



DEFENSE INFORMATION SYSTEMS AGENCY

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DISA INSTRUCTION 210-15-6*

NOV 20 2012

ADMINISTRATION

Records Management

1. **Purpose.** This Instruction prescribes policy and assigns responsibilities for records management for DISA. It also advises of the penalties and exceptions for and required documentation of the destruction of federal records.
2. **Applicability.** This Instruction applies to all DISA activities and contractors supporting DISA activities.
3. **Scope.** This Instruction addresses all records made or received by DISA under federal law or in connection with a transaction of public business and preserved or appropriate for preservation as evidence of DISA functions or activities or because of the value of the information the records contain.
4. **Authority.** This Instruction is published in accordance with the authority contained in DoD Directive 5015.2, DoD Records Management Program, 6 March 2000.
5. **Definitions.** Definitions are provided in the enclosure.
6. **Policy.** Records management for DISA will ensure the creation and preservation of adequate and proper documentation of the DISA organization, functions, policies, decisions, procedures, and essential transactions.
7. **Objectives.** The objectives of this Instruction are as follows:
 - 7.1 Implement a records management program that complies with the requirements for managing records in all formats, including early capture and control throughout their life cycle.
 - 7.2 Create and maintain approved file plans that describe all categories of records created, received, and maintained by personnel in the course of their official duties.

7.3 Preserve and dispose of records in accordance with DISA and National Archives and Records Administration (NARA) records disposition schedules.

7.4 Preserve records placed under a destruction moratorium (freeze), as necessary, to support audits, court cases, Freedom of Information Act (FOIA) appeals, e-Discovery, or similar obligations.

7.5 Request disposition authority from NARA through the organizational Records Liaisons (RLs) and Agency Records Officer (ARO) for all unscheduled records.

7.6 Conduct internal evaluations of records management practices and programs annually.

7.7 Ensure records management program training is provided for all personnel on a regular basis.

7.8 Identify vital records and preserve them to ensure they are maintained, kept current, and, when appropriate, made available in the event of a continuity of operations or catastrophic event.

7.9 Ensure confidential business information (CBI), Privacy Act, and other restricted records are preserved and stored appropriately.

7.10 Ensure the site exit process includes a requirement for the transfer of custodianship of Federal records to another employee or a Records Custodian (RC) when employees leave on a permanent or long-term basis to prevent inadvertent loss, destruction, or alienation of Federal records.

8. Responsibilities.

8.1 **Chief Information Officer (CIO).** The CIO ensures policy formulation and staff direction for records management for DISA and will:

8.1.1 Exercise this authority for the Director, DISA, under statutory requirements.

8.1.2 Direct actions necessary for management, implementation, and control of records management.

8.1.3 Serve as official representative for the Director, DISA, in any arrangements with heads of other government agencies and authorities on all matters relating to records management.

8.1.4 Serve as the focal point for DISA, providing expertise on all records management initiatives.

8.1.5 Ensure the Agency Records Officer (ARO) has staff level visibility throughout the Agency.

8.2 Principal Directors, Directors, Commanders, and Chiefs of Major Organizational Elements. These individuals will:

8.2.1 Designate, in writing, a Records Liaison (RL) and an Alternate Records Liaison (ARL) for their respective activity. (The names of their designees should be provided to the ARO.)

8.2.2 Ensure each designated RL and ARL attends basic records management training conducted by DISA.

8.2.3 Execute records management in their respective activity.

8.3 General Counsel (GC). The GC will coordinate with the organizational RL and ARO when a moratorium on records disposition is needed to support litigation or other legal matters.

9. Duties.

9.1 Agency Records Officer (ARO). The ARO reports to the Chief Information Officer (CIO), through the Chief, Policy, Compliance, and Governance Division (CI2), and will:

9.1.1 Direct and manage records management for the Agency.

9.1.2 Ensure effective control over the organization, maintenance, use, designation, and disposition of all DISA records, regardless of media (paper, electronic, audiovisual, etc.).

9.1.3 Develop and apply standards, procedures, and techniques for improving records management; ensure the maintenance and timely retirement of records of continuing value; and facilitate the segregation and disposal of all records of temporary value.

