

## Chapter 4

# Records Management

### 4-1. Overview

At division, corps, and theater the signal officer is responsible for staff supervision of correspondence, files, and FOIA/PA. Staff supervision includes interpreting and overseeing compliance with established policy, doctrine, and procedures. The S1/functional staff and users manage those files, correspondence, and FOIA/PA that are administrative and are necessary for their specific mission. Certain FOIA/PA requests can be approved at any level IAW AR 25-55. If a request cannot be approved at the level received, it is forwarded to the proper approving authority.

### 4-2. Correspondence Responsibilities

- a. **ISSO.** The ISSO--
  - Is responsible for staff supervision of correspondence IAW AR 25-50.
  - Recommends local procedures and conventions governing authentication.
  - Establishes distribution plans.
  - Recommends local procedures governing reading files.
- b. **S1.** The S1--
  - Creates, edits, and authenticates correspondence for the commander.
  - Forwards correspondence through the ISSO for distribution.
- c. **Functional Staff.** The functional staff--
  - Is responsible for the management and input of the reading file.
  - Forwards correspondence to the S1 and the ISSO for distribution.

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d. **User.** Users--

- Create and edit correspondence for the commander.
- Are responsible for quality control of correspondence.
- Provide input to the reading file.

e. **Correspondence.** Table 4-1 lists the correspondence responsibilities from battalion through theater.

*Table 4-1. Correspondence responsibilities.*

<b>CORRESPONDENCE</b>				
<p><b>SigO</b> and <b>ISSO</b> refer to Signal Corps responsibilities, <b>user</b> refers to user responsibilities, <b>staff</b> refers to functional staff responsibilities, <b>S1</b> refers to S1 responsibilities, and <b>CDR</b> refers to commander responsibilities. S1 provides all ISSO services at battalion and brigade.</p>				
<b>RESPONSIBILITIES</b>	<b>BN</b>	<b>BDE</b>	<b>DIV/CORPS</b>	<b>THEATER</b>
Staff supervision of correspondence recommending local procedures and conventions governing authentication (who, what, when, how)	SigO	SigO	ISSO	ISSO
Preparing correspondence	User	User	User	User
Establishing distribution schemes	S1	S1	ISSO	ISSO
Authenticating correspondence (authentication is defined as approved for release)	CDR	CDR	CDR	CDR
Reading file <ul style="list-style-type: none"> <li>• management</li> <li>• input</li> <li>• recommending local procedures governing reading files</li> </ul>	Staff User S1	Staff User S1	Staff User ISSO	Staff User ISSO
<p>Once the correspondence has been authenticated, it becomes "distribution" and then a "file."</p>				

### 4-3. Files Management Responsibilities

a. **ISSO.** The ISSO--

- Is responsible for staff supervision of files management.
- Recommends policies, procedures, and conventions for files management IAW AR 25-400-2.
- Approves file listings and electronic conventions.
- Verifies accuracy and provides guidance on preparing records holding packages.

b. **S1.** The S1--

- Transfers eligible inactive files to the records holding area.
- Approves records transmittal listings.
- Conducts records management inspections.
- Establishes records management training.

c. **Functional Staff/User.** Staff/users maintain their own files and transfer them to the records holding area through the S1 and the ISSO.

d. **Files.** Table 4-2 lists the files management responsibilities from battalion through theater.

*Table 4-2. Files management responsibilities.*

FILES MANAGEMENT				
<p><b>SigO</b> and <b>ISSO</b> refer to Signal Corps responsibilities, <b>user</b> refers to user responsibilities, <b>staff</b> refers to functional staff responsibilities, and <b>S1</b> refers to S1 responsibilities. S1 provides all ISSO services at battalion and brigade.</p>				
RESPONSIBILITIES	BN	BDE	DIV/CORPS	THEATER
Staff supervision of files management recommending policies, procedures, and conventions	SigO	SigO	ISSO	ISSO
Files transfer to records holding area	S1	S1	ISSO	ISSO
Approval of file listing	S1	S1	ISSO	ISSO
Files maintenance	Staff/User	Staff/User	Staff/User	Staff/User

**4-4. FOIA/PA Responsibilities**

a. **ISSO.** The ISSO--

- Is responsible for supervision of FOIA/PA.
- Recommends policies, procedures, and conventions IAW AR 25-55, AR 25-1, and AR340-21.
- Enters requests into a formal control system.
- Determines and refers requests to the appropriate action office for response.
- Clears requests upon receipt of response from action office.
- Dispatches responses to requester.
- Compiles data for the annual FOIA/PA reports.
- Maintains complete case files.
- Is the POC for FOIA/PA at division, corps, and theater.

