



## DCMA Manual 4501-04, Volume 1: Records and Information Management Program

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<b>Office of Primary Responsibility</b>	Corporate Governance Capability
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**Purpose:** This Manual is comprised of two volumes, DCMA Manual 4501-04, Volume 1, "Records and Information Management Program," and Volume 2, "Records Retention Schedule." The purpose of this volume is to implement policy, assign responsibilities, and provide procedures for the lifecycle management of DCMA records in all media formats in accordance with DoD Directive 5105.64, "Defense Contract Management Agency (DCMA)," DoD Instruction 5015.02, "DoD Records Management Program," DoD 5015.02-STD, "Electronic Records Management Software Application Design Criteria Standards," and DCMA Instruction 4501, "Administration," Paragraph 1.2.d.

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## SECTION 1: GENERAL ISSUANCE INFORMATION

### 1.1. APPLICABILITY.

This Manual applies to all DCMA activities unless higher-level regulations, policy, guidance, or agreements take precedence.

### 1.2. POLICY.

It is DCMA policy that:

a. Records, regardless of media or security classification, are created, maintained, used, dispositioned, and preserved to document business transactions and mission execution during periods of both war and peace. DCMA components will properly manage all records in accordance with (IAW) Chapter XII, Subchapter B of Title 36, Code of Federal Regulations (CFR) and Chapters 21, 29, 31, and 33 of Title 44, United States Code (U.S.C.).

b. Records will be maintained IAW guidance issued by the National Archives and Records Administration (NARA), the Office of Management and Budget (OMB) NARA Memorandum M-19-21, "Transition to Electronic Records," OMB Circular A-130, "Managing Information as a Strategic Resource," the Federal Acquisition Regulation (FAR), and the Defense Federal Acquisition Regulation Supplement (DFARS).

c. The electronic Document Records Management System (eDRMS) is the Agency's system of record for all administrative support records and contract administration service (CAS) records that do not exist in any other electronic information systems (EIS), e.g., Wide Area Workflow. Use of any other system of record must be captured on either DCMA Form (DCMAF) 4501-04, "Records File Plan," or DCMAF 4501-04-03, "Electronic Information System Appraisal," (link to form located on the Resource Page of this Manual).

d. Essential records will be identified, protected, and managed to support continuity of operations and protects parties' rights and interests.

e. All records, temporary and permanent, will be managed electronically to the fullest extent possible.

f. IAW the DoD Chief Information Officer Memorandum, "Defense Information Enterprise Architecture," December 1, 2005, and NARA Federal Enterprise Architecture Records Management Profile, sound records management principles must be incorporated into DCMA processes.

(1) Records management requirements, issues, and solutions must be identified and linked to their implementing technologies and business processes IAW DoD Instruction (DoDI) 5015.02.

(2) Records management requirements will be integrated into DCMA Component information technology (IT) governance processes for portfolio management, risk management, capital planning, enterprise architecture, business process design, and system development.

g. All DCMA records, paper (analog) or electronic, regardless of security classification, will be dispositioned IAW DCMA Manual (DCMA-MAN) 4501-04, Volume 2, “Records Retention Schedule,” (hereafter referred to as the “DCMA Records Retention Schedule”). The DCMA Records Retention Schedule is a formal issuance that lists the types of records an organization or enterprise creates and mandates how long they will be retained according to legal, regulatory, and business requirements.

h. DCMA records that contain information or intellectual capital (e.g., intangible assets such as knowledge, network, brands, and trademarks) will be managed as Agency assets.

i. Records created, sent, or received using electronic messaging accounts must be managed electronically, including the capability to identify, retrieve, and retain records for their applicable retention periods.

j. Records with unstructured data, other than electronic messages, must be managed in a records management solution that is IAW DoD 5015.02-STD or NARA Bulletin 2012-02, “Guidance on Managing Content on Shared Drives,” as applicable. This includes records created using any electronic applications.

k. Where data is shared or transferred to another Federal agency, metadata, standards, or mediation will be used IAW DoDI 8320.02, “Sharing Data, Information, and Information Technology (IT) Services in the Department of Defense.”

l. Records and non-record materials (see definitions located in the Glossary), excluding personal files, are government-owned and cannot be copied or removed from government custody or destroyed, except as authorized IAW DoD 5015.02-STD, Title 44, U.S.C., and DCMA Component guidance. This applies to electronic messages used to conduct DCMA business because electronic messages include record and/or non-record material and cannot be copied, transferred, or removed as personal files. Non-record materials will be destroyed when no longer needed for business at the discretion of the DCMA Component.

m. Non-official electronic messaging accounts (e.g., Gmail, Yahoo, and Hotmail) with very few exceptions, must not be used to conduct official DCMA business IAW DoDI 8170.01, “Online Information Management and Electronic Messaging.” If a DCMA employee uses a non-official electronic messaging account, then the employee must copy the message to an official electronic messaging account when the record is first transmitted or forward a complete copy of the record to an official electronic message account within 20 calendar days of the record's original creation or transmission.

n. This Manual will be executed in a safe, efficient, effective and ethical manner.

### **1.3. INTERNAL CONTROLS.**

Internal controls facilitate better performance by increasing effectiveness and efficiency of operations including use of Agency resources, reducing risk of asset loss, and helping ensure compliance with laws and regulations. The internal controls for the Records and Information Management (RIM) Program will be managed IAW DCMA-MAN 4301-11, Volume 1, “Management Controls: Manager’s Internal Control Program.” The internal controls include:

- a. Monitoring annual records management training through DCMA Talent Management System completion reports (or equivalent).
- b. Conducting records management assessments every 3 years, to ensure approved Records File Plans are being executed IAW this Manual’s requirements.
- c. Preparing and submitting annual records management-related reports (i.e., Senior Agency Official for Records Management (SAORM) Report, Federal Electronic Records and Email Management Report; and Agency Records Management Self-Assessment Questionnaire) as required.
- d. Reviewing and updating DCMAF 4501-04 annually for program and administrative process changes, as required.

## **SECTION 2: RESPONSIBILITIES**

### **2.1. CHIEF OF STAFF.**

The Chief of Staff:

- a. Oversees the RIM Program.
- b. Appoints the Agency Records Officer (ARO).
- c. Ensures the appointed ARO obtains the NARA ARO Credential within 1 year of appointment IAW NARA requirements.

### **2.2. CORPORATE GOVERNANCE CAPABILITY BOARD MANAGER.**

The Corporate Governance Capability Board Manager approves or disapproves deviation or waiver requests to this Manual IAW DCMA-MAN 4501-01, “DCMA Issuances Program,” Section 17, or as authorized by law, directive, or delegated by the Director, DCMA.

### **2.3. ARO.**

The ARO:

- a. Administers the implementation, maintenance, and evaluation of the RIM Program.
- b. Implements records management controls and accountability standards.
- c. Collaborates with Components and NARA to execute the RIM Program.
- d. Monitors Agency compliance with the RIM Program and implements corrective action plans when necessary.
- e. Promotes a DoD records management community of interest by encouraging use of collaborative tools and technologies to distribute and evaluate the best practices and lessons learned in RIM.
- f. Conducts RIM training to educate employees of their records management responsibilities IAW NARA Bulletin 2017-01, “Agency Records Management Training Requirements.”
- g. Updates and maintains RIM training to ensure relevancy and makes the training available to Components for execution.
- h. Ensures all personnel complete annual records training. This includes incorporating necessary requirements into contracts to ensure records training is accomplished for contractors who create, maintain, use, and dispose of records.



- i. Notifies the Archivist of the United States of any actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, erasure, or other destruction of records. With the assistance of the Archivist, initiates action through the United States Attorney General for the recovery of records. Informs the DoD SAORM when the notification concerns permanent or long-term records, impacts more than one Component, or attracts interest or scrutiny from other agencies, Congress, or the public.
- j. Oversees the disposal of temporary records and the transfer of permanent records to NARA.
- k. Ensures Agency personnel are aware of the requirement to protect all personal data within records and health related records IAW DoDI 5400.11, “DoD Privacy Program and Civil Liberties Program,” and DoDI 6025.18, “Privacy of Individually Identifiable Health Information in DoD Health Care Programs.”
- l. Maintains accountability of records when loaned or transferred to other DoD Components or Federal agencies and accepts possession and management responsibility when the loaned records are returned to the DCMA Component.
- m. Serves as a records management subject-matter expert for electronic records management.
- n. Establishes and maintains a register of automated records management solutions and active DCMA recordkeeping systems.
- o. Establishes and maintains a register that identifies and tracks disposition activities, e.g., record freezes directed by Federal government legal counsel, litigation holds directed by cognizant judicial authority, moratoriums or other preservation order or directives from component authority.
- p. Evaluates the operation of the records management program at all organizational levels in their area of jurisdiction at least every 3 years or at any other time an assessment is needed.

#### **2.4. BUSINESS CAPABILITY FRAMEWORK BOARD MANAGERS.**

The Business Capability Framework Board Managers:

- a. Approve mission and business-related Records File Plans for all functional processes under their primary cognizance.
- b. Assign an AO to develop Records File Plans for the functional processes under the primary cognizance of their respective Capability.

#### **2.5. COMPONENT HEADS.**

Component Heads:

- a. Appoint a Records Liaison Officer (RLO) to coordinate on all records management-related matters and liaise with the ARO. If required, more than one RLO may be appointed. For smaller Components, the RLO and Records Coordinator (RC) responsibilities may be performed by the same individual. Use DCMAF 4501-04-08, “Records Management Appointment/Termination Notice,” and provide information to the ARO (link to form located on the Resource Page of this Manual).
- b. Ensure each Division appoints an RC to serve as the program office liaison to the Component RLO. Use DCMAF 4501-04-08 and provide information to the RLO.
- c. Ensure supervisors of departing/transferring Agency personnel confirm completion of the appropriate records management checklists as part of the Agency’s out-processing procedure.
- d. Ensure RLOs monitor employee completion of the DCMA Records Management Fundamental Training annually (link to training module is located on the Resource Page of this Manual).

## **2.6. EXECUTIVE DIRECTOR, INFORMATION TECHNOLOGY AND CHIEF INFORMATION OFFICER.**

In addition to the responsibilities in Paragraph 2.5., the Chief Information Officer:

- a. Ensures implementation of applicable records management policies and procedures, including requirements for archiving information maintained in electronic format, particularly in the planning, design, and operation of information systems. Moreover, the Chief Information Officer promotes the effective and efficient design and operation of all major information assets for which the Agency is responsible, including internal audits.
- b. Includes the ARO in the Capital Planning and Investment Control process for planning, acquisition, and management of capital assets.
- c. Validates that any system used for electronic records management is certified by the Joint Interoperability Test Command to meet requirements IAW DoD 5015.02-STD.
- d. Ensures all EIS that create, maintain or dispose of records have appropriate disposition schedules before deployment and implementation.
- e. Provides the ARO an annual inventory of the Agency’s EIS.
- f. Establishes a process with the Defense Information Systems Agency (DISA) to request and obtain emails of DCMA employees and organizations as prescribed for retention in the DCMA Records Retention Schedule.

## **2.7. GENERAL COUNSEL (GC).**

In addition to the responsibilities in Paragraph 2.5., GC:

a. Expects Freedom of Information Act (FOIA) and Privacy Act (PA) searches, ensures judicially mandated searches or other searches deemed necessary pertaining to legal claims, as well as orders to preserve and to maintain specific records, are coordinated with the ARO. Preservation orders apply to both record and non-record materials, such as drafts and working papers, in the organization's possession or control, regardless of media type.

b. Provides legal advice concerning Agency records policy and procedures, including records management and records retention, to ensure that DCMA complies with statutory and regulatory requirements, as well as applicable issuances.

c. Participates in the coordination of the Agency's vetting process for the disposal of temporary records and accessioning of permanent electronic records.

## **2.8. EXECUTIVE DIRECTOR, OFFICE OF INTERNAL AUDIT AND INSPECTOR GENERAL.**

In addition to the responsibilities in Paragraph 2.5., the Inspector General coordinates with the ARO regarding any recordkeeping deficiencies identified during inspections and investigations.

## **2.9. EXECUTIVE DIRECTOR, TOTAL FORCE DIRECTORATE.**

In addition to the responsibilities in Paragraphs 2.4. and 2.5., the Executive Director, Total Force:

a. Ensures new Agency staff/employees, to include senior officials, are briefed during the onboarding process about their records management responsibilities.

b. Ensures the Out-Processing and Transfers Checklist, as referenced in DCMA-MAN 4201-12, "Out-Processing and Transfers," includes a statement confirming the completion of the appropriate records management checklist(s) IAW this Manual.

## **2.10. COMPONENT RLO.**

The Component RLO:

a. Promotes the RIM Program.

b. Serves as the liaison between the ARO and RC.

c. Ensures that Agency recordkeeping requirements are implemented, maintained, and updated for all offices at all levels and for all media, including electronic and special records.

d. Ensures all Component records are maintained IAW the DCMA Records Retention Schedule that ensures records of continuing value to the Agency and/or the public are preserved and that records no longer needed for current use (i.e., inactive records) are considered for appropriate disposition.

- e. Provides administrative and technical records management assistance and guidance to Component personnel.
- f. Coordinates with RCs to implement an applicable Records File Plan, and complete and maintain DCMAF 4501-04-02, “Essential Records Inventory Worksheet,” (link to form located on the Resource Page of this Manual). Ensure updated DCMAF 4501-04-02 is coordinated with the Agency’s Continuity of Operations Manager IAW DCMA-MAN 3301-02, “Continuity of Operations and Emergency Management,” and submitted annually to the ARO, or following a modification to information.
- g. Coordinates with the RC to ensure prompt accessioning of permanent electronic records and disposal of temporary records after retention periods expire.
- h. Provides notifications of anticipated modification, replacement or appointment of an RLO and/or an RC.
- i. Provides notification of organization, name, or office symbol changes.
- j. Participates in Agency records management communications, consultations, forums, and efforts.
- k. Notifies the ARO of the unauthorized destruction, damage, alienation, or removal of official records.
- l. Coordinates on the Components’ records management activity assessments IAW internal control requirements.
- m. Coordinates with the ARO and program managers on DCMA Records Retention Schedule changes.
- n. Participates in the evaluation of current and potential Component EIS or databases to ensure that the records are retained IAW the DCMA Records Retention Schedule, PA System of Records Notice (SORN), and DoD 5015.02-STD.
- o. Participates in the Agency’s vetting process in the disposition of DCMA records.
- p. Completes Records Liaison Training within 30 working days of appointment and refresher training annually.
- q. Ensures RCs have completed RC training within 30 working days of appointment.

## **2.11. CONTRACT MANAGEMENT OFFICE (CMO)/DIRECTORATE/DIVISION RC.**

The CMO/Directorate/Division RC:

a. Provides administrative and technical records management assistance and guidance, as needed, to assist and guide staff within their respective CMO/Directorate/Division.

b. Completes, updates, and submits to the ARO the comprehensive records inventory on the DCMAF 4501-04-01, "Records Inventory Worksheet," and identifies essential records (link to form located on the Resource Page of this Manual).

c. Executes the DCMA Records Retention Schedule to ensure the proper disposition of office records, including:

(1) Cutting off files IAW a suitable category as defined in Paragraph 3.4., of the DCMA Records Retention Schedule.