9.1.4 Provide records management training for RLs and ARLs.

9.1.5 Manage the automatic mandatory declassification for the Agency.

9.1.6 Provide advice and management assistance when creating new records systems, including implementing electronic records management, to ensure the systems are adequately documented, secure, and accessible and disposition instructions are established.

9.1.7 Manage the transfer of records to and retrieval from Federal Records Centers (FRCs).

9.1.8 Maintain records on all current suspension actions to normal disposition instructions; such as, records hold, freeze, moratorium, or preservation orders.

9.1.9 Issue records management guidance to agency organizations with records management procedures.

9.2 **Records Liaison (RL)**. An RL will:

9.2.1 Serve as the official directorate level point of contact responsible for overseeing the directorate's records management activities.

9.2.2 Represent the directorate in records management activities and resolve records management conflicts within the organization.

9.2.3 Provide advice and guidance to organizational senior officials and staff on the creation, maintenance, and use of electronic and paper records.

9.2.4 Create and maintain a network of Records Custodians (RCs) within their directorate that is responsible for overseeing the records management functions in their respective divisions and branches.

9.2.5 Attend records management training provided by DISA and implement records management initiatives. (Individual(s) should have knowledge of applicable laws and regulations governing records management and are to attend records management training offered by DISA within 3 months of appointment.)

9.2.6 Attend records management briefings and DISA sponsored records management training sessions.

9.2.7 Coordinate with the ARO to ensure permanent records are properly accessioned and retired to the appropriate Federal Records Center (FRC) in a timely manner, consistent with approved record schedules.

9.2.8 Identify and inventory vital records that are needed to support Mission Essential Functions (MEF) during a continuity event and include those records and information systems necessary to protect legal and financial rights and for reconstitution to normal operations after a crisis.

9.2.9 Conduct a survey or self-assessment of records management practices for continuity of operations (COOP) and vital records within their organizations. (The results are to be sent to the ARO in the form of an annual report.)

9.3 **Records Custodian (RC)**. The RC will:

9.3.1 Oversee records management activities of the division or branch.

9.3.2 Represent the division or branch in records management activities and resolve records management conflicts within the organization.

9.3.3 Work with the organizational RL to ensure permanent records are properly accessioned and retired to the appropriate FRC in a timely manner, consistent with approved record schedules.

9.3.4 Cooperate with the organizational RL and ARO in periodic evaluation of the division or branch records.

9.3.5 Ensure all division or branch records are listed in an approved file plan and are described accurately.

9.3.6 Ensure records management practices are incorporated within the division or branch and all personnel are applying the policies to safeguard all records (paper and electronic).

9.3.7 Assist in identifying and inventorying vital records that are needed to support a continuity event and include those records and information systems necessary to protect legal and financial rights and for reconstitution to normal operations after a crisis.

9.4 **System and Program Managers.** These individuals will:

9.4.1 Coordinate with the organizational RL and ARO to establish and update records schedules for electronic information systems.

9.4.2 Implement proper recordkeeping procedures for existing information systems and ensure recordkeeping requirements are included in proposed systems.

9.4.3 Maintain electronic information systems (EIS) record in accordance with approved records schedules and NARA requirements.

9.4.4 Coordinate with the organizational RL and ARO to transfer permanent electronic records to NARA in accordance with approved DISA records schedules and NARA requirements.

9.5 **Agency Historian.** The Agency Historians, located in the Strategic Planning and Information Directorate (SPI) Strategic Communications Division (SI5) History and Archives, will:

9.5.1 Assist in identifying, organizing, and preserving the historical records in DISA.

9.5.2 Coordinate with the organizational RL and ARO to ensure records, archival holding, photographs, maps, architectural or engineering drawings, and other materials are identified, organized, and preserved in support of the Agency's preserving historic records.

9.5.3 Coordinate with the ARO and organizational RL to provide access to historically significant records throughout the Agency.

