

Instruction

DEFENSE INTELLIGENCE AGENCY
WASHINGTON, DC 20340-5100

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OPR: DA

Records Management Program

References:

- (a) DIA Instruction 5015.001, "DIA Records Management Program," 29 September 2004 (canceled)
- (b) DoD Directive 5015.2, "Records Management Program," 6 March 2000
- (c) Title 44, "Public Printing and Documents," United States Code, Chapters 29, 31 (Federal Records Act), 33, and 35, current edition, 2 January 2006
- (d) Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management," current edition
- (e) Joint Intelligence Center; Joint Analysis Center Military Intelligence Program Implementation Study, Annex A: DIA Military Service; Command Support Requirements, 1 August 2006
- (f) through (p), see Enclosure 1

1. Purpose.

1.1. Replaces Reference (a).

1.2. This Instruction implements Reference (b) and defines the policies, responsibilities, and procedures required to efficiently, effectively, and legally manage Defense Intelligence Agency (DIA) records in accordance with the statutes described in Reference (c), and the regulations described in Reference (d).

1.3. This Instruction applies to all personnel employed by, assigned to, or attached for duty to DIA; all DIA contractors and consultants; and all information produced, processed, used, or stored for or by DIA. Billet management and servicing records produced, processed, used, or stored by Directorate for Intelligence (J2) staff assigned to combatant commands (COCOMs) are subject to the provisions of this Instruction in accordance with (IAW) Reference (e). The following exceptions apply to the requirements of this Instruction:

1.3.1. Operational or mission records produced, processed, used, or stored by J2 staff assigned to COCOMs are subject to the records management instructions or directives of the command being supported IAW Reference (e).

1.3.2. United States Defense Attaché Offices will adhere to the filing procedures in DIA Manual (DIAM) 100-1 (Reference (f)) and Field Operating Bases will adhere to filing procedures in DIAM 100-2 (Reference (g)), instead of the DIA master file plan provided in this Instruction.

2. Definitions – see Enclosure 2.

3. Responsibilities.

3.1. The Directorate for Mission Services (DA) shall:

3.1.1. Provide leadership, planning, policy, guidance, training, and general oversight of records management at DIA.

3.1.2. Establish and maintain the DIA Records Management Program Office at an organizational level of sufficient authority to ensure the objectives and policies of this issuance and Reference (c) are efficiently and effectively implemented.

3.2. The Records Management and Information Services Division shall designate an agency records officer with responsibility for leading and managing the Records Management Program Office.

3.3. The Records Management Program Office shall:

3.3.1. Develop and implement tools to assist offices in establishing records management programs which adequately and properly document the functions, organization, policies, decisions, procedures, and essential transactions of DIA.

3.3.2. Coordinate and consult on records management issues with other Federal agencies, including oversight agencies such as the National Archives and Records Administration (NARA), Office of Management and Budget, and the General Services Administration.

3.3.3. Coordinate the development, review, approval, updating, revision, and dissemination of all DIA records disposition schedules (RDSs) with the office of record, and internal and external stakeholders.

3.3.4. Maintain an on-line listing of all approved RDSs.

3.3.5. Provide technical advice and training to all DIA organizations on establishing and maintaining effective records management programs.

3.3.6. Conduct biennial evaluations of records management programs to ensure they are in compliance with federal statutes and regulations for managing records throughout their lifecycle (see Reference (d))

3.3.7. Serve as the central management and approval office for transfer, retrieval, and destruction of inactive records maintained in temporary offsite storage facilities.

3.3.8. Serve as the central management and approval office for the transfer of permanent records to NARA.

3.3.9. Serve as the office of record for the standard forms which document the transfer of permanent records to NARA (SF-258) and the temporary storage of inactive records at Federal Record Centers (SF-135).

3.3.10. Conduct regular records management meetings to provide information and training, and to facilitate the exchange of best practices to the network of area records officers (AROs) and file custodians.

3.3.11. Notify the Office of General Counsel and the Office of Inspector General of any actual, impending, or threatened unlawful removal, alteration, or destruction of DIA records.

