



# Defense Logistics Agency MANUAL

DLAM 5015.01, Volume 1  
September 29, 2015

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J62

**SUBJECT:** Records Management (RM) Procedures Manual for Creating, Maintaining and Dispositioning the Defense Logistics Agency (DLA) Records. Volume 1 – Records Management, Disposition and Evaluation

**References:** Refer to Enclosure 1

## 1. PURPOSE.

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

b. Volume. This Volume sets forth responsibilities and procedures for the life-cycle management and evaluation of record and non-record material, regardless of media, within the DLA.

2. APPLICABILITY. This manual applies to Headquarters DLA, DLA Primary Level Field Activities (PLFAs) and subordinate DLA Field Activities (hereafter referred to collectively as “DLA Components”).

3. DEFINITIONS. See Glossary.

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

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. Enclosures 3 through 8 provide general standard procedures for Records Management functions in DLA.

7. INTERNAL CONTROLS.

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

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

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

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

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

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

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

(2) Number of DLA Form 1689 file outlines completed and reviewed for their organization and identify any discrepancies.

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

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

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

9. EFFECTIVE DATE. This DLAM 5015.01, vol.1 is effective upon its publication to the DLA Issuances Website.

KATHY CUTLER  
Director, DLA Information Operations  
Chief Information Officer

Enclosures

1. References
2. Responsibilities
3. Identifying Records and Recordkeeping Requirements
4. Management of Records and Information
5. Disposition Procedures
6. Employee Transfer/Departure Procedures
7. Disposition of Personal Files and Non-Record Material
8. Records Management Evaluations

Figures

Glossary

TABLE OF CONTENTS

ENCLOSURE 1: REFERENCES.....9

ENCLOSURE 2: RESPONSIBILITIES..... 11

APPENDIXES

    1. Sample Designation Letter for Component Records Officer.....17

    2. Sample Designation Letter for Records Coordinator.....18

ENCLOSURE 3: IDENTIFYING RECORDS AND RECORDKEEPING REQUIREMENTS.....19

    RECORDS .....19

        Identifying a Federal Record.....19

        Preliminary Drafts and Working Papers .....20

        Records (Electronic/Hardcopy).....20

    RECORDKEEPING SYSTEM .....20

        Records.....20

        People.....20

        Processes .....21

        Tools.....21

    RECORD CATEGORIES .....21

        Program Records .....21

        Administrative Records.....21

    RECORD VALUE.....21

        Agency Viewpoint .....21

        NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NARA)

            Viewpoint.....21

    TRUSTWORTHY RECORDS .....22

        Authenticity.....22

        Reliability.....22

        Integrity .....22

        Usability .....22

    RECORDKEEPING REQUIREMENTS .....22

        Agency Requirements .....22

        Program Requirements .....22

        Series Specific Requirements.....23

    RECORDS INVENTORY .....24

        Key Factors in Establishing an Inventory .....24

        Focus of Inventory .....24

        Steps in Inventorying Records .....24

    SCHEDULING RECORDS.....26

        Request Authority to Dispose of Records .....26

        Records Scheduling Process .....26

APPENDIXES

1. Life Cycle of a Non-electronic Record.....28  
2. Process Flow guide for Determining a Record .....29  
3. Process Flow guide for Determining an E-mail Record.....30  
4. Records Inventory Checklist.....31

ENCLOSURE 4: MANAGEMENT OF RECORDS AND INFORMATION.....32

DLA FUNCTIONAL FILES SYSTEM... .....32  
RECORDS ARRANGEMENT... .....32  
    Access .....32  
    Security .....32  
    Space .....32  
    Arrangement.....32  
FILE PLAN DESIGNATION.....32  
    Roadmap to Records... .....32  
    File Plans are a Living Document.....33  
    Review and Approval.....33  
    Records Schedule Review.....33  
    Centralized Filing.....33  
    Record Requirements .....33  
    Record Responsibility .....33  
    Local Evaluations.....33  
    DLA Site Evaluations .....33  
BASIC FILE GROUPING.....33  
    Subject Files .....34  
    Case or Project Files.....34  
    Reference Files.....34  
    Working Files.....35  
FILING ARRANGEMENTS.....35  
    Numerical Arrangements .....35  
    Chronological Arrangement.....35  
    Alphabetical Arrangement .....35  
    Alpha-Numeric Arrangement.....35  
    Functional Arrangement.....35  
FUNCTIONAL FILE SYSTEM CONCEPT .....36  
ORGANIZATION of the DLA FILE SYSTEM .....36  
APPLICABILITY.....36  
FUNCTIONAL AREA NUMBERING SYSTEM .....36  
    Individual Schedules .....36  
    Rules.....37  
    Record Series Number .....37  
    Schedule Layout.....37  
RECORDS CONTROL .....38  
    Proper Filing .....38  
    File Folders .....38  
    Effective Documentation .....39  
RECORDS CUTOFF PROCEDURES.....39

Move to Inactive Status.....	39
Annual, Fiscal or Event.....	39
PREPARING AND USING GUIDE CARDS, FILE FOLDERS AND LABELS.....	39
Guide Cards.....	39
File Folders .....	39
Labels .....	40
Label Abbreviations .....	40
CROSS-REFERENCE.....	41
LABELING FILE DRAWERS.....	42
CLASSIFIED INFORMATION.....	42
Safeguarding .....	42
Interfiling.....	42
MANAGEMENT OF DOCUMENTS AND INFORMATION.....	42
APPENDIXES	
1. DLA Form 1689 – File Plan .....	44
2. DLA Form 1936 – DLA Standardize Recordkeeping Evaluation .....	45
3. Record Label Samples... ..	46
4. Charge-Out Card (OF-23 cancelled).....	48
ENCLOSURE 5: DISPOSITION PROCEDURES .....	49
GENERAL.....	49
RECORDS DISPOSITION CATEGORIES .....	49
Temporary Records .....	49
Permanent Records.....	49
Unscheduled Records.....	50
DISPOSITION STANDARDS.....	50
SOURCE OF RETENTION PERIODS.....	50
CHANGES TO RETENTION PERIODS .....	51
Increased Retention Periods.....	51
Reduced Retention Periods .....	51
Conversion of Paper Records to Electronic or Other Media.....	51
RECORD FREEZES, PRESERVATION ORDERS, LITIGATION HOLDS OR MORATORIUMS.....	51
UNSCHEDULED (UNIDENTIFIED) RECORDS.....	51
DISPOSITION INSTRUCTIONS .....	52
Records with 1-month Retention .....	52
Records with 3-month Retention .....	52
Records with 2- to 10- Year Retention .....	52
Records with Flexible Retention.....	52
Records with Event Retention.....	52
Records that are Unscheduled.....	52
DISPOSITION PROCEDURES.....	53
PHYSICAL RECORDS DESTRUCTION.....	54
Unclassified Information.....	54
For Official Use Only Records and Controlled Unclassified Information .....	54
Classified Information.....	54

TRANSFER OF FILES .....	54
TRANSFER TO OTHER GOVERNMENT AGENCIES.....	54
Transfer to National Archives.....	54
Transfer to Other Agencies .....	54
NORTH ATLANTIC TREATY ORGANIZATION (NATO) DOCUMENTS.....	55
RECORDS CUSTODY TRANSFER, REORGANIZATION AND	
UNAUTHORIZED DESTRUCTION OF RECORDS.....	55
Transfer of Functions .....	55
Re-designation or Reorganization.....	56
Discontinuance of a DLA Component or an Organization.....	56
Damage, Alienation, and Unauthorized Destruction of Records.....	56
RECORD SEARCHES AND PRESERVATION ORDERS .....	56
REQUESTING MODIFICATIONS TO THE DLA RECORDS DISPOSITION .....	
SCHEDULE.....	58
APPENDIXES	
1. DLA Form 1690 .....	60
2. Disposition Table.....	61
ENCLOSURE 6: EMPLOYEE TRANSFER / DEPARTURE PROCEDURES .....	63
TRANSFER/DEPARTING PERSONNEL .....	63
SUPERVISOR RESPONSIBILITY .....	63
INSTRUCTIONS FOR HANDLING OF DEPARTING PERSONNEL OFFICIAL	
RECORDS.....	63
REMOVAL OF NON-RECORDS .....	63
APPENDIX.....	65
ENCLOSURE 7: DISPOSITION OF PERSONAL FILES AND NON-RECORD	
MATERIAL.....	66
RECORD AND NON-RECORD MATERIALS OF GOVERNMENT OFFICIALS .....	66
DISTINGUISHING PERSONAL FILES AND NON-RECORD MATERIAL .....	66
PERSONAL FILES .....	66
NON-RECORD MATERIALS .....	67
Extra Copies of Federal Records .....	67
Non-Records Material Must be Managed.....	67
Removal of Non-Record Material.....	68
Unclassified does Not Equal Public Use.....	68
Transfer of Non-Record Copies of Official Documents .....	68
Donor Responsibility .....	69
Departing/Transferring Personnel.....	69
ACCESS TO DONATED PERSONAL FILES, NON-RECORD MATERIALS AND	
FEDERAL RECORDS .....	69

ENCLOSURE 8: RECORDS MANAGEMENT EVALUATIONS .....	70
GENERAL .....	70
SENIOR AGENCY OFFICER (SAO) .....	70
RECORDS ASSETS.....	70
ASSISTANCE VISITS.....	70
EVALUATION REQUIREMENTS.....	70
Frequency of Evaluation .....	70
Administrative Review.....	71
RM Training.....	71
File Plans and Records Creation .....	71
Records Maintenance .....	72
Hardcopy Recordkeeping.....	72
Electronic Records and E-Mail Management .....	72
Electronic Information System (EIS) / Web-Based Information.....	73
Records Disposition .....	73
Non-Record & Personal Papers .....	73
Storage Requirements (Internal Record Holding Areas) (RHA).....	74
Security .....	74
Results of Last Records Evaluation .....	74
Overall Evaluation .....	75
Scoring Chart .....	75
 GLOSSARY .....	 76
PART I: ABBREVIATIONS AND ACRONYMS .....	76
PART II: DEFINITIONS.....	77
 TABLES	
1. Example of Major Record Categories .....	37
2. Example of Rules Breakdown... ..	37
3. Abbreviation for Record Labels.....	40
 FIGURES	
1. Federal Records .....	19
2. Disposition Instructions .....	53



## ENCLOSURE 1

### REFERENCES

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

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<sup>1</sup> Section 552 is also known as “The Freedom of Information Act”

<sup>2</sup> Section 552a is also known as “The Privacy Act of 1974”

<sup>3</sup> Appendix 2 is also known as “The Federal Advisory Committee Act of 1972”

- Capabilities,” February 25, 2010
- (y) Executive Order 12906, “Coordinating Geographic Data Acquisition and Access: The National Spatial Data Infrastructure,” April 13, 1994
  - (z) DoD 5040.06-M-3, Volume 3 “Visual Information (VI): VI Records Schedule,” September 25, 2008
  - (aa) National Institute of Standards and Technology (NIST), “The NIST Definition of Cloud Computing,” NIST Definition Version, September 28, 2011
  - (bb) DLA Enterprise Organizational Alignment (EOA), January 13, 2010
  - (cc) Defense Logistics Acquisition Directive, Revision 5, May 1, 2013
  - (dd) DLAI Managers’ Internal Control (MIC) Program (DLAD 4.802(f)(90)(b)(1)), September 15, 2009
  - (ee) Office of Management and Budget Circular A-123, “Management’s Responsibility for Internal Control,” current edition
  - (ff) DODM 5200.01 Vol 1-4 DOD Information Security Program, February 24, 2012

## ENCLOSURE 2

### RESPONSIBILITIES

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

### 4. THE GENERAL COUNSEL, DLA (DG). DG will:

a. Coordinate with the DLA Records Officer as appropriate to implement or discontinue a records freeze arising from pending or active litigation.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(1) CROs may be identified as:

(a) Component Records Officers collectively

(b) Local or Site Component Records Officer

(c) Lead Component Records Officer

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

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

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

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

13. THE RECORDS COORDINATOR (RC), DLA. The RC will:

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

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

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

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

14. THE EMPLOYEES, DLA. DLA employees (Civilian, Contractor and Military), will:

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

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

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

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



APPENDIX 1 TO ENCLOSURE 2

Sample Designation Letter for Component Records Officer

DESIGNATION LETTER for COMPONENT RECORDS OFFICER

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

MEMORANDUM FOR ORGANIZATION NAME

SUBJECT: Designation of Component Records Officer

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

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

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

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

JOE E. DOE  
Director and/or Supervisor  
Title

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APPENDIX 2 TO ENCLOSURE 2

Sample Designation Letter for Records Coordinator

SAMPLE- DESIGNATION LETTER for RECORD COORDINATOR

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

MEMORANDUM FOR **COMPONENT DIRECTORATE**  
**ATTN: COMPONENT RECORDS MANAGER UNIT**  
**DESIGNATION**

SUBJECT: **Appointment of Records Coordinator (RC)**

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

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

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

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

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

**FIRST MI. LAST**  
Duty Title  
BU Name

## ENCLOSURE 3

### IDENTIFYING RECORDS AND RECORDKEEPING REQUIREMENTS

1. **RECORDS.** Federal Records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by 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 the data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of process documents are not included. (44 U.S.C. 3301). (See Figure 1)

**Figure 1.**

**Federal Records**

The following, regardless of form or characteristics, are examples of Federal records. This list is not all inclusive.

- Letters and Memorandums
- Completed Forms
- Statistical and narrative reports
- Maps
- Architectural, engineering and other drawings
- Electronic Records (e-mail, digitized images, etc.)
- Photograph prints and negatives (digital and hard copy)
- Motion Picture and films
- Tape recordings
- Graphics
- Audio and video recordings

a. **Identifying a Federal Record.** Use the process flow guide for determining a record and Email (Appendix 2 and 3 to Enclosure 3, DLAM 5015.01, Volume 1) Some files may not be readily identified as records. If the answer to any of the following questions is yes, the document is a Federal Record. This information is also located on the DLA Records Management eWP Tools page.

