Defense Logistics Agency
MANUAL

SUBJECT: Records Management (RM) Procedures Manual for Creating, Maintaining and Dispositioning the Defense Logistics Agency (DLA) Records. Volume 2 – Electronic Records and Shipping Records.

References: Refer to Enclosure 1

1. <u>PURPOSE</u>.

   a. <u>Manual</u>. This Manual is comprised of two volumes, each containing its own purpose. In accordance with the authority in Defense Logistics Agency (DLA) Instruction 5015.01 (Reference (a)), is to implement policy, assign responsibilities, and provide procedures for the creation, maintenance and disposition of DLA records.

   b. <u>Volume</u>. This Volume sets forth responsibilities and procedures for the life-cycle management of electronic records and shipping of records to off-site storage, regardless of media, within the DLA.

2. <u>APPLICABILITY</u>. This manual applies to Headquarters DLA, DLA Primary Level Field Activities (PLFAs) and subordinate DLA Field Activities (hereafter referred to collectively as "DLA Components").

3. <u>DEFINITIONS</u>. See Glossary.

4. <u>POLICY</u>. This manual provides guidance for the creation, maintenance and disposition of records within DLA Components in accordance with DLA Instruction 5015.01 Records Management.

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. Enclosures 3 through 7 provide general standard procedures for Records Management functions in DLA.

7. INTERNAL CONTROLS.

    a. DLA Records Manager will monitor mandatory Records Management training through Learning Management System (LMS) completion reports (or equivalent for contractors) and submit follow-on reports to organizational Component Records Officers (CROs).

    b. DLA Components will complete file plans (DLA Form 1689) for each administrative and functional business unit. Business Unit Records Coordinators (RCs) will submit to the local organizational CRO.

        (1) CROs will review file plans to identify that administrative and functional records are being created and maintained, and authorized dispositions are applied.

        (2) CROs will conduct annual evaluations of Directorate; Division and Branch offices to ensure records, regardless of format or medium are properly organized, classified and indexed, and described and made available for use by all appropriate agency staff.

        (3) CROs will complete and submit an annual evaluation report on the status of their RM program.

    c. CROs will submit to the DLA RM quarterly (Jan /Apr /Jul /Oct) metrics reports identifying:

        (1) Number of Records Transmittal Sheets, Standard Form (SF) 135, sent and/or retrieved to/from the Federal Record Center (FRC).

        (2) Number of File Plans, DLA Form 1689, completed and reviewed for their organization and identify any discrepancies.

        (3) Number of Disposal Notification Reports, National Archives Form 13001, signed; including the number of boxes for disposal and/or number retained and justification.

        (4) Number of accession numbers placed on legal hold.

8. RELEASEABILITY. UNLIMITED. This DLAM is approved for public release and is available on the Internet from the DLA Issuances Website.

9. <u>EFFECTIVE DATE</u>. This DLAM 5015.01, vol.2 is effective upon its publication to the DLA Issuances Website.

                                        KATHY CUTLER
                                        Director, DLA Information Operations
                                          Chief Information Officer

Enclosures
    1. References
    2. Responsibilities
    3. Electronic Records
    4. Preparing Records for Transfer
    5. Packing and Shipping Records
    6. Retrieval Procedures
    7. Internal Controls and Metrics Reporting
Figures
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ENCLOSURE 1

REFERENCES

(a) "DLAI 5015.01 DLA Records Management," current edition
(b) "DLAM 5015.01 replaces DLA Records Management Procedural Guide," April 2002 (hereby canceled)
(c) DLA Records Disposition Schedule, current edition
(d) DoD Directive 5015.02, "DoD Records Management Program," March 6, 2000
(e) Chapters 29, 31, and 33, 35 of title 44, United States Code
(f) Chapter XII, subchapter B of title 36, Code of Federal Regulations
(g) National Archives and Records Administration (NARA) General Records Schedule (GRS)
(h) Sections 552,[1] 552a,[2] and Appendix 2[3] of title 5, United States Code
(i) Chapters 102-193, title 41, Code of Federal Regulations
(j) DoD 8910.1-M, "DoD Procedures for Management of Information Requirements," June 30, 1998
(k) DoD Instruction 5025.01, "DoD Directives Program," October 28, 2007
(l) DoD Manual 5230.30 "Mandatory Declassification Review (MDR) Program," December 22, 2011
(m) Executive Order 13526, "Classified National Security Information," December 29, 2009
(n) DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007
(o) DoD Instruction 8910.01, "Information Collection and reporting," March 6, 2007
(p) DoD Directive 3020.26, "DoD Continuity Programs," January 9, 2009
(q) Presidential Memorandum, "Managing Government Records", November 28, 2011
(r) DoD 5015.02-STD, "Electronic Records Management Software Applications Design Criteria Standard," April 25, 2007
(s) Sections 641 and 2071 of title 18, United States Code
(t) Joint Publication 1-02, "Department of Defense Dictionary of Military and Associated Terms," current edition
(u) Executive Order 12829, "National Industrial Security Program," January 6, 1993
(v) Directive Memorandum M-12-18, "Managing Government Records," August 24, 2012
(w) Office of Management and Budget Circular A-130, "Management of Federal Information Resources," current edition
(x) Directive-Type Memorandum 09-026, "Responsible and Effective Use of Internet-based Capabilities," February 25, 2010
(y) Executive Order 12906, "Coordinating Geographic Data Acquisition and Access: The National Spatial Data Infrastructure," April 13, 1994
(z) DoD 5040.06-M-3, Volume 3 "Visual Information (VI): VI Records Schedule," September 25, 2008
(aa) National Institute of Standards and Technology (NIST), "The NIST Definition of Cloud Computing," NIST Definition Version, September 28, 2011

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[1] Section 552 is also known as "The Freedom of Information Act"
[2] Section 552a is also known as "The Privacy Act of 1974"
[3] Appendix 2 is also known as "The Federal Advisory Committee Act of 1972"

(bb) DLA Enterprise Organizational Alignment (EOA), January 13, 2010
(cc) "Defense Logistics Acquisition Directive," Revision 5, May 1, 2013
(dd) "DLAI Managers' Internal Control (MIC) Program (DLAD 4.802(f)(90)(b)(1))," September 15, 2009
(ee) Office of Management and Budget Circular A-123, "Management's Responsibility for Internal Control," current edition
(ff) DODM 5200.01 Vol 1-4 DOD Information Security Program, February 24, 2012

ENCLOSURE 2

RESPONSIBILITIES

1. THE CHIEF INFORMATION OFFICER (CIO), DLA. The CIO will:

    a. Assign RM responsibility to a person and office, by designation in writing, with appropriate authority within the agency to coordinate and oversee implementation of the agency comprehensive RM program principles in accordance with Reference (f).

    b. Act as the approving authority on major RM policy and procedural documents.

    c. Initiate enterprise communications relaying major changes to RM policies and procedures or other significant RM issues.

    d. Ensure, as part of capital planning and systems development life cycles processes that RM controls are planned and implemented in systems and that all records in the system will be retrievable and useable for as long as needed to conduct agency business.

    e. Plan and budget for records migration and their associated metadata to current storage media or formats for Electronic Information System (EIS) that are identified for decommissioning.

    f. Ensure that any system used for electronic records management is certified by Joint Interoperability Test Command to meet DoD 5015.02-STD. See http://jitc.fhu.disa.mil/cgi/rma/reg.aspx for more information on the RM system certification.

    g. Periodically review the Agency's records program requirements in order to validate their currency and to ensure that records and information requirements are being implemented.

2. THE AGENCY RECORDS OFFICER, (ARO), DLA. The DLA Records Officer will:

    a. Serve as DLA Records Officer, also referred to as Records Manager, and administer the implementation, maintenance and evaluation of the DLA Records Management program in accordance with References (a through f) and Executive Order 13526 Reference (m).

    b. Act as the liaison to the National Archives and Records Administration (NARA), Office of the Secretary of Defense (OSD) on DOD-wide RM matters; advise the Assistant Secretary of Defense (ASD) (C3I) of records management issues that could have broad implications across the Department of Defense or between the Department of Defense and other Government Agencies, and fully cooperate with the ASD (C3I) in resolving these issues.

    c. Act as the liaison official with other Government agencies, private industry, and private citizens on records and information management matters of DLA.

d. Ensure the proper maintenance of records and non-record information, regardless of format, generated by their Component offices in accordance with DLAI 5015.01 and DLAM 5015.01 Volume 1 and 2 and references (c) through (f).

e. Provide basic RM training material to DLA employees and contractors in accordance with Reference (d).

f. Monitor the acquisition of Information Technology (IT) systems within DLA enterprise architecture to ensure compliance with RM laws and regulations.

g. DLA Enterprise administrator for DACS-RM records management module and point-of-contact and oversight for shared network drive / centralized records repository

h. Ensure DLA employees or officials of DLA Components do not remove Federal records and Government-owned non-record information (paper or electronic) from Government custody that was not cleared for public use in accordance with References (d), (e), (m) and (n).

i. Periodically, after organizational realignment and no more than every three years, review the Agency's records program requirements to validate its currency and to ensure that records and information requirements are being implemented.

3. HEADS OF DLA COMPONENTS. The Heads of DLA Components will:

a. Identify an Office with Primary Responsibility (OPR) for RM within their component organization and designate, in writing (See Appendix 1 to Enclosure 2), a Component Records Officer (CRO) with sufficient authority to coordinate Component approval on RM policy changes, records disposal and other RM issues and to act as liaison to the DLA Records Officer and serve as the organizations RM subject-matter-expert.

b. Sufficiently resource a RM program to support the requirements outlined in Reference (c) through (i) and (m) through (z) and with the regulations issued thereunder. Designation will be updated within 90 days of the RM position becoming vacant.

c. Ensure all DLA employees and contractors within their organization receive basic records management training at least annually to maintain compliance with Reference (d) and this manual.

d. Periodically review the Component's RM program requirements in order to validate their currency and to ensure that records and information requirements are being implemented.

4. THE GENERAL COUNSEL, DLA (DG). DG will:
a. Coordinate with the DLA Records Officer as appropriate to implement or discontinue a records freeze arising from pending or active litigation.

b. Periodically review the Component's RM program requirements in order to validate their currency and to ensure that records and information requirements are being implemented.

5. THE DLA HEAD QUARTERS FREEDOM OF INFORMATION ACT (HQ FOIA) and PRIVACY ACT (PA) OFFICE (DGA). DGA will:

a. Coordinate with the DLA Records Officer as appropriate to process an active FOIA or PA request.

b. Periodically review the Component's RM program requirements in order to validate their currency and to ensure that records and information requirements are being implemented.

6. THE OFFICE INSPECTOR GENERAL, DLA (OIG). OIG will:

a. Coordinate with the DLA Records Officer on matters of common interest to avoid potential conflicts arising from overlapping statutory responsibilities.

b. Inform DLA personnel on the requirement for coordination to DLA OIG before the release of audit and investigative records to external organizations related to DLA programs and operations.

c. Promptly and timely release records to the Department of Defense Inspector General (DoD IG) because of the unique mission to serve as the directing authority for DoD Components.

7. THE INTELLIGENCE OFFICE, DLA (DI). DI will:

a. Process any and all mandatory declassification reviews (MDRs).

b. Assist offices in the processing and packaging of classified records that are to be maintained at a Federal Records Center or other approved off-site records storage facility in accordance with DoD 5200.01 Information Security Program, Reference (ff).

c. Follow DLA RM requirements and retention policy, References (a through c) unless policy applicable to classified records takes precedence.

d. Periodically review the Component's RM program requirements in order to validate its currency and to ensure that records and information requirements are being implemented.

8. THE J6 SYSTEM PROGRAM MANAGERS, DLA. J6 IT Systems Program Managers will:

a. Involve the J6 CRO or ARO in both the systems development and systems decommission processes.

b. Incorporate RM requirements into automated information systems development and redesign to ensure new systems containing Agency data have an approved retention and that all records in the system will be retrievable and usable for as long as needed to conduct DLA business.

c. Ensure records and information contained within a system being decommissioned is migrated or retained so records remain accessible throughout the entire records retention period.

d. Assist in the transfer of permanent electronic records to NARA in accordance with References (e) and (f).

e. Periodically review the Component's RM program requirements in order to validate their currency and to ensure that records and information requirements are being implemented.

9. THE CONTINUITY OF OPERATION PLAN (COOP) PROGRAM MANAGER, DLA. The COOP Program Manager will:

a. Coordinate with the DLA Records Officer to ensure each Component maintains an up-to-date and accurate inventory of Vital Records.

b. Periodically review the Component's RM program requirements in order to validate their currency and to ensure that records and information requirements are being implemented.

10. THE FORMS MANAGER, DLA. DLA Forms Manager will: Ensure that new DLA forms have an approved retention period documented within a records series in the DLA Records Disposition Schedule.