3.4. The Office of the Chief of Staff (CS) shall forward all policy documents to the Records Management Program Office prior to final CS approval to determine if they contain any retention or disposal language which should be supported by a NARA-approved RDS.

3.5. The Directorate for Information Management and Chief Information Officer (DS) shall:

3.5.1. Incorporate records management disposition and archival functions into the system development life cycle of any information system which creates, maintains, or preserves electronic records IAW References (h) and (i). Include a records management review and approval requirement in the Department of Defense intelligence information systems release management process.

3.5.2. Develop migration strategies to ensure records in electronic information systems are retrievable and usable for the full time period described in the applicable RDS.

3.5.3. Manage selection, acquisition, and implementation of DIA electronic recordkeeping systems (ERKS).

3.5.4. Require content management or records management applications selected for implementation at DIA are compliant with the requirements set forth in Reference (j).

3.5.5. Consult with RMPO staff to determine if existing DIA information systems contain records and if proposed information systems will contain records when implemented.

3.5.6. Ensure all DIA information systems which contain records are certified compliant with electronic recordkeeping requirements (see paragraph 4.3.7.2.).

3.6. The Public Affairs Division of the Office for Congressional and Public Affairs (CP) shall review all draft RDSs to ensure the information contained within the schedule notice is appropriate for public release in the Federal Register.

3.7. The Chief Privacy Officer shall biennially review the retention and disposal information provided in all DIA system of records notices (SORNs) described in References (k) and (l) to ensure they reference the appropriate NARA-approved RDS.

3.8. The Office of the Acquisition Executive (AE) shall ensure, by incorporation of the appropriate contract clauses, the policies defined in this Instruction are applicable to all contracts for systems or services which support the creation, maintenance, or use of DIA records.

3.9. The deputy directors for and special office chiefs shall:

3.9.1. Implement a records management program within their area of responsibility to accomplish the objectives identified in federal statutes and regulations, and DIA policies and procedures (References (a), (c), (d)).

3.9.2. Conduct a comprehensive physical inventory of all operational or mission and administrative records, both hard copy and electronic, within their area of responsibility every three years (see Reference (d)). Inventoried records will be categorized according to the DIA master file plan (Enclosure 3).

3.9.3. Initiate a RDS for any unscheduled records for which their organization is the office of record and submit to the Records Management Program Office for coordination and approval. Unscheduled records are considered permanent and may not be destroyed until NARA has approved an RDS authorizing their disposal.

3.9.4. Review and approve draft RDS for all records for which their organization is the office of record prior to submission to NARA. This review will help ensure the proposed dispositions support the mission and business requirements of the organization.

3.9.5. Assign management and oversight responsibility for the organizational records management program to the staff director or staff officer of equivalent authority.

3.9.6. Designate an individual(s) within their organization to serve as AROs and forward their name and phone number to the Records Management Program Office. The ARO will be accountable to the staff director assigned to oversee the program.

3.9.7. Designate individuals to serve as file custodians and forward their names, office codes, and phone numbers to the Records Management Program Office. The file custodians will be accountable to the ARO.

3.9.8. Ensure the AROs and file custodians have the training, skills, resources, time, and appropriate authority to implement and manage the program.

3.9.9. Ensure any directives, instructions, policies, procedures, or other issuances promulgated by the organization which provide for the destruction of records include a reference to the NARA-approved RDS authorizing the destruction.

3.9.10. Ensure when offices undergo functional reorganization they formally transfer supporting records to the receiving office.

3.9.11. Ensure when offices are permanently closed, their records are disposed of or transferred to inactive storage facilities or NARA in accordance with the appropriate RDS.

3.9.12. Develop records management oversight roles and communication networks within all program units, including field offices and other facilities, to ensure the records management program is implemented at all sites under their area of responsibility.

3.9.13. Develop directives and operating procedures, as needed, to meet the unique records management needs of the organization and to support the records management program within the organization.

3.9.14. Ensure records are not unlawfully removed from DIA custody, unlawfully altered, or destroyed by current or departing officials, employees, or contractors.