(1) Was the creation or submission and maintenance of the document required by the organization?

(2) Was the document used to conduct or facilitate agency business?

(3) Does it contain unique information that explains formulation of significant program policies and decisions? (This would apply if the document is a draft or preliminary document created for background or a similar purpose).

(4) Was the document distributed to other offices or agencies for formal approval or clearance?

(5) Was the document placed in an organization file to support agency business?

(6) Is the document part of an (EIS) used to conduct Government business?

(7) Is the document covered by one of the record series in the DLA Records Disposition Schedule?

b. Preliminary Drafts and Working Papers. Are considered Federal Records if they:

(1) Explain how the agency formulated and executed significant program policies, decisions, actions, or responsibilities.

(2) Contain unique information, such as annotations or comments.

c. Records (Electronic/Hardcopy). Multiple copies of the same document may each be a record if each serves a separate functional and/or administrative purpose and if they are kept in separate filing or recordkeeping systems. (Example: Correspondence sent by one office and received by another. Each office would keep a copy of the record).

2. RECORDKEEPING SYSTEM. A “recordkeeping system” is a manual or automated system that collects, organizes, and categorizes records, facilitating their preservation, retrieval, use and disposition. All Federal agencies are required to create and maintain authentic, reliable, and usable records and ensure that they remain so for the length of their authorized retention period, regardless of format. Details can be found in 36 CFR Chapter XII – Subchapter B – Records Management (Reference (f)). A recordkeeping system has four components.

a. Records. Information resources, in any format, that are:

(1) Created in the course of business.

(2) Received for action.

(3) Needed to document Agency activities.

b. People. Agency RM, CRO and RC, Program Managers and Supervisors who oversee a RM program; and all Agency employees, who create, receive, and use records in conducting DLA business.

c. Processes. Procedures on how to manage records throughout their lifecycle (Appendix 1 to Enclosure 3).

d. Tools. Equipment and software used to capture, organize, store, track and retrieve the records.

### 3. RECORD CATEGORIES. Records are categorized as the following:

a. Program records. Documents the unique, substantive (functional) activities for which each business unit is responsible.

b. Administrative Records. Documents the agency's routine administrative support activities. These records relate to budget, personnel, supply or facilitative functions common to most agencies, in contrast to program records. These types of records comprise an estimated one-third of the total volume of records created by Federal agencies.

4. RECORD VALUE. Is based on the agency's business need and NARA's historical judgment. The value of records is not necessarily determined by how long they are kept or if the document is an original or a copy. Agency record values fall into three overlapping categories: Administrative, Fiscal, and Legal. The evaluation process (also called scheduling) is participative and includes the document creator and recipient, DLA Records Management staff, and NARA appraisers, as required.

a. Agency Viewpoint. Records provide:

(1) A basic tool by which the agency conducts its business.

(2) Documentation of the agency's organization, functions, policies, decisions, procedures, and essential transactions.

(3) Information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities.

b. NARA's Viewpoint. Records provide:

(1) Sufficient historical or other value to warrant their continued preservation by the Government. Such records may be kept mainly because they document an agency's origins, organization, functions, and significant transactions and activities. They are kept because they document persons, places, things, or matters dealt with by an agency because they contain information with significant research or reference value.

5. TRUSTWORTHY RECORDS. In order to support agency business needs, records must be handled in a manner that ensures trustworthiness during each stage of the lifecycle. Trustworthiness of a record is established by thoroughly documenting the recordkeeping system's operation and the controls and the safeguards imposed upon it. There are four characteristics needed in a recordkeeping system to ensure trustworthy or authoritative records.

a. Authenticity. The accurate accounting or documentation of an activity, transaction or decision.

b. Reliability. Content can be trusted as a full and accurate representation.

c. Integrity. Assuring that the information has not been changed subsequent to its creation.

d. Usability. Information can be located, retrieved, presented, and interpreted by all who need it, throughout the entire lifecycle.

6. RECORDKEEPING REQUIREMENTS. DLA creates numerous records in a variety of media and Federal law requires that DLA make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. There are three basic components of a comprehensive recordkeeping requirements package:

a. Agency requirements. The Agency is responsible for developing the overall framework for the recordkeeping requirements program which includes issuing policy and procedures to include the definition of a Federal record and non-record, program responsibilities, management of records in all media, records creation and disposition and filing requirements.

b. Program requirements. Programs must address the types of records that must be kept to adequately and properly document an organization's activities. Some requirements derive from legislation, as in cases where programs are required to maintain certain types of records (i.e., Contracting and Personnel). Other program requirements are less well identified, often because the "program" crosses organizational boundaries. There is an obvious need to develop an overall set of recordkeeping requirements for these types of records. At the program level, recordkeeping requirements must identify four types of information at a high level:

(1) Function performed. Basic records series must be created and maintained by all organizations to document their activities. DLA recordkeeping requirements are determined by utilizing the Enterprise Organizational Alignment (EOA), General Orders, and Mission and Functions, to document and assist in identifying records created by organizational offices. EOA is prescribed by the following:

(a) The (EOA) Instruction. The EOA establishes policy that Organizational Alignment changes, to include establishment, disestablishment, re-designations and/or transfers,

of HQ DLA and Field Activity mission areas must be consistently applied and documented in a General Order, Missions and Functions Statement, and Organizational Charts.

(b) EOA Mission & Functions. Business units need to identify records created by each function they perform. Each mission and function has the potential to create one or more records requirement and one or more mission and functions may create only one record requirement. As mission/functions change or after major reorganizations a review must be conducted to determine if new records are created or there is a change to the creation of existing records.

(2) Responsibility. Identify the programs or offices responsible for the record copies of those series.

(3) Relationship. Relationships among the series, including the relationships of hard copy to electronic files, system input documents, legal and audit requirements, and similar questions.

(4) Retention. Overall retention strategy to ensure the documentation is retained long enough to meet programmatic, administrative, fiscal, legal, and historical needs.

c. Series Specific Requirements. Third level of recordkeeping requirements identifies what records are to be included in the specific records series and how they are to be arranged. Series level recordkeeping requirements incorporate a number of pieces of information and should answer certain questions:

(1) Location and custodian of the series. (Identify Headquarters and/or Field Activity and the DLA Component creating/maintaining the series).

(2) Relationship to other records.

(3) Retention and Disposition.

(4) File identification and arrangement.

(5) What documents need to be included in the file?

(6) What documents can be safely discarded?

(7) Is it necessary to retain drafts?

(8) When and how should telephone calls, meetings, and electronic mail exchanges be documented for the record?

(9) For project case files, should there be a single series, or should the documentation be divided between an "official case file" or primary documentation and a "case working file" containing supporting information? (Note: Answers to questions are best developed in work groups made up of program staff, administrative staff, program managers, and legal staff so all

documentation requirements are adequately addressed. In programs where active records are held by the programs staff, it is necessary recordkeeping requirements be coordinated so they are consistently implemented by everyone).

7. RECORDS INVENTORY. A records inventory is a complete and accurate survey of an agency's business information that documents the function, flow, and description of records. It provides information needed to develop record schedules (identifies the series, description and retention of records). It is the first step in creating a records schedule and a file plan.

a. Key Factors in Establishing an Inventory. There are three key factors that are the first steps in creating an inventory.

(1) Goal. Define why the inventory is being conducted.

(2) Scope. Define what records will be inventoried (current records in office space, records stored off-site, electronic records, etc.)

(3) Management Support. Develop a written plan for collecting the information and present to management to ensure they understand the scope, purpose and use of the inventory. Request Management provide direction to Components to collaborate in the inventory process.

b. Focus of Inventory. The answering of four basic questions about business process are the focus of an Inventory.

(1) Who is currently creating, receiving, and maintaining business information?

(2) What is currently being kept to support these processes?

(3) Where and how are the records stored and maintained?

(4) Why are certain records stored and maintained?

c. Steps in Inventorying Records. There are six steps in conducting an inventory.

(1) What information needs to be collected? An inventory needs to include a comprehensive list of key elements about the records. Key elements include description of record series and information systems.

(a) Record Series. Specific inventory elements to capture for a record series are: date prepared, creating office, maintaining office, person conducting inventory, records location, series title, inclusive dates of information in the series or identify if ongoing, points of contact and description, records medium, arrangement, cutoff, disposition authority if there is an existing approved disposition authority, and any additional information that may help in the evaluation of the records.



(b) Electronic Information System (EIS). Specific inventory elements to capture for an information system are: name of system and acronym, system control number, program supported by the system, agency program(s) or mission(s) to which the system relates along with any authorizing laws or directives, points of contact, purpose of the system, data input and sources, major outputs, is information transferred to another system, subject matter, system geographic coverage, update cycle, major system characteristics, hardware/software environment, system managers, system documentation location, PA restrictions, FOIA restrictions, current disposition authority (if none indicate unscheduled), is the information unique to the system or does it exist elsewhere, identification of person doing the inventory, and date prepared.

(2) How will the information be collected? There are three ways to collect information for records inventory. They are not mutually exclusive and can be used in combination as necessary and recorded on an Inventory Checklist which can be accessed on the DLA RM eWorkplace site. (See Appendix 4 to Enclosure 3, DLAM 5015.01, Volume 1). Choose methods that provide expediency and efficiency.

(a) Questionnaire. The questionnaire is used to collect information about the records in an organization or in one or more of its parts. The questionnaire is sent to various staff members, who use it to account for and describe the information, and files they create, use and store.

(b) Interview. The RM Staff or other designated individual(s) will interview program staff that create and use the record, as they can provide additional information on business needs for the records.

(c) Physical site survey. This is usually the preferred method of collecting information. A site survey involves the use of trained personnel to collect more reliable and complete information about an organization's records. Assigned staff visits each file station and workstation, asking questions and completing forms about the records and information found.

(3) Prepare an Inventory. Tool used for capturing inventory information.

(4) Determine Who Will Conduct the Inventory. The Agency Records Officer or experienced CROs will perform the records inventory as they have an understanding of the project's purpose; however, when the volume of records is unusually large, other agency (departmental or business unit) personnel or contractors may be tasked to do the job.

(5) Identify where the Agency's files are located. Utilize the Agency EOA mission and functions to identify where records are.

(6) Verify and Analyze the Results. Once the inventory is completed the results need to be verified and assessed for quality; including physically spot checking for obvious errors.

8. SCHEDULING RECORDS. A records schedule is a document providing mandatory instructions for what to do with records no longer needed for current Government business, with provision of authority for the final disposition of recurring or nonrecurring records. All Federal records, including those created or maintained for the Government by a contractor, must be covered by a NARA-approved agency disposition authority (DLA Records Disposition Schedule) or the NARA GRS. Records that are not scheduled are referred to as “unscheduled” and MUST NOT be destroyed until they are scheduled and approved by the Archivist of the United States.

a. Request Authority to Dispose of Records (also known as Scheduling Records). Federal agencies must request authority to dispose of Temporary Records or transfer custody of Permanent Records to NARA from NARA.

(1) Business Units/Program Offices. Complete DLA Form 1690, Record Series Recommendation (See DLAM 5015.01, Volume 1, Appendix 1 to Enclosure 5) for each new record series being scheduled or revised and submit to the CRO.

(2) The CRO will enter the information into the Electronic Records Archive (ERA). ERA will route the request to the DLA Records Officer for review, approval and final submission to NARA.

b. Records Scheduling Process. The following principal steps are used in scheduling Federal records.

(1) Conduct a functional or work process analysis to identify the functions or activities performed by each organization unit.

(2) Prepare an inventory for each function or activity to identify record series, systems and non-record material.

(3) Determine the appropriate scope of the records schedule items, e.g., individual series/system component; work process, group of related work processes, or broad program area.

(4) Evaluate the period of time the agency needs each record series or system based on use, value to agency operations and oversight agencies, and legal obligations. Determine if a fixed or flexible retention period is appropriate.

(5) Determine whether the proposed disposition are limited to records in a specific medium or if they are media neutral.

(6) Complete DLA Form 1690 and 1935 (DLAM 5015.01 Volume 2 Appendix 3 to Enclosure 3) if EIS records.

(7) Obtain internal clearances, as appropriate, from program offices, and other stakeholders such as the legal counsel.

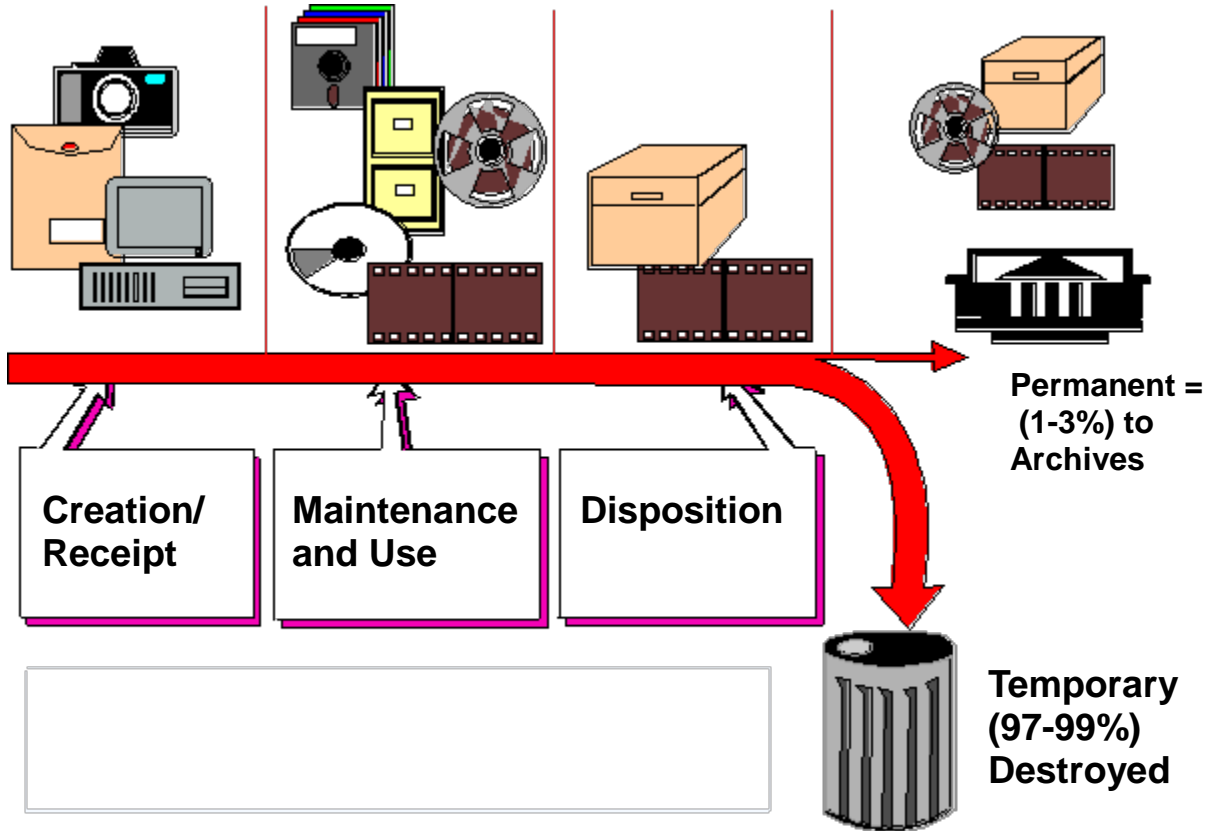
(8) Obtain approval from the Government Accountability Office (GAO), when required.

