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USAGH EMSC Reinhold Fröhlich		**Bernhard Weber Chief Env. Division**	

TABLE OF CONTENTS

SECTION 1 – BACKGROUND 2
1.1 Purpose 2
1.2 Applicability 2
1.3 Definitions 2

SECTION 2 – RESPONSIBILITIES AND TIMELINE 3
2.1 Environmental Division Personnel 3
2.2 Environmental Division Doc Con Coordinator 3

SECTION 3 – PROCEDURES 4
3.1 Identifying Files to Include in the Doc Con System and EMS Manual 4
3.2 Ensuring Accessibility 5
3.3 Saving Files Electronically vs. Paper Copy 5
3.4 Organizing Files 5
3.5 Naming Files for the Doc Con System 5
3.6 Naming Files for the EMS Manual 7
3.7 Storing Files 7
3.8 Archiving and Removing Old Files 7

SECTION 4 – DOCUMENT REVISION SUMMARY 8

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SUPPORTING DOCUMENTS

Document ID	Document Title
EMS445_A01_ARIMS.doc	ARIMS Crosswalk and File Disposition Guidance
EMS445_A02_ARIMSTranfer.doc	Transferring Files to Official Army Archives
EMS445_A03_EDStaff.doc	USAGH Environmental Division Staff Responsibilities
EMS445_A04_MiscPrc.doc	Miscellaneous Procedures
EMS445_A05_FileOutline.doc	File Outline (Level 1 Only)
EMS445_A06_EMSFileOutline.doc	EMS File Folder Outline
EMS445_A07_EMSManualIDs.doc	EMS Document Ids
EMS454_000_Records.doc	Procedure for the Control of Records

SECTION 1 - BACKGROUND

1.1 PURPOSE. The purpose of this procedure is to provide standard methods for managing records under a single Environmental Division Office Document Control (DOC CON) system. The goals of this system are to:

- Meet ISO 14001 environmental document control standards
- Meet Army Records Information Managements System (ARIMS) standards
- Ensure all files are up-to-date and readily available to all environmental branch personnel.

1.2 APPLICABILITY. This procedure applies to Environmental Division personnel involved in creating, using, and maintaining documents associated with environmental activities. This procedure covers both paper and electronic records. This procedure applies only to the Document Control files described in Section 3.1.

1.3 DEFINITIONS. A comprehensive list of terms and definitions used in and related to the EMS Hohenfels provides the EMS410_002_Glossary.doc.

ARIMS – The Army Records Information Management System. Army Regulation 25-400-2, effective 18, April, 2003, governs the maintenance and disposition of all Army records.

Communications – Refers to records of all correspondence pertinent to Environmental Division activities; including, but not limited to records of telephone conversations, memorandums, electronic mail, and letters.

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Controlled Documents – Documents required by the EMS based on the ISO 14001 standard, and the Army requirements that are necessary for operational continuity and mission support. Documents include records necessary to demonstrate conformity to the requirements of the EMS and the ISO 14001 standard, and the results achieved. Records are a special type of controlled documents (see Records).

Document – Any written information including associated records. Examples include but are not limited to correspondence, memorandums, meeting minutes, informational papers, reports, operation and maintenance records, monitoring records, photographs, and design documents generated by or received by the USAGH-JMRC. Documents can be CDs, electronic files or hardcopies.

Document Control Coordinator – An individual assigned to perform administrative functions in support of the Document Control System.

Draft Documents – Documents circulated to two or more people for review and comment.

Environmental Management Program Manager (EMP Manager) – An individual appointed by the EMSR to manage a specific environmental management program (EMP)

File Outline, File Folder Outline – A reference document maintained by the Document Control Coordinator within Environmental Division. This outline contains a listing of how all Environmental Division files are organized within the DocCon system. Environmental Division members use this document as the guide for organizing and naming files.

Records - All books, papers, maps, photographs, machine-readable materials or other documentary materials regardless of physical form or characteristics. EMS records are a special type of controlled documents and should be controlled according to the EMS Procedure for the Control of Records, which addresses the requirements of the ISO 14001 standard, section 4.5.4 Control of Records.