3.9.15. Ensure all vital records necessary to support critical missions, regardless of format, are available at emergency relocation sites or other alternate locations and they are updated at appropriate intervals (see Reference (m)).

3.10. The Office of General Counsel (GC) shall:

3.10.1. Review and approve all draft RDSs prior to submission to NARA to ensure the proposed dispositions support the legal requirements of DIA.

3.10.2. Review and approve all draft SORN additions or deletions, and coordinate with CP prior to publication in the Federal Register.

3.10.3. Provide legal advice and assistance in interpreting statutes and regulations applicable to DIA records and records management practices.

3.10.4. Advise RMPO and DIA staff of any records subject to holds on scheduled destruction resulting from audits, court cases, Freedom of Information Act (FOIA) and Privacy Act requests and appeals, or other official inquiries.

3.10.5. Advise RMPO and DIA staff when holds on scheduled destruction have been lifted and normal disposition activities may resume.

3.10.6. Determine the precedence of lawful recordkeeping or destruction requirements when conflicts arise.

3.10.7. Advise the Records Management Program Office on the appropriate actions and responses to actual or potential unlawful removal or destruction of records as described in Subsection 3106 of Reference (c).

3.11. The Office of the Inspector General (IG) shall review all draft RDSs prior to submission to NARA to ensure the proposed dispositions are sufficient to support:

3.11.1. Economy and efficiency in DIA programs and operations.

3.11.2. The detection and prevention of fraud, waste, and abuse.

3.12. The DIA historical program (Reference (n)) shall have the opportunity to review all draft RDSs prior to submission to NARA to ensure the proposed dispositions support the historical requirements of DIA.

3.13. The area records officers shall:

3.13.1. Coordinate and operate the records management program within their area of responsibility.

3.13.2. Serve as the primary point of contact and advice for file custodians on records management issues.

3.13.3. Conduct periodic evaluations of their directorate records management programs.

3.13.4. Assist the Records Management Program Office with office-level inspections.

3.13.5. Collect DIA form 907, files maintenance and disposition plan, from file custodians within their area of responsibility and submit to the Records Management Program Office for review and approval at the beginning of each calendar year.

3.13.6. Attend regular records management meetings conducted by the Records Management Program Office.

3.13.7. Annually complete the “records management overview” and “records management for records officers and file custodians” courses on the Joint Intelligence Virtual University (JIVU) website.

3.14. The file custodians shall:

3.14.1. Coordinate and operate the records management program within their area of responsibility.

3.14.2. Develop and maintain current file plans which describe all categories of records created, received, or maintained by office staff.

3.14.3. Conduct an annual review of all files to ensure adequate and proper documentation is maintained, permanent records are preserved, and temporary records are disposed of IAW applicable RDSs.

3.14.4. Update and submit DIA form 907 to the area records officer at the beginning of each calendar year.

3.14.5. Ensure records are filed for safe storage and efficient retrieval according to an Records Management Program Office-approved file plan.

3.14.6. Coordinate with Records Management Program Office on the transfer and retrieval of inactive records at NARA facilities.

3.14.7. Annually complete the "Records Management Overview" and "Records Management for Records Officers and File Custodians" courses on the JIVU website.

3.14.8. Serve as the primary point of contact and advice for office staff on records management issues.

3.14.9. Attend regular records management meetings conducted by the Records Management Program Office.

3.15. DIA personnel and contractors shall:

3.15.1. Create the records necessary to document official activities and actions.

3.15.2. File records for safe storage and efficient retrieval using an Records Management Program Office-approved file plan.

3.15.3. Destroy records only in accordance with a NARA-approved RDS, regardless of format.

3.15.4. Ensure official records under their control, regardless of format, are transferred to a designated file custodian prior to permanent reassignment or retirement.

3.15.5. Complete the "records management overview" course on the JIVU website on an annual basis (see Reference (d))

3.15.6. Maintain non-record materials and personal papers separately from official records.

3.15.7. Notify management and the Records Management Program Office of any actual, impending, or threatened unlawful removal, alteration, or destruction of DIA records.