11. AGENCY PROGRAM MANAGERS AND SUPERVISORS, DLA. Program Managers and Supervisors will:

a. Designate in writing (See Appendix 2 to Enclosure 2) a Records Coordinator (RC) for their program/functional business units (see definition) to perform RM functions within their organizations and as liaison to the local CRO. These designations will be made in writing and furnished to the local CRO. Designation letters will be updated within 90 days of the RC position becoming vacant.

b. Ensure records are created, maintained and dispositioned within their program or business unit in accordance with reference (a through c).

c. Ensure staff receives basic RM training and guidance on implementing RM procedures.

d. Implement procedures to prevent departing employees from destroying ineligible records or removing records from the agency's custody.

e. Periodically review the business unit or program's RM program requirements in order to validate their currency and to ensure that records and information requirements are being implemented.

12. <u>THE COMPONENT RECORDS OFFICER (CRO), DLA</u>. The Component Records Officers will:

a. Complete NARA RM certification training within one year of being designated a CRO. The training consists of five NARA instructor-led classes and accompanying post-course examinations. Individual DLA components are responsible for arranging and paying for the NARA RM certification training. See http://www.archives.gov/records-mgmt/training/certification.html for more information and to browse available courses.

(1) CROs may be identified as:

(a) Component Records Officers collectively

(b) Local or Site Component Records Officer

(c) Lead Component Records Officer

b. Annually remind and caution all employees not to transfer or destroy records in their custody, to include e-mails, except as allowed under Reference (c) and Reference (d).

c. Ensure the proper maintenance and disposition of records and non-record information, regardless of format, generated by their Component offices in accordance with DLAI 5015.01 and DLAM 5015.01 Volume 1 and 2 and references (c) through (f).

d. Serve as the Component administrator for DACS-RM records management module and point-of-contact and oversight for shared network drive / centralized records repository.

e. Ensure all employees and contractors receive annual basic RM training to maintain compliance with Reference (a) and this manual.

13. <u>THE RECORDS COORDINATOR (RC), DLA</u>. The RC will:

a. Complete DLA CRO and RC training modules (located on the DLA RM eWorkplace site) within 3 months of being designated. Recommended NARA training is: Basic Records Operations course available via webinar or the NARA instructor-led class Records Management

Overview (KA 1). Individual DLA components are responsible for arranging and paying for NARA RM training.

    b. Ensure the proper maintenance and disposition of records and non-record information generated by their office(s) in accordance with DLAI 5015.01 and DLAM 5015.01 Volume 1 and 2 and references (c) through (f).

    c. Serve as the program office or business unit records liaison to the CRO.

14. <u>THE EMPLOYEES, DLA</u>. DLA employees (Civilian, Contractor and Military), will:

    a. Maintain records and information created and received, regardless of media or format, in the course of their day-to-day responsibilities in accordance with DLAI 5015.01 and DLAM 5015.01 Volume 1 and 2 and references (c) through (f).

    b. Complete annual RM training available in LMS. Contractor(s) and/or personnel without access to LMS must contact their CRO for information on how to complete the training.

    c. Safeguard all personal data within records, in accordance with DoD 5400.11-R.

    d. Destroy or transfer records and non-records in accordance with the DLA Records Schedule and reference (f).

APPENDIX 1 TO ENCLOSURE 2

Sample Designation Letter for Component Records Officer

DESIGNATION LETTER for COMPONENT RECORDS OFFICER

NOTE: Place on Organizational Component Letter Head in accordance with DLA Correspondence Manual.

MEMORANDUM FOR ORGANIZATION NAME

SUBJECT: Designation of Component Records Officer

Mr./Ms./Mrs. Name is designated as the Component Records Officer (CRO) to administer and manage the Records Management Program for Organization Name.

The Component Records Officer acts as liaison to the DLA Records Manager (DLA Document Services), oversees office Records Management (RM) evaluations, and provides guidance to the organization's Records Coordinators (RCs) who create and maintain functional and administrative records for the individual office(s).

The CRO handles RM issues within the component to include, but not limited to:

    a. Approve office file plans.
    b. Approve transfer of records to Federal Records Center (FRC).
    c. Approve destruction of temporary records stored at FRC in accordance with the records schedule.
    d. Recommend retention period for unscheduled records.
    e. Coordinate with Information Technology (IT) on design and implementation of new electronic data systems.
    f. Ensures organization is in compliance with DLA Records Management Instructions and Policies to include: 44 USC 33, 36 CFR Chapter XII, Subchapter B, DoD 5015.2, DLAI 5015.01.
    g. Develop local organizational RM policies and procedures.
    h. Develop local organizational RM training.
    i. Conduct audits of office file plans and RM

JOE E. DOE
Director and/or Supervisor
Title

APPENDIX 2 TO ENCLOSURE 2

Sample Designation Letter for Records Coordinator

SAMPLE- DESIGNATION LETTER for RECORD COORDINATOR

NOTE: Place on Organizational Component Letter Head in accordance with the DLA Correspondence Manual.

MEMORANDUM FOR COMPONENT DIRECTORATE
                ATTN: COMPONENT RECORDS MANAGER UNIT
                DESIGNATION

SUBJECT: Appointment of Records Coordinator (RC)

In accordance with DLAI5015.01, Records Management, Mr/Ms. First Last Name is appointed as an RC for Business Unit (BU)/Directorate/Division/Branch.

The RC will serve as point-of-contact for RM between (Business Unit) office and the (Organization) Component Records Officer for records management issues.

The Records Coordinator will handle RM issues within the (Business Unit) office to include, but not limited to:

- Liaison to Component Records Manager (RM)
- Ensures the Business Unit records are identified and filed properly (both paper and electronic)
- Prepares office file plans
- Performs office RM evaluations
- Prepares records for FRC Storage
    o Prepares SF-135s and box lists
    o Packs boxes and/or verifies they are packed correctly
    o Coordinates with Component RM for shipping to FRC
- Ensures Temporary business unit records are destroyed IAW DLA Records Disposition Schedule
    o Notifies Component RM when records are destroyed
- Reports Unscheduled records to Component Records Manager
    o Collaborates with Component RM to get records scheduled

Point of contact for this action is Mr/Ms. First Last Name, Business Unit, (XXX) XXX-XXXX, DSN XXX-XXXX or email: first.last@dla.mil

                            FIRST MI. LAST
                            Duty Title
                            BU Name

ENCLOSURE 3

ELECTRONIC RECORDS

1. GENERAL

a. Electronic information meets the definition of a Federal record when it is information made or received in connection with the transaction of public business and preserved or appropriate for preservation by an agency as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.

b. Electronic records are governed by the same records disposition principles as all Federal records in paper or other media and need to be identified as early as possible in their life cycles to ensure preservation. Electronic records may be created via e-mail, software programs (such as Excel or Adobe), websites and social networks or they may be converted from hard copy (via scanning) into electronic format. These records may also reside in databases or EIS. If this is the case, it is the responsibility of the program office for the system or database to incorporate records management requirements as defined in Reference (e) into the system design for all EISs and databases regardless of the classification of the data in accordance with Office of Management and Budget Circular A-130 (Reference (w)).

2. CATEGORIES OF ELECTRONIC RECORDS

a. Databases. Contains structured data which is centrally managed within the application. DLA Organizational Components must pay particular attention to databases that contain statistical data or information related to policy making functions, as these may have long-term or permanent value. The database will be evaluated for their administrative, legal, fiscal, and historical value. Information that may have to be scheduled includes: input/source records, system documentation (codebooks, record layouts, etc.), system outputs, and master files.

b. Information Systems. Records generated and created or used by data input personnel, computer operators, programmers, analysts, and systems administrators. They may include files required to manage system housekeeping, performance tuning, system usage, login and password control, system and audit trail files.

c. Electronic Information System (EIS). Records generated in systems created to perform mission related functions (payroll, finance, personnel, acquisition, etc.) and used by office or organizational personnel, computer operators, programmers, and systems administrators. These systems are usually identified by a specific name or acronym and contain structured data. Information produced by these systems will have to be evaluated for its legal, administrative, and fiscal values. The same information that may be scheduled for databases applies to EISs. In addition, inputs received from other systems or information transmitted to other systems must be identified and considered as part of the scheduling appraisal process.

d. <u>Electronic Office Records</u>. Records can be created electronically (electronic files) or they may be converted to electronic files (scanned records).

(1) Electronic files are created using office software, such as word processing, desktop publishing, spreadsheet and database files; e-mail; electronic calendars; appointment, telephone, trip and visit logs; finding or tracking aids, and other electronic "helpers" employed to enhance the effectiveness of the system. Some electronic files contain unstructured data and usually require a document management system or Records Management Application (RMA) to manage them effectively throughout their life cycle.

(2) Electronic files used strictly as backup for paper record copies or containing only transitory information as defined in Reference (e), that do not document the activities of an organization, are considered transitory records. Use the 110 series in the DLA Records Disposition Schedule for the disposition of transitory electronic records. The electronic file may be erased when the hardcopy has been generated or when the data is no longer needed in accordance with the DLA Records Disposition Schedule (Reference (c)) or GRS (Reference (g)).

(3) Scanned or digital records are images, printed text, handwriting, or an object converted to a digital image by a scanning device. When converting official paper records to scanned images, offices shall take into consideration the disposition of the record in the DLA Records Disposition Schedule. Hard copy records with a disposition of permanent or that are unscheduled shall not be destroyed once converted to a digital image without the approval of NARA. Scanned images of permanent records must meet the requirements in Reference (e). Prior to converting official hard copy documents (temporary or permanent), the program office shall alert the CRO and DLA Records Manager of the proposed conversion to ensure controls are applied to records (Reference (ee)).

e. <u>Websites</u>. Websites containing record information must be maintained in accordance with the DLA Records Disposition Schedule; if not identified in the schedule, then the sites must be scheduled, see paragraph 12a of this enclosure.

f. <u>Web 2.0 (Commonly Referred to as Social Networking Sites (SNSs))</u>. Web 2.0 technologies are commonly associated with web applications that facilitate interactive information sharing, interoperability, user-centered design, and collaboration on the World Wide Web, such as wikis, blogs, and SNSs (including Facebook, MySpace, Twitter, and LinkedIn). Just like websites, these sites should be appraised to determine what records exist and what series in the DLA Records Disposition Schedule are applicable. Social Networking Sites may capture geo-location information and should be appraised to determine what records exist and what series in the DLA Records Disposition Schedule are applicable.

g. <u>Cloud Computing</u>. Cloud computing solutions enable the on-demand use of shared resources, software, and information via computers and other devices. Records stored "in the cloud" still belong to DLA and must be managed appropriately, in compliance with this manual and the DLA Records Disposition Schedule.

3. <u>ELECTRONIC RECORDS MANAGEMENT</u>. The management of electronic records has been identified as needing reform in accordance with Reference (q) and (v).

    a. <u>Electronic Records Lifecycle</u>. Electronic records have a more complicated lifecycle than paper-based records because their preservation issues are more complex (See DLAM 5015.01 Volume 2 Appendix 1 to Enclosure 3). The basic management requirements for capture and maintenance are the same for electronic as paper: the preservation (for as long as needed for business and/or historical purposes) of content, context, structure, and behavior.

        (1) Official records maintained in electronic formats (digital photographs, scanned images, databases, EISs, websites, etc.) must be maintained per the applicable file number in the DLA Records Disposition Schedule. If a file description does not match the content of the records, these records are considered unscheduled and the organization must submit a DLA Form 1690 and 1935 to the DLA Records Manager. See DLAM 5015.01 Volume 1, Enclosure 5, Section 5 for guidance on modifying the DLA Records Disposition Schedule.

            (a) Electronic Contract Folder (ECF): Defense Logistics Acquisition Directive, Reference (cc) prescribes: Large Acquisitions, Long-Term-Contracts (LTC), and Basic Ordering Agreements (BOA) 1. For other acquisitions, including large purchases (acquisitions over the simplified acquisition threshold or FAR 13.5 threshold), LTCs, and BOAs, the ECF shall be the secondary repository of contract information. The HARD COPY REMAINS THE OFFICIAL FILE OF RECORD.

        (2) Records needed conducting business should be stored conveniently for organizational access. Files that do not require long-term retention or are not needed to document the business of an organization, such as draft versions of documents, should be deleted from the storage media in accordance with the DLA Records Disposition Schedule. Classified information should be maintained in accordance with References (m), (u), (ff) and the DLA Records Disposition Schedule.