(2) Maintaining only official recordkeeping files IAW DCMA Records Retention Schedule.

(3) Ensuring prompt disposal of temporary records when their retention periods expire.

(4) Ensuring prompt accessioning of permanent electronic records when their retention periods expire.

(5) Coordinating with the RLO and the ARO in periodic evaluations of the office's records.

(6) Performing routine maintenance on the contents of records folders by purging duplicates and ensuring contents are in proper filing order. This routine maintenance activity also applies to records stored on electronic media.

(7) Ensuring staff members who maintain, use, and dispose of records receive training and apply proper records management procedures.

d. Completes RC Training within 30 working days of appointment and refresher training is required annually.

## **2.12. FOIA/PA OFFICER.**

The FOIA/PA Officer:

a. Coordinates with the ARO to process active FOIA or PA requests.

b. Ensures IT System/Solution owner prepares any required new, amended, or altered PA SORN and submit them to the Defense Privacy Office for publication in the Federal Register.

c. Collaborates with the ARO when records are lost, stolen or subject to an unauthorized disclosure, including when a breach of personally identifiable information (PII) information occurs within the Agency.

### **2.13. SYSTEM PROGRAM/PROJECT MANAGERS.**

System Program/Project Managers:

- a. Identify records management as a documented requirement when developing or acquiring an IT system or solution that will create, maintain, and store Agency records.
- b. Implement migration processes within EIS for archiving.
- c. Develop disposition plans for records generated by the system IAW the guidelines in DoD 5015.02-STD.
- d. Ensure records and information contained within a decommissioned system are migrated or retained so records remain accessible throughout the entire records retention period.
- e. Design, develop, enhance, and implement record-keeping system capabilities within their IT system/solution environment that provides an efficient and coordinated records management strategy, ensuring that the capability supports records creation, storage, security, archival, and disposition as prescribed within the Agency Records Retention Schedule, file plan components, record folder components and record metadata components.
- f. Plan and budget for EIS records and metadata migration to new storage media or formats to prevent loss of data caused by media decay or technology obsolescence.
- g. Ensure that any databases storing information and related records comply with the PA and applicable SORN.
- h. Identify the essential records maintained within EIS. Coordinate with the ARO and the DCMA Continuity of Operations Plan (COOP) and Emergency Management (EM) Program Manager for assistance with essential records inventory, determining appropriate maintenance practices of essential records, and for validation and approval of the essential records inventory.

### **2.14. COOP AND EM PROGRAM MANAGER.**

The COOP and EM Program Manager:

- a. Coordinates with the ARO to ensure essential records are identified on the Records File Plan/inventory.
- b. Reviews records inventories annually to validate their currency and this Manual's requirements are being implemented.

### **2.15. IT SYSTEM/SOLUTION OWNERS.**

IT system/solution owners:

- a. Determine if information they create, receive, or manage (e.g., papers, documents produced by office automation software, web content, input, master files, output, transactions records, pictures, email) are stored and categorized appropriately, consistent with applicable statute, regulation or issuances.
- b. Implement records management capabilities into the design, development, enhancement, and implementation of EIS.
- c. Plan for EIS records and metadata migration to new storage media or formats to prevent loss of data caused by media decay or technology obsolescence.
- d. Include the ARO in the evaluation of records disposition capabilities of EIS.
- e. Complete DCMA Records Management Fundamentals Training (training module link located on the Resource Page of this Manual) annually.

## **2.16. PUBLIC AFFAIRS OFFICER.**

The DCMA Public Affairs Officer provides the ARO information about which Agency records are likely to have historical long-term or permanent value, when requested by the ARO.

## **2.17. INFORMATION SECURITY PROGRAM MANAGER.**

The Information Security Program Manager:

- a. Provides guidance to DCMA activities on applying the proper classification markings on DCMA records IAW DCMA-MAN 3301-08, "Information Security."
- b. If required, assists offices in the processing and packaging of classified records that are to be maintained at Federal Records Centers (FRC) or other approved off-site records storage facilities.

## **2.18. ACTION OFFICERS (AO).**

AOs include process owners, program managers, or issuance owners of functions specific to their Capability/Component. AOs will:

- a. Identify higher level statutes, regulations and guidance (i.e., FAR, DFARS, Financial Improvement and Audit Readiness, and DoD) with records management requirements within the processes specific to their respective Capability/Component.
- b. Determine functions under their primary cognizance and identify records corresponding to those functions from the DCMA Records Retention Schedule
- c. Develop and complete a Records File Plan from the records identified or inventoried for each mission and business-related process and forward to the Business Capability Framework Board Manager for approval.

d. Upload the approved Records File Plan to the process Manual's Resource Page.

e. Ensure the Records File Plan remains accurate and current, reviewing it at least annually and when issuances impacting records or storage locations change.

## **2.19. SUPERVISORS.**

Agency supervisors will ensure that employee records are transferred IAW with this Manual to ensure that there is no loss of continuity in records or knowledge loss to the Agency.

## **2.20. EMPLOYEES.**

Each employee will:

a. Maintain records and information created and received, regardless of media or format and including email, in the course of their day-to-day responsibilities. Ensure that each record set is complete and that enclosures or supporting papers are retained and accounted for in both paper or electronic filing systems IAW the DCMA Records Retention Schedule.

b. Safeguard all PII within records.

c. Carry out the disposition of records under their control IAW the DCMA Retention Schedule and Federal regulations.

d. Ensure non-record material such as personal files, duplicates, or publications used as reference material are maintained separately from work-related records and information and are stored IAW applicable statute, regulation or issuances.

e. Comply with applicable statute, regulation or issuance pertaining to the maintenance, storage, retrieval and disclosure of Agency records.

f. Avoid removing records from the office without proper authorization.

g. Complete DCMA Records Management Fundamentals Training annually (link to training module is located on the Resource Page of this Manual).

h. Ensure any mission or business-related records they have created and maintained on their government-issued laptop are uploaded to the required records repository before they depart from the Agency or transfer to another directorate/division within the Agency.



## **SECTION 3: MANAGEMENT OF RECORDS AND INFORMATION**

### **3.1. GENERAL.**

Effective and efficient management of records provides the information foundation for decision making, mission planning and operations, personnel and veteran services, legal inquiries, and business continuity at all levels. The benefits of a good records management program are:

- a. Organizing information for retrieval when needed.
- b. Protecting records that are essential to the Agency's critical business operations.
- c. Ensuring compliance with legal recordkeeping requirements, thereby avoiding costly fines and other penalties.

### **3.2. RECORDS MANAGEMENT REQUIREMENTS NON-COMPLIANCE.**

a. Records theft, falsification, mutilation, or concealment is a criminal violation IAW Section 2701 of Title 18, U.S.C., punishable with up to 3 years of imprisonment and a fine. Federal employees may also be subject to administrative action up to and including removal.

b. Failure to follow approved records management guidelines reduces the Agency's ability to effectively:

(1) Protect the legal and financial rights of the Government and of individuals directly affected by the Agency's activities.

(2) Preserve institutional memory to permit informed decision-making and to facilitate proper action by Agency officials and their successors.

(3) Maintain accountability required by Congress and/or other oversight Agencies.

(4) Respond to FOIA or PA requests, or other legal inquiries.

### **3.3. RECORDS ARRANGEMENT.**

Mission and business records should be located and arranged in a way that facilitates their use and disposition. Primary considerations include: making the files accessible, minimizing duplication, preserving permanent records, and systematically disposing of all other records. Factors that should be considered when arranging records are:

a. Access. Records should be accessible to those who use them so that duplicate records are unnecessary.

b. Security. Classified material maintained in security containers or secured areas must be managed IAW DCMA-MAN 3301-08. Access to classified information is restricted to those

who have a "need-to-know" IAW Section 552, 552a and Appendix 2 of Title 5, U.S.C., DoD 5230.30-M, "DoD Mandatory Declassification Review (MDR) Program," DoDI 5400.11, and Executive Order (EO) 13526, "Classified National Security Information."

c. Space. Records should be located in a space adequate for present and anticipated needs, factoring in the safety and health of office personnel. All hard copy records storage locations, regardless of size, must be climate controlled and have adequate fire protection.

d. Arrangement. Records should be positioned to provide control and convenience to the maximum number of users. Classified files and containers should be located in containers away from windows and doors to prevent illicit acquisition of or unauthorized access IAW Sections 641 and 2071 of Title 18, U.S.C.

### **3.4. RECORDS FILE PLAN.**

A Records File Plan officially documents the records accumulated and used in performing a function. DCMAF 4501-04 will be used to identify both mission support and business records.

a. The Capability AO will develop the initial Records File Plan for the functional Components to execute. The Records File Plan will provide a comprehensive system of identification, maintenance, and disposition of all record information. Each Records File Plan must identify the record series number, record series title, record series description, disposition instruction, disposition authority, format (paper or electronic), and location(s) of the records. Additional information, including naming convention, records custodian, or metadata, may be included as needed.

b. The Capability AO will review the file plan annually. Record File Plans will be updated when the information in the file plan is outdated and records series numbers, office functions, or locations change. Review and update record file plans as changes occur, i.e., IT systems, DoD requirements, DCMA instructions/manuals, record series numbers are added, changed, or deleted, office functions change. The Capability AO will also update the location information.

c. The Capability AO will forward the Records File Plan to the Business Capability Framework Board Manager for approval and implementation. The Records File Plan will be forwarded to the ARO for maintaining as an official records management program file. The ARO will maintain a record of all approved Records File Plans. The Capability AO will upload the Records File Plan on the respective Resource Page of each manual and ensure the Agency is made aware of any modifications.

d. The Capability AO will review the DCMA Records Retention Schedule periodically, but particularly upon major reorganizations or functional changes to ensure that all records are properly identified and the schedule is accurate and complete.

e. Components must ensure that records are stored IAW the approved Records File Plan and may not deviate from the file plan without approval from the ARO.

f. Each Component is responsible for uploading records to the storage locations identified in the Records File Plans, and to support Agency disposition instructions for the records.

g. The Records File Plan will be used to establish an eDRMS Records Center (see Paragraph 9.9.) for business support records.

### **3.5. MISSION SUPPORT AND BUSINESS RECORDS.**

DCMA records are managed as either Mission Support Records or Business Records.

a. Pursuant to Section 4.803(b) of the FAR, Mission Support Records document the unique and substantive functional activities performed by the Agency. Government contracting files consist of records associated with contracts the military services have delegated to DCMA for CAS and the facilities where CAS functions are performed. These records must be managed and retained IAW FAR requirements and this Manual and are stored in eDRMS.

b. Business Records document the Agency's routine administrative support activities. They are non-mission support records generally associated with functional areas such as human resources, resource management, IT, legal services that facilitate functions common to most Federal agencies. These records must be managed and retained IAW this Manual and stored in a CMO/Directorate/Division records center. Business records reside in an eDRMS records center that will be established from an approved Records File Plan.

### **3.6. BASIC FILE GROUPING.**

Records are arranged or grouped to permit effective documentation of the action, event, decision or process. Effective documentation ensures a complete account of actions taken, commitments made, and results achieved. Documentation applies to records in all media (paper, electronic, microform, audiovisual, etc.). File arrangement is the relative positioning of information in a file and allows for easy retrieval and disposal of records.

a. Subject Files. These are files arranged according to their general content or information on the same topic and are located in one place to make them accessible. Subject files consist primarily of general correspondence but may also include forms, reports and other materials that pertain to programs and functions and not to any specific cases (see "Case or Project Files" in the Glossary). Subject file provides complete documentation in the appropriate subject area. An example of subject files are office administration files that are broken down into policy, instruction, agreement, committee, staff visit, and reference subject categories.

b. Case or Project Files. A case or project file contains material on a specific action, transaction, event, person, project, or other subject. Case files may cover one or several subjects that relate to a particular case. A contract file maintained by a Component contracting office, for example, might contain proposals, bids, addenda, inspection reports, payment authorizations, correspondence, and legal papers. Alternatively, a DCMA employee would keep a case file containing copies of interim and final technical reports, memorandums, correspondence, and other documents on a contractor's performance and production of a specified deliverable.

Another example of a case file is the official employee personnel file. Case filing is the most efficient method for the maintenance of a large quantity of records.

(1) The information may consist of one or more subjects relating to a case or project and must be filed by a specific title or number.

(2) A distinguishing feature of a case or project file is the similarity of the information within the files.

(3) Information is arranged within each case file in chronological order with the most recent documentation in front, or by subject, such as statement of work, deliverables, invoices, and modifications.

(4) Case or project files are closed upon occurrence of an event or action and placed in an inactive file. Events or actions that would move a file to an inactive status include the separation of personnel, a final contract payment, or project completion.

(5) Case files may be maintained alphabetically by name, title, country, organization, or numerically to permit ease of filing and finding without resorting to special finding aids such as indexes and guide cards that are maintained separately.

c. Chronological Arrangement. These are files arranged by date when the date is the primary means of reference. This system is useful for keeping records in small, manageable groups, usually by year, month, and day. Reading and suspense files are examples of this type of arrangement.

d. Reference Files. These are also identified as “convenience files” and may include extra copies of documents that are officially stored in other locations (including books, pamphlets, and catalogs). Reference files should be reviewed periodically to retain only those that are current and of significant reference value.

e. Working Files. These are files that are considered to be in draft form and are not yet records because they do not document the policies and transactions of the Federal Government. Working files become records if:

(1) They were circulated or made available to others not involved in their creation, for official purposes such as approval, comment, action, recommendation, follow-up, or to communicate with Agency staff about Agency business.

(2) They contain unique information, such as substantive annotations or comments that add to an understanding of the Agency’s formulation and execution of basic policies, decisions, actions, or responsibilities.

f. Record Status of Copies. The determination of a document as a record does not depend upon whether it contains unique information or an original signature. Copies of the same

document and documents containing duplicative information may each have a record status depending on how they are used by the Agency to conduct business.

### **3.7. FILING ARRANGEMENTS.**

Each records series should be arranged based on the primary function by which the way the files will be accessed and used. Depending on the business or reference needs of the unit or office, files can be arranged in one or more of the following filing arrangements:

a. Numerical Arrangement. Files are identified and retrieved by a social security number, purchase order, or requisition number.

b. Chronological Arrangement. Files are identified and retrieved by date.

c. Alphabetical Arrangement. Files are identified and retrieved by name or specific geographical location.

(1) Name. Files arranged by names of persons, companies, organizations, or agencies.

(2) Geographical. Files arranged by a geographical location such as region, country, state, or county.

d. Subjective Arrangement. Files are identified and retrieved by subject and arranged alphabetically.

e. Alpha Numeric Arrangement. Files are identified and retrieved by an alphabetical numeric arrangement, such as contract files.

f. Functional Arrangement. Files are identified and retrieved by the function to which the information relates and not necessarily the subject.