Document Owner — Those personnel responsible for retaining Environmental Management System controlled documents and records as indicated by procedures and instructions. A document owner is not always the author of the document/record, but is the party responsible for maintaining it. As a rule the EMSR is the owner of all EMS procedures. *Refer to Section 3 in this procedure for additional information regarding responsibilities of Environmental Division Document owners.*

Retention Period – The length of time that a record will be maintained within the DocCon system before being transferred to the ARIMS or is not longer useful for Branch business and may be discarded.

Working Files – Documents created within the Environmental Division that have not been circulated for review or comment.

SECTION 2 - RESPONSIBILITIES AND TIMELINE

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2.1 Environmental Division Personnel. Each employee within the Environmental Division has the following responsibilities:

- Use these procedures to identify which files to manage under the Document Control System.
- Determine the retention period for each record maintained within the DOC CON system. Use Annex EMS445_A01_ARIMS.doc as a guide to determine file retention times in accordance with ARIMS disposition requirements. Work with the Document Control Coordinator to keep Appendix A current.
- Label/name each document according to Section 3.5 and save it according to the EMS File Folder Outline in Annex EMS445_A06_EMSFileOutline.doc.
- Notify the Branch Document Control Coordinator of any file FOLDERS being added to or removed from the DOC CON system. The Coordinator will update the File Outline accordingly.
- Maintain Non Doc Con files separately from Doc Con files. See Section 3.1 for a list of which files fall under the Doc Con system and which do not.

2.2 Environmental Division Document Control Coordinator. The Environmental Division Office Document Control Coordinator has the following responsibilities:

- Maintain and update this procedures document to ensure it is always current.
- Maintain the ED File Folder Outline (1st Level) in Annex EMS445_A05_FileOutline.doc.
- Maintain the EMS File Folder Outline in Annex EMS445_A06_EMSFileOutline.doc.
- Work with Environmental Program Employees to ensure compliance with these DOC CON procedures and filing system structure.

Maintain a list of the Environmental Division records applicable to ARIMS (EMS445_A01_ARIMS.doc) and apply the appropriate ARIMS record number to each file prior to coordinating the transfer of those records to the Records Holding Area.

SECTION 3 – PROCEDURES

3.1 IDENTIFYING FILES TO INCLUDE IN THE DOC CON SYSTEM AND EMS MANUAL

Include the following types of files in the **DOC CON System**:

- Policies
- Signed Memoranda
- Regulations
- Executive Orders

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- Guidance
- Assessment Reports
- Info Papers
- Briefings
- Executive Summaries
- Laws
- Plans
- Scopes of Work
- Trip Reports
- Procedures and SOPs
- Training Records

Do NOT include the following types of files in the **DOC CON System**:

- E-mails (except those that serve as the sole copy of file-types listed above
- Working files
- Contract negotiation paperwork
- Personal project notes
- Drafts that have been replaced by a final product
- Files classified as SECRET or above

Include the following types of files in the **EMS Manual**, which constitutes a special portion within the Doc Con System.

- Environmental Policy
- EMS Implementation Plan
- EMS Procedures
- Annexes to EMS Procedures
- EMS Forms related to EMS Procedures
- Environmental Management Programs (EMP)
- EMS-related Databases
- EMS Worksheets

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Do NOT include the following types of files in the folder of the **EMS Manual**:

- Any file that is not an EMS-controlled document that requires periodical review and revision (e.g., Records).

3.2 ENSURING ACCESSIBILITY. For a successful document control system, keep all files orderly and accessible. The documents and files within the system are owned by the office and must be accessible to all members of the Environmental Division. The two exceptions to this policy include files containing confidential personnel information maintained by the supervisor and files containing classified information.