- b. **S1.** The S1--
  - Ensures each responsible individual is familiar with FOIA/PA regulations and local procedures.
  - Determines if requested information or material is releasable IAW AR 25-55.
  - Forwards requests immediately to the FOIA/PA official for entry into the formal control system.
  - Ensures the FOIA/PA request is processed and information is provided to FOIA/PA official within 10 working days.
- c. **Functional Staff/User.** Staff/users--
  - Implement FOIA/PA.
  - Process FOIA/PA requests in its areas of responsibility.
- d. **FOIA and PA.** Tables 4-3 and 4-4 list the FOIA and PA responsibilities from battalion through theater. Figure 4-1 illustrates the FOIA/PA process.

*Table 4-3. FOIA responsibilities.*

FREEDOM OF INFORMATION ACT (FOIA)				
<p><b>SigO</b> and <b>ISSO</b> refer to Signal Corps responsibilities, <b>user</b> refers to user responsibilities, <b>staff</b> refers to functional staff responsibilities, and <b>S1</b> refers to S1 responsibilities. S1 provides all ISSO services at battalion and brigade.</p>				
RESPONSIBILITIES	BN	BDE	DIV/CORPS	THEATER
Staff supervision of FOIA recommending policies, procedures, and conventions	SigO	SigO	ISSO	ISSO
POC for FOIA	S1	S1	ISSO	ISSO
Implementation of FOIA	User	User	User	User

*Table 4-4. PA responsibilities.*

<b>PRIVACY ACT (PA)</b>				
<p><b>SigO</b> and <b>ISSO</b> refer to Signal Corps responsibilities, <b>user</b> refers to user responsibilities, <b>staff</b> refers to functional staff responsibilities, and <b>S1</b> refers to S1 responsibilities. S1 provides all ISSO services at battalion and brigade.</p>				
<b>RESPONSIBILITIES</b>	<b>BN</b>	<b>BDE</b>	<b>DIV/CORPS</b>	<b>THEATER</b>
Staff supervision of Privacy Act recommending policies, procedures, and conventions	SigO	SigO	ISSO	ISSO
POC for Privacy Act	S1	S1	ISSO	ISSO
Implementation of Privacy Act	User	User	User	User