### **3.8. DCMA FILE SYSTEM.**

The DCMA file system is designed to facilitate referencing and disposition by dividing and identifying records based on distinct subject series, as follows:

a. Series 100.00 – Common Office and Administrative Management Records. This series includes records common to all offices and units, such as command administration records, supervisors' personnel files, standard operating procedures (SOP), and correspondence files.

b. Series 110.00 – Physical Security, Law Enforcement, Safety and Health. This series includes records relating to activities concerning the occupational safety, security and protection of government facilities, information, and employees against workplace hazards, undo risk, sabotage, damage, theft, etc.

c. Series 120.00 – Congressional and Public Affairs, FOIA, Privacy; Ethics and Standards

of Conduct; GC Opinion and Legal Matters. This series includes records relating to liaison between DCMA and Congress, release of information to the public, participation in community relations, internal information dissemination, and agency information practices; ethics and standards of conduct; and legal matters addressed by the GC.

d. Series 130.00 – Human Resources and Pay Administration. This series includes records relating to pay and leave administration, employee professional development, staffing, equal employment opportunities, and employee medical and personnel information.

e. Series 140.00 – Electronic Systems Development and Implementation of New Systems. This series includes records relating to development and implementation of EIS, telecommunications systems, websites, and portals.

f. Series 150.00 – Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records. This series includes records relating to audiovisual, cartographic, aerial photographic, architectural, and engineering information.

g. Series 160.00 – Property, Housing, Facility and Vehicle Management, Travel and Transportation Records. This series includes records relating to activities involving the maintenance and disposal of property, building, housing facilities, motor vehicles and aircraft maintenance; documenting the movement of goods and persons.

h. Series 170.00 – Finance. This series includes records relating to financial management plans, accounting, disbursements, business acquisitions and contract administration, funds collection, audits, and cost accounting.

i. Series 180.00 – Budgeting Records. This series includes records relating to spending priorities, future needs forecasts, budget formulation and execution, appropriations, and funding.

j. Series 400.00 – DCMA Corporate Operations and Core Mission Programs Management Planning and Oversight, excluding CAS and Other Activities. This series includes records relating to DCMA management and executive direction.

k. Series 800.00 – Contract Administration Services. This series includes records relating to mission support CAS functions as listed in FAR part 42.302(a) and DFARS part 242.302(a). These records document the comprehensive CAS process IAW FAR 4.803(b); including but not limited to: evaluation and negotiation, cost/price and financial analysis, production surveillance, property management; transportation and packaging, competition advocacy.

### **3.9. DCMA FUNCTIONAL FILE SYSTEM.**

The DCMA functional file system is based on the concept that mission or business records documenting the performance of each of its functions are properly maintained. The functional file system adheres to the principle that identification or coding of records, papers,

correspondence and communications is intermingled with the function the file system memorializes or captures.

a. When selecting a file number, the functional series that represents the subject matter and the specific subdivision must be determined with care, considering:

- (1) The administrative, legal, and research value of the records;
- (2) The relationship of the records to DCMA;
- (3) The usefulness of the records as archival documents; and
- (4) The costs of maintaining the records in the designated file system.

b. The correct record series designation should be selected by referring to the series number and title descriptions listed in Paragraph 3.8.

## SECTION 4: APPLICABILITY

### 4.1. GENERAL.

The DCMA Records Retention Schedule:

a. Applies to all records and information, regardless of media, to include email. It does not include non-record materials such as publications, blank forms, personal papers, books in formally organized and officially designated libraries, and reproduction material.

b. Uses the “big bucket” concept, which is a large aggregated schedule consisting of items covering multiple series and/or records in electronic systems that relate to the same subject matter, business function, or work process. The big bucket schedule items are typically broader in regard to the number of series/systems and the scope of subject matter, function, or work process covered. It is set up functionally and does not necessarily follow an organizational relationship.

### 4.2. FUNCTIONAL AREA NUMBERING SYSTEM.

As previously described in Paragraph 3.8., the major file series with their numerical designations are shown in Table 1-1.

**Table 1-1. File Records Series.**

Series #	Title
100.00	Common Office and Administration Management Records
110.00	Physical Security, Law Enforcement, Safety and Health
120.00	Congressional and Public Affairs, FOIA, Privacy; Ethics and Standards of Conduct; General Counsel Opinion and Legal Services
130.00	Human Resources and Pay Administration
140.00	Electronic Systems Development and Implementation of New Systems
150.00	Routine Audiovisual, Cartographic, Aerial Photographic, Architectural, and Engineering Records
160.00	Property, Housing, Facility and Vehicle Management, Travel and Transportation Records
170.00	Finance
180.00	Budgeting Records
400.00	DCMA Corporate Operations and Core Mission Program Management Planning and Oversight, excluding CAS and other Activities
800.00	Contract Administration Service

a. A period is used before designating the file number; a two-digit number is always used to designate a file number as shown in Table 1-2.



**Table 1-2. Major Series Breakdown (Example).**

Series #	Title
170.03	Real Property Acquisitions
400.07	DCMA Policy, Instruction, Guidance or Regulation; Organization, Mission and Functions Manual
800.01	Contract Administration Services – Contract Development/Pre-Award Assistance

b. A letter after the file number further describes information pertaining to the record as shown in Table 1-3.

**Table 1-3. File Number Breakdown (Example).**

Series #	Title
130.00	Human Resources and Pay Administration
130.01	Human Resources and Pay Administration – General Records
130.01a	Records maintained by office of primary responsibility
130.01b	Other office's records

c. Series and categories are functional breakdowns and not files. Files contain a description of the applicable records and a disposition. Some files identify a specific function; “buckets,” identify all records relating to a work process, a group of related work processes or a broad program area to which the same length of retention is applied.

#### **4.3. ANALOG FILE CONTROLS.**

The management of information depends upon establishing continuous and systematic control over the creation, maintenance and use, and disposition of Agency records and information IAW statutory and regulatory requirements. Analog records management requires:

- a. Proper filing, guide cards, sign-out/sign-in logs, and other methods to maintain accountability and orderliness.
- b. Labeled file folders with all information necessary to identify their contents.
- c. Documentation that accounts for actions taken, commitments made, and results achieved.

#### **4.4. FILES CUTOFF PROCEDURES.**

a. Cutoff is the point when active files are no longer needed for current business operations and moved to an inactive status. This is expressed on an analog file folder label as “Cutoff Dec 31, 2001,” followed by the disposition date. After the files cutoff date, no new documents may be added to the file and it is retained for reference only until its disposition date. To prevent filing errors, inactive files should be stored separately from active files.

b. All Components will cutoff analog and electronic files when appropriate and will separate active from inactive files. Components will also accession permanent records to NARA, destroy temporary records pursuant to disposition instructions set forth in the DCMA Retention Schedule or review and destroy all non-record material as necessary. As required, the record owner, RLO, or RC will determine which cutoff category is applicable based on their understanding of how information is organized within the project, activity or mission. Cutoff categories are provided in Table 1-4:

**Table 1-4. Cutoff Categories.**

<b>Cutoff Category</b>	<b>Event</b>	<b>Description</b>
A	When record is superseded or obsolete.	Applies to publications, issuances or like documents.
B	When project or event has ended, after final payment or final action, after settlement or disputes/incidents, court order is lifted, or litigation concluded, whichever is applicable.	Applies to activities whose records are organized or grouped and maintained by a given task, job, assignment, agreement or situation and has clearly defined start and end dates.
C	When employee transfers, separates or retires from Federal service or where applicable, an employee or dependent spouse's eligibility is terminated or denied.	Applies to certain Human Resource records.
D	After the period covered by the account has passed, a certificate of settlement has been received, when the period for claims for which DCMA has right to collect has ended, or when DCMA determines collection is no longer required or terminated, whichever is later.	Applies to certain Accounting records.
E	Annually.	Applies to records with a retention schedule which is not based upon a significant event, such as the release of a new issuance, the completion of a task, the separation of personnel or the settlement of a dispute.
F	Fiscal Year.	Applies every year on the first day of October.

#### 4.5. PREPARING AND USING GUIDE CARDS, FILE FOLDERS, AND LABELS.

a. Guide Cards (Analog). Prepare and use guide cards to identify each record series or to identify and support portions of the series. Additionally, create standard labels that display the record series number, title, description, and disposition instruction. Furthermore, attach the standard label to the guide card tab. Ensure that the file guides are not retired or discarded when files are disposed, as those guide cards can be reused.

b. File Folders (Analog). Follow or implement standardized Component file naming conventions whenever possible or type information required to identify the information or folder contents on standard labels, positioning them on the folders. When the material in any one folder reaches normal capacity of approximately three-fourths of an inch in thickness, prepare a new file. Begin the second folder at a logical point, such as the beginning of a month or a calendar quarter. Place folders behind related guides.

##### (1) File Naming Convention Considerations (Analog and Electronic).

(a) Camel case is the practice of writing phrases without spaces or punctuation, indicating the separation of words with a single capitalized letter, and the first word starting with either case (e.g., Camelcase, iPhone, JavaScript, eBay).

(b) “UpperCamelCase” the first letter of the word is upper case, allowing it to be easily distinguished (e.g., ProjectCaseFile).

(c) “lowerCamelCase” the first letter of the word is lower case.

##### (2) File Naming Convention Guidelines.

(a) Use capital letters to delimit words, not spaces.

(b) Keep file and folder names short, but meaningful (e.g., correct: 2015GlobalMarketShare; incorrect: The\_2015\_Staffing\_and\_Talent\_Engagement\_Global\_market\_share\_report).

(c) If using a date in the file name always state the date ‘back to front’ and in this format: YYYY or YYYYMM or YYYYMMDD (e.g., correct: 20150201Agenda or 201502Agenda or 2015Agenda; incorrect: 1Feb2015Agenda).

(d) Order the elements in a file name in the most appropriate way to retrieve the record (e.g., correct: Cttee20140630Agenda; incorrect: CtteeAgenda30March2014).

(e) When including a number in a file name, always give it as a two-digit number rather than one (e.g., correct: OfficeProceduresV02; incorrect: OfficeProceduresV2).

(f) Where a version number is applicable, it will always appear in the file name of the record so that the most recent version can be easily identified and retrieved (e.g., correct:

2014RPOInsightV03draft; incorrect: RPO\_Insight\_2 March\_2014).

(g) Do not use initials, abbreviations and codes that are not commonly understood.

(h) Avoid unnecessary repetition and redundancy in file names and file paths.

(3) Additional Electronic Records File Naming Convention Considerations. DCMA's authorized collaboration tool manages the locations by Uniform Resource Locator (URL), not by file system locations. As a result, the URL of the collaboration tool has a 255 character space limitation. Exceeding this character limit can result in the collaboration tool experiencing degradation in functionality and other errors.

(a) Exclude all special characters, including spatial, from naming conventions because URLs use three characters to represent special characters in the collaboration tool. In addition, users may encounter difficulties searching for or opening files when saving files containing special characters. Special characters are those other than A-Z and 0-9.

(b) Exclude spaces because URLs use three characters to represent spaces.

c. Labels.

(1) Preparation of Labels. Label all analog file folders and binders IAW Paragraphs 4.4.a., and 4.5.a. through 4.5.b. of this Manual. Subtitles and commonly accepted abbreviations may be used.

(2) Labels for Electronic Media. Type identifying information on standard labels, positioning them on the media (e.g., diskettes, compact disks (CD), digital video disks (DVD), external hard drives). Labels will contain record series number, title, description, date, or creator, office name, type of record or name of office (if applicable), security classification (if applicable), software version, and file extension. All files must have a standardized naming convention and date format IAW Paragraph 4.5.b.(2) of this Manual. In addition to the requirements in sub-Paragraphs 4.5.c.(2)(a) and (b), media files must be included in the American Standard Code for Information Interchange text format.

(a) A readme.txt file which contains the creators name, agency, and specific information on the diskettes, CDs, or DVDs. Example: Information was prepared by John Doe, Agency XYZ. Information herein contains the Audit Reports for the first quarter of 2002.

(b) Create a directory for CDs, DVDs, and external hard drives only if they contain various types of information. The directory must contain the number of diskettes, CDs, or DVDs (if more than one is required) and the type of information contained in the directory. For example, the type of information in the directory may include audit reports, background information, DoD Inspector General response or Government Accountability Office inquiries.

#### **4.6. USE OF CROSS REFERENCE FORM.**

For analog file folders, a DCMAF 4501-04-04, “Cross Reference Form,” is a means of documenting the existence of related information located in a different section of the filing system (link to form located on the Resource Page of this Manual).

- a. Use one DCMAF 4501-04-04 per record series.
- b. Identify the location where the continuation of records related to a record series is filed.
- c. File DCMAF 4501-04-04 immediately after the last folder of an applicable filing drawer.

#### **4.7. USE OF CHARGE OUT CARD.**

For analog file folders, a DCMAF 4501-04-05, “Charge Out Card,” is a means of documenting and monitoring the removal of folders from the filing system (link to form located on the Resource Page of this Manual).

- a. Borrowers check out folders, never individual documents.
- b. Use one DCMAF 4501-04-05 per folder.
- c. Complete user and folder information.
- d. Remove the folder and replace it with DCMAF 4501-04-05.
- e. When returning, ensure that the material is complete.
- f. Enter the date of return on the DCMAF 4501-04-05.
- g. Remove DCMAF 4501-04-05 and replace it with the folder.

#### **4.8. HOW TO LABEL FILE CABINETS AND DRAWERS.**

Use standard labels to label file cabinets and drawers with a numerical value to facilitate retrieval, (e.g., Cabinet #1, Cabinet #3, Drawer #2) and use discretion to prevent revealing the classifications of material stored therein.

#### **4.9. CONTROLLED UNCLASSIFIED INFORMATION (CUI) AND MARKING RECORDS.**

CUI is a control marking for unclassified information the Government creates or possesses (or that an entity creates or possesses for or on behalf of the Government) that a law, regulation or Government-wide policy requires or permits an agency to handle using safeguarding or dissemination controls IAW DCMA-MAN 3301-08.

- a. DCMA records containing CUI, regardless of media, must be controlled and properly marked before physically or electronically storing IAW DCMA-MAN 3301-08. Coordinate with the DCMA Information Security Officer for additional assistance.
- b. For a comprehensive list of CUI categories, refer to DCMA-MAN 3301-08.
- c. Owners of approved storage locations, whether physical or electronic, are responsible for enforcing their respective access restriction policies.

## **SECTION 5: RECORDS AND INFORMATION MANAGEMENT PROCEDURES**

### **5.1. GENERAL.**

All DCMA employees will properly manage Agency records as follows:

a. Prepare information for filing when all actions are completed, when record information is self-identifying, when required by a business process, Federal statute, regulation or issuance or when an authorized official has requested that documentation be maintained.

b. Ensure that each record set is complete and that enclosures or related papers, to include email, are retained or accounted for in both analog and electronic filing systems.

c. Remove or destroy identical or duplicate copies of information before filing. Ensure that duplicate copies of such records retained for convenience are identified as such and any duplicates or versions of records retained in computers that are no longer needed for reference are deleted IAW the DCMA Records Retention Schedule.

d. Remove all mail control forms, transitory email, classified cover sheets, envelopes, and routing slips, except those containing remarks or information of significant record value.

e. Mend or reinforce torn or frayed temporary papers with transparent tape. Do not tape nor attempt to mend permanent documents. (Upon retirement, torn or frayed permanent documents will be supported as well as possible in new file folders. NARA personnel will mend such documents using methods and materials designed to ensure their preservation.)

f. Assemble related documents for filing.