4. Procedures.

4.1. Detailed procedures for specific records management activities are found in Reference (o).

4.2. Hard copy records.

4.2.1. Staff will avoid maintaining official records in their personal work areas. If it is necessary to maintain official records in a personal work area, they will be organized and labeled according to the Records Management Program Office-approved files maintenance and disposition plan (DIA form 907) for their office. The office file plan will reference the location of official records maintained in personal work areas.

4.2.2. Official records will be maintained in central file stations and will be organized and labeled according to the Records Management Program Office-approved files maintenance and disposition plan (DIA form 907) for the office.

4.2.3. Classified records (Reference (p)) requiring control and accountability will be filed in the manner best suited for control purposes; however, the disposition rules found in the Records Management Program Office-approved files maintenance and disposition plan (DIA form 907) will remain in effect.

4.3. Electronic records.

4.3.1. Electronic records in all formats are subject to the same federal statutes, NARA regulations, and DIA policies as hard copy records. They may only be deleted based on a NARA-approved RDS. This includes electronic records created or maintained using the following systems and tools:

4.3.1.1. Voice mail.

4.3.1.2. Instant messaging.

4.3.1.3. Intranet, internet, and extranet websites.

4.3.1.4. Collaboration tools, including:

4.3.1.4.1. Wikis.

4.3.1.4.2. Blogs.

4.3.1.4.3. SharePoint sites.

4.3.1.4.4. A-Space.

4.3.1.4.5. jSpace.

4.3.1.4.6. eChirp.

4.3.1.5. Social networking sites, including:

4.3.1.5.1. FaceBook.

4.3.1.5.2. MySpace.

4.3.1.5.3. Twitter.

4.3.2. Official electronic records may only be maintained in electronic recordkeeping systems which:

4.3.2.1. Provide a method for declaring electronic files as records and assigning unique identifiers to each record.

4.3.2.2. Provide a method for associating records with the appropriate RDS.

4.3.2.3. Provide for the disposition of the records in accordance with the appropriate RDS, including, when necessary, the requirements for transferring permanent records to NARA.

4.3.2.4. Enable the application of a disposition hold or freeze on records subject to audits, court cases, FOIA and Privacy Act requests and appeals, or other official inquiries.

4.3.2.5. Ensure all records in the system are searchable and retrievable for the full length of the retention described in the RDS.

4.3.2.6. Prevent the unauthorized access, modification, or deletion of official records and provide audit trails to track record use.

4.3.2.7. Provide a method of access control which ensures users will only have access to records for which they have appropriate authorization and clearances.

4.3.3. DIA will ensure records maintained in ERKS are correlated with related records on paper, microform, or other media.

4.3.4. If no ERKS meeting the requirements of paragraph 4.3.2 is available, electronic records must be printed and filed in the hard copy filing system.

4.3.5. Personal electronic storage devices.

4.3.5.1. Staff will not maintain official electronic records on personal network drives, local personal computer drives, or removable media.

4.3.5.2. Official electronic records may be maintained on shared network drives which are automatically backed up on a regular basis and which meet the requirements of paragraph 4.3.2 of this Instruction. The shared network drive will be organized and labeled according to the RMPO-approved files maintenance and disposition plan (DIA form 907).

4.3.6. Electronic mail (e-mail).

4.3.6.1. Official e-mail records captured in hard copy or in an ERKS must preserve the transmission data described in Table C2.T4 of Reference (j):

4.3.6.1.1. The clear, uncoded name of the sender.

4.3.6.1.2. The names of all recipients, including courtesy copy and blind courtesy copy addressees.

4.3.6.1.3. The date and time the message was sent.

4.3.6.1.4. The date and time the message was received, if available.

4.3.6.1.5. The subject of the message.

4.3.6.2. ERKS which maintain official e-mail records must:

4.3.6.2.1. Provide for the grouping of related records into classifications according to the nature of the business purposes records serve.

4.3.6.2.2. Permit easy and timely retrieval of both individual records and files or other groupings of related records.

4.3.6.2.3. Retain the records in a usable format for their required retention period as specified in a NARA-approved RDS.