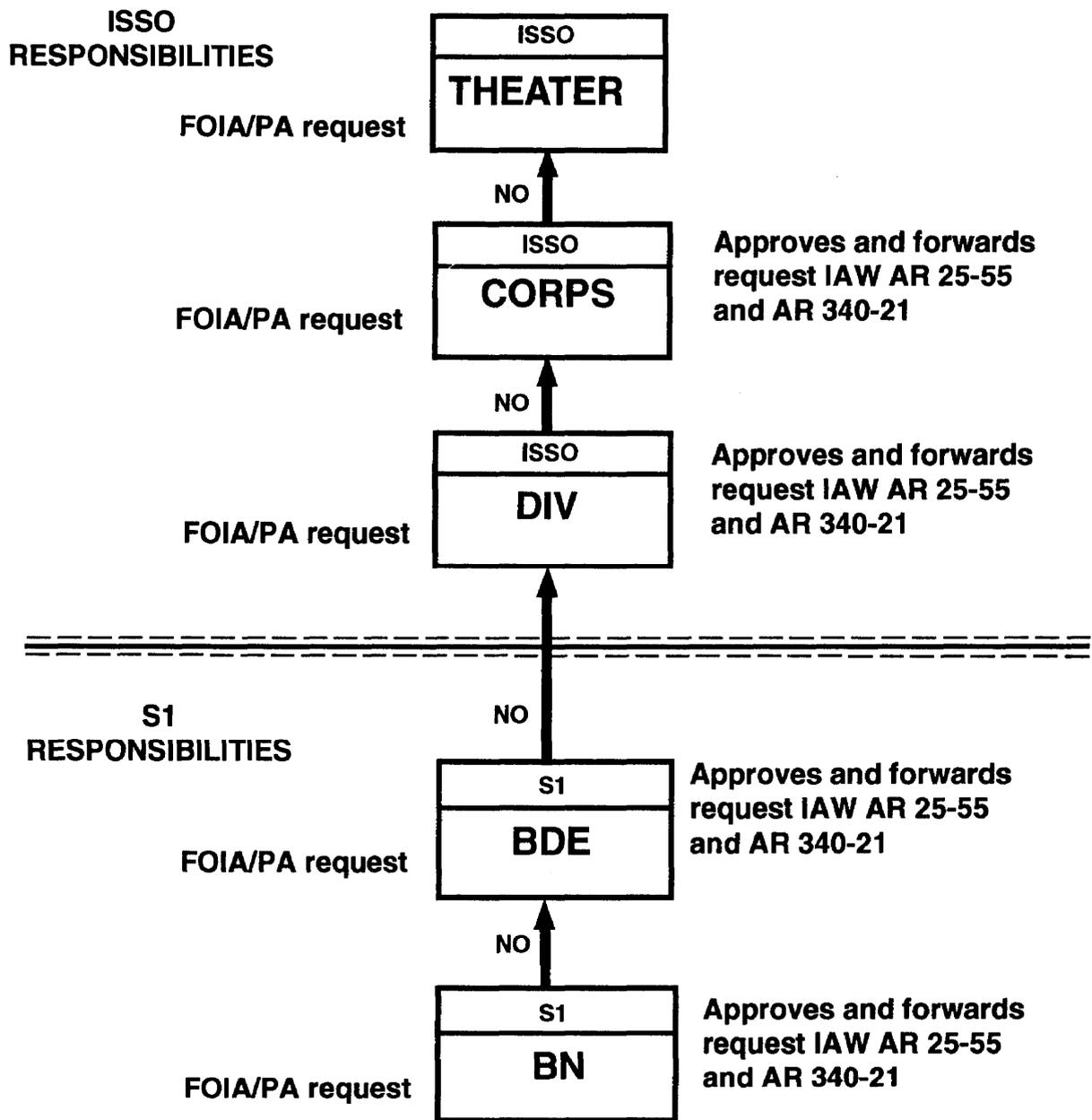


Figure 4-1. FOIA/PA process.

## 4-5. Classified Document Control Responsibilities

a. **ISSO.** The ISSO is responsible for temporary control and storage of classified documents awaiting distribution. It recommends classified document policies, procedures, and inspections IAW AR 380-5. The ISSO does not perform TOP SECRET document control nor does it operate a centralized TOP SECRET repository in garrison. The DOIM operates TOP SECRET repositories in garrison.

b. **S1.** The S1 performs--

- Classified document distribution and storage.
- Top Secret document destruction (at commander's discretion).

c. **Functional Staff/User.** Staff/users provide--

- Derivative classification responsibility.
- Classified document storage.
- TOP SECRET repositories.
- SECRET document destruction.
- Classified document control as correspondence or files.

d. **Classified document control.** Table 4-5 lists the classified document control responsibilities from battalion through theater. Figure 4-2 illustrates the tactical classified document control process.

Table 4-5. Classified document control responsibilities.

CLASSIFIED DOCUMENT CONTROL				
<p><b>SigO</b> and <b>ISSO</b> refer to Signal Corps responsibilities <b>user</b> refers to user responsibilities, <b>staff</b> refers to functional staff responsibilities, <b>S1</b> refers to S1 responsibilities, and <b>CDR</b> refers to commander responsibilities. S1 provides all ISSO services at battalion and brigade.</p>				
RESPONSIBILITIES	BN	BDE	DIV/CORPS	THEATER
Staff supervision of classified document control recommending classified document policies, procedures, and inspections (see note)	SigO	SigO	ISSO	ISSO
Classification authority	*	*	CDR	CDR
Classified document distribution	S1	S1	ISSO	ISSO
Classified document storage (see note) TOP SECRET repository (while awaiting distribution)	User	User	ISSO	ISSO
	Staff	Staff	ISSO	ISSO
Classified document control as correspondence or file	User	User	User	User
Document destruction • SECRET • TOP SECRET	User	User	User	User
	**	**	ISSO	ISSO
<p>NOTE: Classified document control must apply in phases and areas of the IMA (for example, correspondence, printing/reproduction, distribution/mail, and file management). Because signal is so involved in classified document control and because of this area's criticality, another proponent—the intelligence community—must set and enforce the standards. The ISSO will only be responsible for temporary storage of classified documents awaiting distribution.</p>				
<p>* No user original classification authority authorized at this level. (See AR 380-5.)</p>				
<p>** Can be either S1 or S2 depending on the commander's discretion.</p>				