(1) The latest action on top by date or subject.

(2) The completed package or final document.

(3) Enclosures in numerical order.

(4) Supporting papers to include email (return/read receipts), background documents, and substantive drafts.

g. Bring forward documents needed to conduct current business or still pending action; combine documents of a later date that relate or refer to documents of an earlier date only when reference to them is necessary. A reference to an earlier document does not necessarily require that documents be combined. Do not combine:

(1) Recurring reports with the policy documents requiring such reports.

(2) Applications with the instructions governing their submission.

(3) Documents on the same subject on different transactions, such as reports of inspection of two different organizations.

h. Use DCMAF 4501-04-04 for analog documents brought forward to maintain continuity.

i. Use DCMAF 4501-04-05 to account for the temporary removal of analog file folders from a filing system.

j. File papers loosely in the proper folder according to a filing arrangement that meets the office business needs. Use pronged fasteners when the files are frequently used, when sequence of arrangement is of special importance, and when all documents pertain to the same transaction case or project.

k. Keep analog folder labels visible by neatly arranging papers in the folders and do not allow the contents of the folder to obscure folder labels. When contents of the folder reach three-fourths of an inch, make a new folder bearing the same file designation and place it in front of the full folder, showing inclusive dates on the folders.

l. Prevent overcrowding analog files by allowing at least 4 inches of space in each active file drawer to permit sufficient working space.

m. Avoid cluttering analog files. File bulky material separately in storage equipment suited to its size. Maintain this material in file classification, date, or serial number order. Make a cross reference to the bulky material and annotate in a conspicuous location or with the filed papers. Mark the bulky material with storage location and file number to associate it with related information kept in the primary location.

n. Ensure that all action in a file is completed before cutting off the record and applying the disposition instructions.

o. Ensure that all analog and electronic record files are complete, identified, and maintained IAW this Manual and DoD requirements. Do not separate case files or project files and ensure the origins of the records are preserved.

## **5.2. ASSESSMENTS.**

For the records management program to be effective, regular assessments of the program are necessary.

a. The RIM Program will be evaluated at all organizational levels at least every 3 years or at any other time an assessment is needed.

b. The completed assessment will be via memorandum advising the appropriate Component/Directorate/Division of the findings. The memorandum will include:

(1) A brief summary of the findings and recommendations.



- (2) A copy of the records assessment.
- (3) If appropriate, an estimate of the cost savings that would result from implementing the recommendations. For example, savings from:
  - (a) Automating certain record series;
  - (b) Identifying records whose retirement or disposal dates have lapsed (cite volume of records);
  - (c) Identifying excess filing equipment; or
  - (d) Any other recommendation or improvement that would save resources.
- (4) A timeline for corrective actions or improvements to be completed, if required.

## SECTION 6: DISPOSITION PROCEDURES

### 6.1. GENERAL.

a. There are three records disposition categories: temporary, permanent, and unscheduled (see Glossary). Many temporary documents are important although they have no historical value (see Glossary). The evaluation process (also called scheduling) is participative and includes the document creator and recipient, RLO, ARO, and NARA appraisers.

b. The RIM Program is designed to preserve records of continuing value, to systematically eliminate all other records and to remove less active records to lower cost of storage space. This ensures preservation of permanent records and reduces the cost and effort of recordkeeping. To achieve these objectives, standard procedures have been established for the disposition of all DCMA records.

(1) Disposition Standards. The ARO will review recommendations for new or revised files disposition procedures or standards and make recommendations for final approval to the NARA. Disposition changes to the DCMA Records Retention Schedule will be submitted by the ARO.

(2) Source of Retention Periods. Retention periods for categories of DCMA records are published in and IAW DCMA-MAN 4501-04, Volume 2. Retention periods cited therein have been established IAW records management regulations approved by the Archivist of the United States either upon specific application or through the General Records Schedule (GRS). Submit recommendations for changes to retention periods and disposition procedures to the ARO for approval. Records that do not have a NARA approved disposition are considered unscheduled records and cannot, by statute, be destroyed or deleted.

(a) GRS. The GRS provides mandatory disposal authorization for temporary business support records common to most Federal agencies of U.S. Government. They are issued by the Archivist of the United States. The GRS includes records relating to civilian personnel, fiscal accounting, procurement, communications, and other common functions.

(b) DCMA Records Retention Schedule. The DCMA Records Retention Schedule are Agency specific records authorizations. It is mandatory for use Agency-wide. The DCMA Records Retention Schedule can be found on the Resource Page of this Manual. This schedule is revised and changed as needed. Such actions will be announced to RLOs and RCs for awareness and implementation.

## **6.2. CHANGES TO RETENTION PERIODS.**

Retention periods are changed as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. Changes to the retention periods are submitted to the Archivist of the United States for approval using Standard Form (SF) 115, “Request for Records Disposition Authority,” (link to form located on the Resource Page of this Manual). These general rules apply when changing the retention of a record once it has been approved by the Archivist:

a. **Increased Retention Period.** If the change increases the retention period, the new retention period will be applied to all categories of files concerned, regardless of where they are maintained or when they were created. Those inactive and cutoff files affected by the change will be brought under the new retention period.

b. **Reduced Retention Period.** If the change reduces the retention period, such period will be applied retroactively, unless it is impractical or uneconomical. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on an individual basis, it would normally be more economical to retain the files for the longer period than to attempt to apply the change.

c. **Conversion of Analog Records to Electronic or Other Media.** Record information, previously created and maintained in analog format and converted to or created in information systems, will have to be re-evaluated to ensure that new records have not resulted due to the nature of the software or media. For example, a system has the capability to create an index or document information not previously captured or created in the paper-based system. Permanent paper records or unscheduled records scanned or microfilmed cannot be destroyed without NARA’s approval.

## **6.3. RECORD FREEZES, PRESERVATION ORDERS, OR MORATORIUMS.**

The destruction of the effected record information is suspended until the record freeze, preservation order, or moratorium is lifted.

a. The requirement to suspend the retention period is court- or Agency-imposed, and all effected record information is retained until all litigation or disputes are resolved.

b. Notification of record freezes, preservation orders, or moratoriums are provided to the ARO from the Department of Justice, the DoD GC, the DCMA GC or other duly authorized Federal government activities.

c. Record freezes or moratoriums are usually accompanied by a records search for all applicable information. Records searches must be coordinated with the ARO and DCMA GC, and the ARO will notify the impacted RLOs and RCs and NARA of the requested search and records freeze, as applicable.

d. Each Component is responsible for notifying its subordinate activities that a freeze exists or has been lifted.

e. The ARO will post a register listing current and expired record freezes, litigation holds, and preservation orders .

#### **6.4. UNSCHEDULED RECORDS.**

Records that are not identified in the GRS or cannot be filed under any record series number in the DCMA Records Retention Schedule will be brought to the attention of the ARO for scheduling (SF 115 process). Unscheduled records will be maintained in the current files area and treated as permanent records until disposition instructions have been approved by NARA.

#### **6.5. DISPOSITION INSTRUCTIONS.**

The DCMA Records Retention Schedule provides the overall retention period for the files involved (for example, destroy after 2 years, destroy after 10 years, or retire 3 years after cutoff). The disposition period begins at the date the file is cutoff or closed, unless otherwise indicated. Examples of specific instructions containing exceptions to the general time periods and events are: “destroy when registrant becomes 36 years of age,” “withdraw and destroy on departure of the individual,” “destroy when superseded,” “destroy after next survey.”

#### **6.6. DISPOSITION VETTING PROCESS.**

a. Electronic records that are located in eDRMS will be dispositioned automatically based on metadata captured in the EIS. The EIS will store records until the end of the records retention period IAW DCMA-MAN 4501-04, Volume 2. Records under a records freeze, litigation hold, or preservation order will be retained until the freeze/hold/preservation order is lifted.

b. When reviewing the records for preservation, Component RLOs and RCs will, at a minimum, look for those that:

- (1) Pertain to Agency organization, budgetary resourcing or related functions;
- (2) Are formal minutes of boards or commissions;
- (3) Contain legal opinions or comments on legislation;
- (4) Serve as formal policy issuances or operating manuals;
- (5) Outline analytical research studies or required periodic reports of Agency operations; or
- (6) Concern contract fraud, integrity, or related disputes that involve current or reasonably foreseeable litigation.

c. The Records Disposition Panel (RDP), comprised of DCMA GC, FOIA and the ARO, makes the determination on records requiring disposition concurrence:

- (1) Mission Support Records (e.g., CAS functions, both pre- and post-award);
- (2) Personnel (e.g., hiring, performance, pay, attendance, discipline);
- (3) Budget/finance (e.g., resourcing, obligating, accounting); and

(4) Those that meet the preservation criteria listed in DCMA-MAN 4501-04, Volume 2, because the records have sufficient historical or other value that warrants continued preservation beyond the time they are needed for administrative, legal or fiscal purposes.

d. After identifying the records that should be preserved, the Component RLOs and RCs will submit the information to the RDP. The RDP will review and further examine the records and either concur or nonconcur with each record's proposed preservation. Within 30 working days of receipt, the RDP will notify the Component of its decisions.

## **6.7. DISPOSITION REQUIREMENTS.**

Components and IT System/Solution Owners will adhere to the following requirements in the disposition of records:

a. Terminate files when their status changes, are withdrawn from their active file location, and placed in an analog or electronic inactive file repository. In the case of large analog volumes, termination may occur simply by no longer adding records to the files. This occurs at the end of each record's retention period. Terminated and inactive cutoff files are dispositioned in the same manner.

b. Start new file folders for the new calendar or fiscal year and place the old folder in the inactive files.

## **6.8. TRANSFER OF FILES.**

a. Components may transfer files only when functions are also transferred. The order directing the function transfer must include provisions for files transfer.

b. Transfer to other government agencies.

(1) Transfer to NARA. Components will transfer all permanent files to the National Archives at periodic intervals so that they may be incorporated into the permanent archives of the U.S. Government. This is accomplished using an SF 258, "Agreement to Transfer Records to the National Archives," (link to form located on the Resource Page of this Manual). Components will provide the unsigned form with a completed box list to the ARO for submission to NARA's Electronic Records Archive (ERA). The ARO arranges for the transfer of the files and the establishment of procedures for their use.

(2) Transfer to Other Agencies. NARA regulations prohibit the transfer of files from one government agency to another without prior approval of the Archivist of the United States, except when:

(a) Records are transferred to a NARA FRC.

(b) The transfer of records or functions, or both, is required by statute, EO, Presidential reorganization plan, specific instructions in the DCMA Records Retention Schedule, or by a specific ruling or agreement.

(c) Authority to transfer DCMA records to another government agency has been obtained from the ARO. Recommendations for transfer submitted to the ARO will include a concise description of the files to be transferred, an estimate of the volume in linear feet, name and location of the agency to which the files are to be transferred, and the reasons for the transfer.

## **6.9. DISPOSITION OF FILES AND CHANGES OF STATUS.**

a. Transfer of Functions. When a function is transferred from one DoD Component or DCMA Component to another, the records in the current filing area relating to the transferred function will be transferred to the gaining Component and maintained in a manner that preserves their administrative origin. A completed SF 135, "Records and Transmittal Receipt," (link to the form located on the Resource Page of this Manual) should accompany the transferred files sent to the gaining Component RLO as well as eligible inactive files retired to the FRC. A copy of the SF 135 should also be provided to the ARO.

b. Re-designation or Reorganization. If re-designation or reorganization occurs without any transfer of function, files will be maintained without any change.

c. Discontinuance of a DCMA Component. If a DCMA Component is discontinued without any transfer of functions, files not authorized for immediate disposal will be retired to the designated FRC through the ARO.

## **6.10. DAMAGE, ALIENATION, AND UNAUTHORIZED DESTRUCTION OF RECORDS.**

Each DCMA Component is responsible for preventing the loss of Federal records.

a. Records destroyed or damaged due to accidental or unauthorized loss or destruction, such as fire or water, are to be reconstructed by the office of record, which also notifies the ARO of the loss or destruction. Records can be reconstructed from information retained in other file series, non-record materials, or computers. Efforts to reconstruct and cross-reference materials that aided in the reconstruction should be documented. The SF 135 accompanying the retired files should include any information that could not be reconstructed.

b. Federal records may not be removed from the legal or physical custody of DCMA or destroyed without regard to the provisions listed in Paragraphs 6.5., and 6.6., of this Manual.

c. The willful and unlawful destruction, damage or alienation of Federal records can result in a monetary fine, imprisonment, or both, pursuant to Section 2701 of Title 18, U.S.C., and Part 1230 of Title 36, CFR.

## **6.11. RECORD SEARCHES AND PRESERVATION ORDERS.**

a. Except for PA or FOIA searches, record searches and orders to preserve records must be coordinated with the ARO.

(1) It is essential that search and preservation taskings be coordinated with all stakeholders prior to issuing document search, retrieval, or collection instructions. Failure to do so can result in data loss in contravention of the preservation order.

(2) Preservation orders are not limited to information that constitutes the legal definition of a record, but may include drafts, working papers, and non-record materials, regardless of media, and electronic data in the Component's possession or control.

(3) Each DCMA Component is responsible for conducting the search and implementing the preservation order as directed and preventing the loss of responsive information required for litigation, investigation, audit, or subpoena.

b. Any decision to direct a search and preservation of paper or electronic documents and data is a team effort involving the DCMA GC, records management officials, supporting information systems professionals and, in some cases, RCs.

(1) Some searches will require extensive coordination and planning while others can be tasked out with a less formal coordination process. Potentially, end-user representatives or other individuals with knowledge of the relevant computer systems, such as information security personnel, may need to plan the response.

(2) The tasking authority will identify a lead office or individual to act as the organization's spokesperson or witness on issues relating to the scope of electronic and paper document production. Documents and data collected in response to a search must be reviewed for matters of privilege, classified information security, or other control requirements before release.

c. The preservation planning team responding to notices of records freezes or searches for litigation must:

(1) Identify the Components and officials whose files (paper or electronic) are most likely to contain relevant documents and information.

(2) Identify a lead office to consolidate the listing documents and data (and assemble the initial collection if required).

(3) Identify contacts in GC and ARO who can address questions regarding preservation duties.

(4) Identify an appropriate IT liaison who works with records officials and legal counsel to identify any systems, files, or data that may be subject to the preservation obligation.

(5) Propose specific key words and metadata descriptors needed for a minimally sufficient search.

(6) Issue an internal records search and preservation memorandum to responsible officials (both Component heads and accountable records custodians as well as individual personnel possessing relevant materials) and task them to suspend routine disposition on relevant records, retain information (including electronic communications, data and non-record materials) that may be relevant to the litigation or query and, if required, collect and review records responsive to the request. The memorandum must describe the type of information to be preserved so the custodians can segregate and preserve identified files and data. It must also provide clear direction to the custodians about what to do with any records collected, i.e., if they must be delivered.

(7) Determine a suspense based on any external deadline, complexity of the search, and the amount of time required to complete the search and review.