4.3.6.2.4. Be accessible by individuals who have a business need for the records in the system.

4.3.6.2.5. Preserve the transmission and receipt data as specified in paragraph 4.3.6.1 of this Instruction.

4.3.6.2.6. Permit the transfer of permanent records to NARA.

4.3.6.3. Official e-mail records sent or received in external mail systems (such as Yahoo, Comcast, MSN, etcetera) must be preserved in a DIA hard copy recordkeeping system or ERKS with all the transmission data described in paragraph 4.3.6.1 of this Instruction.

4.3.6.4. E-mail back-up systems do not meet the requirements of paragraph 4.3.2. of this Instruction and may not be used to maintain official e-mail records.

4.3.7. Information systems.

4.3.7.1. All DIA information systems containing official records must be certified as compliant with the recordkeeping requirements defined in Reference (h).

4.3.7.2. Information systems containing records must meet recordkeeping requirements by one of the following methods:

4.3.7.2.1. Integrating an application with the capabilities defined in paragraph 4.3.2 of this Instruction into the design and implementation of the information system.

4.3.7.2.2. Exporting records and their associated metadata from the information system to an existing application which has the capabilities defined in paragraph 4.3.2 of this Instruction.

4.3.7.2.3. Designing and building the capabilities defined in paragraph 4.3.2 of this Instruction directly into the information system.

4.3.7.3. Information systems designed and built for specific purposes in response to tactical or emergency situations may waive adherence to the options listed in paragraph 4.3.7.1 of this Instruction. Upon conclusion of the emergency situation, system owners must:

4.3.7.3.1. Discontinue use of the information system and export all appropriate records to a system which meets the capabilities as described in paragraph 4.3.2 of this Instruction, or

4.3.7.3.2. If the system will have recurring use in the future, implement one of the recordkeeping methods described in paragraph 4.3.7.2 of this Instruction.



SHARON A. HOUY
Chief of Staff

Enclosures - 3
E1. Additional references.

E2. Definitions.

E3. DIA master file plan

Enclosure 1.

ADDITIONAL REFERENCES

- (f) DIA Manual 100-1, "Defense Attaché System Manual for Administration," 17 March 1997
- (g) DIAM 100-2, "Field Operating Base Manual for Administration," 30 June 2000
- (h) Office of Management and Budget Circular A-130, "Management of Federal Information Resources," Revised, (Transmittal Memorandum No. 4), Appendix I
- (i) "Federal Enterprise Architecture Records Management Profile," Version 1.0, 12 December 2005
- (j) DoD Standard 5015.2, "Design Criteria Standard for Electronic Records Management Software Applications," 25 April 2007
- (k) DoD Regulation 5400.11-R, "Department of Defense Privacy Program," 8 May 2007
- (l) DIA Instruction 5400.001, "Defense Intelligence Agency Privacy Act Program," 1 August 2008
- (m) DIA Directive 3020.300, "DIA Mission Assurance Program," 20 December 2010
- (n) DIAI 5015.003, "DIA Historical Program," Change 1, 9 January 2009
- (o) DIA Records Management Training Guide, 27 January 2009
- (p) Executive Order 13526, "Classified National Security Information," 9 December 2009

Enclosure 2.

DEFINITIONS

Administrative records – Materials which document the performance of common facilitative functions which support DIA mission functions.

Archives – The National Archives and Records Administration (NARA) is responsible for the determination of permanent federal records, their preservation, and making the records available to the public.

Billet management and servicing records – Materials which document benefits and pay administration, personnel staffing, recruiting and hiring actions, position classification, personnel action processing, random and pre-employment drug testing and polygraphs, security clearance adjudication and case management, performance management, awards and appraisals, employee management relations, permanent change of station support, deployment counseling, DIA-specific training requirements, and Equal Employment Opportunity matters.

Disposition – The actions taken regarding records no longer needed for current DIA business. These actions include transfer to Federal Records Centers, transfer from one agency to another, transfer of permanent records to NARA, and disposal of temporary records.

Electronic records – Any information which is recorded in a form only a computer can process and which satisfies the definition of a record in Reference (c).