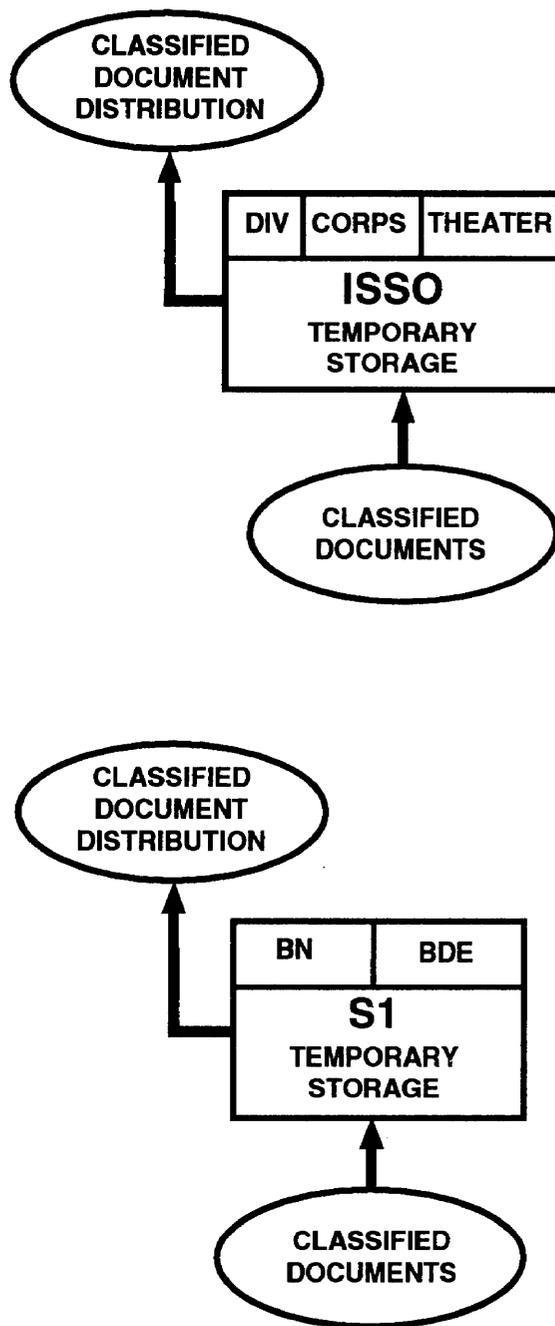


Figure 4-2. Tactical classified document control process.

## 4-6. Distribution/Official Mail Responsibilities

a. **ISSO/S1 (Distribution).** The ISSO/S1---

- Is responsible for staff supervision of distribution.
- Recommends policies, procedures, and conventions.
- Maintains accountable distribution including official mail. (The S1 also maintains accountable distribution.)
- Is responsible for internal headquarters distribution. (This includes distribution center operations and distribution pickup.)
- Coordinates with G3 for unit taskings to augment necessary messenger services.

b. **ISSO/S1 (Official Mail).** The ISSO/S1--

- Follows postal regulations in processing official mail.
- Picks up and distributes official mail from higher headquarters. (Once mail is delivered, it becomes normal distribution within the unit. )
- Coordinates pick up of official mail by lower echelon units.
- Determines if mail is mailable IAW US postal service regulations.
- Checks that all addresses and return addresses have a ZIP+4 code/APO and an assigned unit/consolidated mailroom (CMR) or unit number.
- Inspects mail for proper packaging, wrapping, and conformity to size and weight limitations.
- Checks parcels for appropriate customs declaration forms.
- Checks that unaccompanied baggage mailed from APOs to CONUS by a transportation officer is correctly prepared and screened before loading onto any aircraft. Follow Military Airlift Command (MAC) mail security screening requirements.

c. **Functional Staff/Users.** Staff/users are responsible for picking up distribution and censoring mail.

d. **Distribution/official mail.** Table 4-6 lists the distribution/official mail responsibilities from battalion through theater. Figure 4-3 illustrates the distribution/official mail process.

*Table 4-6. Distribution/official mail responsibilities.*

<b>DISTRIBUTION/OFFICIAL MAIL</b>				
<p><b>SigO</b> and <b>ISSO</b> refer to Signal Corps responsibilities, <b>user</b> refers to user responsibilities, <b>staff</b> refers to functional staff responsibilities, and <b>S1</b> refers to S1 responsibilities. S1 provides all ISSO services at battalion and brigade.</p>				
<b>RESPONSIBILITIES</b>	<b>BN</b>	<b>BDE</b>	<b>DIV/CORPS</b>	<b>THEATER</b>
Staff supervision of distribution recommending policies, procedures, and conventions	SigO	SigO	ISSO	ISSO
Internal HQ distribution <ul style="list-style-type: none"> <li>• distribution center operations</li> <li>• pickup of distribution</li> </ul>	S1 User	S1 User	ISSO User	ISSO User
External distribution service <ul style="list-style-type: none"> <li>• recommending policies, procedures, and conventions</li> <li>• providing resources for necessary messenger service. (Maximum use is made of existing delivery systems.)</li> <li>• coordinating resources for messenger service</li> </ul>	S1 User	S1 User	ISSO User	ISSO User
Official mail <ul style="list-style-type: none"> <li>• official mail, internal distribution</li> <li>• censorship</li> </ul>	S1 User	S1 User	ISSO User	ISSO User
<p>NOTE: Mail may be categorized as official or personal; however, once official mail is received by a unit, it becomes normal distribution. Personal mail remains mail, subject to postal regulation, until delivered to the intended recipient. Official mail contains military information. Personal mail contains personal information sometimes subject to censorship. Personal mail is an Adjutant General's Corps and Army Postal Office responsibility.</p>				