## **6.12. REQUESTING MODIFICATIONS TO THE DCMA RECORDS RETENTION SCHEDULE.**

To ensure the DCMA Records Retention Schedule meets the business needs of Components, the RLOs and RCs will:

a. Recommend the modification of disposition procedures or schedules to the ARO with details why a change is required.

b. Follow the format and writing style used in the descriptions and disposition instructions of the DCMA Records Retention Schedule in presenting recommendations relating to unscheduled records. Because the proposed standards may have Component-wide or DoD-wide application, retention period for other offices that may be creating similar records will be considered.

c. Recommend to the ARO the establishment of disposition standards for files for which no instructions are provided. Include the required information:

(1) Recommended series and file title.

(2) A complete description of the file, including types of record information included therein.



(3) Explain what the series documents: who, where, when, why, and how the record describes DCMA operations or what DCMA does or produces.

(4) Explain who creates the information used in the series, who receives the information, and who uses it.

(5) Explain what information is recorded in the series.

(6) Explain if the series is subject to legal, fiscal, administrative, or other requirements.

(7) Identify the retention period required to satisfy current business needs, including:

(a) Cutoff category.

(b) Number of years before destruction or accessioning takes place.

(c) Temporary or Permanent.

(8) Explain each:

(a) Physical form: paper, microform, electronic format (database, portable document format (.pdf), etc.).

(b) Filing order: numerical, chronological, geographical, organizational, alphabetical, subject, functional.

(c) Volume to date in cubic feet, number of CD-read only memory (CD-ROM), as applicable.

(d) Date range (e.g., March 2010 through November 2019) the files cover.

(e) Expected annual accumulation, in cubic feet or bytes.

(f) Location of the records.

d. Evaluate potential and existing information systems and websites to determine if record information is being created and notify the ARO to validate retention periods identified in the DCMA Records Retention Schedule. New, revised, or obsolete record information may require revision of the disposition schedule. This process will require the interaction between records management, IT, and legal staffs.

## **SECTION 7: DISPOSITION OF PERSONAL FILES AND NON-RECORD MATERIAL**

### **7.1. EMPLOYEE RECORDS AND NON-RECORDS.**

During their employment, many government personnel accumulate substantial collections of personal files and copies of official documents (including electronic files and email) created solely for convenience of reference (non-record material). When an official or employee departs, non-record materials are to be reviewed by the employee, the RLO and, for a senior official, the ARO, prior to their removal from DCMA custody.

### **7.2. PERSONAL FILES FROM NON-RECORD MATERIAL.**

There are differences between personal files and non-record materials.

a. Personal files include any information or documentary materials belonging to an individual that are not used to conduct Agency business and concern only an individual's personal affairs (e.g., files relating to personal and family matters or social or civic activities) or indirectly related to Agency business but outside the scope of the definition of Federal records (i.e., not used to conduct government business.) Personal files are excluded from the definition of Federal records and are not owned by the government.

b. Non-record materials are those Federally-owned informational materials that do not meet the statutory definition of records (IAW Section 3301 of Title 44, U.S.C.) or that have been excluded from coverage by the definition. Excluded materials are extra copies of Federal records accumulated only for reference, stocks of publications and processed documents and library or museum materials intended solely for reference or exhibit.

### **7.3. MAINTENANCE, MARKING, AND HANDLING OF PERSONAL FILES AND NON-RECORD MATERIAL.**

a. Personal files.

(1) An employee establishes personal files and clearly designates them as personal and maintains them separately from official records.

(2) If information about private matters and Agency business appears in the same document, it will be copied or extracted at the time of receipt, with the personal information deleted, and the remaining portion of the documents will be incorporated into the office's official records.

(3) Materials labeled "personal," "private," or similarly designated, and used in the transaction of public business, are Federal records subject to the provisions of relevant laws and regulations. The use of such a label is not sufficient to determine the status of documentary materials in a Federal office.

(4) Files that are strictly personal may be removed at the discretion of their creators, unless they contain classified information.

b. Non-Record Material.

(1) Non-Record material will be physically segregated from records. Electronic non-record materials must be readily identifiable as such.

(2) Purge or destroy non-record material IAW the DCMA Records Retention Schedule, if identified, or when no longer needed for reference.

(3) If a clear determination cannot be made on the status of the document or information, the material must be treated as a Federal record. Components will consult with the ARO for guidance.

## **SECTION 8: TRANSFERRING/DEPARTING DCMA EMPLOYEES**

### **8.1. GENERAL.**

DCMA employees who are leaving their current position, either transferring within DCMA or departing DCMA must transfer the records they create or maintain to their supervisor or a designated repository to ensure there is no knowledge loss to the agency. Records belong to the government and not to the individual that created them.

### **8.2. INSTRUCTIONS FOR TRANSFERRING/ DEPARTING DCMA EMPLOYEES.**

Transferring or departing employees:

- a. Pack personal files in boxes or containers clearly marked as personal.
- b. Delete all personal files on the government-issued laptop used (email, spreadsheets, documents, etc.). Email and other electronic information that are of record status as stated in the DCMA Records Retention Schedule are to be captured and migrated to a designated repository.
- c. Account for all Mission Support Records created, received, and maintained during their employment, to include email, record information on collaborative websites or social media networks, and all record information from their government issued laptop by sending to a records management application (RMA) or moving to a designated area on the network.
- d. Provide passwords and location of mission support records on the network.
- e. Provide their supervisors, ARO, and Security Manager with a list of records convenience copies to be removed. Removal of DoD email is not authorized.
- f. Complete DCMAF 4501-04-06, "Component Records Management Checklist for Processing the Departure of Senior Officials," or DCMAF 4501-04-07, "Records Management Checklist for Departing Employees," (links to both forms located on the Resource Page of this Manual) to document the removal of non-record materials. The ARO and RLOs will retain the forms for the same amount of time as the applicable record information in the DCMA Records Retention Schedule.
- g. Consult with a member of the DCMA GC regarding preservation of records, including, but not limited to, email messages on government-issued IT equipment.

### **8.3. INSTRUCTIONS FOR SUPERVISORS OF TRANSFERRING/DEPARTING EMPLOYEES.**

Supervisors of transferring/departing employees will confirm the completion of the appropriate records management checklist IAW DCMA-MAN 4201-12, and this Manual.

- a. Senior Officials – DCMAF 4501-04-06.

- b. All other Agency Employees – DCMAF 4501-04-07.

## SECTION 9: ELECTRONIC RECORDS

### 9.1. GENERAL.

Electronic information is 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. Electronic information is recorded in a form that only a computer can process, including both record content, attachments, and associated metadata that the Agency determines is required to meet Agency business needs.

a. It is the responsibility of each DCMA Component Head and all of the organization's military, civilian, and contractor personnel to preserve electronic records. Personnel must ensure electronic records are maintained, protected, and stored IAW this Manual and the DCMA Records Retention Schedule.

b. Electronic records are governed by the same records disposition principles as all Federal records and must be identified as early as possible in their life cycle to ensure preservation.

(1) Electronic records may be created via email, software programs (such as Excel or Adobe), websites and social networks or they may be converted from hard copy (via scanning) into electronic format.

(2) These records may also reside in databases or EIS.

(3) In the case of EIS, the Component responsible for the system or database must incorporate records management requirements as defined IAW DoD 5015.02-STD into the system design regardless of the classification of the data IAW OMB Circular A-130.

(a) New EIS must include electronic recordkeeping functionality that is transferrable to DoD 5015.02-STD compliant records management solutions.

(b) Existing EIS may include either electronic or manual recordkeeping functionality.

c. Records management and preservation must be taken into account when acquiring, developing, or enhancing EIS.

(1) New EIS and IT services must include electronic recordkeeping functionality that is transferrable to DoD 5015.02-STD compliant records management solution.

(2) Existing EIS and IT services may include either electronic or manual recordkeeping functionality.

## 9.2. CATEGORIES OF ELECTRONIC RECORDS.

a. Databases. Databases contain structured and/or unstructured data that is centrally managed within the application. Components must pay particular attention to databases that contain significant statistical data or information related to policy-making functions, as these may have long-term or permanent value. Databases must 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. 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.

(1) These systems are usually identified by a specific name or acronym and contain structured data.

(2) Information produced by these systems will have to be evaluated for its legal, administrative, and fiscal values.

(3) The same information that may be scheduled for databases applies to EIS. 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. Electronic Office Records. 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; email; 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 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 that do not document the activities of an organization are considered transitory records. For these files, the applicable records series number in the DCMA Records Retention Schedule should be used for the disposition of transitory electronic records. The electronic file may be erased when the hard copy has been generated or when the data is no longer needed. However, users may elect not to erase certain electronic files, particularly if they are reusable for later revision of manuals, directives, recurring memorandums, and spreadsheet models as reference or working copies.

(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 must consider the disposition of the record in the DCMA Records Retention Schedule. Prior to converting official hard copy documents (temporary or permanent), the program office will alert the RLO and ARO of the proposed conversion. Hard copy records with a disposition of permanent or that are unscheduled will not be destroyed once converted to a digital image without the approval of NARA. Temporary hard copy records can be destroyed after digital versions have been validated to meet scanning parameters. Digitization projects will apply these requirements:

(a) Resolution: Will range between 300 and 600 dots per inch (dpi).

1. 300 dpi is best for letter and legal size documents.
2. 400 dpi is best for larger documents such as schematic plans/drawings.
3. 600 dpi is best for historical archiving.

(b) Color, grayscale or black and white.

1. The color setting will be used when the image contains important color information such as land boundaries or graphical data.
2. Grayscale is used when the tone of the image contains either color or grayscale data and the tone of the image needs to be retained (i.e., photographs or shaded graphics).
3. Black and white is generally the choice because it forms the color of most business documents and can be highly compressed to reduce file size.

(c) File format.

1. Joint Photographic Experts Group (JPEG) is a good format for color images and photographs. It does not support multi-page formats.
2. Adobe .pdf is the preferred file format because its advanced features allows for hyperlinking, digital signing, optical character recognition (OCR) and other security features. In addition, documents scanned in .pdf can be easily formatted to .pdf/A for long-term digital preservation or archiving.

(d) Run OCR. OCR is mandatory because all image-based files will be made fully text-searchable to facilitate search and data extraction.

(e) Conduct quality control and quality assurance.

1. Employees will capture image-based files contained in the source records.
2. Employees will capture all the pages or parts in the source records.



3. Employees can use the digital versions for the purposes the source records served.

4. Employees can locate, retrieve, access and use the digital versions for the records entire retention period.

e. Websites. Websites containing record information must be maintained IAW the DCMA Records Retention Schedule.

f. Web 2.0. Web 2.0 (commonly referred to as social networking sites (SNS)) technologies are commonly associated with web applications that facilitate interactive information sharing, interoperability, user-centered design, and collaboration on the World Wide Web. Examples include wikis, blogs, and SNS (e.g., Facebook, Twitter, and LinkedIn). These sites must be appraised to determine what records exist and what record series in the DCMA Records Retention Schedule apply.

g. Cloud Computing. 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 Components and must be managed in compliance with this Manual as well as the DCMA Records Retention Schedule.

### **9.3. ELECTRONIC RECORDS MANAGEMENT.**

a. The management of electronic records is similar to the management of paper records. Records maintained in electronic formats (e.g., digital photographs, scanned images, databases, EIS, websites) must be maintained IAW the applicable record series number in the DCMA Records Retention Schedule.

(1) If a record series description does not match the content of the records, these records are considered unscheduled and the organization must submit an SF 115 to the ARO (see Paragraph 6.12. of this Manual for guidance on modifying a DCMA Records Retention Schedule).

(2) Conveniently store files needed for the conduct of business and for organizational access.

(3) Files not requiring long-term retention or not needed to document the business of an organization should be deleted from the storage media IAW the DCMA Records Retention Schedule.

(4) Classified information must be maintained IAW DCMA-MAN 3301-08 and the DCMA Records Retention Schedule.

(5) Protect and restrict access control permissions to files containing:

(a) PII IAW the FOIA, the PA and DoDI 5400.11.

(b) CUI IAW DoDI 5200.48, "Controlled Unclassified Information (CUI)," and

DCMA-MAN 3301-08.

b. Shared environments do not provide the functionality of a recordkeeping system. However, through a combination of manual and automated policies and procedures, a shared drive can be a recordkeeping system.

(1) If Components implement any type of Enterprise Content Management system, such as a DCMA eTool or RMA, then the cognizant office staff must consider the record value of the information created and received as well as the information's classification, and the office staff must actively manage and safeguard the records.

(2) Organized information can be easily retrieved; record copies can be easily identified and managed by the Component. Each office must implement a structure based on the business process. Basic guidelines for the management of records stored on shared environments include:

(a) Establishing points of contact responsible for shared environment management.

(b) Conducting periodic surveys or inventories to determine the status of the shared environment (e.g., unclassified, classified, PII, and personal) and identify the records to be managed. Issues to address are: naming conventions, version control, unprotected container containing PII, access control, and the interfiling of personal, non-record, and official records.

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

(d) Determining a structure of the shared environment that will be flexible for all users and protect records containing sensitive content.

(e) Establishing a standardized file structure that is aligned with the office's business processes. Structure of electronic containers (e.g., SharePoint list, library or records center) and metadata will be associated with the corresponding records schedules, including cutoff and disposition instructions.

c. File/item-level metadata element requirements.

(1) Temporary records. Use the document properties option to add metadata tags to temporary records, including at a minimum: the office of origin, file code, key words for retrieval, creator, date, and security classification (if applicable).

(2) Permanent records. NARA's minimum metadata requirements include a/an:

(a) Identifier [File Name]. The complete name of the computer file including its extension (if present). Avoid long file names, less than 255 characters.

(b) Identifier [Record ID]. The unique identifier assigned by the Component or a records management system.

(a) Title. The name given to the record.

(d) Description. A narrative description of the content of the record, including abstracts for document-like objects or content descriptions for audio or visual records.

(e) Creator. The Component primarily responsible for the creation of the record.

(f) Creation Date. The date that the file met the definition of a Federal record.

(g) Rights. Information about any rights or restrictions pertaining to the record, including access rights based upon national security classification, the FOIA or the PA and usage rights relating to copyright, patent or trademark requirements.

(h) Coverage (if applicable). The geographic and temporal extent or scope of the content of the record.

(i) Relation (if applicable). The relation element is used if a record is composed of multiple files that form a logical record, or if a record is a necessary component of another logical record.

(j) Additional Metadata Elements. NARA will accept additional metadata elements as part of the transfer process in addition to NARA's minimum metadata requirements.

d. DCMA's IT professionals should develop and implement software migration plans to:

(1) 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.

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

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

e. Records should be maintained throughout their approved life cycles IAW the DCMA Records Retention Schedule.

f. All personal and non-record documents must be clearly identified and segregated and maintained separately on shared environment.

g. The Records File Plan should identify records and their locations.

h. Permanent records should be maintained in preferred and acceptable formats for each category IAW NARA Bulletin 2014-04, Appendix A: "Tables of File Formats," for eventual transfer and accessioning to NARA.