        (3) An office that relies only on electronic versions of its files for any of its official records must review their description and retention for currency and accuracy. Any changes to the originally approved record series may require reappraisal by NARA. DLA Components may have a "hybrid" system; e.g., both paper and electronic versions of their official records. Offices purchasing new systems or upgrading old ones must coordinate with their CRO to ensure that records disposition instructions for the data are incorporated into the system's design in accordance with References (e) and (p) and provide information on how the records will be dispositioned. Offices must have NARA approval before destroying existing permanent hard copy records in accordance with part 1225 of Reference (f).

    b. <u>Metadata</u>. Is data about data. They are record-specific information that allows for search, retrieval, and data and lifecycle management. It describes stored data: that is, data describing the structure, data elements, interrelationships, and other characteristics of electronic records. Metadata is more than indexing as it includes records layout and all the record-specific information that allows for search, retrieval, and data and lifecycle management. Capturing the necessary metadata for electronic records management requires working closely with IT staff.

c. <u>Shared Environments</u>. A shared network drive can be a recordkeeping system; however, they do not provide the functionality of a recordkeeping system and a combination of manual and automated policies and procedures must be implemented. Managing records in shared environment requires intervention which can be successfully met when the basic guidelines in subparagraphs 3.c.(1) through 3.c.(5) of this enclosure are followed. If any type of Enterprise Content Management (ECM) system or Records Management Application (RMA), is implemented the office staff must consider the record value of the information created and received and take an active role in the management of the records. Information that is organized will result in shorter retrieval times and make record copies identifiable and manageable to the organization. It is recommended that an office implement a structure based on their business process. Basic guidelines for the management of records stored on shared environments include:

(1) Establish points of contact responsible for shared network drive management.

(2) Survey or inventory shared network drives to determine the status of the shared environment (unclassified and classified) and identify the records to be managed. Issues to address are: naming conventions, version control, unprotected folders containing personally identifiable information, access control, and the interfiling of personal, non-record, and official records.

(3) Identify records to be managed by consulting the file plan, organizational and functional guides, and staff knowledgeable about the organization and business process.

(4) Determine a structure of the shared environment that will be flexible for all users.

(5) Establish a standardized file structure. Just as with hard copy records, the office should choose a structure that is aligned with its business processes. Structure folder and sub-folders shall be associated with the corresponding records schedules including cutoff and disposal instructions. Definition of shared network drive is found in subparagraphs 3.c.(5)(a) and 3.c.(5)(b) of this enclosure:

(a) <u>Flat File Structure</u>. Files maintained on shared network drives in a manner that closely replicates the office file plan. In this arrangement, the first folder level is named after the office; the second folder level contains the file number, subject, and retention. The third level has the calendar year (CY) or fiscal year (FY) and destruction date. The latter two levels can be reversed or combined (See DLAM 5015.01 Volume 2, Appendix 2 to Enclosure 3).

(b) <u>Subject Matter File Structure</u>. In this arrangement, the first folder level is named after the organization, but the second folder starts with its subject and contains the file series in parentheses. The sub-folders are arranged by year and contain the disposition instructions (See DLAM 5015.01 Volume 2, Appendix 2 to Enclosure 3).

(c) <u>Consolidated File Structure</u>. A structured format that displays all offices within the organization on the shared drive, utilizing either the flat file or subject matter files structure (See DLAM 5015.01 Volume 2, Appendix 2 to Enclosure 3).

d. Standardized Naming Convention. For high level folders establish a standardized naming convention utilizing the record series and how the information is filed and retrieved (i.e., subject and date), taking into consideration version control. For sub-folders under the high-level folder internal naming conventions may be used.

(1) CamelCasing. Utilize CamelCasing with no spaces between words and use underscores between words and dates. Underscores are used instead of spaces because spaces count as 3 characters and underscores count as 1 character. In an electronic environment, file paths can get lengthy, which can create problems with Windows. Additionally, when using SharePoint, a file link named "http://www.myorg.mil/20110606 Important Memo.doc" is the same as "http://www.myorg.mil/2011060620%Important20%Memo.doc". This can be confusing when sharing file links since each space is replaced with the 3 characters, "20%" which can also create other technical problems when sharing the link.

(1) Files retrieved by date: 20100102_112.10_ RecordsManagement

(2) Files retrieved by subject: 112.10_RecordsManagement_01012010

(3) Files retrieved by subject with version control:
112.10_RecordsManagement_DraftV1_01012010

(4) Files retrieved by date with version control:
20100102_112.10_RecordsManagement_FINAL.

e. Restricted Access. Access rights to files containing personally identifiable data (social security number, home address, medical information, etc.) must be restricted to personnel who have a need-to-know determined by an appropriate local authority.

f. Document Properties. Use the document properties option to add metadata tags, including at a minimum the office of origin, file code, key words for retrieval, author, date, and security classification (if applicable).

g. Software Migration. Work with the organization's IT professionals to develop and implement software migration plans to:

(a) Prevent the unauthorized access, modification, or deletion of declared records, and ensure that appropriate audit trails are in place to track use of the records.

(b) Ensure that all records in the system are retrievable and usable for as long as needed to conduct agency business.

(c) Develop procedures to migrate records and related metadata to stable storage media and sustainable formats.

h. Permanent Records. Maintain permanent records in formats pursuant to National Archives guidelines in Reference (f) and identify clearly to prevent inadvertent deletions. Permanent

electronic records shall be identified to the CRO and DLA Records Manager for pre-accessioning to NARA.

    i. <u>Records Lifecycle</u>. Ensure records are maintained throughout their approved lifecycle as stated in Reference (e) and the DLA Records Disposition Schedule.

    j. <u>Personal and Non-Records</u>. Clearly identify and segregate from the official record all Personal and Non-Record documents (e.g., personal correspondence, reference materials, periodicals, etc.,) maintained on shared drives.

    k. <u>Records Maintenance</u>. Institute business rules that ensure records can be identified, retrieved, and preserved and prevent unintentional or illegal destruction.

    l. <u>File Plan</u>. Identify records and location on the office file plan.

    m. <u>Staff Training</u>. Train staff in the use of the shared network drive and in their records management responsibilities.

4. <u>ELECTRONIC MAIL (E-MAIL) AND INSTANT MESSAGING (IM)</u>. Depending on their content, e-mail and IMs may need to be managed as records. Only those e-mail and IMs that contain information documenting organization's policies, programs, and activities as identified in the DLA Records Disposition Schedule shall be managed as DLA records.

    a. <u>Functionality</u>. Functionally, e-mail and IM are similar; both allow sending and receiving of messages electronically. Employees use e-mail and IM to send messages, attach and exchange electronic files such as images, audio, video, and textual documents; respond to messages; and block other users with whom they do not want to exchange messages.

    b. <u>DLA Components.</u> Are responsible for ensuring that records management policy, procedures, and dispositions are incorporated into their daily business practices for the management of e-mail and IMs. (See sections 5 and 6 of this Enclosure.)

    c. <u>Meta-data</u>. Tags on e-mails shall include but are not limited to: office of origin; file code; key words for retrieval; author; date; and security classification (if applicable).

    d. <u>DLA e-mail and IM</u>. Accounts are provided for business use and are not to be considered personal files, although they may contain certain privileged communications that are private and confidential (see DLA system logon consent banner for specific privileges). Contents of e-mail accounts are subject to the FOIA, records management, and security procedures. E-mail containing either personally identifiable information, information originating from a PA system of records, or other information labeled For Official Use Only (FOUO) must be encrypted pursuant to DLA policy. The DLA Records Manager, Component Records Officers or Records Coordinators should work with the records owner to ensure encrypted records are both properly secured and readily accessible when required for authorized retrieval. Proper business protocols

applying to any other type of communication should also be used for E-mail. E-mails and IM are records if they:

(1) Document agreements reached in meetings, telephone conversations, or other exchanges on substantive matters relating to business processes or work related activities.

(2) Provide concurrence or non-concurrence, comments on, or objections to the language on drafts of policy statements or action plans;

(3) Supplement information in official files or add to a complete understanding of organization's operations and responsibilities;

(4) Are needed by the individual or their successor in carrying out organizational responsibilities;

(5) Make possible a proper scrutiny by Congress or other duly authorized agencies of the Government;

(6) Protect the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions; or

(7) Document the formulation and execution of basic policies and decisions and the taking of necessary actions, including all significant decisions and commitments reached orally (person-to-person, by telecommunications, or in conference).

e. <u>E-mail Calendars</u>. E-mail calendars and task lists must be managed as records if:

(1) They contain substantive or non-substantive information relating to official activities of the employee.

(2) They relate to the official activities of high Government officials: Calendars of the DLA Director or Vice Director that have NOT been incorporated into the office files may be considered a permanent record if they contain information that would be of historical value.

(3) E-mail messages such as automatically generated news and marketing feeds, some auto generated messages like out-of-office responses, published information, solicitations (charitable or private industry), official information captured elsewhere (paper or electronic) but preserved ONLY for convenience of reference; "Not read" or "Read" messages, unless needed as evidence of receipt. Personal messages that pertain ONLY to an individual's private business are considered non-record information. These messages should be deleted from the system immediately after being read or within 30 days.

f. <u>E-mail Archiving</u>. E-mail archiving refers to applications that remove e-mail from the mail server and manage it in a central location known as an archive. These applications collect in a central repository the e-mail (which may include attachments, calendars, task lists, etc.) of some or all the organization's users. E-mail archiving applications typically require little to no action

on the part of the user to store or manage the e-mail records. Once messages are stored, authorized users are able to search the repository. While these applications offer business benefits, e-mail archiving technologies do not necessarily meet all of the requirements of Reference (e). Organizations acquiring such systems should continue to apply e-mail guidance provided in sections 5 and 6 of this enclosure, unless records management policies and procedures, business rules, employee training, and other conditions necessary to ensure compliance with records management requirements are implemented with the system.

5. <u>RECORDS MANAGEMENT REQUIREMENTS FOR E-MAIL AND IM SYSTEMS.</u> DLA Components must:

    a. Ensure e-mail and IM systems and file backup processes and media are not used as an electronic recordkeeping system, pursuant to Reference (e).

    b. Ensure that transmission data (names of sender and addressees and date the message was sent) are preserved for each electronic mail record. Any other transmission data needed for purposes of context should also be preserved.

    c. Maintain distribution lists to ensure identification of the senders and addressees of messages that are records.

    d. Require that electronic return receipts, if used to certify a message was delivered to the recipient, be filed with the original message so as to be retrievable throughout the disposition cycle of the original message.

    e. Ensure that Federal records sent or received on these systems are preserved in an approved recordkeeping system, along with transmission and receipt data.

6. <u>DISPOSITION OF E-MAIL AND IM</u>. Delete all non-record messages as soon as no longer needed. If records managers determine that an e-mail or IM is a record, it must be filed as follows:

    a. <u>E-mail or IM of Permanent Value or Long Term (1 Year or More) Temporary</u>. If the e-mail or IM is identified as permanent record or long term temporary record as stated in the DLA Records Disposition Schedule, users must:

        (1) Print the e-mail or IM and attachments and file in accordance with the DLA Records Disposition Schedule;

        (2) Save to an approved RMA; or

        (3) Save e-mail or IM and attachment and convert to .PDF format and file in appropriate folder on a shared network drive. (See DLAM 5015.01 Volume 2, Appendix 2 to Enclosure 3).

b. <u>E-mails or IMs of Temporary Value (less than 1 year)</u>. If the e-mail is identified as a temporary record, users may manage in existing format.

c. <u>E-mails or IMs of Transitory Value (180 days or less)</u>. If the e-mail is identified as a transitory record consistent with Reference (f) and the DLA Records Disposition Schedule (Reference (c)) it can reside in the user's inbox and then be deleted.

7. <u>WEB 2.0 (SNS)</u>. Internet-based capabilities include collaborative tools such as social media, user-generated content, social software, e-mail, instant messaging, and discussion forums (e.g., YouTube, Facebook, MySpace, Twitter, Google Apps, LinkedIn, Wikis, etc.,). SNSs can be publicly, privately, or Government owned. Regardless of the status (public or private) all users of these Internet-based capabilities must be aware of the potential record value of their content to include content that may originate outside DLA Components in accordance with Directive-Type Memorandum 09-026 (Reference (x)).

a. <u>Public and Privately Owned SNSs</u>

(1) Organizations maintaining profiles or channels on SNS must ensure that posts, photos, videos, and other nontraditional media types that document interactions with the public or post information not available elsewhere are captured and maintained as a part of the component's records (in accordance with References (f) and (x)).

(2) Organizations shall identify all public or privately owned SNS on which it maintains a presence in the file plan. At the minimum, components will identify site name, uniform resource locator (URL), program manager, and disposition of data

(3) Ensure that all applicable contracts include language for records management compliance in accordance with Reference (f).

b. <u>DLA Serviced Component SNS</u>:

(1) Applications such as wikis, blogs, instant messaging services, and collaborative tools solely built, used for and by DLA personnel and authorized contractors must include the prerequisites in References (e) and (x).