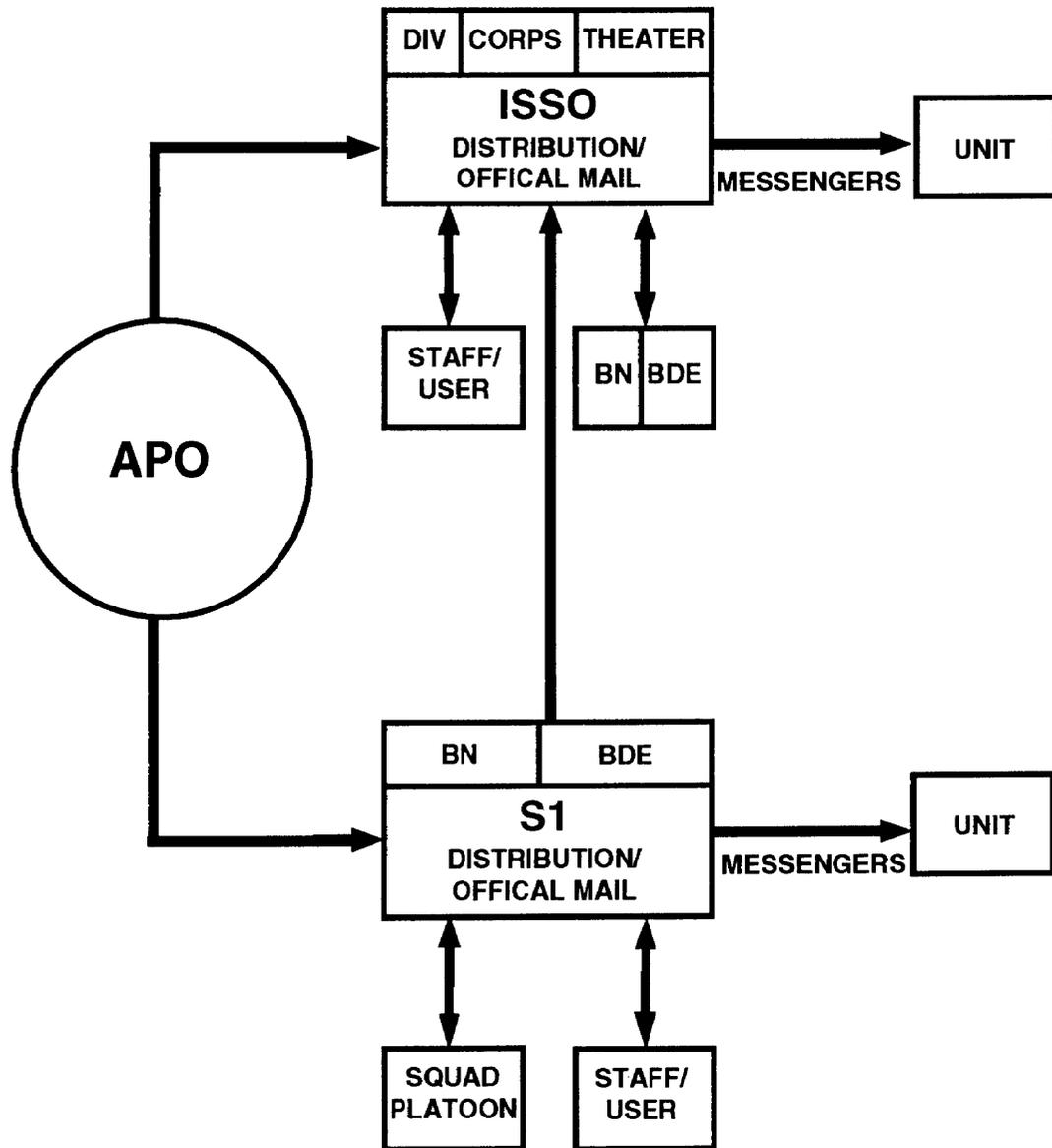


Figure 4-3. Distribution/official mail process.