10. **Penalties and Exceptions for and Required Documentation of the Destruction of Federal Records.**

10.1 The United States Criminal Code (18 U.S.C. 2071) states that a maximum fine of \$2,000 and imprisonment for not more than 3 years for unlawful or willful destruction, mutilation, or removal of Federal records. However, under certain conditions, agencies may destroy records regardless of schedule provisions. These conditions involve the following:

10.1.1 Records that due to their physical condition make them a menace to human health or life and to property. They may be infested by vermin or may be stored under such adverse

conditions that they cannot be used or repaired. (Before destroying nitrate film, the agency should be aware of the conditions under which it actually poses a threat to persons and property. Potential adverse conditions exist when the film becomes soft and sticky, emits a noxious odor, contains gas bubbles, or has retrograded into an acid powder. The National Archives and Records Administration (NARA) provides guidance to agencies regarding how to handle nitrate film and how to correct certain infestation problems through fumigation.)

10.1.2 Records located outside the territorial limits of the United States when war or other hostile action exists or threatens. (The agency head may authorize the destruction of such records on grounds of harm to U.S. interests or of urgent space needs for military operations combined with a lack of sufficient administrative, legal, research, or other value to warrant continued preservation.)

10.2 When records are destroyed under emergency conditions or unauthorized disposals, the records management officer will submit a written report to ARO. The report will describe how the records were destroyed (by file series) and indicate when and where they were destroyed.

FOR THE DIRECTOR:

1 Enclosure a/s



FREDERICK A. HENRY
Brigadier General, USA
Chief of Staff

SUMMARY OF SIGNIFICANT CHANGES. This revision reflects major changes to comply with DoD Directive 5015.2, DoD Records Management Program. The responsibility for the management of records management for the Agency is now assigned to the Chief Information Officer (CIO). The title of Records Management Coordinator was changed to Record Liaison. File plans, records preservation during litigation, and vital records identification are aspects now addressed in the objectives paragraph. Additional duties for Records Custodians, System and Program Managers, General Counsel, and Agency Historian for managing agency records are now assigned.

*This Instruction cancels DISAI 210-15-6, 15 February 2007.

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Enclosure: DISAI 210-15-6

DEFINITIONS

Accession. A group of agency records transferred to the Federal Records Centers (FRCs) for storage while remaining under the agency's legal control; the process by which the National Archives and Records Administration (NARA) receives legal title to, and physical custody of, noncurrent agency records previously appraised as having continuing or archival value.

Administrative Records. Organizational records related to budget, financial accounting, personnel, supply, and similar housekeeping or facilitative operations and distinct from program or substantive records documenting an agency's primary functions.

Appraisal. The process of determining the value of records and preparing the way for their disposition.

Archives. Noncurrent records of an organization preserved because of their continuing or enduring value; the agency responsible for selecting, preserving, and making available archival materials, on the Federal level; the building or part of a building in which records of continuing value are located.

Audiovisual Records. Records including program and information motion pictures, still pictures, sound recordings, video recordings, and related documents.

Case File. A folder or other file unit containing material relating to a specific action, transaction, event, person, place, project, or other subject. A case file may cover one or many subjects that relate to the case. For example, a contract file contains records on a specific contract, such as, application, correspondence, addenda, reports, and processing documents. Other types of case files include official personnel folders, surveys, and studies.

Classification. The process of determining the file designation and necessary index references to records, normally general correspondence or subject files.

Correspondence (General). Written communications including letters, forms, reports, e-mails, memorandums, endorsements, summary sheets, postal cards, and memorandum routing sheets.

Records are arranged and filed according to their general informational or topical content and relate to programs and functions, not to a specific case or a particular person or organization.

Cross-References. Paper filed under one classification and date to show the location of material filed elsewhere.

Current Files Areas. File space (usually office space) used by personnel to maintain records.

Cutoff. The termination of files at regular intervals to permit their transfer, retirement, or destruction in complete blocks. Under this technique, a file is terminated at a specified time and a new file is established.

Disposal. Actions taken regarding noncurrent, nonpermanent records when their retention period expires (destruction, sale of paper records as waste, salvage of nonpaper records, donation to eligible depository).

Disposal Standard. The time period for the lifespan of a file.