(9) A DLA Form 1690 and 1935 (if required) is submitted to the CRO for review and submission to the DLA Records Officer.

(10) Disposition Instructions approved by the Archivist of the United States are mandatory (44 U.S.C. 3314).

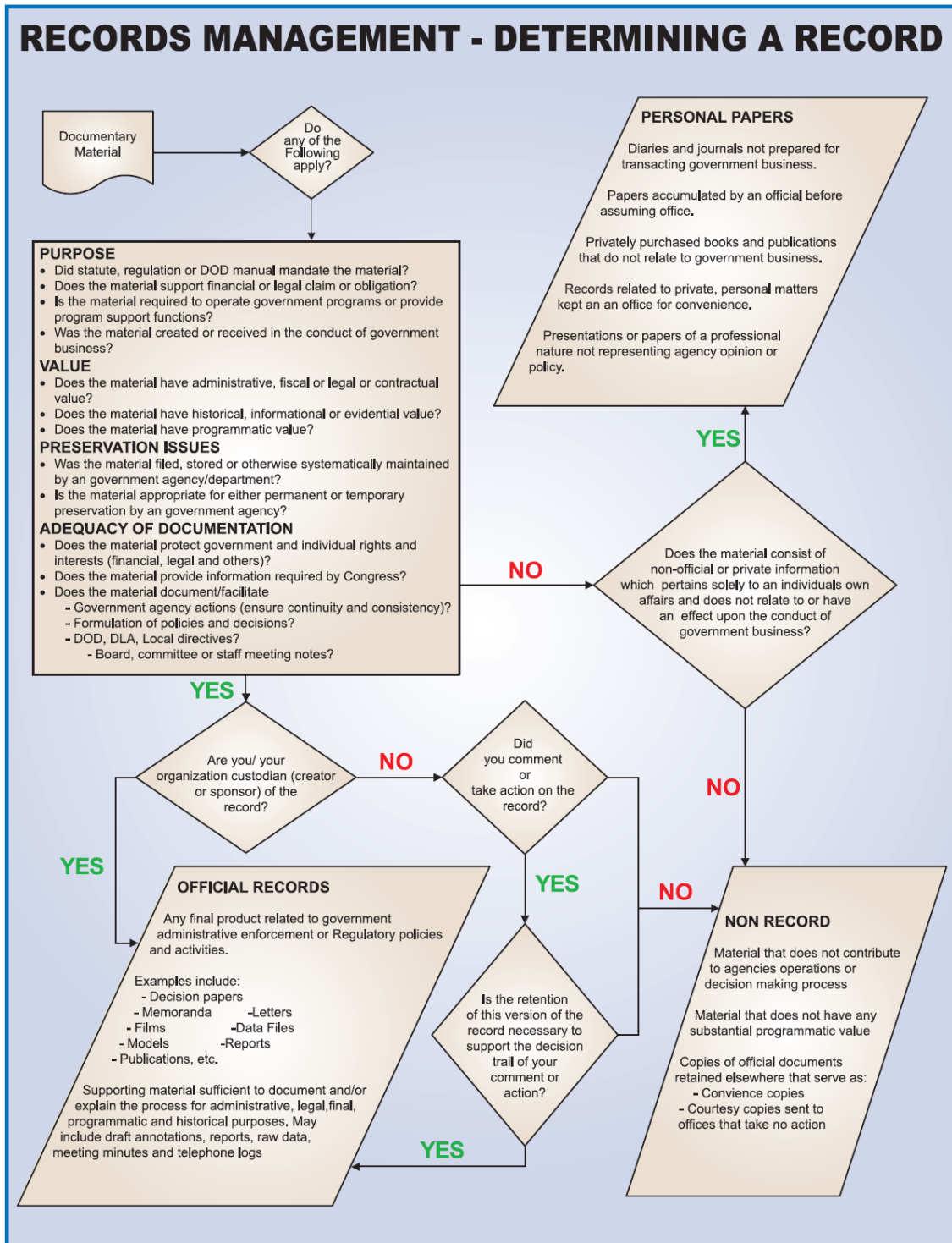
APPENDIX 1 TO ENCLOSURE 3

LIFECYCLE OF A NON-ELECTRONIC RECORD



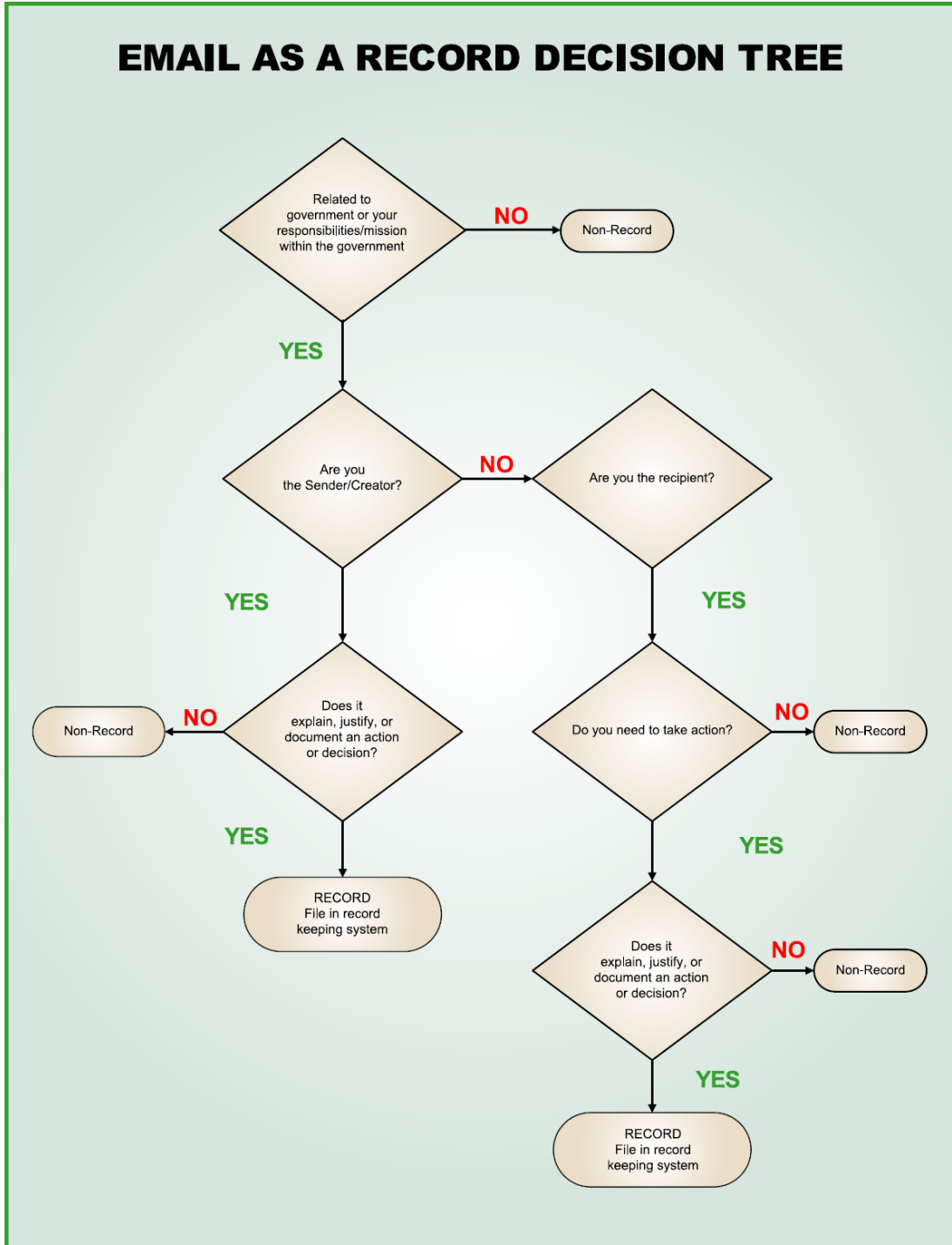
APPENDIX 2 TO ENCLOSURE 3

PROCESS FLOW GUIDE FOR DETERMINING A RECORD



APPENDIX 3 TO ENCLOSURE 3

PROCESS FLOW GUIDE FOR DETERMINING AN E-MAIL RECORD



APPENDIX 4 TO ENCLOSURE 3

**RECORDS INVENTORY CHECKLIST**  
(available on the DLA RM eWorkplace site)

**RECORDS MANAGEMENT INVENTORY**

**1. Organizational Information**

Organizational Component / Division/Business Unit Name:	Building Room Number:	Date of Inventory:
Office of Primary Responsibility Point of Contact for record Name:	Telephone:	Email:
Name of Person(s) Completing the Inventory:	Telephone:	Email:

**2. Record Series Information**

Title of Record Series:	
Description of Record Series. Include contents (i.e., contracts, reports, applications, correspondence), and form numbers.	
Purpose of Record Series: (function or use). (i.e., Track service demands, Input for work requests)	
Location of Record Series (list all locations – including all staff desks, file cabinets, bookshelves, storage areas (off-site and outside of office space))	
<input type="checkbox"/> Original File <input type="checkbox"/> Reference Copy	If Reference, list location of original file.
Is this Record Series still created and/or received: No <input type="checkbox"/> Yes <input type="checkbox"/>	
Inclusive Dates: From:	To:
Retention Requirement: Is there a law or regulation that identifies certain retention for the records? <input type="checkbox"/> Yes <input type="checkbox"/> No Cite law: Business Requirement – Please explain.	
Is there an approved Records Schedule? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes provide Record Series/Disposition Authority:	

**3. Media and Format**

<input type="checkbox"/> Paper <input type="checkbox"/> Microfilm/Microfiche <input type="checkbox"/> Maps <input type="checkbox"/> Drawings/Blueprints <input type="checkbox"/> Electronic Records (other than Electronic Information Systems)
Audiovisual: <input type="checkbox"/> Photographs - <input type="checkbox"/> Digital <input type="checkbox"/> Negatives <input type="checkbox"/> Slides <input type="checkbox"/> Motion Picture <input type="checkbox"/> Digital <input type="checkbox"/> Film <input type="checkbox"/> Audio Recordings
Other: Please explain:

**4. Storage and Volume (see Volume chart in instructions)**

Physical Storage	File Cabinet(s) - Indicate Number of cabinets and Drawers	Bookshelves – Indicate number shelves	Stacks of papers (Height in Inches)
Volume			
Electronic Storage	Shared Network Drive	eWorkPlace	Electronic Information Systems
Volume	K: MB: GB:	K: MB: GB:	Attach Completed DLA Form 1935
Other (Micro film/Fiche)			

**5. Restrictions**

Record restrictions (Check all that apply): <input type="checkbox"/> None <input type="checkbox"/> PII/Privacy Act <input type="checkbox"/> FOIA <input type="checkbox"/> FOUO/Classified
Holds on Disposition – <u>Must be approved by NARA</u> : <input type="checkbox"/> Legal Freeze <input type="checkbox"/> Business Requirement (Contract etc.) <input type="checkbox"/> Subject to Audit

**6. Operational and Administrative Use of Records**

Identify Record Cutoffs: <input type="checkbox"/> End of Calendar Year <input type="checkbox"/> End of Fiscal Year <input type="checkbox"/> Permanent <input type="checkbox"/> Review Records Annually for Need
File Arrangement: <input type="checkbox"/> Calendar Year <input type="checkbox"/> Fiscal Year <input type="checkbox"/> Chronological <input type="checkbox"/> Numerical <input type="checkbox"/> Alphammeric   Is this a case file? <input type="checkbox"/> Yes <input type="checkbox"/> No
Records Reference Activity? <input type="checkbox"/> Current or Active <input type="checkbox"/> Semicurrent/ semiactive <input type="checkbox"/> Noncurrent or inactive (not used for current operations)
What do you do with records when they are no longer needed or used? (check all that apply) <input type="checkbox"/> Leave them in work areas <input type="checkbox"/> Transfer them to a Federal Records Center <input type="checkbox"/> Destroy them <input type="checkbox"/> Move them to inactive storage areas (must meet NARA requirements)
Finding Aids: What finding aids exist? <input type="checkbox"/> None <input type="checkbox"/> File Plan <input type="checkbox"/> Shelf List <input type="checkbox"/> Other
Vital Records are essential to the continuation or resumption of the agency operations after a disaster. Are any documents in this record series considered vital? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, which documents are vital and why?

## ENCLOSURE 4

### MANAGEMENT OF RECORDS AND INFORMATION

1. DLA FUNCTIONAL FILES SYSTEM. The DLA records disposition schedule is a hybrid “functional” and “organizational” file system; however, the implementation of the schedule is based on function. This is the only filing system authorized for DLA; modification of the numbering system is not permitted. This enclosure details how to create and maintain filing systems.