#### 9.4. ELECTRONIC MAIL MANAGEMENT.

Depending on their content, email, including associated attachments and other commonly available functions of email programs such as calendars/appointments, task lists, and instant messages (IM) that are Federal records, need to be managed, preserved, and made accessible to meet records management and litigation requirements. Components will manage permanent and temporary email records in an electronic format and may no longer use print and file policies to manage email records. Also, emails are not to be stored as an outlook data file.

a. Functionally, email and IM are similar: both allow sending and receiving of messages electronically. Employees use email 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. Components are responsible for ensuring that records management policies, procedures, and dispositions are incorporated into their daily business practices for the management of email including associated attachments, calendars/appointments, task lists, and IMs.

c. Metadata tags on email will include but are not limited to:

(1) The date of the email and the names and email addresses of all senders and recipients particularly if the system uses nicknames, distribution lists, or a blind copy feature. These tags must be preserved for each email record in order for the context of the message to be understood. The Agency may determine that other metadata is needed to meet Agency business needs, e.g., receipt information.

(2) If the email system identifies users by codes or nicknames or identifies addressees only by the name of a distribution list, retain the intelligent or full names on directories or distributions lists to ensure identification of the sender and addressee(s) of messages that are records.

d. DCMA email and IM accounts are provided for business use and are not to be considered personal files, although they may contain personal information and non-record materials as part of their general use. Contents of email accounts are subject to FOIA, PA, records management, and security procedures. Proper business protocols applying to any other type of communication will also be used for email. Email, including associated attachments, calendars/appointments, task lists, 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 concur or non-concur, 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 the 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.

(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. Email attachments, calendars/appointments, 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 senior Agency officials.

f. Email that can be deleted from the system immediately after being read or within 30 days are:

(1) Automatically generated news and marketing feeds.

(2) Auto-generated messages like out-of-office responses, published information.

(3) Solicitations (charitable or private industry).

(4) Official information captured elsewhere (paper or electronic) but preserved ONLY for convenience of reference.

(5) "Not read" or "Read" messages, not required as evidence of receipt.

(6) Personal messages that pertain only to an individual's private business and are considered non-record information.

## **9.5. WEB 2.0 (SNS).**

Internet-based capabilities include collaborative tools such as social media, user-generated content, social software, email, IM, and discussion forums (e.g., YouTube, Facebook, Myspace, Twitter, Google Apps, LinkedIn, and Wikis). SNS can be public, private, 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 DCMA Components IAW DoDI 8170.01.

a. Public and Privately Owned SNS.

(1) Components 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 IAW DoDI 8170.01.

(2) Organizations will identify all public or privately owned SNS on which they maintain a presence in the file plan. At the minimum, components will identify site name, URL, point of contact, and disposition of data.

(3) SNS automatically generated news and marketing feeds.

b. Component-owned SNS.

(1) Applications, such as Wikis, blogs, IM services, and collaborative tools solely built, used for and by DCMA personnel, must include the prerequisites IAW DoDI 8170.01.

(2) Components will maintain a record of the SNS and ensure sites are scheduled pursuant to Title 36, CFR. At the minimum components must provide to the ARO site name, URL, disposition of the data and site, and point of contact.

## **9.6. RECORDS MANAGEMENT APPLICATIONS OR SYSTEMS.**

An RMA collects, organizes, and categorizes electronic records in their native file form and in a NARA-preferred or acceptable transfer format; it also manages the metadata regarding scanned hard copy records.

a. Such a system or application automates the preservation, retrieval, use, and disposition of records.

b. Electronic record management systems, such as eDRMS, that maintain the official file copy of text documents on electronic media are subject to the requirements IAW DoD 5015.02-STD.

c. DoD requires that only RMAs that have undergone successful testing by the Joint Interoperability Test Command be acquired by DoD organizations.

d. Components must plan for the maintenance of permanent and temporary electronic records in a sustainable format that increases the likelihood of a record being accessible throughout its life cycle.

e. Components must ensure that records maintained in such systems or applications can be correlated with related records on paper, microform, or other media.

## **9.7. ELECTRONIC DOCUMENT RECORDS MANAGEMENT SYSTEM.**

eDRMS is the Agency's designated system of record for records management. Currently, this system is connected to multiple sources and applications to perform various contributing inputs. The existing sources contributing to eDRMS include: Electronic Document Access, Electronic

Document Access Documents, Integrated Work Management System, DCMA360 Collaboration and Content Management Platform, and Integrated Database.

- a. eDRMS is not an approved information system to store classified material.
- b. Access to records maintained in eDRMS containing CUI and/or propriety information are provided only to Agency employees who have an authorized and lawful government purpose.

## **9.8. DCMA360 COLLABORATION AND CONTENT MANAGEMENT PLATFORM.**

DCMA360 is built on SharePoint 2016 to provide the Agency via lists and/or libraries with a document repository to create or receive, distribute and use, and store records required for current government business. Refer to “DCMA360 Governance Plan” (located on the Resource Page of this Manual) to abide by the operations, management, and administration of the DCMA360 SharePoint online environment.

- a. DCMA360 is not an approved information system to store classified material.
- b. CUI and other sensitive documents stored in DCMA360, must be appropriately marked. In addition, a warning banner must appear for user awareness (e.g., PA statement).
- c. Site owners are responsible for enforcing their respective Component access restriction policies to all or certain site content.
- d. Personal files (e.g., files pertaining to personal and family matters, or social/civic activities) will not be stored in DCMA360.

## **9.9. CMO/DIRECTORATE RECORDS CENTERS.**

A records center will serve as the archive for CMO/directorate records that become immutable, are no longer required to conduct current government business, and enter their retention period after an event and/or date. Record center site collections will be created based on file plans and record inventories created during a file plan engagement. These must be requested by an Information Resource Manager/records owner point of contact via service ticket template S0003 DCMA 360 Request for Records Center Repository. Refer to Section 8.1 of the “DCMA360 Governance Plan” (located on the Resource Page for this Manual) for more information.

- a. Records Centers are not an approved information system to store classified material.
- b. CUI and other sensitive documents stored in an eDRMS Records Center must be appropriately marked. In addition, a warning banner must appear for user awareness (e.g., PA statement).
- c. Site owners are responsible for enforcing their respective Component access restriction policies to all or certain site content.
- d. Personal files should not be stored in a records center, including files pertaining to personal or family matters or social and civic activities.

## 9.10. CAPITAL PLANNING AND MANAGING INFORMATION SYSTEMS.

a. Components will incorporate records management and archival functions into the design, development, and implementation of information systems. Federal agencies are required 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 DCMA Component will ensure that their EIS are IAW Title 36, CFR and Title 44, U.S.C.

b. The functional proponents designing, developing, implementing or purchasing information systems, including commercial off-the-shelf products, are responsible for ensuring that records management functionality, policy, procedures, and dispositions are incorporated into each system. All functional proponents will submit a DCMAF 4501-04-03.

(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.

(2) Archiving and migration strategies will address non-active electronic records that are stored off-line. When 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.

c. Components 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, IAW Title 36, CFR and DoD 5015.02-STD. The types of records management controls needed to ensure that Federal records in EIS can provide adequate and proper documentation of DCMA business for as long as the information is needed are:

(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.

## 9.11. SCHEDULING.

Components and RLOs will work with the ARO to describe and develop records schedules for websites, EIS, 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 site itself and the management and operations records which provide the website's context and structure.

(1) Web content records include the content pages that compose the site, inclusive of the hypertext markup language; records generated when a user interacts with a site; and if the Component chooses to document the website in this manner, lists of the URLs referenced by the site's hyperlinks.

(2) Web management and operations records that provide context to the site include:

(a) Website design records;

(b) Records that specify the DCMA 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;

(c) Records documenting the use of copyrighted material on a site;

(d) Records relating to the software applications used to operate the site; and

(e) 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 showing the directory structure into which content pages are organized, demonstrating commercial off-the-shelf software configuration files used to operate the site and establishing its look and feel, including server environment configuration specifications.

(4) To assist the ARO in determining retention periods for website-related records, the DCMA Component 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 Component will 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 IAW the guidance in Section 6 of this Manual. If NARA determines that a site, or portions of a site, have long-term historical value, the RO will work with the creating organization's program office to develop procedures to preserve the records and provide for their transfer to NARA. While a snapshot of the website may provide some indication of the 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 DCMA Records Retention Schedule. Steps to implement 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 SOP 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 SOP.
- (e) Train staff in the SOP for creating and maintaining web records.
- (f) Ensure there is an approved disposition schedule for web records. The DCMA Component will need to cite the official disposition authorities found in the DCMA Records Retention Schedule if it is faced with legal challenges to produce records that have been destroyed.

b. Scheduling EIS and Databases. To assist the ARO in scheduling EIS and databases, the program office for the EIS or database must first identify its systems to the ARO and complete a DCMAF 4501-04-03 for each EIS or database.

(1) The DCMAF 4501-04-03 will describe the system and record data contained therein, and recommend retention periods for the EIS or database.

(2) The program office will cite any applicable laws or regulations, PA SORN, or information collection requirements that apply to the system IAW DoD Manual 8910.01, Volume 1, "DoD Information Collections Manual: Procedures for DoD Internal Collections."

## **9.12. TRANSFERRING PERMANENT ELECTRONIC RECORDS TO NARA.**

Permanent electronic records will be transferred to the National Archives in an acceptable medium IAW NARA Bulletin 2014-04 (located on the Resource Page of this Manual). Prior to transfer, permanent electronic records require disposition concurrence as instructed in Paragraph 6.6. Each DCMA 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 Component will transfer electronic records to NARA promptly IAW the DCMA Records Retention Schedule. All permanent electronic records must be transferred in discrete file sets

that contain ONLY permanent records identified in a separate and distinct manner IAW NARA requirements.

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

b. Transfer Media. Components will use only media that are sound and free from defects for electronic records transfers, and each organization will take reasonable steps to meet this requirement. Requirements governing the selection of electronic records storage media will be met IAW Part 1235 of Title 36, CFR. The media types that are approved for transfer are open reel magnetic tape, magnetic tape cartridge, CD-ROM, DVD, and removable hard drives. Media specifications and transfer instructions are also IAW Part 1235 of Title 36, CFR.

c. Formats.

(1) Components may not transfer to the National Archives electronic records that are in a format dependent on specific hardware or software.

(2) The records must not be compressed unless NARA approves, in advance, the transfer in the compressed form. In such cases, NARA may require the component to provide the software to decompress the records.

(3) Some of the formats currently acceptable to NARA are: data files and databases, email, plain American Standard Code for Information Interchange files, with or without Standard Generalized Markup Language (SGML) tags, tagged image file format, .pdf, digital spatial data files, digital photos, and web records (hypertext markup language or extensible markup language). The full listing can be found in NARA Bulletin 2014-04.

(4) Components will identify any other categories of electronic records that could cause a foreseeable problem in the transfer of potentially permanent electronic records IAW Part 1234 of Title 36, CFR, at the time the records are scheduled.

(5) Special transfer requirements agreed upon by NARA and the component will be included in the disposition instructions.

d. Documentation. Documentation adequate to identify, service, and interpret electronic records that have been designated for preservation by NARA will be transferred with the records. This documentation will include completed National Archives Form 14097, "Technical Description for Transfer of Electronic Records to National Archives," and a completed NA Form 14028, "Information System Inventory Form," or their equivalents (link to form on the Resource Page of this Manual). Where possible, agencies will 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 will include the documentation IAW Part 1235 of Title 36, CFR. In addition, documentation for digital spatial data files may include metadata that is IAW the Federal Geographic Data Committee's "Content Standard for Digital Geospatial Metadata (CSDGM)," pursuant to EO 12906, "Coordinating Geographic Data Acquisition and Access: The National Spatial Data Infrastructure."

(3) Documents Containing SGML Tags. Documentation for electronic files containing textual documents with SGML tags will include a table for interpreting the SGML tags, when appropriate.

(4) Web Content Records. In addition to the transfer documentation requirements IAW Part 1235 of Title 44, U.S.C., for each transfer, if applicable, 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 website.

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

(d) Organizational unit primarily responsible for managing website content.

(e) Method and date of capture:

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

2. If .pdf, also include the software and version used to capture the .pdf.

3. If more than one method is used, clearly identify which content was captured by which method.

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.

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

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

## **SECTION 10: PREPARING RECORDS FOR TRANSFER TO THE FEDERAL RECORDS CENTERS**

### **10.1. GENERAL.**

There are two types of records that may be transferred to the FRC: permanent and temporary. Permanent hard copy records will be held at the FRC for a specified period of time, usually 25 to 30 years, and then offered to NARA for accession. Temporary records are held at the FRC until they are ready for destruction and then they are disposed of by FRC personnel. Only temporary records with a specified destruction date can be retired to the 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 Section 12 of this Manual. Section 3 of this Manual describes the steps to prepare and screen files.

### **10.2. END OF NATIONAL ARCHIVES AND RECORDS ADMINISTRATION ACCEPTANCE OF PAPER RECORDS.**

To the greatest extent possible, Components will transition their business processes and recordkeeping to a fully electronic environment in preparation for the end of NARA's acceptance of paper records. IAW OMB NARA Memorandum M-19-21, OMB and NARA have established goals and timelines for Federal agencies to develop plans to reduce their creation, usage, and storage of Federal records in analog (paper and other non-electronic) formats. As a result, FRCs will no longer accept records in analog format after December 31, 2022. Components will inform the ARO of any constraints and significant risks posed by transitioning to an electronic environment, allowing requests for exceptions to be provided to NARA and the DoD SAORM.

### **10.3. FILE TRANSFER SELECTION.** To be transferred to the FRC, records must:

- a. Meet eligibility requirements and contain a request for an exception to OMB NARA Memorandum M-19-21.
- b. Not be needed to carry out current organizational operations. Files must be closed.
- c. Be free from record freezes, preservation orders, or moratoriums.
- d. Have at least a 5-year retention from the date of transfer and cannot contain disposition instructions that state "Destroy when superseded, no longer needed, or obsolete."

### **10.4. DISPOSAL OF RECORDS STORED IN FEDERAL RECORDS CENTERS.**

Disposition Notices of records stored in the FRC are maintained by the RO and the NARA account representative. If a record is identified as ready for disposal from the FRC per NARA, the ARO will receive a Disposition Notice from NARA stating that the records have reached their disposition period as identified on the SF 135. The ARO will be responsible for providing

to NARA the appropriate response regarding the disposal, to include extension of disposition periods.

### **10.5. SCREENING.**

a. Permanent records and records scheduled for retention for 30 years and more must be screened and extraneous materials removed. Extra (non-record) copies of documents, empty folders or folders containing temporary information, or other materials that are unnecessary or have no lasting value to the record series being transferred should be removed. This includes duplicate copies of documents with no additional record value.

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

(1) Can complete folders be removed? For example, are there folders that are empty or contain information that has 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?

### **10.6. FILING RECOMMENDATIONS.**

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.

## **SECTION 11: PACKING AND SHIPPING PROCEDURES FOR TRANSFER OF RECORDS**

### **11.1. PACKAGING RECORDS FOR TRANSFER TO FEDERAL RECORDS CENTERS.**

Records are transferred in standard General Services Administration cardboard boxes each holding 1 cubic foot. **No exceptions are permitted.** The cartons will accommodate either letter- or legal-sized material. Special containers may be obtained for oversized materials or magnetic tapes. Nonstandard boxes will not be used.