Disposition Authority. Legal authorization for the disposition of records, obtained from the National Archives and Records Administration (NARA) and also for certain series from the General Accounting Office. Also called Disposal Authority if applying solely to nonpermanent records.

Disposition Schedule. A document providing continuous, mandatory disposition authority for recurring records series of an agency.

Documentation. The recording of an agency's legal mission, functions, organization, policies, decisions, procedures, essential transactions, and accomplishments. Also, the body of records that results from such recording.

Electronic Records. Records created by means of a computing device and subsequently stored on an electronic storage media and only retrievable through electronic means.

Federal Records Center. A storage activity established to receive, maintain, service, and preserve or eventually destroy noncurrent records.

File. An accumulation of records maintained in a predetermined physical arrangement. (Also, equipment, such as a filing cabinet.)

Files. A collective term usually applied to all records of an office or agency.

File Plan. A document containing the identifying number, title or description, and disposition of record series held in an office.

General Records Schedules. Readymade schedules for disposition of records common to most agencies. Developed by the National Archives and Records Administration (NARA) these schedules cover administrative functions, and their use is mandatory.

Information. Facts or knowledge communicated or received.

Information Resources Management. The study, planning, and control of information as an organizational asset.

Inventory. A descriptive survey, or stocktaking, of files before development or revision of disposition schedules.

Life Cycle of Records. The life of a record incorporates three stages: creation, maintenance and use, and disposition.

Mail. Letters, telecommunications, memorandums, postcards, documents, packages, publications, and other communications received for distribution or dispatch.

Microform. A generic term used to identify any form of image miniaturization, which cannot be read with the naked eye and, therefore, must be reproduced, projected, or enlarged by special display equipment. Microform includes microfilm, microfiche, aperture card, and similar media. Video and magnetic tape used to record images and store information in magnetic impulse form is excluded from microform as defined.

Mission Essential Functions (MEF). The specified or implied task required to be performed by, or derived from, statute or Executive Order, and those organizational activities that must be performed under all circumstances to achieve the DoD Component's missions or responsibilities in a continuity threat or event. Failure to perform or sustain this function would significantly impact the ability to provide vital services or exercise authority, direction, and control.

Nonrecords. Material excluded from the definition of records, such as unofficial copies of documents kept only for convenience of reference, stocks of publications and processed documents, and library or museum material intended solely for reference or exhibition.

Permanent Records. Records appraised by the National Administration and Records Administration (NARA) as having enduring value because they document the organization and functions of the agency that created or received them or because they contain significant information on persons, things, problems, and conditions with which the agency dealt.

Personal Papers. Papers of a private or nonofficial character, which pertain only to an individual's personal affairs that are kept in the office of a federal official. Personal papers should be clearly designated as nonofficial and at all times be filed separately from official records. Any portions relating to official business must be extracted and made a part of the official files.

Program Records. Records documenting the substantive functions for which an agency is responsible, in contrast to administrative records.

Reading File. Copies of documents filed in chronological order.

Records Administration. That area of traditional records management concerned with adequate and proper documentation, maintenance of vital records and of records of continuing value, and the disposition of all records.

Records Management. That management area concerned with the creation, maintenance and use, and disposition of records, and with the efficient and economical handling of records systems.

Records (Official). All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. 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 their informational value.

Retirement. Movement of records to a Federal Records Center (FRC).

Retirement Standard. Time period for retirement of a file

Series. File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, have a particular physical form, or because of some other relationship arising out of their creation, receipt, or use.

Subject (Correspondence) Files. Records arranged and filed according to their general informational content to bring together all papers on the same topic to facilitate information retrieval.

Transitory Record. Records that lose their value within a short time and that should be separated during filing from records requiring longer retention.

Unscheduled Records. Records for which no final disposition has been determined.

Vital Records. Records essential for maintaining the continuity of Federal Government activities during a national emergency. Vital records consist of two categories: emergency operating records, which outline the essential functions of the Government for the duration of emergency conditions, and rights and interests records, which are required for the preservation of the rights and interests of individual citizens and the Government. Duplicates of records should be located elsewhere.

Working Papers. Documents, such as rough notes, calculations, or drafts, assembled or created and used in the preparation or analysis of other document.