2. RECORDS ARRANGEMENT. To effectively manage records, locate and arrange them to facilitate their use and disposition. Primary considerations include making the files accessible, minimizing duplication, preserving permanent records, and systematically disposing of all others. The factors that shall be considered in the storage and maintenance of hardcopy records are:

a. Access. Records shall be kept sufficiently accessible to the using activities to make maintenance of duplicate files unnecessary.

b. Security. Classified material maintained in security containers or secured areas shall be stored in accordance with References (j) and (ff). Personal information maintained with access restricted to a need-to-know basis shall be stored in accordance with References (h), (l), and (o).

c. Space. Reserve adequate space for present and anticipated needs, factoring in the safety and health of office personnel. Systems selected to manage electronic records must comply with DoD 5015.02-STD (Reference (r)). Consider the retention period of the record when selecting the storage media for electronic records; for permanent records, offices must comply with the requirements in References (e) and (f). Offices storing large quantities of records shall be given fire protection and must meet NARA requirements as identified in 36 CFR 1234 Facility Standards for Records.

d. Arrangement. Position files equipment and supplies to provide control and convenience to the maximum number of users. Store classified files and containers away from windows and doors to prevent illicit acquisition of or unauthorized access in accordance with sections 641 and 2071 of title 18, U.S.C. (Reference (s)). Handle files containing privacy information in accordance with Reference (n).

3. FILE PLAN DESIGNATION. Every business unit and/or program office within DLA will have a file plan(s) and use prescribed DLA Form 1689 (See DLAM 5015.01, Volume 1, Appendix 1 to Enclosure 4). Records created and received in performing mission and functions within the organizational component shall be maintained by the organizational element performing the function and be identified on a DLA file plan.

a. Roadmap to Records. The file plan provides a comprehensive system of identification, maintenance, location and disposition of all record information. At a minimum, each file plan



shall identify the file number, title and brief file description, disposition instructions, media (paper or electronic) and location of the records. Additional information, including record examples, classification, or records custodian, may be added as it suits the business needs of the applicable office.

b. File Plans are Living Documents. File plans shall be updated annually or more frequently if necessary. Office file plans are to be reviewed for accuracy and updated as file numbers are added, changed, or deleted or office functions change. If records are moved or locations otherwise change, the new location information must be updated, as well.

c. Review and Approval. RCs will forward one copy of the file plan to the CRO for review and approval. The CRO and RCs will maintain a record of all approved file plans and the CRO will upload an approved/signed copy of the file plan to the DLA eWP RM website. Offices are to ensure a copy of the file plan is accessible to all employees and contractor personnel that have a need to know and require access to the records.

d. Records Schedule Review. Offices are to review the DLA Records Disposition Schedule periodically and review is mandatory upon major reorganizations or functional changes to ensure that all records are properly identified and the schedule is accurate and complete.

e. Centralized Filing. DLA organizations may centrally locate specialized files of organization-wide interest and use. The organizations may also establish decentralized records systems in their offices if they are more effective and convenient. See DLAM 5015.01 Volume 2, Enclosure 3 for the management of shared network drives.

f. Record Requirements. The DLA organizations shall establish written procedures explaining what records are required and where they are filed by business unit. All locations for a series whether centralized, decentralized, electronic, safes, etc., must be included on the office file plan.

g. Record Responsibility. Each office is responsible for the custody, maintenance, retirement, and disposition of current records and information systems of the office it serves.

h. Local Evaluation. Each office will be evaluated by the organizational CRO annually. Records evaluations need to be completed using DLA Form 1936 DLA Standardized Recordkeeping Evaluation or when there is a re-organization (See DLAM 5015.01, Volume 1, Appendix 2 to Enclosure 4.). DLA Form 1936 will be maintained with the record copy of the office file plan.

i. DLA Site Evaluations. The DLA Records Officer will perform periodic site evaluations of DLA organizations a minimum of every 3 years.

4. **BASIC FILE GROUPING**. Files must be grouped or arranged so that they can provide effective documentation of the action, event, decision, or process that the record is documenting. Effective documentation ensures a complete account of actions taken, commitments made, and results achieved in the creation of records. Documentation applies to records in all media (paper,

electronic, microfilm, audiovisual, etc.). File arrangement is the relative positioning of information in a file. Effective file arrangement 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 in one place to make finding them easier. Subject files consist mainly of general correspondence but may also include forms, reports and other material that relate to programs and functions but not to specific cases (see Case or Project files). The subject file provides complete documentation in the appropriate subject area. An example of subject files is 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 an agency contracting office, for example, might contain proposals, bids, addenda, inspection reports, payment authorizations, correspondence, and legal papers. An agency Contracting Officer Representative, on the other hand, 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 deliverables.

Another example of a case file is the Official Personnel File. Case filing is the most efficient method for the maintenance of large quantities of records.

(1) The information may cover one or more subjects on a case or project but shall always 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 case folders.

(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 maintained separately; however, a DLA Record series must be identified with the case file.

c. Reference Files. Called convenience or working files, reference files may include extra copies of documents that are officially stored elsewhere, such as books, pamphlets, and catalogs. These files must be reviewed periodically and retain only those that are current and of significant reference value in accordance with the DLA Records Disposition Schedule.

d. Working Files. In accordance with Reference (f), working files and similar materials shall be maintained as records for purposes of adequate and proper documentation, if:

(1) They were circulated or made available to employees other than the creator 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 a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities.

5. FILING ARRANGEMENTS. The first step in arranging a group of files is to determine the major functional categories that apply. These are listed in the DLA Records Disposition Schedule. Assistance is also available for DLA RM Staff in making this determination. After selecting the major functions file grouping, a method of arranging each group (see paragraphs 5.a. through 5.e. of this enclosure) is selected based on the primary function by which the file will be requested. Records can be further arranged in one or a combination of the filing arrangements listed in paragraphs 5.a. through 5.e. of this enclosure, depending upon the business or reference needs of the office. Records retrieved by an individual's name or other unique personal identifier assigned to the individual may be subject to the requirements in Reference (n). Contact your local PA Officer for more information.

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

b. Chronological Arrangement. These files are 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.

c. Alphabetical Arrangement. Files identified and retrieved by subject and name.

(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.

(3) Subject. Subject titles are arranged alphabetically.

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

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

6. FUNCTIONAL FILE SYSTEM CONCEPT. Under the DLA Records System, a record document is filed according to the function to which it relates and where feasible with the Federal Enterprise Architecture Lines-of-Business model. This change is to align with the new National Archives and Records Administration (NARA) General Records Schedule (GRS) format. Under this model the GRS groups records by the business process that creates them. Record Series are being condensed to functional processes to form a “bucket” vice a granular approach to managing information and records. Exercise care in determining their administrative, legal and research value to DoD/DLA; their relationship to the organization; usefulness as archival documents; and the costs of keeping them. See the DLA Records Disposition Schedule and the office file plan for proper file number.

7. ORGANIZATION OF THE DLA FILE SYSTEM. DLA’s reformatted records schedule follows the Department of Defense (DoD) issuance numbering system which groups like functions under major subject groups and subgroups. DLA’s new format breaks down functions into individual schedules under the numerical group and subject areas identified below.

<i>Numerical Group</i>	<i>Major Subject</i>
1000-series	Manpower and Personnel
2000-series	International
3000-series	Plans and Operations, Command and Control, Research and Development and Intelligence
4000-series	Logistics, Natural Resources and Environment
5000-series	Acquisition, Administrative Management, Organizational Charters, Security, Public Affairs and Legislative Affairs
6000-series	Health
7000-series	Budget, Finance, Audits and Related Information Control
8000-series	Information Management and Information Technology

8. APPLICABILITY. The DLA Records Disposition Schedule system shall apply to all records and information, regardless of media. Excluded are copies of publications, blank forms, and reference materials, personal papers, books in formally organized and officially designated libraries, and reproduction material, such as stencils and offset masters; this is considered non-record material (See Enclosure 6 of this manual).

9. FUNCTIONAL AREA NUMBERING SYSTEM. The DLA Records Schedule also referred to as a Records Disposition or Records Retention Schedule, is reformatted to align by the function or business process instead of the organization that performs the function. It is broken down into separate schedules using the DoD issuance numbering system as a guideline.

a. Individual Schedules. The individual schedules are based on the Department of Defense (DoD) issuance numbering system subgroup, as shown in Table 1.

Table 1. Example of Major Categories

<b>DLA Schedule Number</b>	<b>DoD Issuance</b>
1400	DoDI 1400.25 Civilian Personnel Management
5015	DoDI 5015.02 Records Management
7000	DoD Financial Management Regulation (FMR) 7000.14

b. Rules. Rules cover the different types of records and their retentions under the schedule. The rule classifies or groups similar documents and/or information created, received or used under the four digit functional schedule number. A rule may have a subset which exists to cover differing retention periods for records that exist in association with the main rule. Rules are assigned by the DLA Records Officer. A rules breakdown is shown in Table 2.

Table 2. Examples of Rules Breakdown

5015	Schedule
3	Rule
3.01	Subset of Rule

c. Record Series Number. The four digit Schedule number plus the Rule equals the Record Series Number. Record series are a filing classification system, similar to the Dewey Decimal system used within libraries. It is a means to identify and file records. Additional numbers may ***not*** be added locally to the DLA Records Schedule.

<u>DLA Schedule</u>	+	<u>DLA Schedule Rule/Records Title</u>	=	<u>Records Series</u>
5015		3 / Records Disposition – SF-115		5015.3
5015		3.01 / Records Disposition – SF-135		5015.3.01

d. Schedule Layout. The new schedule is created by dividing each function into individual schedules that use a table format. The table includes the Rule, Record Series Title and Description (and superseded DLA record series), Disposition Instructions and Disposition Authority.

(1) Files contain a description of the applicable records and a disposition. Some files identify a specific function, others identify all records relating to a work process, group of related work processes, or a broad program area to which the same length of retention is applied; the latter are called “buckets.”

(2) A file plan of all files kept in an office shall be maintained by each office and made available to each employee.

(3) Each office shall determine the functions they are primarily responsible for and identify the records that correspond to their function from the DLA Records Disposition Schedule. Records within a file number may be further arranged by date (Pay files), number arrangement (Contract/Project number), or alphabetical (subject, name, or organization). Records should be arranged to best meet the business needs of the office.

(4) Records retrieved by an individual's name or other unique personal identifier assigned to the individual are subject to the requirements of Reference (n), and should be covered under a published notice in the Federal Register describing the system of records, also known as a "System of Records Notice" (SORN).

(a) Labeling: The file label and file plan must contain the system identifier associated with the system of records notice.

(b) Marking: Mark file folders, file cabinets drawers, etc., containing records subject to the PA with: "The material/information contained herein falls within the purview of the PA OF 1974 and will be safeguarded in accordance with the applicable system of records notice and 32 CFR Part 323."

(c) Contact your local PA Officer for more information.

10. RECORDS CONTROL. The management of information depends upon establishing continuous and systematic control over the creation, maintenance and use, and disposition of agency records and information in accordance with statutory and regulatory requirements.

a. Proper Filing. The establishment and maintenance of proper filing, use of guide cards and filing materials assist in keeping the files orderly and effectively manages information; this aids in retrieving the files, charging them out (Official Form (OF)-23 Form), transferring or destroying inactive files in accordance with approved disposition schedule regardless of media and format.

(1) Charge Out Card. Formerly OF-23 (cancelled) was used to check out records within the office maintaining the file. An example of the cancelled form is included in DLAM 5015.01, Volume 1, Appendix 4 to Enclosure 4. Offices may make their own charge out cards. Replace the withdrawn file with a charge out card with the word "OUT" visible. When charged out records are re-filed, line out the entries on the form and reuse it. Periodically check charge out cards in the file to make sure file material is not kept out of the file for excessively long periods.

(2) Suspense and Follow-up. Initiate a suspense and follow-up procedure to provide control over records loaned outside the file area. Establish a uniform follow-up tracing time for charged out material (normally 5 to 10 working days). Once the suspense period has elapsed, trace records to prevent loss. Note results of tracing actions on charge out card or suspense copy.

b. File Folders. Must be established and labeled with all the information required to identify the information or papers in the folders. See DLAM 5015.01 Volume 2 Enclosure 3 for electronic setup. Variations are permitted as temporary measures only, the standards prescribed

herein should be adopted upon the next annual update or when new files are created or old ones are remade. Modification of file numbers is NOT authorized.

c. Effective Documentation. A complete account of actions taken, commitments made, and results achieved must be documented in the creation of records. Documentation applies to records in all media (paper, electronic, microform, audiovisual, etc.) File arrangement is the relative positioning of information in a file. Effective file arrangement allows for easy retrieval and disposition of records.

## 11. RECORDS CUTOFF (COFF) PROCEDURES

a. Move to Inactive Status. "Records cutoff" is the point when active files no longer needed for current business operation are moved to an inactive status. Express this on the file labels as "COFF Dec 31, 2001," followed by transfer or destruction information. Until the files are transferred to an FRC or destroyed, it is held for reference only; no new documents shall be added after the cutoff date. Inactive records must be kept separate from active ones to guard against misfiles. Put a new folder into the active files to replace the old one.

b. Annual, Fiscal or Event. On an annual, fiscal year basis or an event, whichever is appropriate, all offices shall cut off files and separate active from inactive. Retire, transfer, or destroy eligible material according to disposition procedures contained in the DLA Records Disposition Schedule, and review and destroy all duplicate or extraneous materials. Cut off:

(1) Calendar year files on December 31.

(2) Fiscal year files on September 30.

(3) Files with a retention period of less than 1 year on a monthly or quarterly basis.

(4) Files maintained as case or project files upon the occurrence of a certain event, such as separation of personnel, final contract payment, or project completion. Upon cutoff, move files to an inactive file until they are eligible for destruction or transfer to an FRC, in accordance with disposition procedures in the DLA Records Disposition Schedule.