(2) Organizations shall maintain a record of the SNS and ensure sites are scheduled pursuant to Reference (e). At the minimum components shall provide to DLA Records Manager site name, URL, disposition of the data and site, and program manager.

8. <u>CLOUD COMPUTING SOLUTIONS</u>. In addition to the prerequisites in paragraph 3.a. of this enclosure, DLA Components shall ensure that cloud computing solutions can identify and manage both record and non-record information, and apply approved records dispositions. This includes but is not limited to wikis, blogs, IMs, and e-mail.

9. RECORDS MANAGEMENT APPLICATION (RMA) OR SYSTEMS. An RMA collects, organizes, and categorizes electronic records in their native file form and in a NARA acceptable transfer format; it also manages the metadata regarding hard copy records. Such a system automates the preservation, retrieval, use, and disposition of records. Electronic recordkeeping systems that maintain the official file copy of text documents on electronic media must meet the requirements specified in Reference (r). DLA Components shall ensure that records maintained in such systems can be correlated with related records on paper, microform, or other media. The FRCs offer top-quality storage and servicing for Federal electronic records saved to electronic media. DLA Components should plan for the maintenance of temporary electronic records in a sustainable format that increases the likelihood of a record being accessible throughout its life cycle.

a. Document Automation Content Services Records Management (DACS-RM). Is a DoD 5015.02-STD certified RMA that establishes retention controls for business applications storing DLA records. DACS RM is a DLA Enterprise RMA that will place RM controls around electronic records. Only the ARO or NARA certified Component Records Officers (CROs) will be authorized to create, edit and delete within the records management module of DACS-RM.

b. Backwards Compatibility. RMAs, in accordance with Reference (r) shall provide the capability to access information from their superseded repositories and databases. This capability shall support at least 1 previously verified version of backward compatibility.

c. Implementing File Plans. Only authorized individuals can create, edit, and delete file plan components and their identifiers. Mandatory file plan components are identified in Reference (r).

d. Declaring and Filing Records. RMAs shall prevent subsequent changes to electronic records stored in their supported repositories. The contents of the records, once filed, shall be preserved in accordance with Reference (e) and (f). Only authorized individuals can limit the record folders and record categories presented to a user or workgroup.

e. Storing Records. RMAs shall prevent unauthorized access to record repositories and allow only authorized individuals to move or delete records from a repository.

f. Closing Record Folders. RMAs shall allow authorized individuals to close record folders to further filing after the specified event occurs and allow only the authorized users to add records to a previously closed record folder and to reopen a previously closed record folder for additional public filing.

g. Cutting Off Files. RMAs shall provide the capability to implement cutoff instructions for scheduled and unscheduled record folders. The RMA shall identify record folders eligible for cutoff and present them only to the authorized individual for cutoff approval. Cutoff starts the first disposition phase of a record or folder life cycle as controlled by the disposition instruction attached to the file plan record schedule.

h. Freezing/Unfreezing Records. Provides the capability for only authorized individuals to extend or suspend (freeze) the retention period of record folders or records beyond their

scheduled disposition. It will identify record folders and/or records that have been frozen and provide authorized individuals the capability to unfreeze them. RMAs shall restore unfrozen records and/or record folders to the calculated phase of their lifecycle as if they were never frozen unless the records were rescheduled in conjunction with the freeze. Provides the capability for authorized individuals to search, update, and view the reasons for freezing a record or record folder.

i. Transferring Records. Identify and present those record folders and records eligible for interim transfer and/or accession. Records approved for interim transfer or accession will have the pertinent records and associated metadata of the records and their folders copied to a filename, path, or device specified by a user with permission to facilitate the transfer.

j. Destroying Records. RMAs will identify and present to the records manager the record folders and records, including record metadata, that have met their retention period. They will present a second confirmation requiring authorized individuals to confirm the delete command before the destruction operation is executed for records approved for destruction. Documentation shall be provided of the destruction activities and this documentation shall be stored as records.

k. Searching and Retrieving Records. RMAs shall allow users to browse the records stored in the file plan based on their user access permissions. Searches shall be able to be conducted using any combination of the record category, record and/or folder metadata elements, including organization-defined and system-generated metadata. Provide the ability to search and retrieve filed e-mail records back into a compatible e-mail application for viewing, forwarding, replying, and any other action with the capability of the e-mail application. Allow the user to abort the search.

10. CAPITAL PLANNING AND MANAGING INFORMATION SYSTEMS

a. Design, Development and Implementation of Information Systems. DLA Headquarters, PLFAs and Organizational Components shall incorporate records management and archival functions into the design, development, and implementation of information systems. Reference (w) requires Federal agencies to record, preserve, and make accessible sufficient information to ensure the management and accountability of agency programs, and to protect the legal and financial rights of the Federal Government. Each DLA Components shall ensure that their EISs are in compliance with References (d) through (f). DLA Components are to notify the DLA Records Manager to ensure their systems have a NARA approved disposition schedule.

b. System Requirements. The functional proponents developing or purchasing information systems, including commercial off-the-shelf (COTS) products, are responsible for ensuring that records management functionality, policy, procedures, and dispositions are incorporated into each system.

c. Records Management Controls. DLA Components, Chief Information Officer (CIO), and system developers must incorporate records management controls into the EIS or integrate them into a recordkeeping system that is external to the information system itself (in accordance with

1236.20 of Reference (f) and Reference (r)). The following types of records management controls are needed to ensure that Federal records in EISs can provide adequate and proper documentation of DLA business for as long as the information is needed.

   (1) Reliability: Controls to ensure a full and accurate representation of the transactions, activities, or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.

   (2) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.

   (3) Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.

   (4) Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.

   (5) Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.

   (6) Context: Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.

   (7) Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.

   d. Functional and Archival Requirements. Functional proponents shall integrate records management functionality and archival requirements into the design, development, and implementation of new EIS and ensure the requirements listed in subparagraphs 10.d.(1) and 10.d.(2) of this enclosure are built into existing systems, when updated.

   (1) All records are to be retrievable and usable for as long as needed to conduct government business. Records are to be protected against technological obsolescence by designing and implementing migration strategies to counteract hardware and software dependencies of information systems.

      (a) Systems and file backup processes and media are not to be used for recordkeeping, as they do not provide the appropriate recordkeeping functionalities, as required in Reference (f).

   (2) Archiving and migration strategies shall address non-active electronic records that are stored off-line. Where the records will need to be retained beyond the planned life of the system, functional proponents must plan and budget for the migration of records and their associated metadata to new storage media or formats to avoid loss due to media decay or technology obsolescence.

e. Permanent Records Transfer. Systems shall have the ability to transfer permanent records to NARA; see section 13 of this enclosure.

f. Scheduling. Information systems that replace a manual (paper-based) system are to be appraised to identify any new records being created by the automation of the process. A DLA Component's unique records and information system not listed in the DLA Records Disposition Schedule shall have records schedules drafted and submitted through their CRO to the DLA Records Manager for submission to NARA.

g. Contracts. Contracts that require the creation of data for the Government's use shall address records created, processed, or in possession of contractor-owned system or non-Federal entity. Contracts must safeguard Federal records; see part 1222 of Reference (f) for additional requirements.

11. JUDICIAL USE. Electronic records are admissible as evidence in Federal Court proceedings if the record is deemed trustworthy by ensuring its accuracy, integrity, and authenticity of the information. To ensure the trustworthiness of an electronic record:

a. Protect the information from unauthorized deletions, modifications, or additions. Validate the system to prevent unauthorized access.

b. Demonstrate that a standard method for storing and retrieving the information is utilized.

c. Identify the location of the record information and retain the record as prescribed in the disposition instructions.

d. Coordinate with records management staff, legal staff, and IT personnel to ensure compliance with current statutory and regulatory requirements, including the requirements of the Privacy Act of 1974.

12. SCHEDULING. The program office and CRO shall work with the DLA Records Manager to describe and develop records schedules for websites, EISs, and databases.

a. Scheduling Websites. When developing disposition schedules for internet and intranet websites, be sure the schedule identifies the web content records of the web platform and the management and operations records, which provide the website's context and structure. Websites that duplicate information obtained from official records and are not interactive (i.e., do not create new records with unique data) do not need to be scheduled.

(1) Web content records include: The content pages that compose the site, inclusive of the Hypertext Markup Language (HTML); records generated when a user interacts with a site; and if the DLA Component chooses to document its site this way, lists of the Uniform Resource Locators (URL) referenced by the site's hyperlinks.

(2) Web management and operations records that provide context to the site include: Website design records, records that specify the DLA Component's web policies and procedures on addressing such matters as how records are selected for the site and when and how they may be removed, records documenting the use of copyrighted material on a site, records relating to the software applications used to operate the site, and records that document user access and when pages are placed on the site, updated, or removed.

(3) Web management and operations records that provide structure related to the site include: site maps that show the directory structure into which content pages are organized and COTS software configuration files used to operate the site and establish its look and feel, including server environment configuration specifications.

(4) To assist the DLA Records Manager in determining retention periods for website-related records, the Office of Primary Responsibility (OPR) needs to assess how long the information will be needed to satisfy its business needs and mitigate risk, taking into consideration accountability to the public and the protection of legal rights. The OPR shall designate if specific web content is available in places other than the web and determine whether the existence of the information in other records affects the retention needs for the web records. In the case of information unique to the website, the web version may be considered the only recordkeeping copy by NARA.

(5) Most web records do not warrant permanent retention and are to be scheduled for disposal in accordance with the guidance in Enclosure 4 of this manual. If NARA determines that a site or portions of a site has long-term historical value, the DLA Records Manager will work with the creating organization's program office to develop procedures to preserve the records and provide for their transfer to the National Archives. While a snapshot of the website may provide some indication of "look and feel" of a component's web presence on one particular day, the web snapshot does not systematically or completely document the organization's actions or functions in a meaningful way. Such records are to be found in other ongoing, systematic records series identified in DLA Records Disposition Schedule. Steps that should be implemented in the management of websites include:

(a) Document the systems used to create and maintain the web records.

(b) Ensure that web records are created and maintained in a secure environment that protects the records from unauthorized alteration or destruction.

(c) Implement Standard Operating Procedures (SOPs) for the creation, use, and management of web records and maintain adequate written documentation of those procedures.

(d) Create and maintain web records according to these documented standard operating procedures.

(e) Train staff in the standard operating procedures for creating and maintaining web records.

(f) Ensure there is an approved disposition schedule for web records. The DLA Component will need to cite the official disposition authorities found in the DLA Records Disposition Schedule if it is faced with legal challenges to produce records that have been destroyed.

b. Scheduling Electronic Information Systems (EISs) and Databases. To assist DLA Records Manager in scheduling EISs and databases, the program office for the EIS or database must first identify its systems to the DLA Records Manager and complete a DLA FORM 1935 "DLA Electronic Information System (EIS) Records Management Appraisal," and EIS Questionnaire (See Appendix 3 to Enclosure 3) for each EIS or database. The FORM 1935 will describe the system and record data contained therein, and recommend retention periods for the EIS or database. The program office should also cite any applicable laws or regulations, PRIVACY ACT (PA) SYSTEM OF RECORDS NOTICES (SORN), or information collection requirements that apply to the system.

13. TRANSFERRING PERMANENT ELECTRONIC RECORDS TO NARA. Transfer of permanent electronic records to the legal custody of the National Archives must be on a medium acceptable to NARA at the time they are transferred. Each DLA Component is responsible for the integrity of the records it transfers to the National Archives. To ensure that permanently valuable electronic records are preserved, each DLA Component shall transfer electronic records to NARA promptly in accordance with the DLA Records Disposition Schedule. All permanent electronic records must be transferred in discrete files that contain ONLY permanent records.

a. Temporary Retention of Copy. Each DLA Component shall retain a second copy of any permanently valuable electronic records that it transfers to the National Archives until it receives official notification from NARA or the DLA Records Manager that the transfer was successful and NARA has assumed legal responsibility for continuing preservation of the records.

(1) DLA Components may transfer a copy of permanently valuable electronic records to the National Archives while retaining legal custody and control over access to the records (pre-accessioning).

(2) NARA processes and preserves these records and maintains physical custody until the records are scheduled to transfer into National Archives legal custody.