3.3 SAVING FILES ELECTRONICALLY VS. PAPER COPY. Store all files electronically to the greatest extent possible. Scan any paper-copy files into electronic format and store only the electronic version in the DOC CON system. The following documents are exceptions to this policy and will be maintained as hard copies:

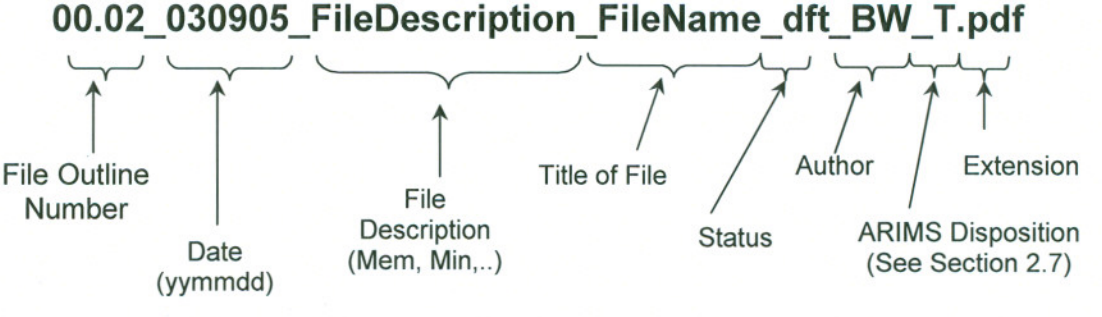
- Files required by regulation to be readily accessible in hard copy
- Documents too large to scan (maps, drawings, diagrams, etc)
- Legally binding documents with original signatures
- Official documents with stamps or raised seals

Documents that are kept as hardcopies only (central Environmental Division-library), will be referenced within the DOC CON system by creating space holder documents following the file outline. The space holder document will include the information where the hardcopy is stored, document holder, date of issue, etc. (see Section 3.7).

3.4 ORGANIZING FILES. Organize all files in the DOC CON system (both electronic and paper copy) according to the Document Control File Outline provided in Appendix E (Outline Level 1 Only) and Appendix F (Comprehensive File Folder Outline).

3.5 NAMING FILES FOR THE DOC CON SYSTEM.

Format. Refer to the following example when naming files:



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REMARK: In order to ensure full compatibility, especially with other software and operating systems three aspects are recommended for consideration:

- *Do not use the following special characters when naming files and folders: ^, °, <, >, |, !, §, $, %, &, /, (,), [,], =, {, }, ?, \, ´, `, #, ', ä, ü, ö, +, *, ~, -, :, as well as colon, comma, and blanks.*
- *Keep folder and file names as short as possible using the Doc Type abbreviations provided for File Description and Status (see below). The Microsoft® Windows® environment is able to manage a system path of 255 digits as maximum (maximum recommended path length is <200 digits).*
- *The present Document Control System will not be compatible with files created under a MSDOS environment, since they are restricted to the 8.3 standard.*

File Outline Number. References the folder and subfolder where the file is stored, or has to be stored (see Appendix F for examples). Files shall follow this file folder outline number format down to the forth directory level. Folders of the fifth directory level, and files stored under the fifth directory level and below, are not required to include the folder numbering.

Date. The date must be entered in the yymmdd format. By using this format the system will keep files sorted by date!

File Description. In order to keep the file names as short as possible use the following Doc Type Abbreviations when abbreviating any of these terms in the file description. For better oversight and increased consistency, these abbreviations shall be used at the beginning of the file description:

Abbreviation	Definition
App	Application
Brf	Briefing
Com	Comments
Ecl	Enclosure
EMP	Environmental Management Program
Frm	Form
Inf	Information Paper
Law	Law, Regulation, Guideline
Ltr	Letter
Map	Map
Mem	Memorandum
Min	Meeting Minutes
Moa	Memorandum of Agreement
Mou	Memorandum of Understanding
Pic	Picture
Pln	Plan
Pol	Policy
Prc	Procedures
Rec	Record

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Abbreviation	Definition
Rpt	Report
Sop	Standard Operation Procedure
Sow	Scope of Work
Sum	Summaries, Executive Summaries
Tng	Training

The Doc Type Abbreviations table must be periodically reviewed and kept up to date.

Status Abbreviations. Use the following to indicate the document's status:

Abbreviation	Definition
dft	Draft
fnl	Final
rev2	Revision Number

Author. For documents created within the Environmental Division use the author initials as provided in Appendix C.