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

a. Guide Cards. Prepare and use guide cards to identify each major record series or to identify and support portions of the series: type standard labels and attach them to the guide card tab; do not retire or discard file guides when files are disposed of; they should be reused (See Appendix 3 to Enclosure 4).

b. File Folders. Type identifying data on standard labels, positioning them on the folders (See DLAM 5015.01, Volume 1, Appendix 3 to Enclosure 4). When the material in any one folder reaches normal capacity of approximately three-fourths of an inch in thickness, prepare another one. The second folder should begin at a logical point, such as the beginning of a month or a calendar quarter. Place folders behind related guides. When there are several folders under one

number a “dummy “ file with a label that shows all the required disposition information but is not used to file documents may be used as the first folder in the record series. This saves repeating all the same information on the succeeding folders in that series, which requires only the basic series number followed by the file name.

c. Labels

(1) Preparation of Labels. Label all file folders, binders, or electronic media with the file number, title, year file created, cutoff date, disposition instructions, and PA SORN number, if applicable (See Appendix 3 to Enclosure 4). Subtitles and commonly accepted abbreviations may be used (see paragraph 12.d. of this enclosure and Joint Publication 1-02 (Reference (t))

(2) Labels for Removable Electronic Media. Type identifying data on standard labels, positioning them on the media (e.g. compact disks (CDs), digital video disks (DVDs), external hard drives) (See DLAM 5015.01, Volume 1, Appendix 3 to Enclosure 4). Labels contain file number, title, date, author or creator, office name, type of record or name of office (if applicable), PA SORN or security classification (if applicable), software version, and file extension. All files should have a standardized naming convention (example: X:\Research Services\Meetings\2010\_01\_01\_04Agenda.doc) and date format (i.e., YYYYDDMM). In addition the following files must be included in ASCII text format in the media.

(a) A readme.txt file MUST be saved on CDs, DVDs, or external drives, which contains the author’s name, agency, and specific information. Example: Information was prepared by John Doe, DLA. Information herein contains the Audit Reports for the first quarter 2008.

(b) Include CDs, DVDs, and external hard drives that contain records on organizational file plans. The file plan needs to contain the number of CDs, DVDs or external hard drives and type of information contained (i.e., Audit reports, or Government Accountability Office responses), location of CD/DVDs and Disposition).

d. Label Abbreviations. In addition to commonly used abbreviations, use the abbreviations in Table 3 in preparing labels:

**Table 3. Abbreviations for Record Labels**

<b>Abbreviation</b>	<b>Explanation</b>
alpha	Alphabetically
canx	Cancelled
CFA	Current Files Area
chron	Chronologically
COFF	Cut Off
cont	Continue(d)
CUI	Controlled Unclassified Information
CY	Calendar Year
dest	Destroy
del	Deleted



declass	Declassification
disp	Dispatch
dwgrd	Downgraded
FY	Fiscal Year
FOUO	For Official Use Only
FRC	Federal Records Center
geog	Geographically
IAW	In Accordance With
NARA	National Archives and Records Administration
NLN	No longer needed
NPRC (CIV)	National Personnel Records Center Annex, (Civilian Personnel Records), 1411 Boulder Boulevard, Valmeyer, IL 62295
NPRC (MIL)	National Personnel Records (Military Personnel Records) 1 Archives Drive, St. Louis, Missouri 63138
num	Numerical
obsl	Obsolete
org	Organizationally
PA	Privacy Act
perm	Permanent
PIF	Place in Inactive File
ref	Reference
refp	Reference Paper
resc	Rescinded
ret	Retire(d)
rev	Revised
RS	Record Series
RHA	Records Holding Area
ss	Superseded
subj	Subject
temp	Temporary
trf	Transfer
WNRC	Washington National Records Center, Suitland, MD 20746
yr	Year(s)

### 13. CROSS-REFERENCE

a. Cross-references are made to locate documents promptly when needed. A cross-reference is a paper filed under one record series to show the location of material filed elsewhere.

b. Frequently an extra copy can be annotated to show where the original is located and then filed under the cross reference number. When this is not feasible, use a blank sheet, annotated to show the record copy location.

14. LABELING FILE DRAWERS. Label file drawers to facilitate retrieval, and use discretion to prevent revealing the classifications of material stored therein. Only the major file series and inclusive dates of the material shall be indicated.

15. CLASSIFIED INFORMATION

a. Safeguarding. Classified files shall be safeguarded in accordance with References (i) and (ff) in approved classified containers, systems, or secure areas appropriate with the classification of the material to be protected.

b. Interfiling. The interfiling of unclassified and classified information shall be restricted to information that directly supports, explains, or documents the record of the action or transaction.

16. MANAGEMENT OF DOCUMENTS AND INFORMATION. Personnel are required to perform the following procedures to ensure records and information are managed and available to conduct business.

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

b. Ensure each record is complete and enclosures or related papers, to include e-mails, are retained or accounted for in both paper and electronic filing systems.

c. Remove or destroy duplicate copies of information before filing. Ensure duplicate copies of such records retained for convenience are identified and that any duplicates or versions of records retained in computers that are no longer needed for reference are deleted in accordance with the DLA Records Disposition 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. Reinforce torn or frayed temporary papers with transparent tape. Do not tape or attempt to mend permanent documents. (Upon retirement, torn or frayed permanent documents should be supported as best as possible in new file folders. NARA personnel shall mend such documents using methods and materials designed to ensure their preservation.)

f. Assemble related documents for filing. See DLAM 5015.01 Volume 2 Enclosure 3 for electronic media.

- (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 e-mail.

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 the 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 (i.e., reports of inspection of two different organizations).

h. Use a cross-reference sheet for documents brought forward to maintain continuity.

i. 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.

j. Keep 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.

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

l. Avoid cluttering the 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.

m. Ensure all actions in a file are completed before cutting off the record and applying the disposition instructions.

n. Ensure all paper and electronic record files are complete, identified, and maintained in accordance with this manual and DoD requirements. Do not separate case files or project files and ensure the origins of the records are preserved. See DLAM 5015.01 Volume 2 Enclosure 3 of this manual for more information about managing electronic records.

APPENDIX 1 TO ENCLOSURE 4

DLA FORM 1689 – FILE PLAN

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

FILE PLAN				
1. OFFICE DS FBOB			2. DATE LAST UPDATED Apr 1, 2011	
3. PREPARER NAME Cecilia Wiker		4. PREPARER TITLE Component Records Officer		5. PHONE 269-961-4220
6. RM COORDINATOR NAME (if Applicable)		7. PHONE (if applicable)		8. DATE REVIEWED
APPROVED BY				
9. COMPONENT RECORDS OFFICER NAME Cecilia Wiker			10. PHONE 269-961-4220	
11. DATE APPROVED Apr 1, 2011				
RECORDS SERIES	RECORDS TITLE	RECORDS DESCRIPTION	FORMAT AND LOCATION	DISPOSITION AND AUTHORITY
> 110.05 <input type="checkbox"/> VITAL RECORDS	Files Outline	List of file numbers in use within office to aid in filing and for reference purposes	B - Paper - official copy - E copy maintained on S:\510.14 Records Management\110.05 File Outlines\new form for reference purpose only. If electronic records are the official file do not save them to C or H drives -- only a share drive.	Destroy when 6 years old
> 110.10 <input type="checkbox"/> VITAL RECORDS	Suspense Files	Records arranged chronologically as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.	P - 1-2-7 - RM Filing cabinet 1 - Drawer 1	If suspense copy is the file copy incorporate it into the official file.
> 110.10 <input type="checkbox"/> VITAL RECORDS	SF-135Faxed - waiting for accession number from FRC		P - 1-2-7 - RM Filing cabinet 1 - Drawer 1	If suspense copy is the file copy incorporate it into the official file.
> 110.16 <input type="checkbox"/> VITAL RECORDS	Policy and Precedent Files	Duplicate copies of correspondence establishing policy or precedent and retained for office reference.	P - 1-2-7- RM Filing Cabinet 1 - Drawer 1	Destroy each document when superseded, obsolete, or no longer needed for reference.
> 110.16 <input type="checkbox"/> VITAL RECORDS	Policy and Precedent Files - Personally Identifiable Information (PII)		P-1-2-7 RM Filing Cabinet 1 - Drawer 1	Destroy each document when superseded, obsolete, or no longer needed for reference.
> 110.16 <input type="checkbox"/> VITAL RECORDS	Policy & Precedent Files - LOGO/ Emblem Creation DLA Strategic Communications		P-1-2-7-RM Filing Cabinet 1- Drawer 1	Destroy each document when superseded, obsolete, or no longer needed for reference.

APPENDIX 2 TO ENCLOSURE 4

DLA FORM 1936 DLA STANDARDIZED RECORDKEEPING EVALUATION

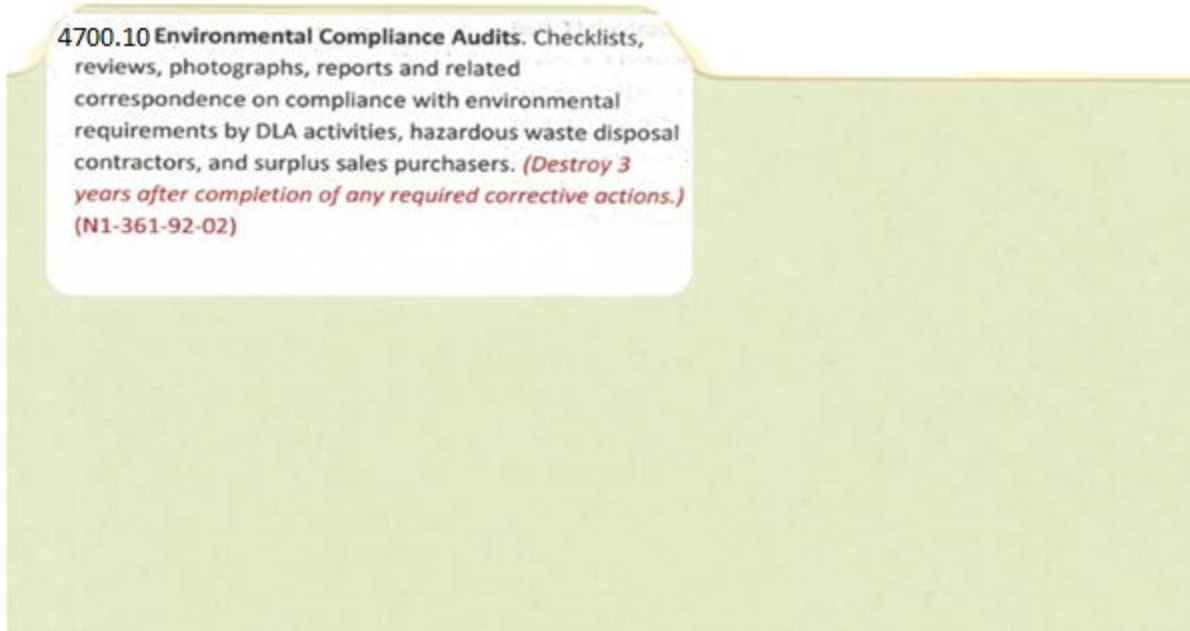
[Print Form](#) [Email Form](#) [Clear](#) [Export Data](#) [Import Data](#) [About](#) [Check for Newer Version](#) [Contact Us](#)

<b>STANDARDIZED RECORDKEEPING CHECKLIST</b>				Prescribed by: DLAI 501.5.01 Sponsor: Document Services
<b>SECTION I - ORGANIZATIONAL UNIT/DIVISION/BRANCH POINTS OF CONTACT INFORMATION</b>				
1. NAME OF ORGANIZATION UNIT/DIVISION/BRANCH				
2. CRO		3. DIVISION/BRANCH/OFFICE RECORDS COORDINATOR		
a. NAME (Last, First, Middle Initial)		a. NAME (Last, First, Middle Initial)		
b. PHONE NUMBER	c. EMAIL ADDRESS	b. PHONE NUMBER	c. EMAIL ADDRESS	
<b>SECTION II - PAPER RECORDS</b>				
4. RECORD SERIES IDENTIFIED				
<input type="checkbox"/> Mission/Functions Records		<input type="checkbox"/> Common Records		
5. RECORDS IDENTIFIED ON THE DLA FILES OUTLINE (DLA FORM 1889)				
<input type="checkbox"/> Records location information (File cabinet or shared network drive)		<input type="checkbox"/> Records media type (Paper or Electronic)		<input type="checkbox"/> Vital Records (as applicable)
6. DISPOSITION OF RECORDS OCCURS IN ACCORDANCE WITH DLA RECORDS DISPOSITION SCHEDULE				
<input type="checkbox"/> Records are destroyed in accordance with the DLA Records Disposition Schedule.			<input type="checkbox"/> User is aware of ability to retire records to FRC.	
<b>SECTION III - RECORDS FILING</b>				
7. <input type="checkbox"/> File Guide is in front of each record series and is labeled with record series, records title and Disposition information.				
8. <input type="checkbox"/> File Folder Labels include record series, title, and year of file (when applicable).				
9. <input type="checkbox"/> File Folders are labeled with privacy act sticker, DLA Form 1461 (when applicable).				
10. <input type="checkbox"/> File Cabinets are labeled with privacy act stickers (when applicable).				
11. Volume of records scanned <input type="checkbox"/> Scanned Records are QC'd <input type="checkbox"/> The organization office does not scan records				
<b>SECTION IV - ELECTRONIC RECORDS (Records stored on Shared Network Drives and eWorkplace)</b>				
12. <input type="checkbox"/> Records on shared network drives and eWorkplace are labeled with record series and owner is aware of disposition information.				
13. <input type="checkbox"/> Records stored electronically are not encrypted (i.e., Records encrypted with CAC are not accessible without the CAC/PIN).				
14. <input type="checkbox"/> Records may be saved in shared folder that is password protected, as long as password is accessible to more than just one individual.				
15. <input type="checkbox"/> Compact Disks that store records are labeled with record series, title and disposition information.				
<b>SECTION V - CONCURRENCE</b>				
16. CRO or RECORDS COORDINATOR (Last, First, Middle Initial)			17. TITLE	
18. I CONCUR WITH THE INFORMATION REPORTED HEREIN (Signature and Date Signed)				