### **11.2. SHIPPING CONTAINERS FOR ODD-SIZED DOCUMENTS.**

When records being shipped are too large or too small for the container described in this section of this Manual, the documents will be securely packed and shipped in a manner that prevents damage in route. The containers recommended for the types of records indicated are:

a. Half-size box, 14-3/4 by 9-1/2 by 4-7/8 inches, National Stock Number (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 by 11-3/4 by 11-3/4 inches for magnetic tape records, NSN: 8115-00-117-8347.

c. Microfiche box, 14-3/4 by 6-1/2 by 4-1/2, NSN: 8115-01-025-3254.

d. Tubes, not longer than 36 inches, will be used for documents that are normally shipped rolled (maps, charts, schematic plans). If tubes are not available, fold these records and ship in the standard container in Paragraph 11.2.a. Use tubes for permanent records.

### **11.3. LISTING RECORDS FOR TRANSFER OR RETIREMENT.**

Files to be retired to the FRC will be identified on the SF 135. When more than one page is required for the box list, continue the list in a separate electronic file (Microsoft Word, Excel, or .pdf formats are acceptable). The SF 135 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 FRC.

### **11.4. RECORD PREPARATION FOR RETIREMENT AND SHIPMENT TO THE FEDERAL RECORDS CENTER.**

a. The retirement and transfer of records requires the preparation of an SF 135. Each different series of records is a block of records having the same disposal authority and the same disposal date. An attached box list must accompany each SF 135. Detailed instructions for completion of the SF 135 are located on the NARA website (link to form is located on the Resource Page of this Manual). In addition to these instructions, Components will:



(1) Describe the records adequately, including the inclusive dates in column (f) and the security classification in column (g). Transmittal documents for all records must list the beginning and ending file in each box. Provide a folder title list of the box contents or equivalent detailed records description for every box. Do not list classified titles or PII protected under the PA on the SF 135. The SF 135 and box list is considered a publicly accessible record.

(2) For shipments, enter the total number of boxes in the Volume column 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 General Services Administration cardboard records retirement carton is 1 cubic foot.

(3) When completing column 6(h) on the SF 135, Disposal Authority, in addition to the DCMA Records Retention Schedule disposal citation (record series number), the requesting office must include either the GRS citation or the SF 115 disposition authority. The disposition authority number (N1-558-XX-XX-XX) is located before the disposition instruction. If the requesting office cannot find these citations or is unsure which ones apply to the records being prepared for transfer, contact the ARO for assistance.

(4) Complete the SF 135 and box list.

(5) Limit the number of boxes on the SF 135 to 50 cubic feet per accession.

b. Submit the completed SF 135 and box list via email to the ARO. The ARO will review for completeness, provide a DCMA job number, 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 ARO will provide the requesting Component with a copy of the approved form containing the accession number. Retain one copy of the completed SF 135 and box list.

c. The RO will furnish the completed SF 135 via email to the requesting office once the records have been transferred to the FRC. Because this is the only source of information describing the records being transferred to the FRC, this document is vital to Components when the need to retrieve specific papers from the FRC arises. 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. For the efficient and proper preservation of the records and ease of future reference by DCMA and NARA personnel, pack the cartons according to this guidance.

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

(2) Pack records snugly in the box, but do not force. For ease of future reference, leave at least 2 inches of space for unclassified records. For classified boxes leave 4 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 be of the same file series with the same classification. The DCMA Records Retention Schedule contains retention periods.

(4) Do not mix classified with unclassified records, nor 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. 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 the time span 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.

e. Print the information on the end of the box legibly, in black 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 must read "1/3, 2/3, and 3/3." Each series of records transferred will be assigned a separate accession number.

f. CUI may be transmitted via first class mail, parcel post, or, bulk shipments.

#### **11.5. RETIREMENT OF CLASSIFIED SECURITY INFORMATION.**

a. Classified records eligible for retirement will be transferred to the FRC. 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. When retiring confidential and secret files to the FRC, observe security requirements IAW EO 13526. Before transferring classified material, ascertain whether the material can legitimately be downgraded IAW Section 4, Paragraph 3-402, Chapter III of EO 13526 or destroyed IAW the DCMA Records Retention Schedule.

c. Safeguard classified material when packed in boxes pursuant to EO 13526. Comply with 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. Mark each box conspicuously with the highest classification of material contained in it. When the boxes are shipped to the FRC, the provisions IAW Chapter VIII of EO 13526 must be complied with.

d. Retire Top Secret documents eligible for retirement to the FRC as specified in Section 7 of this Manual. 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 regraded 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 SF 135, show the designation of the organization and administrative subdivision, the file number and title of the file, and the accession shipment number assigned by the RO.

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

g. Because some FRCs may not provide storage for classified sensitive information documents, verify with DCMA the RO prior to retiring records whether the FRC is cleared.

h. Contact the Information Security Team for guidance with packaging and transporting material containing classified information.

## **11.6. MATERIAL TO BE DESTROYED.**

All eligible records are identified and destroyed IAW the disposal standards authorization contained in the DCMA Records Retention Schedule. Destroy obsolete reference material, such as extra copies of speeches, staff papers, news releases, blank forms, reports, and publications. Eliminate extra carbon and photocopies. Do not retire housekeeping records to the FRC. See Section 6 of this Manual for detailed instructions on the selection of files.

## **11.7. USE OF RESTRICTED COLUMN.**

a. A single classification must 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 only a few classified documents in an accession number that is predominantly unclassified.

### **11.8. ARRANGEMENT OF FILES IN FIBERBOARD BOXES.**

a. Regardless of the type of container used, containers will be filled with only one row of files and not stacked.

b. Letter and legal sized files should be packed in fiberboard boxes. When filled to capacity, the box holds 15 inches of letter-sized or 12 inches of legal-sized files. Additional material should not be placed 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. Use crumpled or wadded paper or other suitable packing material to fill the space between the files and the inner walls of the box when shipping partially filled boxes. Excelsior, shredded paper, newspapers, or surplus file folders should not be used 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.

c. Segregate permanent and temporary into the listed groups.

(1) Unclassified temporary records.

(2) Unclassified permanent records.

(3) Classified temporary records.

(4) Classified permanent records.

### **11.9. PACKING AND SHIPPING CLASSIFIED FILES.**

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.

## **SECTION 12: RECALL OF RECORDS FROM THE FEDERAL RECORDS CENTERS**

### **12.1. OFFICIALS AUTHORIZED TO MAKE RECALLS.**

The ARO will maintain an up-to-date list of personnel authorized to recall Agency records. This list will be provided to the servicing FRC and updated annually. Only personnel identified on the access list may request records to be recalled. The ARO recalls records from the FRC for Components, except as noted in Paragraph 12.5., of this section. Each 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 courier service arrangements.

### **12.2. NORMAL RECALL PROCEDURES.**

a. To obtain reference service on records at the FRC, the RLO, RC, or personnel authorized to request records will submit the request to the ARO. The ARO will recall the records via the Archives and Records Centers Information System (ARCIS). Offices will submit requests via email, 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 will state whether it is a temporary or permanent withdrawal, classified or unclassified request, and provide point of contact information (no location number needed for ARCIS) to the ARO. For records being picked up at the FRC by office staff, a minimum 3 day notice is required for non-emergency requests.

(1) Temporary withdrawal of box(es) will only be allowed to be retained for up to 3 months after recall. Recalled folders may be kept longer, but not indefinitely and its location along with its content will be protected and documented with the use of DCMAF 4501-04-05.

(2) Permanent withdrawal will automatically apply to recalled box(es) that are retained for business use longer than 3 months. This will avoid the Agency paying for allocated shelving space at the FRC that is not in use.

b. Customers having high-volume requirements may obtain an ARCIS account through the ARO and access the system directly. For more information about ARCIS, RLOs, and RCs will contact the ARO.

### **12.3. 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 Secretary of Defense. The ARO will arrange all emergency recalls.

#### **12.4. RETURNING RECORDS.**

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 the FRC as soon as they are no longer needed. The DCMA Component/Operational Unit RLO or RC will report the location of recalled records and the reason for their retention to the ARO when recalled records are retained for more than 3 months.

b. Records should be returned in their original folder or box to allow accurate refiling. If the record box or folder is not reusable for shipment, the information from the previous container should be copied to its replacement. The word "REFILE" should be written 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 memorandum must include the same information used to request the records. The RLO, RC, or records requestor will notify the ARO when records are ready to be returned to the FRC.

#### **12.5. ACCESS TO FEDERAL RECORDS BY OTHER INDIVIDUALS.**

Access to Federal records by individuals not employed by a DCMA Component or an assigned service member of the military services such as historical researchers, former Presidential appointees, and non-DCMA employees will be processed IAW Title 5, U.S.C. Components are not authorized to recall, retrieve, or duplicate records for these individuals.

#### **12.6. NATIONAL ARCHIVES AND RECORDS ADMINISTRATION ELECTRONIC RECORDS MANAGEMENT TOOLS.**

a. ARCIS is administered by the FRC Program of NARA. This allows the FRC to communicate with DCMA about the records stored in its facilities. This system replaces the SF 135. DCMA has implemented the ARCIS program to properly transmit records and track processing and shipping of records to the FRC.

(1) Access. ARCIS is a role-based system. The ARO will serve as the ARCIS account manager, and approves user access.

(2) Training. The FRC Program has developed computer-based training for users. Training and resources about ARCIS can be found on this Manual's Resource Page.

b. The ERA is administered by NARA IAW NARA Bulletin 2012-03, "Instructions Concerning the Use of the Electronic Records Archives (ERA) for Scheduling Records and Transferring Permanent Records to the National Archives," which requires DoD and Federal agencies to use ERA to schedule records and transfer permanent records to the National Archives. ERA allows agencies to perform records management transactions online, draft new records retention schedules for approval by the appraisal archivist, request transfer of permanent records in any format for accessioning or pre-accessioning, and submit permanent electronic records for storage in ERA's electronic records repository.

(1) Access. ERA is a role-based system. The ARO will serve as the ERA Account Manager and approves user access. Agency users approved for access can only see records schedules and transfer requests for the DCMA.

(2) Training. Staff members must receive approval from the ARO to access ERA. Once approved, employees will need to complete online training before they can obtain an ERA username and password. More information on this training can be found on this Manual's Resource Page.

## **SECTION 13: ESSENTIAL RECORDS**

### **13.1. GENERAL.**

a. Essential records are Agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating information), or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights information). The identification, management, and protection of this information is a vital part of a Federal agency's emergency preparedness responsibility and is currently mandated/regulated IAW Part 1223 of Title 36, CFR, and DCMA-MAN 3301-02.

b. Identifying and designating the Agency's essential records in an inventory is a crucial step in management of Agency records. The inventory contains a list of carefully vetted essential records needed to perform mission essential functions during a continuity activation. Refer to NARA Essential Records Guide (located on the Resource Page of this Manual) for assistance and the process of identifying essential records.

### **13.2. CATEGORIES OF ESSENTIAL RECORDS.**

Categories of essential records.

a. Emergency Operating Records. Records an organization needs to continue functioning or to reconstitute after an emergency. Examples include:

(1) Emergency plans and directive(s) that specify how the Agency will respond to an emergency. The information content of records series and electronic records systems determines which records are essential;

(2) Orders of succession;

(3) Delegations of authority;

(4) Safeguarding assignments; and

(5) Selected records needed to continue the most critical Agency operations under emergency conditions and to resume operations after an emergency.

b. Legal and Financial Rights Records. Records needed to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Much of this information is likely to be CUI. Examples include:

(1) Accounts receivable records;

(2) Titles, deeds, and contracts;



- (3) Licenses and long-term permits;
- (4) Social security records;
- (5) Payroll records;
- (6) Retirement records;
- (7) Insurance records; and
- (8) Military service and medical records.

c. Other examples of essential records.

(1) Emergency staffing assignments, including lists of personnel, along with their addresses and telephone numbers (and comparable data for alternates), assigned to the Emergency Operations Center or equivalents, or other emergency duties or authorized access to damaged facilities to assess the extent of damage;

(2) Access credentials for the classified or restricted access container documentation (as required);

(3) Building plans and building systems operations manuals for all agency facilities;

(4) Equipment inventories for all Agency facilities;

(5) File plans, (specifically referring to essential records), describing the records series and EIS maintained by records custodians for all Agency facilities;

(6) Copies of Agency records (regardless of media) needed to carry out continuing critical functions (also referred to as mission essential functions); and

(7) System documentation for any EIS designated as emergency operating records.

### **13.3. REQUIREMENT TO IDENTIFY ESSENTIAL RECORDS IN RECORDS INVENTORY/RECORDS FILE PLAN.**

a. DCMA must maintain a complete Essential Records Inventory along with the locations of and instructions on accessing those records. The Essential Records Inventory is prepared and maintained by the Agency's various program managers. This inventory must be maintained at a back-up/offsite location to ensure continuity if the primary operating facility is damaged or unavailable. Agencies will consider maintaining these inventories at a number of different sites to support continuity operations. Because of power reliability issues in emergency situations, it may be prudent for agencies to consider maintaining a hard copy of some or all of their essential records, and the related inventory. However, some Agency staff, not deployed to the DCMA COOP and EM site would not be able to access any records maintained in only hard copy format.

b. The Essential Records Inventory includes:

- (1) Name of the office responsible for the records series or electronic information system containing essential information;
- (2) Title of each records series or information system containing essential information;
- (3) Identification of each records series or system that contains emergency operating essential records or records relating to legal and financial rights;
- (4) Medium on which the records are recorded;
- (5) Physical location for offsite storage of copies of the records series or system;
- (6) Frequency with which the records are to be cycled or updated, which is the recurring removal of obsolete copies of essential records and replacing them with current copies. This process may occur daily, weekly, monthly, quarterly, annually or at other designated intervals; and
- (7) Minimum security requirements for the information systems and the information.

c. Components that create and maintain essential records are required to use a DCMAF 4501-04-02 to provide information on how to locate, protect, and access essential records IAW Paragraph 13.2. Updates to DCMAF 4501-04-02 will be submitted annually to the ARO and the DCMA COOP and EM Program Manager following a modification to information therein.

## GLOSSARY

### G.1. DEFINITIONS.

<b>TERM</b>	<b>DEFINITION</b>
<b>Access</b>	The ability and opportunity to gain knowledge of stored information.
<b>Access Control</b>	<p>The term “access control” has the several meanings:</p> <ol style="list-style-type: none"><li>A service feature or technique used to permit or deny use of the components of a communication system.</li><li>A technique used to define or restrict the rights of individuals or application programs to obtain data from, or place data onto, a storage device.</li><li>The definition or restriction of the rights of individuals or application programs to obtain data from, or place data into, a storage device. Types of access control methods include mandatory access control and discretionary access control.</li><li>The process of limiting access to the resources of an automated information system to authorized users, programs, processes, or other systems.</li><li>The function performed by the resource controller that allocates system resources to satisfy user requests.</li></ol>
<b>Accession Number</b>	A unique identifier assigned to a group of that have been transferred into the legal custody of NARA.
<b>Accessioning</b>	<ol style="list-style-type: none"><li>The transfer of the legal and physical custody of permanent records from an agency to the National Archives.</li><li>The transfer of Agency records to the FRC for temporary storage. See Retirement and Transfer Number.</li></ol>
<b>Active Records</b>	Records that continue to be used with sufficient frequency to justify keeping them in the office of creation.
<b>Addressee</b>	The name of the organization or individual to who a record is addressed.
<b>Alienation of Federal Records</b>	Records in the possession of an individual or organization not legally entitled to them.