(3) DLA Component shall keep duplicate copies of the records and retain responsibility for responding to discovery efforts, FOIA requests, or reference inquiries until legal custody of the records is transferred to NARA.

b. Transfer Media. The DLA Component shall use only media that are sound and free from defects for such transfers; the organization shall take reasonable steps to meet this requirement. See section 1235 of Reference (f) for the requirements governing the selection of electronic records storage media. The media types that are approved for transfer are open reel magnetic tape, magnetic tape cartridge, compact disk read only memory Compact Disc-Read Only

Memory, Digital Versatile Disc, and removable hard drives. See part 1235 of Reference (f) for media specifications and transfer instructions.

c. Formats. The DLA Component may not transfer to the National Archives electronic records that are in a format dependent on specific hardware or software. The records will not be compressed unless NARA approves the transfer in advance. Upon the trasfer, NARA may require the component to provide the software to decompress the records. Some of the formats acceptable to NARA are: data files and databases; e-mail; plain ASCII files, with or without standard generalized markup language (SGML) tags; .TIFF; portable document format (PDF); digital spatial data files; digital photos; and web records (HTML or extensible markup language (XML)). DLA Components should identify any other categories of electronic records that could cause a problem in the transfer of potentially permanent electronic records in accordance with part 1234 of Reference (f) at the time the records are scheduled. Special transfer requirements agreed upon by NARA and the component shall be included in the disposition instructions.

d. Documentation. Documentation adequate to identify, service, and interpret electronic records that are designated for preservation by NARA shall be transferred with the records. This documentation shall include completed NARA Form 14097, "Technical Description for Transfer of Electronic Records," and a completed NARA Form 14028, "Information System Description Form," or their equivalents. Where possible, agencies should submit required documentation in an electronic form that conforms to the provisions of this section.

(1) Data Files. Documentation for data files and databases must include record layouts, data element definitions, and code translation tables (codebooks) for coded data. Data element definitions, codes used to represent data values, and interpretations of these codes must match the actual format and codes as transferred.

(2) Digital Spatial Data Files. Digital spatial data files shall include the documentation specified in part 1235 of Reference (f). In addition, documentation for digital spatial data files may include metadata that conforms to the Federal Geographic Data Committee's Content Standards for Digital Geospatial Metadata, as specified in Executive Order 12906 (Reference (y)).

(3) Web Content Records. In addition to the transfer documentation requirements in part 1235 of Reference (e), for each transfer, if applicable, DLA Components must supply documentation that identifies:

(a) Web platform and server, including the specific software application(s) and, where available, intended browser application(s) and version(s).

(b) Name of the web site.

(c) URL of the web site, including the file name of the starting page of the transferred content.

(d) Organizational unit primarily responsible for managing web site content.

(e) Method and date of capture:

$\underline{1}$. If harvested, also include the application used with either a URL to the application's web site or a description of the harvester's capabilities and the log file(s) generated by the harvester that document the harvesting process.

$\underline{2}$. If PDF, also include the software and version used to capture the PDF.

$\underline{3}$. If more than one method is used, clearly identify which content was captured by which method.

$\underline{4}$. Include contact information for individual(s) responsible.

(f) The name and version of any content management system used to manage files on the web.

(g) All file names, inclusive of both the path (or directory) name and the file name itself.

(h) The business logic and web interfaces clearly identified with each corresponding database.

(i) If available, a site map of the web site from which the web content records originated.

14. <u>ADDITIONAL GUIDANCE</u>

a. NARA is continuously evaluating industry standards for various transfer formats. For the transfer of e-mail, instant messages, scanned images of textual records, portable document format records, digital photographic records, digital geospatial records, and web content records go to NARA Electronic Records Guidance Web page: http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html.

b. For up to date guidance on acceptable transfer media and formats for electronic records visit the following websites:

(1) Reference (e) Electronic Records: http://www.gpoaccess.gov/cfr/index.html.

(2) NARA Records Management site: Transfer of Permanent Electronic Records to NARA: http://www.archives.gov/records-mgmt/initiatives/transfer-to-nara.html.

c. For guidance on the management of audiovisual records see: DoD 5040.06-M-3 (Reference (z)).

d. For guidance on requirements for audiovisual, cartographic, and related records management from part 1237 of Reference (f), go to: http://www.archives.gov/about/regulations/part-1237.html.

ELECTRONIC RECORDS LIFECYCLE

Electronic Records Lifecycle

STANDARDIZED FILE STRUCTURES

Flat File Structure

- 5015 Records Management (\\MDT1SP9900\hq_shared) (S:) ← **Office Name**
  - 0 DLA Records Manager Files
    - 1400 HR Personnel
      - R9 Training Course Reference Material
      - R13 Position Descriptions
    - 5000 Procurement_Contracting
    - 5010 Mangement Programs
    - 5015 Records Management ← **Record Schedule**
      - R1 File Plan Components
      - R1 File Plan DLA RM
      - R2 Records Management ← **Rule / Description**
      - R3 Records Disposition SF115s
      - R3.01 Decommission_System
      - R3.01 Records Disp SF135s
      - R3.01 Records Disp SF258s
      - R3.01 Records Disp_NA13001_NOD
      - R3.01 Records Freeze
      - R3.02 Records Disp Correspondence
      - R6.01 RM Historical Background
    - 5025 Forms Publications
      - R3 RM_MasterRecordSet
      - R4.01 Publication Background Files RM

Subject Matter File Structure

- 5015 Records Management ← Records Schedule
  - R1 File Plan Components
  - R1 File Plan DLA RM
- R2 Records Management ← Rule
  - Alignment Group RM Brief ← Subject under Rule
    - CY2013
    - CY2014 ← Yr of Creation/ Closure
    - CY2015

Consolidated File Structure

First Level – Office or Component

Second Level – Record Schedule

ELECTRONIC INFORMATION SYSTEM (EIS)
RECORDS MANAGEMENT APPRAISAL
DLA Form-1935

Print Form   Email Form   Clear   Export Data   Import Data   About   Check for Newer Version   Contact Us

ELECTRONIC INFORMATION SYSTEM (EIS) RECORDS MANAGEMENT APPRAISAL	Prescribed by: DLAI 5015.01 Sponsor: Document Services

Agencies must maintain an inventory of EIS and review them periodically as required by 44 U.S.C. Agencies must identify, describe and request retention approval from National Archives and Records Administration (NARA) for records stored within an EIS.

1. SYSTEM TITLE	2. SYSTEM CONTROL NUMBER

3. AGENCY PROGRAM SUPPORTED BY SYSTEM	4. PROGRAM AUTHORITY (Laws, Regulations, Federal Aviation Regulation (FAR), etc.)

5. SYSTEM DESCRIPTION

5A. PURPOSE/FUNCTION OF SYSTEM

5B. SOURCE(S) OF DATA (Include inputs from other systems)	5B(1). RECOMMENDED RETENTION FOR SOURCE DATA
5C. INFORMATION CONTENT	5C(1). RECOMMENDED RETENTION FOR INFORMATION CONTENT
5D. SYSTEM OUTPUTS (Include outputs from other systems)	5D(1). RECOMMENDED RETENTION FOR SYSTEM OUTPUTS
5E. SYSTEM DOCUMENTATION	5E(1). RECOMMENDED RETENTION FOR DOCUMENTATION

6. NAME AND ADDRESS OF PRINCIPAL PROGRAM OFFICE SUPPORTED BY THE SYSTEM (Include room numbers)	7. AGENCY CONTACTS (Names, addresses, phone numbers of system and program personnel who can provide additional information about the system and the program it supports.)

8. PREVIOUS DISPOSITION JOBS (DLA or NARA disposition number)	
9A. PREPARER'S NAME	9B. OFFICE NAME AND ADDRESS
9C. PHONE NUMBER	

SIGNATURE AND DATE

DLA FORM 1935, MAR 2013   PDF (DLA)

APPENDIX 4 TO ENCLOSURE 3

DLA ELECTRONIC INFORMATION SYSTEM (EIS) QUESTIONNAIRE

DLA Electronic Information System (EIS) Questionnaire

Please provide answers to the following questions to determine and assist if scheduling of Electronic Records is necessary. Scheduling of electronic records is mandatory in accordance with 36 CFR 1236.

1. Does the *database/electronic system* store, copy or extract information from other sources or does it create unique data?
2. Does the *database/electronic system* fall under another system (i.e., Daisy or similar system)?
3. What is *database/electronic system* an acronym for?
4. What is the name of the program office responsible and Point-of-Contact (POC) for this system?
5. Name other offices in your organization that use this system.
6. Who is the system administrator?
7. What is the program/legal authority for the creation of the system?
8. Are there any other legal or regulatory requirements that would affect data retention?
9. What is the user interface type (e.g. web-based)?
10. What kind of data is included in the database?
11. How is data input into the system? Manual entry?
12. What are the outputs of this system?
13. Does the system push data to any other system? What is/are the other System(s)?
14. Is the data cut off or archived at certain intervals? If yes, what are the cutoff and archive intervals?
15. What are the inclusive dates for the file(s)?
16. How long is the data useful for business?
17. Are there any restrictions on the release to the public of the data? If yes, please cite the authority for those restrictions. If yes, can any portions of the file be segregated for release or does the system produce a public use version of the data?
18. Would data or outputs from this system be likely subjects of Freedom of Information Act Request, Privacy Act, and PII? (Please identify which one or all)
19. Does the system generate standard reports at certain timeframes? If yes, what are the timeframes?
20. Are there ad hoc report capabilities?
21. Are report templates or generated report data saved? If so, how long are they kept?
22. Are any codes used during input? If yes, please provide documentation to decipher codes.
23. What is the Program Office's recommended disposition for electronic data?
24. What is the Program Office's recommended disposition for output data?
25. What is the Program Office's recommended disposition for input data?
26. What is the Program Office's recommended disposition for system documentation?
27. Is there a plan for migration of data when software is updated or changed? Is it part of the system documentation?

ENCLOSURE 4

PREPARING RECORDS FOR TRANSFER TO THE FRC

1. BACKGROUND. There are two types of records that may be transferred to the FRC: PERM and TEMP. PERM records shall be held at the FRC for a specified period of time, usually 25 to 30 years, and then offered to the National Archives for accession. TEMP records are held at the FRC until they are ready for destruction and then they are disposed of by FRC personnel, usually from 2 to 10 years after their transfer. Only TEMP records with a specified destruction date can be retired to an FRC. Preparing records for transfer is a two-step process: selecting and screening. Preparing the records for actual transfer, packing them, and preparing the paperwork is covered in Enclosure 5 of this manual.

2. FILE TRANSFER SELECTION. To be transferred to an FRC, records must:

a. Be scheduled for transfer to an FRC. To determine this, check the appropriate files series at the DLA Records Disposition Schedule.

b. Not be needed to carry out current organizational operations. Files must be closed.

c. Not be eligible for immediate destruction, unless pre-empted by a records freeze. Records under a records freeze due to litigation (See DLAM 5015.01 Volume 1 Enclosure 5) can be retired to the FRC, if no longer needed for current business.

d. Have at least 1-year retention from the date of transfer.

e. Not contain disposition instructions that state, "Destroy when superseded, no longer needed, or obsolete."

3. SCREENING

a. Permanent records and records scheduled for retention for 30 years and more must be screened and extraneous materials removed. Remove extra copies of documents, which contain no substantive information, empty folders or folders containing temporary information, or other materials that are unnecessary or have no lasting value to the record series being transferred. This includes duplicate copies of documents (See DLAM 5015.01 Volume 1, Enclosure 4, Section 16).

b. TEMP files do not have to be screened when retained in the office. Files transferred to an FRC must be screened. To be useful to anyone, files should always be ready for reference. In deciding whether to screen, consider the following:

(1) Can complete folders be removed? For example, are there empty folders or folders which contain information that have met its disposition?

(2) Can disposable material be separated easily from individual folders?

(3) Can materials to be removed be easily identified?

(4) Can the records to be screened be easily accessed?

(5) Is physical processing such as the removal of fasteners necessary?

4. <u>FILING RECOMMENDATIONS</u>

a. Screening problems are reduced if records to be retained permanently or for long periods are not filed with papers of lesser value and file numbers are annotated on the file labels.

b. If papers have to be recalled from the FRC, the more clearly they are marked and organized, the easier they will be to find. If filing is done thoroughly, individual file folders can be recalled instead of whole boxes or accessions.

ENCLOSURE 5

PACKING AND SHIPPING PROCEDURES FOR TRANSFER OF RECORDS

1. <u>PACKAGING RECORDS FOR TRANSFER TO FRC</u>. Records are transferred in standard General Services Administration (GSA) cardboard cartons each holding one cubic foot. NO EXCEPTIONS PERMITTED. The cartons shall accommodate either letter- or legal-sized material. Special containers may be obtained for oversized materials or magnetic tapes. Nonstandard boxes cannot be used.

2. <u>SHIPPING CONTAINERS AND RELATED SUPPLIES</u>. The standard record shipping container to be used for the transfer of files is a fiberboard (lock bottom with reinforced hand holes on each side); 275-pound test; size: 14-3/4 x 12 x 9-1/2 inches; NSN: 8115-00-117-8249. No other boxes are authorized for shipping or storing records.

3 <u>REQUISITIONING</u>. Standard-sized boxes are available in the self-service supply centers. Containers for odd-size boxes should be ordered directly from supply services using the stock numbers listed in section 4 of this enclosure.