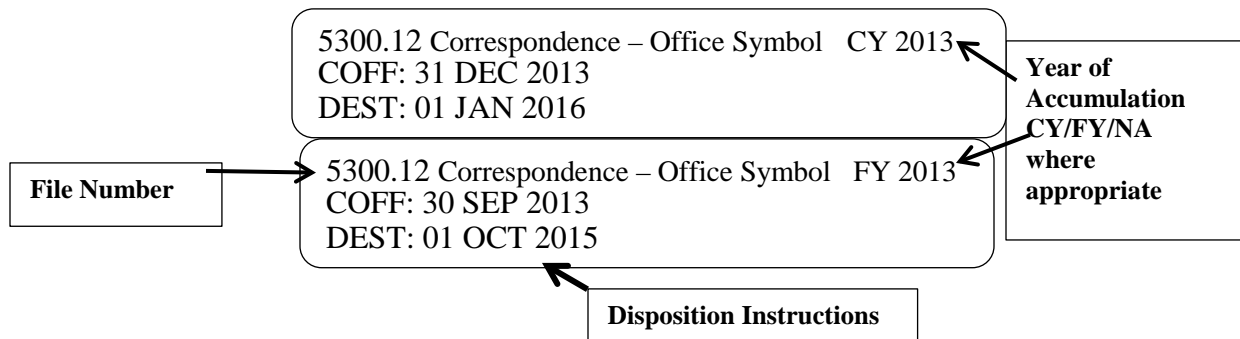
APPENDIX 3 TO ENCLOSURE 4

RECORD LABEL SAMPLES

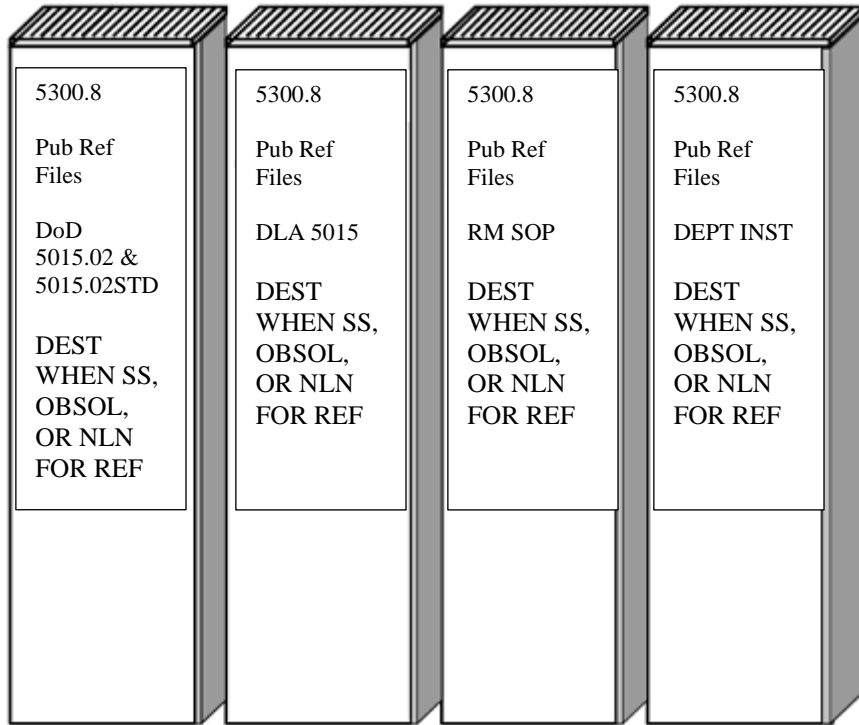
Labeling – File Guide



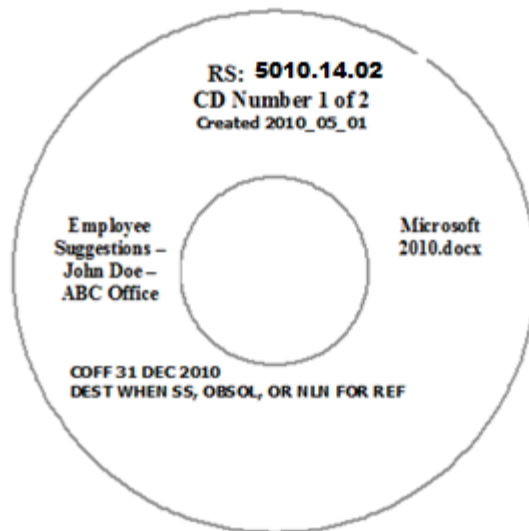
File Folder Labeling – Record Labeling



Labels for Binders Containing Reference Publications



Sample of Labels for Electronic Media



APPENDIX 4 TO ENCLOSURE 4

CHARGE OUT CARD (formerly OF-23-cancelled)

**OUT**

IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)	CHARGED TO (PERSON & OFFICE)	DATE CHARGED OUT

OPTIONAL FORM 23  
FEB 1962  
GSA Circular No. 259

**CHARGEOUT RECORD**  
5023-101

NSN: 7540-00-823-8130

DATE CHARGED OUT	CHARGED TO (PERSON & OFFICE)	IDENTIFICATION OF RECORD (NUMBER, TITLE AND/OR SUBJECT, DATE OF FILE OR DOCUMENT)

**OUT**

FPI-68T



## ENCLOSURE 5

### DISPOSITION PROCEDURES

1. GENERAL. The DLA RM Program is designed to preserve records of continuing value; systematically eliminate all other records; and remove less active records to lower cost 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 DLA records.

2. RECORDS DISPOSITION CATEGORIES. There are three categories of Dispositions records: Temporary (TEMP), Permanent (PERM), and Unscheduled.

a. Temporary Records. Records and information that have a set lifecycle based on agency creation, maintenance, and use, as determined and approved by NARA. These records are destroyed at the end of their set lifecycle.

b. Permanent Records. Records and information determined to be sufficiently valuable for historical or other purposes to warrant continued preservation by the Federal Government and approved by NARA. Permanent records must be kept separate from temporary records, regardless of their format. They must be maintained and tracked within the business unit to ensure they are transferred to the National Archives in accordance with the DLA Records Disposition Schedule. **PAPER MUST NOT BE DESTROYED WITHOUT NARA APPROVAL OF SCANNED IMAGE.**

(1) Permanent records maintained electronically must be saved in a sustainable format that can be transferred to the National Archives and Records Administration (NARA). The following formats have been identified by NARA as being sustainable:

(a) Published Documentation and Open Disclosure. Tagged Image File Format (TIFF) is an example of authoritative specification for scanned images.

(b) Widespread Adoption and Use. Hyper-text Markup Language is an example of a format that has been widely adopted for Internet use.

(c) Self-describing Formats. Extensible Markup Language is an example of a self-documenting format because it describes its structure and field names.

(d) Priority Electronic Records Format. Portable Document Format (PDF) is an example of a priority electronic records format.

(2) Transfer Mechanisms for electronic records are identified in 36 CFR 1235. DLA business units creating permanent records must establish an internal standard operating

procedure for transferring electronic records to NARA using the appropriate media. DLA must transfer records in accordance with the following mechanisms.

(a) Scanned images must be transferred as uncompressed “file(s)”.

(b) Scanned images must be transferred as unaggregated file(s).

(c) For File Transfer Protocol (FTP) provide the Internet Protocol (IP) address for the Agency FTP site, a temporary user name and password for NARA to use in accessing the FTP site and a designated time or time span for NARA to access the records then download a copy to NARA.

(3) Requirement for Records Converted to PDF.

(a) Records converted to PDF from their native electronic formats (e.g., office automation products must include, embedded fonts to guarantee the visual reproduction of all text as created. All fonts embedded in PDF records must be publicly identified as legally embeddable (i.e., font license permits embedding) in a file for unlimited, universal viewing and printing. Specific policy for converted PDF may be viewed in 36 CFR 1235.48.

c. Unscheduled Records. Records and information whose lifecycle has not been determined or authorized by NARA. Unscheduled records, by law, shall be treated as permanent records until NARA approves the schedule for the records in question.

(1) Unscheduled records must be submitted for scheduling within 1 year of being identified.

3. DISPOSITION STANDARDS. The DLA Records Officer will review recommendations for new or revised files disposition procedures or standards, and make recommendations for final approval to the NARA. Changes to the DLA Records Disposition Schedule will be submitted by an organizational CRO in accordance with paragraph 15 of this enclosure utilizing DLA Form 1690 (Appendix 1 to Enclosure 5).

4. SOURCE OF RETENTION PERIODS. Retention periods for categories of DLA records are published in the DLA Records Disposition Schedule. Retention periods cited therein have been established in accordance with RM regulations approved by the Archivist of the United States either upon specific application or through the GRS. Submit recommendations for changes to retention periods and disposition procedures to the DLA Records Officer for approval through the CRO. Records that do not have a NARA approved disposition are considered unscheduled records and cannot, by law, be destroyed or deleted in accordance with Reference (f).

5. 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 NARA's Electronic Records Archiving (ERA) system (Replaces Standard Form SF 115, "Request for Records Disposition Authority). The following general rules apply when changing the retention of a record once it has been approved by the Archivist (**NOTE:** Only the Agency Records Officer can certify and submit changes to NARA and they **MUST** be approved by NARA before being implemented):

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

b. Reduced Retention Period. If the change reduces the retention period, such period shall 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 Paper Records to Electronic or Other Media. Record information previously created and maintained in paper and converted to electronic information within a system will have to be re-evaluated to ensure 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 records or unscheduled records scanned or microfilmed cannot be destroyed without NARA's approval, in accordance with References (e) and (f).

**6. RECORD FREEZES, PRESERVATION ORDERS, LITIGATION HOLDS, OR MORATORIUMS.** The destruction of the affected record information is suspended until the record freeze, preservation order, litigation hold, or moratorium is lifted. The requirement to suspend the retention period is court- or agency-imposed, and all affected record information is retained until all litigation or disputes are resolved. Notification of record freezes, preservation orders, or moratoriums are provided to the DLA Records Officer from the Department of Justice or the DLA General Counsel. These records freeze preservation orders, litigation holds, or moratoriums are usually accompanied by a records search for all applicable information. Records searches must be coordinated with the DLA Records Officer who will notify DLA organizational CROs and NARA of the requested search and records freeze, as applicable. Each organization is responsible for notifying its subordinate activities that a freeze exists or has been lifted.

**7. UNSCHEDULED (UNIDENTIFIED) RECORDS.** Records identified in the GRS or cannot be filed under any record series in the disposition schedule shall be brought to the attention of the DLA Organizational CRO or the DLA Records Officer for scheduling (ERA process). Unscheduled records will be maintained in the current files area (CFA) and treated like permanent records until disposition instructions have been approved by NARA.

8. DISPOSITION INSTRUCTION. The instructions in the DLA Records Disposition Schedule provide the overall retention period for the records involved (for example, destroy after 2 years, destroy after 10 years, or retire 3 years after cut off). The disposal period begins at the date the record is cut off or closed, unless otherwise indicated. Calculate disposition dates using the Disposition Table. (See DLAM 5015.01, Volume 1, Appendix 2 to Enclosure 5) or on-line at: <http://www.nwcg.gov/policies/records/destroydate/destroy.htm>. 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.” Figure 2 provides examples of how disposition instructions are to be placed on official record labels. The periods of retention normally shall be accomplished as:

a. Records with 1-Month Retention. Records having a retention period of 1 month or 30 days will be cut off at the end of the month, held 1 month in the CFA, and then destroyed.

b. Records with 3-Month Retention. Records having a retention period of 3 months or 90 days will be cut off at the end of each quarter, held 3 months in the CFA, and then destroyed.

c. Records with 1-Year Retention. Records having a retention period of 1 year will be cut off at the end of the calendar or fiscal year, held in the CFA, and then destroyed.

d. Records with 2- to 10-Year Retention. Records having a retention period of 2 to 10 years will be cut off at the end of the calendar or fiscal year, held 1 year after cut off in the CFA, and destroyed or retired as provided by the schedules in the DLA Records Disposition Schedule.

e. Records with a Flexible Retention. Records having a flexible retention period such as delete, destroy, or transfer when 5 to 7 years old, will be cut off at the end of the calendar or fiscal year; retained for at least 5 years but no longer than 7 years; and destroyed or transferred as provided by the schedules in the DLA Records Disposition Schedule. The amount of time the record is retained is determined by the business needs of the office. Business requirements need to be documented in a regulation, issuance, or Standard Operating Procedure to ensure consistency in the retention of the record.

f. Records with Event Retention. Records having an event disposition such as cut off when superseded, obsolete, or property is turned in, will be maintained in the active files until the event occurs; transferred to inactive files and cut off at the end of the calendar or fiscal year; held for time period specified after the event; and destroyed or retired as provided by the DLA Records Disposition Schedule.

g. Records that Are Unscheduled. Records having no approved NARA retention period shall be cut off at the end of the calendar or fiscal year and maintained in the CFA until disposition instructions have been published in the DLA Records Disposition Schedule.

## **Figure 2. Disposition Instructions**

### Records with 1-Month Retention

COFF April 30, 2002 DEST June 2002.

### Records with 3-Month Retention

COFF June 30, 2002, DEST Oct 2002.

### Records with 1-Year Retention

Calendar year file: COFF Dec 31, 2002, DEST Jan 2004

Fiscal Year file: COFF Sep 30, 2002, DEST Oct 2003

### Records of 2 to 10-Year Retention

Calendar Year file: COFF Dec 31, 2002, RET to FRC Jan 2004, DEST Jan 2010

Fiscal Year file: COFF Sept 30, 2002, RET to FRC Oct 2003, DEST Oct 2009

### Records with Event Retention

Disposition: Destroy/Delete 15 years after next GAO Audit

Active file: COFF upon next GAO Audit

Inactive file: COFF 31 Dec 2005, DEST JAN 2016

### Records that Are Unscheduled

COFF June 30, 2002, retain in current file area until disposition instructions are approved.