REMARK: It is recommended to add a chart with abbreviations for external authors from other DoD organizations, and contractors.

3.6 NAMING FILES for the EMS MANUAL.

The naming of those files that are required to be saved within the EMS Manual follow the provisions of Annex EMS445_A07_EMSManualIDs.doc.

3.7 STORING FILES (LOCATION)

Electronic Files. Store all electronic DOC CON files on the M Drive. Save all files in accordance with the File Outline to:

M:/DocCon/

Paper Files. Label all paper DOC CON files in accordance with the File Outline and place them in a clearly labeled file cabinet to ensure accessibility to all Branch personnel.

Confidential Personnel Files. Branch supervisors responsible for confidential personnel files maintain control of the documents and file them according to their discretion.

3.8 ARCHIVING AND REMOVING OLD FILES. The ARIMS dictates when specific types of files must be removed from the DOC CON system and indicates whether those files must be

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transferred to official Army archives or simply deleted or destroyed. The ARIMS has two record disposition categories: K (for Keep) and T (for Transfer).
Environmental Program Managers are responsible for determining how to maintain and dispose of their files according to ARIMS standards. The remainder of this section provides guidance on identifying and managing both T and K files.

T Files.

T files are long-term records with value beyond the day-to-day business practices of the organization, and retained for more than six years. These files may be valuable for historic purposes, legal proceedings, etc. ARIMS categorizes these as "Transfer" files since they must be *transferred* to official Army archives once they're no longer needed by the organization.

Identification. Appendix A contains a comprehensive list identifying which Environmental Branch files are considered "T" files and which are considered "K" files. Use this list to determine whether or not to classify the file as "T".

Naming / Storing. When naming "T" files in the DOC CON system, use the naming convention described in Section 3.5 above. Place a "T" in the portion of the file name designated for the ARIMS disposition code. Store these files according to the procedures in Section 3.6 above.

Disposition. Use the guidance in Appendix A to determine when the file is no longer needed for conducting business. When no longer needed, provide a copy of the file to the Branch Document Control Coordinator. This marks the end of your responsibility for the file. (The DOC CON Coordinator will then use the procedures in Appendix B to transfer the file to Army archives).

K Files:

K files are short-term records kept only as long as they are needed for the day-to-day business practices of the organization that owns the records. ARIMS categorizes these as "keep" files because they are *kept* internally by the organization and then discarded when no longer needed, a period not to exceed six years.

Identification. All files not classified as "T" are "K" files and are maintained within the Branch DOC CON system until no longer necessary for business practices, a period not to exceed six years. Appendix A contains a comprehensive list identifying which Environmental Branch files are considered "T" files and which are considered "K" files. Use this list to determine whether or not to classify the file as "K".

Naming/Storing. When naming "K" files in the DOC CON system, use the naming convention described in Section 2.6 above. Place a "K" in the portion of the file name designated for the ARIMS disposition code. Store these files according to the procedures in Section 2.6 above.

Disposition. ARIMS identifies a number of Environmental Quality "K" files and Environmental Branch media managers are responsible for determining how long a "K"

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file must be maintained in the DOC CON system for Branch business. Use the guidance in Appendix A to determine when the file is no longer needed for conducting business, a period not to exceed six years.

SECTION 4 - DOCUMENT REVISION SUMMARY

Revision Number	Date of Revision	Revision Summary
1.0	08 June 07	Editorial changes, re-structured sections, update of Hyperlinks, update of Appendix F "File Folder Outline"
2.0	19 Jan. 07	Update of Hyperlinks, update of Appendix F "File Folder Outline"
3.0	02 May 07	Update of Hyperlinks, update of Appendix F "File Folder Outline"
4.0	28 Nov 07	- Created new filename IAW new EMS Manual concept. - Revised appendices (now Annexes) and created these as separate files, and linked to Procedure. - Added Annex – EMS Manual Document IDs - Revised order of sections, and the table of contents - Adjusted hyperlinks within Procedure and annexes.

- END OF PROCEDURE -