<b>Attachment</b>	A record, object, or document associated with another document or record and filed in the RMA or transmitted as part of the other document or record.
<b>Audiovisual</b>	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 recording, and related records.
<b>Audit Trail</b>	An electronic means of tracking interactions with records within an electronic system so that any access to the record within the electronic system can be documented as it occurs or afterward. An audit trail may identify unauthorized actions in relation to the records, e.g., modification, deletion, or addition.
<b>Authenticity</b>	A condition that proves that a record is genuine based on its mode (i.e., a method by which a record is communicated over space or time), form (i.e., the format or media that a record has upon receipt), state of transmission (i.e., the primitiveness, completeness, and effectiveness of a record when it is initially set aside after being made or received), and manner of preservation and custody.
<b>Big Bucket Schedule</b>	Aggregated schedule that consists of items of multiple series and/or records in electronic systems that relate to the same subject matter, business function, or work process.
<b>Block</b>	A chronological grouping of records consisting of one or more segments of records that belong to the same series and are treated as a unit for the purposes of their efficient transfer, especially the transfer of permanent records to the NARA. For example, a transfer of records in 5-year blocks.
<b>Case File</b>	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. Working case files are support files, such as worksheets, appraisals, rough notes, calculations, and are generally kept for a shorter period of time than the papers that serve to document the project. See Working Files.
<b>Classified Information</b>	Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.
<b>Cloud Computing</b>	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.

<b>Convenience Files</b>	Non-record copies of correspondence, completed forms, publications, and other information maintained for ease of access and reference.
<b>Copy</b>	(1) 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. (2) In 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.
<b>Creator</b>	The person, office, or designated position responsible for creation or issuance of a document. The creator is usually indicated on the letterhead or by signature. For RMA purposes, the creator may be designated as a person, official title, office symbol, or code.
<b>Cross-Reference</b>	A procedure used to show the location of a document that may be filed, because of content, under more than one subject.
<b>Current Files Area</b>	The area where current records are physically maintained, usually in a location that provides convenient access for reference and retrieval.
<b>Cutoff</b>	To cutoff records in a file means to break, or end, the record at regular intervals to permit disposal or transfer in complete blocks and, for correspondence files, to permit the establishment of new files. Cutoffs are needed before disposition instructions can be applied because retention periods usually begin with the cutoff, not with the creation or receipt, of the records. In other words, the retention period normally does not start until the records have been cutoff. Cutoffs involve ending input to old files and starting input to new ones at regular intervals. See Paragraph 3.4.c., of the DCMA Records Retention Schedule for available cutoff categories.
<b>Database</b>	In electronic records, a set of data elements, consisting of at least one file or of a group of integrated files, made available to several users.

<b>Declassification</b>	The authorized change in the status of information from classified information to unclassified information.
<b>Destruction</b>	In records management, the primary type of disposal action. Methods of destroying records include selling or salvaging the record medium and burning, pulping, shredding, macerating, or discarding it with other waste materials.
<b>Discontinuance</b>	The placing of an organization in an inactive or surplus status. When the term is used in this Manual, it includes inactivation, disbandment, discontinuance or reduction to zero in strength.
<b>Disposal</b>	Physical destruction of temporary records. See also destruction.
<b>Disposal Authority</b>	The legal authorization for the disposal 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.”
<b>Disposition</b>	Actions taken regarding records no longer needed for current Government business. These actions include transfer to Agency storage facilities or the FRC, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records.
<b>Disposition Instruction</b>	An instruction for the cutoff, transfer, retirement or destruction of documents.
<b>Disposition Schedule</b>	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 DCMA Records Retention Schedule contains the only authorized disposition schedule for DCMA. See also GRS.
<b>Disposition Standard</b>	The time period for the cutoff transfer to the FRC, destruction, or transfer to the NARA of a file series.
<b>Document</b>	The information set down in any physical form or characteristic. A document may or may not meet the definition of a record.
<b>DoD Component</b>	An organizational entity of the DoD such as the Military Departments, the Chairman of the Joint Chiefs of Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, and DoD Field Activities.

<b>EIS</b>	A system that contains and provides access to a computerized Federal record. See Information System.
<b>Email</b>	A document created or received via an email system, including brief notes, formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message.
<b>Email System</b>	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.
<b>Electronic Records</b>	The information recorded in a form that only a computer or other machine can process and that satisfies the definition of a Federal record under the Federal Records Act. The term includes both record content and associated metadata that an agency determines is required to meet Agency business needs.
<b>Electronic Records Management</b>	Using automated techniques to manage records regardless of format. Electronic records management is the broadest term that refers to electronically managing records on varied formats, whether in electronic format, in paper hard copy, microform, etc.
<b>Essential Records</b>	Records an agency needs to meet operational responsibilities under national security emergencies or after emergency conditions or to protect the legal and financial rights of the Government and those affected by Government activities. Includes emergency operating records and legal and financial rights records.
<b>Evidential Value</b>	The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. See Historical Value.
<b>Federal Records</b>	See Record.
<b>Federal Records Center</b>	A facility, sometimes specially designed and constructed, for the 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.

**File Plan**

A comprehensive outline that includes the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions that provide guidance for effective management of records, including essential records.

**Format**

For electronic records, this term refers to the computer file format described by a formal or vendor standard or specification, such as International Organization Standard/International Electrotechnical Commission 8632-1, "Information Technology - Computer Graphics - Metafile for the Storage and Transfer of Picture Description Information (CGM)," International Organization Standard/International Electrotechnical Commission 10918, "Joint Photographic Experts Group (JPEG) Standard," WordPerfect for Windows, or Microsoft Word for Windows. For non-electronic records, the format refers to its physical form (e.g., paper, microfilm, and video).

**Functional File System**

A system of files based on the major functions by which the records will be retrieved. With business or mission-related files, these functions mirror the office organization and reflect the nature of the work.

**General Records 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 that relate to the substantive activities an organization undertakes to accomplish its mission or mandate.

**Historical Value**

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

**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."



<b>Housekeeping Records</b>	Records that facilitate the operations and management of an agency, but which do not relate directly to programs that help the Agency achieve its mission; also known as “administrative records.” DCMA refers to these records as “business support.”
<b>Inactive Records</b>	Records that are no longer used in the day-to-day course of business, but which may be preserved and occasionally used for legal, historical, or operational purposes.
<b>Information</b>	Facts, data, or instructions in any medium or form.
<b>Information System</b>	The organized collection, processing, transmission, and dissemination of information IAW defined procedures, whether automated or manual. Most often refers to a system of electronic records.
<b>Interoperability</b>	The ability of systems, units, or forces to, provide services to and accept services from, other systems, units or forces and to use the services so exchanged information enable them to operate effectively together.
<b>Life Cycle</b>	The concept that records pass through three stages: creation or receipt, maintenance and use, and disposition. Records must be managed properly during all three phases of the lifecycle.
<b>Media Type</b>	The material or environment on which information is inscribed (e.g., microform, electronic, paper).
<b>Metadata</b>	Data describing the structure, data elements, interrelationships, and other characteristics of an electronic record. Usually described as data about the data.
<b>Microform</b>	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-opaque.
<b>Non-Record Material</b>	Material not usually included within the definition of Records, such as (1) extra copies of documents, but only if the sole reason such copies are preserved is for convenience of record; (2) library and museum material, but only if such material is made or acquired and preserved solely for reference or exhibition purposes; and (3) stocks of publications. This latter category does not include record sets of publications, posters, and maps that serve as evidence of Agency activities and have value for the information they contain. Non-

record material existing in offices must also be managed. See Personal Files.

**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 Records**

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 Files are required to be filed separately from official records of the office.

**Portal**

The material or environment on which information is inscribed (e.g., microform, electronic, paper).

**Program Records**

Records that relate to the substantive activities an organization undertakes to accomplish its mission or mandate. DCMA refers to these records as “mission support.”

**Receipt Information**

The information in email systems regarding dates and time of receipt of a message, acknowledgement of a message or access to a message by specific address(s). It is not the date and time of delivery to the Agency. If receipt data are provided by the computer system, they are a required part of documents or records received through email.

**Record Copies**

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

**Record Freezes**

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

**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 the FRC or the National Archives. The record group for DCMA is 558; other elements of the DoD are assigned their own record group numbers.

**Record Series**

A description of a particular set of records within a file plan. Each series has retention and disposition data associated with it, applied to all record folders and records within the series.

<b>Record Series Number</b>	DCMA's alphanumeric or numeric identifier indicating a unique record series.
<b>Records</b>	Also referred to as Federal records or official records IAW Section 3301 of Title 44, U.S.C. 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 the informational value of data in them.
<b>Records Control Schedule</b>	A listing prepared by each Agency office identifying the records series, filing arrangement, and ultimate disposition of all files maintained. Also called a Records Disposition Schedule or Records Retention Schedule.
<b>Records Disposition Schedule</b>	Sometimes called a Records Control Schedule, Records Retention Schedule or a Records Schedule. The administrative document used by DCMA 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 DCMA records that already have accumulated and that will accumulate in the future.
<b>Records Inventory</b>	A survey of Agency records to gain information needed 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.
<b>Records Management</b>	The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records 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.
<b>Records Officer</b>	The person responsible for, or engaged in, a records management program. Sometimes called "records administrator."
<b>Records Schedule</b>	Provides mandatory instructions for the disposition of the records (including the transfer of permanent records and disposal of temporary records) when they are no longer needed by the Agency.

As part of the ongoing records life cycle, disposition must occur in the normal course of Agency business. All Federal records must be scheduled (IAW Section 3303 of Title 44, U.S.C.) either by an Agency schedule or a GRS). The records schedule may include:

- a. SF 115 that has been approved by NARA to authorize the disposition of the Federal Records;
- b. A GRS issued by NARA; or
- c. A published Agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more SF 115s or issued by NARA in the GRS.

<b>Retention Period</b>	The time period that a specific series of records is to be kept. Also called “retention standard.”
<b>Retirement</b>	The movement of inactive files having a permanent or long-term value to the FRC for storage, servicing, and ultimate disposition. See transfer.
<b>Screening</b>	The examination of records to apply access restrictions and to determine the presence of extraneous material (e.g., extra copies, classified cover sheets, mail control forms, envelopes, routing slips (except those with remarks of significant value), blank forms) before filing and before transfer or retirement.
<b>Series</b>	File units or documents arranged IAW an approved filing system. Also called “record series.”
<b>Storage</b>	The space for non-active records, which can be digital, optical, or physical.
<b>Structured Data</b>	Any data that has an enforced composition to the atomic data types. The data is managed by technology, which allows for querying and reporting. Example of structured data is a database.
<b>Sustainable Format</b>	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.
<b>Temporary Records</b>	Records that NARA approves for either immediate disposal or for disposal after a specified time or event.
<b>Transfer</b>	The act or process of moving records from one location to another,

especially from the office space in which the record is used, to Agency storage facilities or the FRC, from one Federal agency to another, or from office or storage space to NARA for permanent preservation. Transfer does not relieve the owning organization of legal and management responsibilities for non-permanent records. Transferring permanent records to NARA does not transfer legal ownership and responsibility for the records to NARA until an SF 258 is generated by NARA and approved by the transferring agency.

<b>Transfer Number</b>	The control number given to any Agency functional element retiring records to the FRC. This number consists of the Record Group number, fiscal year in which the number was issued, and a four-digit sequential control number. The transfer number is the basic reference for any records shipment and must be used when retrieving records from the FRC.
<b>Transitory Record</b>	Records of short-term interest (180 days or less), including in electronic form (e.g., email messages), which have minimal or no documentary or evidential value.
<b>Transmission Data</b>	The information in email systems regarding the date and time messages were sent or forwarded by the creator. If this data is provided by the email system, it is required as part of the record for documents that are transmitted and received via email.
<b>Unscheduled Records</b>	Records whose final disposition has not been approved by the Archivist of the United States.
<b>Unstructured Data</b>	Any data stored in an unstructured format. Refers to computerized information, which does not have a data structure, which is easily readable by a machine and requires human intervention to make the data machine readable. Examples of unstructured data are emails, spreadsheets, or word processing documents.
<b>Version</b>	Changes in version imply substantive changes in content rather than differences in format.
<b>Website</b>	Websites 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.

**Working Files**

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. An accumulation of working files may also include non-record material and 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).

## GLOSSARY

### G.2. ACRONYMS

ACRONYM	MEANING
AO	Action Officer
ARCIS	Archives and Records Centers Information System
ARO	Agency Records Officer
CAS	contract administration service
CD	compact disk
CD-ROM	compact disk – read on memory
CFR	Code of Federal Regulations
CMO	Contract Management Office
COOP	Continuity of Operations Plan
CUI	controlled unclassified information
DCMAF	DCMA Form
DCMA Form 4501-04	Records File Plan
DCMA Form 4501-04-01	Records Inventory Worksheet
DCMA Form 4501-04-02	Essential Records Inventory Worksheet
DCMA Form 4501-04-03	Electronic Information System Appraisal
DCMA Form 4501-04-04	Cross Reference Form
DCMA Form 4501-04-05	Charge Out Card
DCMA Form 4501-04-06	Component Records Management Checklist for Processing the Departure of Senior Officials
DCMA Form 4501-04-07	Records Management Checklist for Departing Employees
DCMA Form 4501-04-08	Records Management Appointment/Termination Notice
DCMA-MAN	DCMA Manual
DFARS	Defense Federal Acquisition Regulation Supplement
DoDI	Department of Defense Instruction
dpi	dots per inch
DVD	digital video disk
eDRMS	Electronic Document Records Management System
EIS	Electronic Information System
EM	emergency management
email	electronic mail
EO	Executive Order
ERA	Electronic Records Archive
FAR	Federal Acquisition Regulation
FOIA	Freedom of Information Act
FRC	Federal Records Centers

GC	General Counsel
GRS	General Records Schedule
IAW	in accordance with
IM	instant messages
IT	information technology
JPEG	Joint Photographic Experts Group
NARA	National Archives and Records Administration
NA Form 14028	NARA Information System Inventory Form
NA Form 14097	NARA Technical Description for Transfer of Electronic Records
NSN	National Stock Number
OCR	optical character recognition
OMB	Office of Management and Budget
PA	Privacy Act
.pdf	Portable Document Format
PII	personally identifiable information
RC	Records Coordinator
RDP	Records Disposition Panel
RIM	Records and Information Management
RLO	Records Liaison Officer
RMA	records management application
SAORM	Senior Agency Official for Records Management
SF	Standard Form
SF 115	Request for Records Disposition Authority
SF 135	Records and Transmittal Receipt
SF 258	Agreement to Transfer Records to the National Archives
SGML	Standard Generalized Markup Language
SNS	social networking sites (also known as social media)
SOP	standard operating procedures
SORN	System of Record Notice
URL	Uniform Resource Locator
U.S.C	United States Code



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