9. **DISPOSITION PROCEDURES.** DLA Organizational Components are required to adhere to the following procedures in the disposition of records.

a. Retire records designated for annual retirement on a calendar or fiscal year basis to the appropriate Federal Record Center (FRC).

b. Withdraw from the active file and destroy or delete documents that are disposable upon an event or action.

c. Terminate files that are disposable after a specific retention period following an event or an action, such as audit, final payment, or completion of a project, on the occurrence of the event or accomplishment of the action. Terminate such files by withdrawing them from the active file and placing them in an inactive file, or in the case of large volumes, simply by discontinuing further filing within the files. Cut off inactive or terminated files and effect disposition in the same manner as for other files with the same retention period.

d. Unless otherwise specified in the disposition instructions, cut off permanent files at the end of the calendar or fiscal year. Start new folders for the new year and place the old folder in the inactive files.

e. Include the CRO or DLA Records Officer in the development of potential information systems or enhancement of current systems to evaluate the system for its record creating potential and determine RM requirements.

10. PHYSICAL RECORDS DESTRUCTION. Records maintained in paper, on Compact Disk (CD), Digital Video Disk (DVD) or other physical media that have reached their approved disposition dates must be destroyed using acceptable destruction methods.

- a. Unclassified Information. Shredding of unclassified information approved for public release is preferred; however it may be placed in recycle bins.
- b. For Official Use Only (FOUO) Records and Controlled Unclassified Information (CUI). Record copies of FOUO documents shall be disposed of according to provisions of chapter 33 of title 44, U.S.C. and DoD 5200.01 Information Security Program (Reference (ff)).
- c. Classified Information. Classified documents and material identified for destruction shall be destroyed completely, to prevent anyone from reconstructing the classified information. Methods and equipment used to routinely destroy classified information include burning, cross-cut shredding, wet-pulping, mutilation, chemical decomposition or pulverizing. Use NSA-approved shredding equipment used for the destruction of classified material

11. TRANSFER OF FILES. The transfer of the files from one organization to another is permitted only when a transfer of functions from one DLA Organizational Component to another requires it. The transferring (losing) organization shall use the records transmittal procedures outlined in DLAM 5015.01, Enclosure 5, paragraph 13a and DLAM 5015.01 Volume 2 Enclosure 5 to properly document the files transfer.

## 12. TRANSFER TO OTHER GOVERNMENT AGENCIES

a. Transfer to National Archives. DLA Organizational Components shall transfer all permanent files to the FRC or Washington National Record Center (WNRC) at periodic intervals so that they may be incorporated into the permanent archives of the Government of the United States. Arrangement for the transfer of the files and the establishment of procedures for their use are the responsibility of the DLA Records Officer. This is accomplished using NARA ERA system or SF 258, "Agreement to Transfer Records to the National Archives," available at: <http://www.gsa.gov/portal/forms/type/SF>. Offices are to provide the unsigned form with a completed box list to DLA Records Officer for submission to NARA's Electronic Records Archive. The SF 258 needs to identify whether the records are classified, available for public use or exempt from release under FOIA, or subject to the PA (see blocks 7, 12, and 13 of the SF 258).

b. 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:

- (1) Records are transferred to a NARA FRC.

(2) The transfer of records or functions or both is required by statute, Executive order, Presidential reorganization plan, specific instructions in the DLA Records Disposition Schedule, or by a specific ruling or agreement.

(3) Authority to transfer DLA records to another Government agency has been obtained from the DLA Records Officer. Recommendations for transfer submitted to the DLA Records Officer shall 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.

13. NATO DOCUMENTS. North Atlantic Treaty Organization (NATO) documents shall be disposed of in accordance with the DLA Records Disposition Schedule.

#### 14. RECORDS CUSTODY TRANSFER, REORGANIZATION AND UNAUTHORIZED DESTRUCTION OF FILES

a. Transfer of Functions. When a function is transferred from one DoD Component (as defined in the Glossary) or from one DLA organization to another, records in the CFA (paper and electronic) relating to the transferred function shall be transferred to the gaining organization where they shall be maintained, as a separate entity, to preserve their administrative origin. The transferring organization must:

(1) Inventory the records to be transferred, include both administrative and mission/function records. Include the volume of records.

(2) Complete a Transfer of Records Custody Document. The DLA Component Organization transferring the function (losing organization) completes the transfer of records custody document including the required documents identified in the custody document to include:

(a) SF-135 Document and Transmittal Form. Available at:  
<http://www.gsa.gov/portal/forms/type/SF>.

(b) Box lists (if applicable).

(3) Memorandum of Record – Custody Transfer of Records. The transferring organization must send a Memorandum of record that identifies a Custody transfer of records is occurring between their organization and the destination (gaining) organization.

(4) A list of the files transferred to the destination organization and a copy of the SF 135 listing inactive files retired to the FRC shall be given to the CRO of the gaining organization and a copy shall be provided to the DLA Records Officer.

b. Re-designation or Reorganization. On re-designation without transfer of function, files shall be maintained in accordance with the appropriate disposition schedules as though no change had occurred.

c. Discontinuance of a DLA Component or an Organization. On discontinuance without transfer of functions records not authorized for immediate disposal shall be retired to the designated FRC, CRO or DLA Records Officer. These procedures are applicable to any specially organized element such as a board, committee, council, or commission.

d. Damage, Alienation, and Unauthorized Destruction of Records. Each DLA Component or organization is responsible for preventing the loss of Federal records.

(1) The CRO and the DLA Records Officer must be notified of any accidental loss or destruction of records.

(2) Records destroyed or damaged due to accidental loss or destruction, such as fire or water, are to be reconstructed by the office of record. Records can be reconstructed from information retained in other file series, non-record materials, or computers. Documentation concerning the reconstruction and cross-referencing materials need to be included to aid in the identification of the record. Information that cannot be reconstructed will be annotated on an SF 135, to be included with the rest of the files series, upon retirement.

(3) Federal records may not be removed from the legal or physical custody of DLA or destroyed without regard to the provisions listed in this manual.

(4) The willful and unlawful destruction, damage, or alienation of Federal records can result in a monetary fine, imprisonment, or both, pursuant to References (f) and (s).

## 15. RECORD SEARCHES AND PRESERVATION ORDERS

a. Record searches and orders to preserve records are coordinated through DLA General Counsel; however the DLA Records Officer should be notified, except for searches in response to requests under the Privacy Act of 1974, as amended, and (5 U.S.C. § 552) (also known and hereinafter referred to as the Freedom of Information Act or (“FOIA”)), which must be coordinated with the PA and FOIA office. Coordination of search and preservation tasking is essential before issuing document search, retrieval, or collection instructions. Vague directions and lack of coordination can lead to loss of data or documents subject to a preservation order. 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, as well as electronic data in the organization’s possession or control. Each DLA Component Organization is responsible for conducting the search and implementing the preservation order as directed. Offices are responsible for 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 regarding a litigation hold request is a team effort involving the General Counsel and RM (CROs and/or RCs), and supporting information systems professionals as applicable. Some searches will require extensive coordination and planning; others can be tasked out with a less formal coordination process. Potentially, end-user representatives, other individuals with knowledge of the relevant computer systems and how data is used, such as information security personnel may need to plan the response. For litigation holds, the DLA General Counsel will be the lead office for responding to the request (or, in appropriate cases where the litigation hold involves only one PLFA, the PLFA Chief Counsel will be the lead office). If documents and data are collected in response to a search, they should be reviewed for matters of privilege, classified information security, or other restrictions on release.

c. Essential considerations for the response to notices of records holds or searches, including litigation holds:

(1) Identify the DLA Component Organization, agencies, offices, and officials whose files (paper or electronic) are reasonably likely to contain relevant documents and information.

(2) Identify a lead office responsible for consolidating the listing documents and data (and assembling the initial collection if required).

(3) Identify contacts in the DLA General Counsel and 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 reasonable search as appropriate.

(6) Issue an internal records search and preservation memorandum or email to responsible officials (both organization heads and accountable records custodians) 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 or email needs to sufficiently describe the type of information that must be preserved so the affected custodians of data can segregate and preserve identified files and data described. It should also provide clear direction on what the custodians should do with any records collected, i.e., if they should be delivered.

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

## 16. REQUESTING MODIFICATIONS TO THE DLA RECORDS DISPOSITION SCHEDULE.

To ensure the DLA Records Disposition Schedule meets legal and business needs of the DLA and its Component Organizations, the OPR shall coordinate through the organization CRO to:

a. Recommend the modification of disposition procedures or schedules to the CRO, providing justification why they need to be changed.

b. Follow the format and writing style used in the descriptions and disposition instructions of the DLA Records Disposition Schedule in presenting recommendations relating to unidentified files. Since the proposed standards may have DLA Components or DLA-wide application, retention period for other offices that may be creating similar records shall be considered and coordinated.

c. The CRO will recommend to the DLA Records Officer the establishment of disposition standards for files for which no instructions are provided by using DLA Form 1690 (See Appendix 1 to DLAM 5015.01, Volume 1, Enclosure 5). Include the following 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 DLA operations or what DLA 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, or other requirements.

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

(a) Cutoff at end of Fiscal Year (FY), retain in the office for 2 years and destroy.

(b) Cutoff at end of Calendar Year (CY), retain in office for 2 years, retire to FRC and destroy after 4 years.

(c) Retain for the years specified above, and then transfer to NARA for permanent retention.

(8) Explain the following:

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

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

(c) Volume to date in cubic feet, number of Compact Disk-Read Only Memory, as applicable.

(d) Dates the files cover.

(e) Annual expected 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 DLA Records Officer to validate retention periods identified in the DLA Records Disposition Schedule. New, revised, or obsolete record information may require revision of the disposition schedule. This process will require the interaction of RM, information technology, and legal staffs.

e. Notify the DLA Records Officer of any unauthorized destruction or damage of official records.

APPENDIX 1 TO ENCLOSURE 5

FORM 1690 – Record Series Recommendation

[Print Form](#) [Email Form](#) [Clear](#) [Export Data](#) [Import Data](#) [About](#) [Check for Newer Version](#) [Contact Us](#)

<b>RECORD SERIES RECOMMENDATION</b>		Prescribed by: DLAI 5015.01 Sponsor: Document Services
<b>SECTION I - TO BE COMPLETED BY SUBMITTER</b>		
<b>1. ACTION RECOMMENDED</b> <input type="text"/>	<b>3. PRESCRIBING REGULATORY PUBLICATION</b> <input type="checkbox"/> DLAI 5015.01 <input type="checkbox"/> General Records Schedule <input type="checkbox"/> Other (Specify)	
<b>2. RECORD SERIES NUMBER</b> <input type="text"/>		
<b>4. TITLE OF RECORD SERIES</b> <input type="text"/>		
<b>5. DESCRIPTION OF RECORDS</b> <input type="text"/>		
<b>6. PURPOSE OF RECORD</b> <input type="text"/>		
<b>7. DLA COMPONENT/BUSINESS UNIT MAINTAINING RECORD</b> <input type="text"/>		
<b>8. RECORDS INFORMATION</b>		
<b>8.a. Are records media neutral?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>8.b. Do records currently exist in electronic formats other than email and word processing formats?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No	<b>8.c. Are records contained in an Electronic Information System (EIS)?</b> <input type="checkbox"/> Yes (Complete DLA Form 1935) <input type="checkbox"/> No
<b>9. RECOMMENDED CUTOFF, DISPOSITION INSTRUCTIONS AND JUSTIFICATION</b>		
<b>9.a. Identify when to cut records off (Close Records)</b> <input type="checkbox"/> End of Calendar Year <input type="checkbox"/> End of Fiscal Year <input type="checkbox"/> After Specific Event		<b>9.b. Disposition Instructions</b> <input type="text"/>
<b>9.c. Justification</b> <input type="text"/>		
<b>10. COORDINATION/CONCURRENCE OF STAKEHOLDERS</b>		
<input type="checkbox"/> Not Required - submitter is Office of Primary Responsibility or change is required by higher level authority <input type="checkbox"/> Stakeholder coordination completed by submitter		
<b>11. NAME AND TITLE OF REQUESTING OFFICIAL</b> <input type="text"/>	<b>12. SIGNATURE AND DATE</b> <input type="text"/>	
<b>SECTION II - TO BE COMPLETED BY THE COMPONENT RECORDS OFFICER</b>		
<b>13. COMPONENT RECORDS OFFICER COMMENT</b> <input type="text"/>		
<b>14. NAME AND TITLE OF COMPONENT RECORDS OFFICER</b> <input type="text"/>	<b>15. SIGNATURE AND DATE</b> <input type="text"/>	
<input type="button" value="Click here to submit to DLA Records Manager"/>		

APPENDIX 2 TO ENCLOSURE 5

DISPOSITION TABLE

Cut Off Date	1	2	3	4	5	6	6/3	7	8	10	15	20	25
CY 95	---	---	---	---	---	---	---	---	---	---	---	1/16	1/21
FY 95	---	---	---	---	---	---	---	---	---	---	---	10/15	10/20
CY 96	---	---	---	---	---	---	---	---	---	---	---	1/17	1/22
FY 96	---	---	---	---	---	---	---	---	---	---	---	10/16	10/21
CY 97	---	---	---	---	---	---	---	---	---	---	1/13	1/18	1/23
FY 97	---	---	---	---	---	---	---	---	---	---	10/12	10/17	10/22
CY 98	---	---	---	---	---	---	---	---	---	---	1/14	1/19	1/24
FY 98	---	---	---	---	---	---	---	---	---	---	10/13	10/18	10/23
CY 99	---	---	---	---	---	---	---	---	---	---	1/15	1/20	1/25
FY 99	---	---	---	---	---	---	---	---	---	---	10/14	10/19	10/24
CY 00	---	---	---	---	---	---	---	---	---	---	1/16	1/21	1/26
FY 00	---	---	---	---	---	---	---	---	---	---	10/15	10/20	10/25
CY 01	---	---	---	---	---	---	---	---	---	---	1/17	1/22	1/27
FY 01	---	---	---	---	---	---	---	---	---	---	10/16	10/21	10/26
CY 02	---	---	---	---	---	---	---	---	---	1/13	1/18	1/23	1/28
FY 02	---	---	---	---	---	---	---	---	---	10/12	10/17	10/22	10/27
CY 03	---	---	---	---	---	---	---	---	---	1/14	1/19	1/24	1/29
FY 03	---	---	---	---	---	---	---	---	---	10/13	10/18	10/23	10/28
CY 04	---	---	---	---	---	---	---	---	1/13	1/15	1/20	1/25	1/30
FY 04	---	---	---	---	---	---	---	---	10/12	10/14	10/19	10/24	10/29
CY 05	---	---	---	---	---	---	---	1/13	1/14	1/16	1/21	1/26	1/31
FY 05	---	---	---	---	---	---	---	10/12	10/13	10/15	10/20	10/25	10/30
CY 06	---	---	---	---	---	1/13	---	1/14	1/15	1/17	1/22	1/27	1/32
FY 06	---	---	---	---	---	10/12	1/13	10/13	10/14	10/16	10/21	10/26	10/31