4. <u>SHIPPING CONTAINERS FOR ODD-SIZED DOCUMENTS</u>. When records being shipped are too large or too small for the container described in paragraph 2 of this enclosure, the documents shall be securely packed and shipped in a manner that prevents damage in route. The following containers are recommended for the types of records indicated:

    a. Half-size box, 14-3/4 X 9-1/2 X 4-7/8 inches, NSN: 8115-00-117-8338. For shipping 3 by 5-inch card files when strips of cardboard are placed between rows of cards and wadded paper is used to fill any open space in the box. In addition, this box is suitable for shipping punched cards.

    b. Magnetic tape box, 14-3/4 x 11-3/4 x 11-3/4 inches for magnetic tape records, NSN: 8115-00-117-8347.

    c. Tubes, no longer than 36 inches should be used for documents that are normally shipped rolled (maps, charts, plans). If tubes are not available, fold these records and ship in the standard container above. Use tubes for permanent records.

5. <u>LISTING RECORDS FOR TRANSFER OR RETIREMENT</u>. Files to be retired to the FRC shall be identified on SF-135 (See Appendix to this Enclosure) available in electronic form from the NARA website at http://www.archives.gov/records_center_program/forms/forms.html. Complete a box list when more than one page is required (MS Word, Excel, or PDF formats are acceptable). The SF-135 and/or the box list serves as a packing list for the transfer and

retirement of files; as a medium for controlling the location and disposition of files in record holding areas and FRCs; and as a receipt for records retired to the FRCs.

6. TRANSFER OF RECORDS TO OTHER EXTERNAL ORGANIZATIONS

a. Unclassified files transferred to other external organizations as a result of a transfer of functions or for other reasons shall be approved by the DLA Records Manager and listed on the SF 135.

b. Distribution of the SF-135:

(1) The original and one copy are forwarded to the receiving organization.

(2) Another copy is provided to the DLA Records Manager.

7. RECORD PREPARATION FOR RETIREMENT AND SHIPMENT TO THE FRC

a. The retirement and transfer of records require the preparation of an SF-135. A SF-135 can only contain a series of records (block of records) having the same disposal date. An attached box list shall accompany each SF-135. Use the electronic version of the SF-135 for retirement of the records. Detailed instructions for completion of the SF-135 are on the NARA website www.archives.gov or can be requested from DLA Records Manager. In addition to these instructions, the DLA Component s shall:

(1) Describe the records in their entirety, including the inclusive dates in column "f" and the security classification in column "g." Transmittal documents for temporary records must list the beginning and ending file in each box. For permanent records, a folder title list of the box contents or equivalent detailed records description must be provided for every box. Do not list classified titles or personally identifiable information protected under the PA on the SF-135. The SF-135 and box list is considered a publicly accessible record.

(2) Contact the CRO for assistance in archiving and shipping records. For shipments, enter the total number of boxes in the volume column "d" on the SF-135. Except when special containers are used to package oversized materials, punch cards, or magnetic tapes, volume will be expressed as number of boxes or containers, capacity of a standard GSA cardboard records retirement carton is one cubic foot.

(3) When completing column 6(h) on the SF-135, Disposal Authority, in addition to the DLA Records Disposition Schedule disposal citation (record series number), you must include either the GRS citation or the SF-115 Authority. The Authority Number (N1-361-XX-XX) is located after the disposition instructions. If you cannot find these citations or are not sure

which ones apply to the records you are preparing for transfer, call the CRO or DLA Records Manager for assistance. Sample entries include:

(a) DLA Record series 547.34., N1-361-90-01.

(b) DLA Record series 400.30., GRS 6, Item 1a.

(4) Complete the SF-135 and box list.

b. Submit the completed SF-135 and box list via e-mail to the CRO who will provide a copy to the DLA Records Manager prior to shipping the records. The CRO will review for completeness and inspect the boxes if a Records Coordinator did not oversee the packaging of the boxes, sign block 2, and submit to the appropriate FRC for processing. The FRC will provide the accession number once the records have been approved for transfer. The CRO will provide the requesting component office with a completed copy of the approved SF-135 form containing the accession number and ensure a copy of the SF-135 is in the appropriate box as identified by the FRC transfer instructions. The CRO and the component office will retain one copy of the completed SF-135 and box list and file in record series 112.16A(2) of the DLA Records Disposition Schedule.

c. The SF-135 is the only source of information describing the records being transferred to the FRC, this document is critical to the DLA Component Offices when they need to retrieve specific papers from the FRC arises and when the records are ready for disposition. When retrieval is necessary, identify the accession number of the box that contains the specific material, along with the box number and file title, if requesting individual folders.

d. The transfer of records subject to the provisions of Reference (n) shall be accompanied by the most recent PA SORN covering the records. Include the SORN identifier in column (i) of the SF-135; do not display information subject to the PA on SF-135.

e. For the efficient and proper preservation of the records and ease of future reference by DLA and NARA personnel, pack the cartons according to this guidance:

(1) Destroy any records eligible for destruction as authorized in the DLA Records Disposal Schedule.

(2) Pack records snugly in the box, but do not force. For ease of future reference, leave at least two inches of space for unclassified records. For classified boxes leave four inches of space in each box to allow for future declassification processing. Do not disturb existing filing arrangements to make future reference easier. Do not retire guide cards.

(3) Do NOT pack records with different retention periods and different accession numbers in the same box. Records must have the same disposition date with the same classification. The DLA Records Disposition Schedule contains retention periods.

(4) Do not mix classified with unclassified records or different classification of classified records together. Accession will have the highest classification of documentation in the record set.

(5) Do not pack records on different media (CD-ROM, diskettes, and microfilm) with paper records; these records will be packed separately and the media will be identified on the SF 135, column "i."

(6) Maintain documentation in the original file folder. File labels and folders are to be in good condition and the cutoff/disposition date must be clearly identified. Replace folders that are excessively worn or labels that are falling off. Do not place rubber bands or clips on records nor place them loosely in a box.

(7) Maintain the date range of the records to within the same year or within a couple of years of each other. For example all the records were created in 1999 only or from 1999 to 2001.

(8) Arrange folders in the order identified on the box list.

(9) Do not pack binders in boxes. Remove records from the binders and place in folders and label accordingly (see Figure 2).

   f. Print the information on the end of the box legibly, in black magic marker, and include the accession number, carton number, and security classification if any. Number the boxes consecutively in the upper right hand corner of the front end of the box. Identify the box number and the total number of boxes in the accession. For example, if the shipment has three boxes, the numbers should read "1/3, 2/3, and 3/3." Each series of records transferred shall be assigned a separate accession number. Figure 1 shows placement of the accession number on the box.

FIGURE 1 – Labeling of Records Shipping Boxes

Use pre-printed boxes, this is the side with the accession number and box number. Letters and numbers should be at least 1 inch high and written with a permanent, black ink, felt-tip marker. Place Agency name under the block designated for the accession number, record the name of your agency in the following format: DLA/LogInfoSvc/LFG (use ½" high letters)

8. <u>RETIREMENT OF CLASSIFIED SECURITY INFORMATION</u>

a. When eligible for retirement, classified records may be transferred to the FRC; however, DLA Intelligence shall be contacted for coordination regarding any and all classified records. Complete column "g." (Restrictions) of the SF-135 to indicate the classification of the records being transferred. The SF-135 is a public record; for column "f." "Series Description" do not include any classified information.

b. Observe security requirements of Reference (m) when retiring Confidential and Secret files to the FRC. Before transferring classified material, ascertain whether the material can legitimately be downgraded in accordance with section 4, paragraph 3-402, chapter III of Reference (m) or destroyed in accordance with the DLA Records Disposition Schedule.

c. Follow Reference (m) rules for safeguarding classified material when material is packed in boxes. Comply with Reference (m), paragraphs 8-200b.4 and 8-201b before transfer or disposal of any classified material. Tape boxes containing classified data closed, taking care not to cover the informational matter on the outside of the box (see Figure 1). Mark each box conspicuously with the highest classification of material contained in it. When the boxes are shipped to the FRC, the provisions of Chapter VIII of Reference (m) must be complied with.

d. Retire Top Secret documents eligible for retirement to the FRC as specified in Section 12 of this Enclosure. Complete the SF-135 in the usual manner except do not list classified titles on the SF-135 or the accompanying box list; all titles must be unclassified. Identify Top Secret documents under a separate accession number. The FRC provides separate storage compartments for Confidential, Secret, and Top Secret records. Ensure Top Secret documents are not included in accessions retired under a Secret or below accession number; this constitutes a security violation since special storage arrangements are made at the FRC for each level of classification.

e. Cross-reference re-graded or declassified Top Secret documents that formed a part of the files that have already been retired and sent to the FRC. Make an entry on the SF-135 transmitting the documents to retirement. On the Records Transmittal and Receipt form show the designation of the organization and administrative subdivision, the file number and title of the file, and the accession shipment number provided to the DLA Intelligence Office by the FRC.

f. Staffs of organizations slated for discontinuance shall, prior to discontinuance, review all Top Secret documents for downgrading or declassification before shipping to the FRC.

g. Since some FRCs may not provide storage for classified Sensitive Information documents, verify with DLA Intelligence CRO or the DLA Records Manager prior to retiring records whether the FRC is cleared.

9. MATERIAL THAT SHOULD BE DESTROYED. All eligible records are identified and destroyed in accordance with the disposal standards authorization contained in the DLA Records Disposition Schedule and Reference (ff) for classified records. Destroy obsolete reference material, such as extra copies of speeches, staff papers, news releases, blank forms, reports, and publications. Eliminate extra carbon and photocopies. See DLAM 5015.01, Volume 2, Enclosure 4, for instructions on the screening of files to be shipped to the FRC.

10. <u>USE OF RESTRICTED COLUMN</u>

a. A single classification shall be shown for each accession number.

b. Only the highest classification in the box is shown; the classification of each document in the box is not shown.

c. Do not file classified documents in an accession number that is predominantly unclassified.

d. See Appendix to Enclosure 5, DLAM 5015.01, Volume 2, for how to complete Form-135.

11. <u>ARRANGEMENT OF FILES IN FIBERBOARD BOXES</u>

a. Fill containers with only one row of file folders, not stacked one on top of the other. See Figure 4, DLAM 5015.01, Volume 2, Enclosure 5.

b. Pack letter and legal-sized files in approved fiberboard boxes. When filled to capacity, the box holds 15 inches of letter-sized or 12 inches of legal-sized files. Do NOT place additional material on the bottom, side, or top of the box.

(1) When the corrugated fiberboard boxes are filled to capacity with files, no packing material is required between the files and the inner walls of the box. When shipping partially filled boxes, fill the space between the files and the inner walls of the box with crumpled or wadded paper or other suitable packing material to prevent movement of the contents during shipment. Do not use excelsior, shredded paper, newspapers, or surplus file folders as packing material.

(2) Do not over pack the boxes. Fill to capacity when sufficient files are available; however, exercise care to ensure boxes are not packed so tightly that files cannot be serviced while in the container or that the box cannot be closed completely with the flaps flat. Leave enough room in the boxes for ease of reference and the declassification process. See subparagraph.7.e (2) of DLAM 5015.01, Volume 2, Enclosure 5.

Figure 2. Packing Records Management Shipping Boxes

Do not place files on top   Do not under pack box   Do not over pack box   Properly packed box

c. Use the stacking instructions in Figure 3 (below) for large shipments of records, whether shipping via a commercial carrier or requesting a pickup from the FRC.

d. Segregate permanent and temporary into the groups in subparagraphs 11.d.(1) through (4) of this enclosure. For Official Use Only (FOUO) records are retired as unclassified material.

(1) Unclassified temporary records.

(2) Unclassified permanent records.

(3) Classified temporary records.

(4) Classified permanent records.

Figure 3. Example and Instructions for a Properly Stacked Pallet

Boxes must be stacked on pallets according to the examples above. This ensures that boxes are stacked with box numbers facing outward and in reverse numerical order so that the first box of the accession is positioned on the top. A copy of the approved SF-135 and box list must be placed in either the first or last box depending on the servicing FRC. (Check with your servicing FRC for their procedure). Pallets should be stretch-wrapped with plastic to secure the boxes during transport.

12. <u>PACKING AND SHIPPING CLASSIFIED FILES</u>. Do not ship large quantities of unclassified material in classified shipments.

a. Segregate shipments of 10 cubic feet or less and forward as two shipments, one classified, and one unclassified, when more than 50 percent of the material is unclassified.

b. Segregate unclassified material in shipments in excess of 10 cubic feet containing 25 percent or more unclassified material and forward as a separate unclassified shipment.

c. Follow the guidance in Reference (ff) when preparing classified files for shipment.

SF-135 DOCUMENT AND TRANSMITTAL FORM

RECORDS TRANSMITTAL AND RECEIPT

Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.

