENT BY RC:	RC SIGNATURE	DATE OF STAFF ASST VISIT BY CRIM:	CRIM SIGNATURE

ENCLOSURE D

RM FORM 11, USFK RM ASSESSMENT CHECKLIST (CONTINUED)

COMMENTS:

RM FORM 11, USFK Records Management Assessment Checklist, 20250811 (Previous Versions Valid)

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ENCLOSURE E

RM FORM 10, USFK ESSENTIAL RECORDS PROTECTION PLAN CHECKLIST

USFK Essential Records (ER) Protection Plan and Checklist																																		
SECTION I – GENERAL INFORMATION																																		
Org/Off Sym:			Chief Office of Records (COR):																															
Records Custodian (RC):			Phone:																															
Purpose: This ER Protection Plan & Checklist outlines actions to be taken to prevent damage to an office of records' ER, and the recovery of these records if necessary. The following records are deemed ER: <table border="1"> <thead> <tr> <th>Serial No.</th> <th>Title</th> <th>Location</th> <th>POC Name & Emergency Phone No.</th> <th>Type (Electronic, Tape, Film, etc.)</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>					Serial No.	Title	Location	POC Name & Emergency Phone No.	Type (Electronic, Tape, Film, etc.)																									
Serial No.	Title	Location	POC Name & Emergency Phone No.	Type (Electronic, Tape, Film, etc.)																														
Form available at USFK Records Management (RM) SharePoint Online site under "RM Forms" button. NOTE: Plan must be handled as a "VR" with a naming convention of <u>"0500-040_FKXX_RM-10-ER-Protection-Plan-Checklist_YYYYMMDD.pdf"</u>.																																		
SECTION II – DISASTER PREVENTION																																		
No.	Title																																	
1	Storage of Records. Records <u>will not</u> be stored in contact with electrical or fire alarm systems or where they will obstruct any exit, access panel, or fire extinguisher. Precaution will be taken while eating/drinking around records. Any water leaks, rodents, insects will be reported immediately to the facility manager to be fixed.																																	
2	Fire Prevention. Good housekeeping and prompt elimination of fire hazards are essential. Electrical outlets will not be overloaded, and extension cords should not be used on a permanent, and/or constant basis. All office personnel are expected to be familiar with the location and operations of all fire alarms, fire extinguishers, emergency exits, and evacuation plans.																																	
3	Monitoring for Water Leaks. Water leaks will be reported immediately to the facility/building manager. If records are at risk of being damaged, remove them to an alternate location to ensure proper care.																																	
4	Insects/Rodents. All food/beverages will be stored properly to reduce the possibility of insect or rodent infestation.																																	
SECTION III – PLAN OF ACTION FOR EMERGENCY SITUATIONS																																		
In the event of any natural or manmade disasters, human life must be the number one priority. Take all necessary precautions to protect human life, prior to office resources.																																		
1	Cyclone/Severe Storm. When cyclone or destructive winds are imminent, place all ER in plastic bags to protect them from potential water damage.																																	
2	Fire. When a fire is discovered, the proper authorities should be contacted. The utmost important safety precaution is to ensure the safety of human life. Once the fire has been extinguished and the building is safe to be occupied again, every attempt should be made to recover Essential Records. Water damage may have occurred due to a fire (see #3 below).																																	
3	Water Damaged Records. Short of destruction from fire or explosion water damage is considered the most severe to records. Place pieces of paper towels or unprinted newsprint under each damaged sheet. If damage is only slight, records may be fanned or air-dried. For more severe damage, the records may have a need to be frozen. Contact the base records manager to determine the best method to recover records after water damage has occurred: freezing or drying.																																	
4	Bomb Threats. The individual receiving the bomb threat phone call should make every attempt to write down the exact words of the caller by utilizing the local form that should be located at every telephone.																																	
5	Information Technology/Cyber Attacks. Follow your local network incident reporting procedures and notify your information security officer and chain of command.																																	
Name/Rank:		Signature:		Date:																														

RM FORM 10, Essential Records (ER) Protection Plan and Checklist, 20250811 (Supersedes Previous Versions)

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01 May 2026

ENCLOSURE F

REFERENCES

- a. 44 U.S.C. §§ 3101 – 3107, Records Management by Federal Agencies
- b. 18 U.S.C. § 2071, Concealment, Removal, or Mutilation Generally
- c. CFR 36, Chapter XII, Subchapter B, Part 1236, Electronic Records Management
- d. Executive Office of the President, Office of Management and Budget, Memorandum M-12-18, Subject: Managing Government Records Directive
- e. Executive Office of the President, Office of Management and Budget, Memorandum M-19-21, Subject: Transition to Electronic Records
- f. National Archives and Records Administration, General Records Schedules 6.1, Transmittal 31, Email Managed under a Capstone Approach
- g. DoDM 8180.01, 4 August 2023, Information Technology Planning for Electronic Records Management
- h. CJCSI 5660.01B, 26 April 2023, Records and Information Management Policy
- i. CJCSM 5760.01B, Vol. I, 7 June 2024, Joint Staff and Combatant Command RM Manual, Procedures
- j. CJCSM 5760.01B, Vol. II, 7 Jun 2024, Joint Staff and Combatant Commands RM Manual, Disposition Schedule
- k. International Standards Organization (ISO) 15489-1, 2016, Information and documentation-RM
- l. USPACOMINST 0923.01, 22 June 2012, Records Management in the U.S. Pacific Command

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01 May 2026

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GLOSSARY

DEFINITIONS

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.

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.

Command Records and Information Manager (CRIM). The records officer responsible for the entire USFK RM program providing the planning, directing, controlling, organizing, training, promoting and managing of records.

electronic Documents-Records (eDR). Headquarters USFK's official electronic records repository.

electronic Records (eRecords). 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.

Essential Records (ER). Records an agency needs to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records)."

File Plan. A plan designating the physical location(s) at which an agency's files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Also: A document containing the identifying number, title or description, and disposition authority of files held in an office.

Office of record. The office or administrative unit within which records are created or received and accumulated in the course of its principal activity.

Principal Records Officer (PRO). The records officer responsible for the overseeing the Records Custodians assigned to their principal' (directorate/special staff) office of records.

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.

Records Custodian (RC). The records manager assigned to an office of record.

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.

Senior Records Officer (SRO). The records official responsible for the overall USFK RM program ensuring that the USFK CRIM properly administers, manages, and executes the RM program command wide; the USFK SRO is the Secretary Joint Staff (SJS).