Electronic recordkeeping system (ERKS) – An electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

[Note: An ERKS may be either a distinct system designed specifically to provide recordkeeping functionality or part of another system. A distinct ERKS is a program application which provides recordkeeping functionality, data, and metadata needed for the management of records controlled by the system and any electronic records managed by the system.]

File plan – An outline which includes the file series number, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions which provide guidance for the management of records.

DIA office-level file plans are described on DIA form 907, files maintenance and disposition plan. The DIA master file plan is the comprehensive set of all DIA file series as described in Enclosure 3.

File series – A group of records arranged or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, or have some other relationship.

File series number – A number which identifies a specific file series. This number is used to provide the hierarchical structure for physical filing systems and corresponds to an RDS. The master file series numbers are top-level categories which group files series together by functional area.

Hard copy – This term has the following meanings:

Recorded information copied from a computer onto paper or other durable media, such as microfilm.

Recorded information copied from microfilm onto paper and made readable without a special device.

Information initially recorded on paper.

Inactive records – Records which are no longer used in the day-to-day course of business, but are preserved and occasionally used for legal, historical, or operational purposes.

Information system – Any telecommunications and/or computer related equipment or interconnected system or subsystems of equipment which is used in the acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of voice and/or data (digital or analog); includes software, firmware, and hardware.

Office of record – The office with responsibility for maintaining the official copy of a record and for implementing its final disposition (destruction or transfer to NARA).

Non-record materials – DIA-owned documentary materials excluded from the legal definition of records or not meeting the requirements of that definition. Includes extra copies of documents kept only for convenience or reference, stocks of publications and of processed documents, and library or museum materials intended solely for reference or exhibition.

Operational or mission records – Materials which document the unique mission functions for which a directorate or special office is the office of record.

Records management – The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of federal policies and transactions and effective and economical management of DIA operations.

Record – 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 United States Government under Federal law or in connection with the transaction, of public business and preserved or appropriate for preservation by the 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 of data in them. (44

USC 3301).

Permanent record – Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal government beyond the time they are needed by DIA for mission, administrative, legal, or fiscal purposes.

Temporary record – Records approved by NARA for disposal, either immediately or after a specified retention period.

Records disposition schedule (RDS) – A NARA-approved policy which provides the legal authority for the final disposition of records. The two types are:

General records schedule (GRS) – Common schedules for use by all agencies.

Agency records schedules (ARS) – Schedules specific to an individual agency's records.

Retention period – The length of time records are to be kept by DIA.

Retirement – The transfer of records to offsite storage facilities.

Unscheduled records – Records whose final disposition has not been approved by NARA.

Vital records – Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the legal and financial rights of the organization and of the individuals directly affected by its activities.

Enclosure 3.

DIA MASTER FILE PLAN

The Defense Intelligence Agency (DIA) master file plan outlines the file series and file series numbers used to provide the organizational structure for all records maintained by DIA. The office-level files maintenance and disposition plans developed by the file custodians are derived from this comprehensive plan.

Master file plan top-level file series and numbers

File Series	Title
100	Office Administration
200	Agency Direction and Management, General Counsel, Inspector General, and Historian Records
300	Resources and Financial Management
400	Personnel and Training
500	Communication Records
600	Security
700	Records and Information Management
800	Logistics and Engineering
900	Defense Attaché System (Headquarters)
1000	Intelligence Program Development and Management (Production)
1100	Intelligence Collection Management
1200	Intelligence and External Affairs
1300	National Defense Intelligence College
1400	Databases and Electronic Systems
1500	Contracting
1600	Missile and Space Intelligence Center

DIA records disposition schedules (RDS) are incorporated as sub-categories under the top-level file plan series numbers (100, 200, 300, etcetera). RDSs are identified by sequential numbers within the series number. Linking the file plan series to the RDSs helps users apply the appropriate dispositions to their records. File series sub-category numbers marked "PA" contain personally identifiable information which is protected by the Privacy Act.

Note: DIA RDSs are undergoing a comprehensive review and are subject to change. Please check with the Records Management Program Office before disposing of any records to ensure the most current retention rules are being applied.