PAGE	OF
1	3 PAGES

1. TO *(Complete the address for the records center serving your area as shown in 36 CFR 1228.150)*

Federal Records Center
Washington National Records Center
4205 Suitland Road, Suitland, MD 20746-8001

5. FROM *(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)*

DLA Energy
8725 John J. Kingman Road
Suite 4950
Fort Belvoir, VA 22060-6222

2. AGENCY TRANSFER AUTHOR-IZATION — TRANSFERRING AGENCY OFFICIAL *(Signature and title)* — DATE

CRO Name

3. AGENCY CONTACT — TRANSFERRING AGENCY LIASON OFFICIAL *(Name, office and telephone No.)*

Name, Office abbreviation, phone number, email address

4. RECORDS CENTER RECEIPT — RECORDS RECEIVED BY *(Signature and title)* — DATE

OPR: DLA Energy Business Unit-XXXX
POC: Jane Doe

Fold Line

6. **RECORDS DATA**

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of record)	RESTRIC-TION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
361	12		No. of boxes (Ex: 7)	Enter Range of Boxes (Ex: 1-7)	Enter a brief description of the records. Enter the date range of the Records (Ex: FY 2009, CY 2009) or (Enter CUTOFF / CLOSED Date for records) (EXAMPLE: Contract Preaward transactions exceeding simplified acquisition threshold) (Closing Date or Final Payment: December 2009)		DLA RS (Enter Record Series) (Enter Disposition Authority Number) EX: 811.50A(1)(a) GRS 3, Items 3a(1)(a)	Enter the Disposition information Ex: PERM Transfer to NARA when 30 years old 01/01/2040 OR DEST 6 yrs and 3 mos after final payment 04/01/2015				

NSN 7540-00-634-4093

135-107

Standard Form 135 (Rev. 7-58)
Prescribed by NARA

ENCLOSURE 6

RETRIEVAL PROCEDURES FOR RECORDS STORED AT THE FRC

1. OFFICIALS AUTHORIZED TO RECALL RECORDS. The DLA Records Manager shall maintain an up-to-date list of individuals, usually CROs, that are authorized to recall DLA component records. This list shall be provided to the servicing FRC an updated annually. Only individuals identified on the access list can request records to be recalled. The CRO recalls records from FRC for the DLA Components except as noted in paragraph 2.b. of this enclosure. Each DLA Component designee is responsible for picking up (as applicable, records can also be mailed to the office) and returning recalled records. Responsibility for this extends to Top Secret transfers, which may necessitate an office courier or Defense Courier Service arrangements. DLA Intelligence shall be contacted regarding any and all classified records retrievals.

2. NORMAL RECALL PROCEDURES

    a. To obtain reference service on records at the FRC, the CRO or personnel authorized to request records will recall the records via Archives and Records Centers Information System (ARCIS) or via OF-11, Reference Request-Federal Records Center. Organizations shall submit requests to the CRO by e-mail, listing accession number, box numbers, file title (if requesting folder), office address, pick-up date and time (if records are to be picked up by office staff). The request shall state whether it is a temporary or permanent withdrawal, classified or unclassified request, and provide POC information (no location number needed for ARCIS) to the CRO. For records being picked up at the FRC by office staff, a minimum 3 days' notice is required for non-emergency requests (Check with your servicing FRC to verify their policy on local pick-up).

    b. For information about ARCIS or to obtain an ARCIS account contact the DLA Records Manager.

    c. OF-11. Use a separate OF-11 for each folder or box requested. Make a notation in "Remarks" section when records are being requested under the provisions of the FOIA or the "PA" to ensure priority handling

3. URGENT REQUESTS. Urgent requests must be kept to a minimum. An urgent request recalls records needed to complete testimony before Congress, required as part of a legal proceeding, or specifically requested by the Department of Justice (DOJ).

4. RETURNING RECORDS TO THE FRC

    a. To avoid the misplacing, inadvertent destruction of permanent records, or re-assimilation of recalled records into the current file system, records should be returned to the FRC as soon as they are no longer needed. DLA Component offices shall report the location of recalled records and the reason for their retention to the DLA Records Manager when recalled records are retained for more than a year.

b. Return records in their original folder or box to allow accurate refiling. If the record box or folder is not reusable for shipment, copy the information on the previous container to its replacement. Write the word "REFILE" on the white copy of the ARCIS documentation form that accompanied the records. If these documents are no longer attached to the records, specify the refile action in a brief note or cover letter and attach it to the records being returned. The memo should also include the same information used to request the records. The records requestor shall notify the CRO when records are returned to the FRCs.

5. ACCESS TO FEDERAL RECORDS BY OTHER INDIVIDUALS. Access to Federal records by individuals not employed by a DLA Component or an assigned service member of the Military Services such as historical researchers, former Presidential appointees, and non-DoD employees shall be processed in accordance with Reference (s). DLA Components are not authorized to recall, retrieve, or duplicate records for these individuals.

ENCLOSURE 7

INTERNAL CONTROLS AND QUARTERLY METRICS REPORTING PROCEDURES

1. <u>BACKGROUND</u>. OMB Memorandum M-12-18 establishes new requirements to demonstrate compliance with Federal Records Management Statutes and Regulations. The new requirement requires DLA to report annually to the Department of Defense (DoD) Senior Agency Official (SAO) the status of our RM program.

2. <u>INTERNAL CONTROLS</u>. Effective internal control facilitates better performance by increasing effectiveness and efficiency of operations including the use of Agency resources, reducing the risk of asset loss, helping to ensure compliance with laws and regulations and increasing the reliability of financial reports on budget execution, financial statements, etc.(See Reference (cc) and (ww)).

   a. Records management is asset management. The records are the assets, and the records inventory, file plans and records schedule serve to document and control the assets.

      (1) Records must be controlled and safeguarded against unauthorized destruction and misappropriation. For example, records must be destroyed in accordance with disposition instructions and unauthorized removal of records is prohibited.

      (2) Records and non-records are identified and destroyed in accordance with the disposition schedule and business rules to alleviate storage space and costs.

      (3) Records maintained at Federal Records Centers (FRCs) or commercial storage facilities are inventoried and accounted for to contain costs and ensure compliance with the disposition schedule.

   b. NARA is the regulatory agency that writes the regulations for all Federal agency records and prescribes that agencies must conduct formal evaluations to measure the effectiveness for records management programs and practices, and to ensure that they comply with NARA regulations.

      (1) CROs will conduct evaluations of all offices within their component that create and maintain administrative and functional records at least once every two years to ensure:

         (a) File plans are created and updated annually.

         (b) Records Inventories are conducted once every 5 years, if not sooner.

         (c) Records, regardless of format, are being managed in accordance with DLAI 5015.01 and this manual.

         (d) Submit an annual report to their Component Director and the DLA Records Manager.

(2) The DLA Records Managers will conduct evaluations of all offices that create and maintain records at least once every three years and ensure:

(a) File plans are created and updated annually.

(b) Records Inventories are conducted once every 5 years, if not sooner.

(c) Records, regardless of format, are being managed in accordance with DLAI 5015.01 and this manual.

(d) Submit an annual report to the CIO on the status of the DLA RM program.

3. METRICS

a. CROs will submit to the DLA Records Manager quarterly reporting based on calendar year of Jan/Apr/Jul/Oct identifying the following:

(1) Number of SF-135 Records Transmittal Sheets sent and/or received to /from the FRC including how many boxes were sent and retrieved.

(2) Number of DLA Form 1689 file outlines completed, reviewed and approved for their organization. Identify number of offices meeting compliance requirements and number of offices with discrepancies.

(3) Number of NA Form 13001 Disposal Notification Reports signed, including the number of boxes for disposal and/or number retained and justification for retaining them.

(4) Number of accession numbers placed on legal hold.

b. CROs will submit an annual summary report to their Component Director and the DLA Records Manager that contains the following information:

(1) Number of Business Units/Program Offices within the Component.

(2) Number of Business Units/Program Offices submitting File Plan(s).

(3) Total number of file plans received, (offices may submit more than 1 file plan; all office should submit at least 1).

(4) Number of Satisfactory Evaluations.

(5) Number of Offices Progressing Towards Evaluations.

(6) Number of Unsatisfactory Evaluations.

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

A listing of abbreviations and acronyms is mandatory for Instructions over two pages.

ARCIS	Archives and Records Centers information Systems
CD-ROM	Compact disk-read only memory
CIO	Chief Information Officer
CFR	Code of Federal Regulations
COTS	Commercial Off the Shelf
CY	Calendar Year
DLA	Defense Logistics Agency
DoD	Department of Defense
DoDD	DOD Directives
DVD	Digital video disk
EIS	Electronic Information System
FOIA	Freedom of Information Act
FRC	Federal Records Center
FY	Fiscal Year
GRS	General Records Schedule
GSA	General Service Administration
IM	Instant Message
IT	Information Technology
JITC	Joint Interoperability Testing Command
LMS	Learning Management System
NARA	National Archives and Records Administration
OSD	Office of the Secretary of Defense
PA	Privacy Act
PERM	Permanent
PLFA	Primary Level Field Activity
POC	Point of Contact
RC	Records Coordinator
RM	Records Management
RM	Records Manager
RMA	Records Management Application
SF	Standard Form

SNS	Social Networking Sites (also known as social media)
SORN	System of Records Notice
TEMP	Temporary
URL	Uniform Resource Locator

PART II. DEFINITIONS

These terms and definitions are for the purpose of this Manual.

Access. The availability of or the permission to consult records, archives, or manuscripts. The ability and opportunity to obtain classified or administratively controlled information or records.

Accession. The transfer of the legal and the physical custody of permanent records from an agency to the National Archives.

Accession Number. The NARA or ARCIS assigned tracking number for the transfer of agency records to the National Archives or FRC (see Retirement and Transfer Number).

Active Records. See current records.

Archival Value. The determination by appraisal that records are worthy of permanent preservation by the Archivist of the United States. See historical value.

Audiovisual Files. Files in pictorial or aural form, regardless of format. Included are still photos, graphic arts such as posters and original art, motion pictures, video recordings, audio or sound recordings, microform and related records.

Block. A chronological grouping of records consisting of one or more segments of records that belong to the same series and are dealt with as a unit for efficient transfer, especially the transfer of permanent records to the NARA. For example, a transfer of records in 5-year blocks.

Bucket or Aggregate Schedule. A type of flexible schedule. Flexible scheduling using "big buckets" or large aggregations is an application of disposition instructions against a body of records grouped at a level of aggregation greater than the traditional file series or electronic system that can be along a specific program area, functional line, or business process.

Business Unit. A logical element or segment of a company (such as accounting, production, marketing) representing a specific business function, and a definite place on the organizational chart, under the domain of a manager. Also called department, division, or a functional area.

Case File. Files, regardless of media, containing material on a specific action, event, person, place, project, or other subjects. Sometimes referred to as a "project file" or a "transaction file." Also a collection of such folders or other file units.

Case Working Files. Support files, such as worksheets, questionnaires, rough notes, calculations, are generally kept for a shorter period of time than the papers that serve to document the project. See Working Files.

Central Files. The files of several offices or organizational units physically or functionally centralized and supervised in one location.

Current File Area. The area where current records are physically maintained, usually in a location that provides convenient access for reference and retrieval.

Chronological Reading File. See reading file.

Classified Information. Information that has been determined pursuant to Reference (e) or any predecessor order to require protection against unauthorized disclosure and is marked to indicate its classified status when in documentary form.

Closed File. A file unit or series containing documents on which action has been completed and to which additional documents are not likely to be added. A file unit or series to which access is limited or denied. See cut off.

Cut Off. Termination of files at specific intervals to permit transfer, retirement, or disposal in periodic (quarterly, semiannual, or annual) blocks. Sometimes called "file break." See also block.

Cloud Computing. A technology that allows convenient, on-demand network access to a shared pool of configurable computing resources (e.g., networks, servers, storage, applications, and services) that can be rapidly provisioned and released with minimal management effort or service provider interaction. Depending upon user needs, and other considerations, cloud computing services are typically deployed using one of the following four models as defined in "The NIST Definition of Cloud Computing" (Reference (aa)):

    private cloud. The cloud infrastructure is provisioned for exclusive use by a single organization comprising multiple consumers (e.g., business units). It may be owned, managed, and operated by the organization, a third party, or some combination of them, and it may exist on or off premises.

    community cloud. The cloud infrastructure is provisioned for exclusive use by a specific community of consumers from organizations that have shared concerns (e.g., mission, security requirements, policy, and compliance considerations). It may be owned, managed, and operated by one or more of the organizations in the community, a third party, or some combination of them, and it may exist on or off premises.

    public cloud. The cloud infrastructure is provisioned for open use by the general public. It may be owned, managed, and operated by a business, academic, or government organization, or some combination of them. It exists on the premises of the cloud provider.

    hybrid cloud. The cloud infrastructure is a composition of two or more distinct cloud infrastructures (private, community, or public) that remain unique entities, but are bound

together by standardized or proprietary technology that enables data and application portability (e.g., cloud bursting for load balancing between clouds).

Controlled Unclassified Information. Program established by Executive Order 13556 that standardizes and simplifies the way the Executive branch handles unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and government-wide policies. NARA is designated as the CUI Executive Agent

Convenience File. Non-record copies of correspondence, completed forms, publications, and other information maintained for ease of access and reference. Sometimes referred to as "working files."

Copy. A reproduction of the contents of an original document, prepared simultaneously or separately, and usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy information or reference copy, official copy, and tickler copy. For electronic records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source. See non-record material and records.

Cross-Reference. A procedure used to show the location of a document that may be filed, because of content, under more than one subject.

Current Records. Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment. Also called "active records."

Custody. The guardianship of records that in a strict sense includes both physical possession (protective responsibility) and legal title (legal responsibility). For example, OSD records transferred to an FRC are in the PHYSICAL POSSESSION of that facility but legal title to them remains with the OSD and access may be granted only with the approval of the originating Agency; when accessioned by the National Archives, legal title, and physical possession then pass to the Archivist of the United States, who may grant access without reference to the originating agency.

Discontinuance. The placing of an organization in an inactive or surplus status. It includes inactivation, disbandment, discontinuance, or reduction to zero in strength.

Disposal. Physical destruction of temporary records. See also disposition.

Disposal Authority. The legal authorization for the disposition of records obtained from the Archivist of the United States empowering an agency to transfer permanent records to the NARA and to carry out the disposal of temporary records. Also called "disposition authority."

Disposition. Those actions taken regarding Federal records after they are no longer needed in office space to conduct current agency business. Records disposition is any activity that includes:

Disposal of temporary records by destruction or donation;

Transfer of records to Federal agency storage facilities or Federal Records Centers;

Transfer to the Archives of the United States, records determined to have sufficient historical or other value to warrant continued preservation; or

Transfer of records from one Federal agency to any other Federal agency.

Disposition Instruction. An instruction for the cut off, transfer, retirement, or destruction of documents.

Disposition Program. Practices designed to achieve efficient and economical disposition of records. The program involves developing standards, procedures, and techniques for managing the longevity of records. Includes controls over office filing equipment, scheduling records for disposition and administering their storage, documenting agency benefits accruing from the program, and undertaking surveys and audits of disposal operations.

Disposition Schedule. A document governing the continuing mandatory disposition of a record series of an organization or agency. Also known as a "records schedule," "records control schedule," "retention schedule," or "records retention schedule." The DLA Records Disposition Schedule contains the only authorized disposition schedule for DLA. See also general record schedule.

DLA Records Schedule. A list for systematic disposition of DLA records, including their retention, transfer, retirement, or destruction, performed in accordance with approved disposition authority from the United States Archivist.

disposition standard. The time period for the cut-off transfer to a records center, destruction, or transfer to the NARA of a file series.

DLA Component. An organizational entity of the Defense Logistics Agency such as the DLA Headquarter J-Codes and Organizational Offices, PLFAs and, and DLA Field Activities.

DLA functional file system. A system of files based on the major functions by which the records shall be retrieved. With Program Records or mission-related files, these functions mirror the office organization and reflect the nature of the work being done there. The DLA uses a functional file system

Electronic Information System. A system that contains and provides access to computerized Federal records and other information usually dedicated to a business process and/or specific function(s).

Electronic Records. Records stored in a form that only a computer can process and satisfies the definition of a Federal record, also referred to as machine-readable records or automatic data processing records.

E-mail System. A computer application used to create, receive, and transmit messages, and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain transmission data), data systems used to collect and process

data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted with the message.

Evidential Value. The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. See historical value.

Federal Records. See record.

File. An accumulation of records or non-record materials arranged according to an approved plan. Used primarily in reference to current records in an office. A unit, such as a folder, microform, or electronic medium, containing records, non-records, or personal files. In electronic records, an organized collection of related data, usually arranged into logical records stored together and treated as a unit. The unit is larger than a data record but smaller than a data system and is sometimes known as a "data set." Referred to collectively as "files."

File Inventory. A survey of agency records used to develop a disposition schedule. Includes a descriptive listing of each record series of a system, together with an indication of where it is located and other pertinent data.

File Plan. A list of records maintained by an organization. A file plan may list records series, file arrangement and organization, specific records, and/or locations of records. DLA file plans list records by records series number and are filled out on DLA Form 1689.

Finding Aids. Indexes or other lists designed to make it easier to locate relevant files.

For Official Use Only (FOUO). "Unclassified information that may be exempt from mandatory release to the public under the Freedom of Information Act (FOIA)." The policy is implemented by DoD Regulation 5400.7-R and 5200.1-R.

Federal Record Center. A facility, sometimes specially designed and constructed, for the low-cost, efficient storage and furnishing of reference service on semi-current records pending their ultimate disposition. Generally, this term refers to the FRCs maintained by NARA, but provisions exist, providing stringent criteria are met, to permit individual Federal agencies to create their own records centers or to contract this service out to civilian enterprises.

Frozen Records. Those temporary records that cannot be destroyed on schedule because special circumstances, such as a preservation or court order, require a temporary extension of the approved retention period.

Government Control. The ability of the originating government agency to regulate access to documentary materials, especially classified information.

General Record Schedule. A schedule issued by the Archivist of the United States governing the disposition of specified recurring series common to several or all agencies of the Federal Government. These series include civilian personnel and payroll records, procurement, budget, travel, electronic, audiovisual and administrative management records. When records described in the GRS are used by any Federal agency, their disposition is governed thereby. Exceptions may be granted only by the Archivist of the United States. The GRS DOES NOT apply to an

agency's program records. "Program records" are those peculiar to an agency's mission or not "common to several or all Agencies of the Federal Government."

Historical Value. The usefulness of records for historical research concerning the agency of origin.

Holding Area. Agency space assigned for the temporary storage of active or semi-active records and for records with relatively short retention periods. Also known as a "staging area."

Housekeeping Records. Records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or support operations normally common to most agencies, as distinguished from records that relate to an agency's primary functions. (See GRS.)

Inactive Records. Records that are no longer required in the conduct of current business and therefore can be transferred to an FRC or destroyed, per approved disposition schedule.

Information System. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated (EIS) or manual.

Legal Value. The use of records containing evidence of legally enforceable rights or obligations of Government or private persons.

life cycle of records. The concept that records pass through three stages: creation/receipt, maintenance and use, and disposition. Records should be managed properly during all three phases of the life cycle.

Metadata. Data describing the structure, data elements, interrelationships, and other characteristics of an electronic record. Usually described as data about the data.

Microform. Any form containing greatly reduced images, or micro-images, usually on microfilm. Roll microforms include microfilm on reels, cartridges, and cassettes. Flat microfilms include microfilm jackets, aperture cards, and micro-cards, or micro-opaques.

National Archives and Records Administration. The independent agency that oversees management of Federal government records including presidential libraries and historic collections.

Non-Record Material. U.S. Government-owned documentary materials that do not meet the conditions of records status or that are specifically excluded from the statutory definition of records (see Record). An agency's records management program also needs to include managing non-record materials. There are three specific categories of materials excluded from the statutory definition of records:

Library and museum material (but only if such material is made or acquired and preserved solely for reference or exhibition purposes), including physical exhibits, artifacts, and other material objects lacking evidential value.

Extra copies of documents (but only if the sole reason such copies are preserved is for convenience of reference).

Stocks of publications and of processed documents. Catalogs, trade journals, and other publications that are received from other Government agencies, commercial firms, or private institutions and that require no action and are not part of a case on which action is taken. (Stocks do not include serial or record sets of agency publications and processed documents, including annual reports, brochures, pamphlets, books, handbooks, posters and maps.)

Official Records. See records.

Permanent Records. Records appraised by the Archivist of the United States as having enduring value because they document the organization and functions of the agency that created or received them or they contain significant information on persons, things, problems, and conditions with which the agency deals.

Personal Files (also referred to as personal papers). Documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the Government. Personal papers are required to be filed separately from official records of the office.

Program Records. Records created or received and maintained by an agency in the conduct of the substantive mission functions (as opposed to administrative or housekeeping functions). Sometimes called "operational records."

Reading File. A file containing copies of documents, usually outgoing correspondence only which is arranged in chronological order --sometimes referred to as a "chron file," or "chronological reading file."

Record Copy. The official, file, or coordination copy created by an action office, complete with coordination, enclosures, or related background papers that form a complete file or history of that action. Multiple copies of the same document(s) containing duplicative information may be considered a record copy within the organization depending on how they are used to conduct Government business.

Record Group. A body of organizationally related records established by NARA to keep track of agency records during and after the scheduling process, including those transferred to FRCs or the National Archives. The record group for DLA is 361.

Record. All paper, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government 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 Government or because of the informational value in them (extract from section 3301 of Title 44, U.S.C).

Records Center. See FRC.

Records Center Container. A corrugated cardboard box designed to hold one cubic foot of records, either legal or letter size, and used chiefly in records centers. These are the only containers authorized for shipment of DoD records to an FRC.

Records Control Schedule. A listing prepared by each DLA office identifying the records series, filing arrangement, and ultimate disposition of all files maintained.

Record Series. A group of files or documents maintained together because they relate to a particular subject, function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.

Records Disposition Schedule. Sometimes called a Records Control Schedule, Records Retention Schedule or a Records Schedule. The administrative document used by DLA to obtain legal disposal authority for categories of its records. When authorized by the Archivist of the United States, these schedules grant continuing authority to dispose of identifiable categories of DLA records that already have accumulated and that will accumulate in the future.

Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.

Records Manager. The person responsible for or engaged in a records management program. Sometimes called "records officer" or "records administrator."

Reference Copies. A collection of extra copies of official records on a specific action used for ready reference.

Retention Period. The time period that a specific series of records is to be kept. Also called "retention standard."

Retirement. The movement of inactive files having a permanent or long-term value to an FRC for storage, servicing, and ultimate disposition. See transfer.

Screening. The examination of records to apply access restrictions and to determine the presence of extraneous material (extra copies, classified cover sheets, mail control forms, envelopes, routing slips (except those with remarks of significant value), blank forms, etc.) before filing, transfer, or retirement.

Series. File units or documents arranged in accordance with an approved filing system. Also called "record series."

Structured Data. Any data that has an enforced composition to the atomic data types. The data is managed by technology, which allows for querying and reporting. A database is structured data.

Sustainable Format. Means the ability to access an electronic record throughout its life cycle, regardless of the technology used when it was created. A sustainable format increases the likelihood of a record being accessible in the future.

System of Records. A group of records under the control of a DoD Component from which personal information about an individual is retrieved by the name of the individual, or by some other identifying number, symbol, or other identifying particular assigned, that is unique to the individual.

Technical Reference Files. Extra copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are properly a part of the office's records.

Temporary Records. A record that is eligible for destruction once it has met its retention period. Temporary records may have retention periods as short as a few months, or longer than a century.

Transfer. The movement of records out of office space to a depository but not necessarily an FRC. (See retirement.)

Transfer Number. The control number given to any DLA functional element retiring records to an FRC. This number consists of the Record Group number, fiscal year in which the number was issued, and a four-digit sequential control number, also referred to as accession number. The transfer number is the basic reference for any records shipment and must be used when retrieving papers from any FRC. Transfer numbers are issued by ARCIS and controlled by the CRO.

Transitory Record. Records of short-term interest (180 days or less), including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. The format or media of the record does not dictate its record value.

Unscheduled Records. Records whose final disposition has not been approved by the Archivist of the United States.

Unstructured Data. Any data stored in an unstructured format at the atomic level. Refers to computerized information which does not have a data structure that is easily readable by a machine and requires human intervention to make the data machine readable. Examples of unstructured data are e-mails, spreadsheets, or word processing documents.

Vital Records. Documents essential to the continued functioning or reconstitution of an organization during and after an emergency and also those documents essential to protecting the rights and interests of that organization and the individuals directly affected by its activities. Sometimes called "vital files" or "essential records." Includes both emergency-operating and right-and-interests records that are duplicates or extra copies of originals stored off-site.

<u>Web Site</u>. Web sites are a collection of interconnected web pages consisting of a homepage, images, videos, or other digital assets that are addressed relative to a common URL, often consisting of only the domain name, or the IP address, and the root path ('/') in an Internet Protocol-based network. They are generally located on the same server, and prepared and maintained as a collection of information by a person, group, or organization.

<u>Working Files</u>. Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. In electronic records, temporary files in auxiliary storage. May also include non-record material and technical reference files.