<b>Cut Off Date</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>6/3</b>	<b>7</b>	<b>8</b>	<b>10</b>	<b>15</b>	<b>20</b>	<b>25</b>
CY 07	---	---	---	---	1/13	1/14	---	1/15	1/16	1/18	1/23	1/28	1/33
FY 07	---	---	---	---	10/12	10/13	1/14	10/14	10/15	10/17	10/22	10/27	10/32
CY 08	1/10	1/11	1/12	1/13	1/14	1/15	---	1/16	1/17	1/19	1/24	1/29	1/34
FY 08	10/09	10/10	10/11	10/12	10/13	10/14	1/15	10/15	10/16	10/18	10/23	10/28	10/33
CY 09	1/11	1/12	1/13	1/14	1/15	1/16	---	1/17	1/18	1/20	1/25	1/30	1/35
FY 09	10/10	10/11	10/12	10/13	10/14	10/15	1/16	10/16	10/17	10/19	10/24	10/29	10/34
CY 10	1/12	1/13	1/14	1/15	1/16	1/17	---	1/18	1/19	1/21	1/26	1/31	1/36
FY 10	10/11	10/12	10/13	10/14	10/15	10/16	1/17	10/17	10/18	10/20	10/25	10/30	10/35
CY 11	1/13	1/14	1/15	1/16	1/17	1/18	---	1/19	1/20	1/22	1/27	1/32	1/37
FY 11	10/12	10/13	10/14	10/15	10/16	10/17	1/18	10/18	10/19	10/21	10/26	10/31	10/36
CY 12	1/14	1/15	1/16	1/17	1/18	1/19	---	1/20	1/21	1/23	1/28	1/33	1/38
FY 12	10/13	10/14	10/15	10/16	10/17	10/18	1/19	10/19	10/20	10/22	10/27	10/32	10/37
CY 13	1/15	1/16	1/17	1/18	1/19	1/20	---	1/21	1/22	1/24	1/29	1/34	1/39
FY 13	10/14	10/15	10/16	10/17	10/18	10/19	1/20	10/20	10/21	10/23	10/28	10/33	10/38
CY 14	1/16	1/17	1/18	1/19	1/20	1/21	---	1/22	1/23	1/25	1/30	1/35	1/40
FY 14	10/15	10/16	10/17	10/18	10/19	10/20	1/21	10/21	10/22	10/24	10/29	10/34	10/39
CY 15	1/17	1/18	1/19	1/20	1/21	1/22		1/23	1/24	1/26	1/31	1/36	1/41
FY 15	10/16	10/17	10/18	10/19	10/20	10/21	1/22	10/22	10/23	10/25	10/30	10/35	10/40
CY 16	1/18	1/19	1/20	1/21	1/22	1/23		1/24	1/25	1/27	1/32	1/37	1/42
FY 16	10/17	10/18	10/19	10/20	10/21	10/22	1/23	10/23	10/24	10/26	10/31	10/36	10/41
CY 17	1/19	1/20	1/21	1/22	1/23	1/24	---	1/25	1/26	1/28	1/33	1/38	1/43
FY 17	10/18	10/19	10/20	10/21	10/22	10/23	1/24	10/24	10/25	10/27	10/32	10/37	10/42
CY 18	1/20	1/21	1/22	1/23	1/24	1/25	---	1/26	1/27	1/29	1/34	1/39	1/44
FY 18	10/19	10/20	10/21	10/22	10/23	10/24	1/25	10/25	10/26	10/28	10/33	10/38	10/43
CY 19	1/21	1/22	1/23	1/24	1/25	1/26	---	1/27	1/28	10/30	1/35	1/40	1/45
FY 19	10/20	10/21	10/22	10/23	10/24	10/25	1/26	10/26	10/27	10/29	10/34	10/39	10/44
CY 20	1/22	1/23	1/24	1/25	1/26	1/27	---	1/28	1/29	1/31	1/36	1/41	1/46
FY 20	10/21	10/22	10/23	10/24	10/25	10/26	1/27	10/27	10/28	10/30	10/35	10/40	10/45

## ENCLOSURE 6

### EMPLOYEE TRANSFER AND DEPARTURE PROCEDURES

1. TRANSFER/DEPARTING PERSONNEL. Employees that are leaving their current position, either transferring within DLA or departing DLA must transfer the records they create or maintain to their supervisor or a dedicated shared network drive to ensure there is no knowledge loss to the agency. Records belong to the government and not to the individual that created them.

2. SUPERVISOR RESPONSIBILITY. The supervisor is responsible to ensure that the records are transferred in accordance with this manual to ensure that there is no loss of continuity in records or knowledge loss to the agency.

### 3. INSTRUCTIONS FOR HANDLING OF DEPARTING PERSONNEL OFFICIAL RECORDS.

a. The DLA Components must ensure departing or transferring employees:

(1) Delete all personal files on the personal computer (PC) used (e-mail, spreadsheets, documents, etc.) that do not meet the official definition of a record.

(2) Complete DLA Form 1937 Records Management Checklist for Employee Transfer/Departure” (See DLAM 5015.01, Volume 1, Appendix to Enclosure 6) to account for all program records created, received, and maintained during their employment, to include e-mail, record information on collaborative websites or social media networks, and all record information from their office PC or laptop by printing and filing, sending to a Records Management Application (RMA), or moving to a designated area on the network. If the employee occasionally worked from home, the residential PC should also be considered for review.

(3) Provide access to program records by providing password and location of the records on the network.

(4) Provide a list of any convenience copies of records they wish to remove to the immediate supervisor, the CRO, and/or the Security Manager for their review and approval. Removal of complete collections of DLA e-mails is not authorized.

### 4. REMOVAL OF NON-RECORDS.

a. Completion of DLA Form 1937 Records Management Checklist for Employee Transfer/Departure,” is required to document the removal of non-record information and to ensure information is transferred appropriately as identified in subparagraph 1.a.(2) and (3) of this enclosure. Approval for removal of non-record material may be considered if:

(1) It does not diminish the records of the DLA.

(2) It does not violate confidentiality required by national security, privacy, or other restrictions on disclosure.

(3) It does not exceed normal administrative resources of the DLA.

(4) It does not affect the DLA's ability to invoke legal privileges.

b. The DLA Records Officer or the DLA General Counsel may provide additional policy and procedures to DLA Components.



APPENDIX TO ENCLOSURE 6

Records Management Checklist for Employee Transfer/Departure

<b>RECORDS MANAGEMENT CHECKLIST FOR EMPLOYEE TRANSFER/DEPARTURE</b>		Prescribed by: DLAI 5015 Sponsor: Document Services
<b>Instructions:</b>		
1. Supervisors shall review this form with employees upon notification that they are transferring/departing the DLA Component they currently are assigned.		
2. Employee and/or supervisor should complete all sections of this form to ensure records are transferred from the departing employee's custody to the supervisor or otherwise accessible to all employees that will need access to the information to ensure no disruption in work occurs.		
3. Return completed form to the Organizational Component Records Officer for retention. CROs retain under record series 510.02 Administrative Services Correspondence Files.		
1. OFFICE/DIVISION	2. SUPERVISOR	
3. EMPLOYEE	4. TRANSFER DATE	
<i>Records used in conducting government business belong to the United States Government – not the employee.</i>		
1. Electronic Documents - ensure electronic documents are <b>transferred from</b> :		
<input type="checkbox"/>	A. Employee's email box – save (in pdf format – unencrypted) to a shared network drive	
<input type="checkbox"/>	B. Employee's computer hard drive – Save to a shared network drive	
<input type="checkbox"/>	C. <i>Personal</i> network directories - Save to a shared network drive	
<input type="checkbox"/>	D. Diskettes or CD's – documents that are on diskettes or CD's need to be reviewed for accessibility (ensure they can still be read) – Label disk and give to supervisor.	
<input type="checkbox"/>	E. Laptops – transfer to shared network drive	
<input type="checkbox"/>	F. BlackBerries – transfer to shared network drive	
<i>**Contact the local DLA Information Operations (J6) department to set up folder(s) that allows access only to identified individuals to limit access to sensitive (Privacy Act/FOUO, etc.) information</i>		
2. Hardcopy Documents – Review and account for hardcopy documentation		
<input type="checkbox"/>	A. Review all hardcopy documents and ensure they are labeled with proper record series and description – consult with Component Records Officer if needed.	
<input type="checkbox"/>	B. Dispose of records that have passed their disposition date as identified in the DLA Records Disposition Schedule.	
<input type="checkbox"/>	C. Ensure any records that require special handling (Privacy Act / FOUO, etc.) are transferred to the supervisor to ensure proper control.	
<i>** Ensure All Personal Papers are removed by departing employee.</i>		
3. Telework – Records created or used at telework location		
<input type="checkbox"/>	A. Ensure records and publications used during telework are returned to the worksite's physical location.	
4. Non-Record Information – (Federally owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) or that have been excluded from coverage by the definition)		
<input type="checkbox"/>	A. Removal of non-record material does not violate confidentiality required by national security, privacy or other restrictions on disclosure.	
<input type="checkbox"/>	B. Does not diminish DLA Records or exceed normal administrative resources of DLA.	
<input type="checkbox"/>	C. Does not affect DLA's ability to invoke legal privileges	
<i>Completion and signing of this form indicates records in the departing employee's custody have been reviewed and properly stored in a shared network drive, transferred to supervisor, or destroyed in accordance with the DLAI 5015 Records Management and DLA Records Disposition Schedule.</i>		
5. EMPLOYEE'S SIGNATURE	6. SUPERVISOR'S SIGNATURE	7. RECORDS MANAGEMENT SIGNATURE

## ENCLOSURE 7

### DISPOSITION OF PERSONAL FILES AND NON-RECORD MATERIALS

1. RECORD AND NON-RECORD MATERIALS OF GOVERNMENT OFFICIALS. Some Senior Level Government officials and some employees during their tenure in office accumulate substantial collections of personal files and copies of official documents (includes electronic files and e-mail) 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 CRO, or the DLA Records Officer, prior to their removal from DoD custody. To prevent violations of References (d), (e) and (f) officials, DLA employees (civilian and military), and contractors in the DLA Components must be able to distinguish between Federal records, non-records, and personal files.

2. DISTINGUISHING PERSONAL FILES AND NON-RECORD MATERIAL. There is a difference between personal files and non-record materials. The distinction is sometimes unclear, especially when non-record materials become part of a collection referred to as an official's "personal files". The discussion below provides additional information for distinguishing between personal files and non-record materials.

3. PERSONAL FILES. Personal files are not subject to Reference (d) and the DLA Records Disposition Schedule, which pertain to the maintenance and disposal of Federal records.

a. Personal files can be any information or documentary materials that are unrelated to the conduct of agency business and concern only to an individual's personal affairs, (e.g., files relating to political activities, 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. Examples of personal files are:

(1) Business or professional files accumulated by an official before joining Government service that are not used subsequently in the transaction of any Government business.

(2) Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, personal social events, volunteer or community service records, or private political associations that do not relate to agency business.

(3) Diaries, journals, personal correspondence, personal calendars and appointment schedules, or other personal notes that are not prepared or used for or circulated or

communicated in the course of transacting Government business. This is the most difficult to distinguish from Federal records because of its work-related content.

c. Subparagraphs 3.c.(1) through 3.c.(4) of this enclosure pertain to the maintenance, marking, and handling of personal files:

(1) Personal files shall be established by the employee at the start of their tenure, clearly designated as such and shall, at all times, be maintained separately from the office's official records.

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

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

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

4. NON-RECORD MATERIALS. Non-record materials are Government-owned documentary materials that do not meet the conditions of records status or are specifically excluded from the statutory definition of a Federal record.

a. Extra Copies of Federal Records. Non-record materials are extra copies of Federal records accumulated for the **SOLE PURPOSE** of ease of reference. Copies of official documents, to include e-mail, shall not be made **SOLELY** for the purpose of removal or donation (at the end of an official's or the employee's tenure); doing so may be a violation of References (d) and (e). Memorandums that contain an original ink signature or documentation that contain substantive annotations (see subparagraph 4.c (4) of this enclosure) are Federal records. Record sets of publications, posters, and maps that serve as evidence of agency activities and have value for the information they contain are also preserved as Federal Records.

b. Non-record Material Must be Managed. Offices must manage non-record material.

(1) Non-record materials shall be:

(a) Physically segregated from records. Electronic non-record materials must be readily identifiable as such.

(b) Purged or destroyed in accordance with the DLA Records Disposition Schedule, if identified, or when no longer needed for reference.

(2) If a clear determination cannot be made on the status of the document or information, the materials need to be treated as Federal records. DLA Headquarters and Component Organizations should consult with the DLA Records Officer for guidance.

c. Removal of Non-Record Material. Non-record materials may be removed from Government control, in limited circumstances, provided the following conditions are met:

(1) Unclassified. Departing officials and employees only may remove extra copies of record materials as defined in paragraph 4.a. of this enclosure, if the conditions of paragraph 4.d and section 5 of this enclosure are met. Removal of non-record materials shall be coordinated with the CRO for their organization and Security Manager.

(2) Classified. Information classified under the provisions of Reference (m) is not personal property and shall not be removed from the Government's control (see Glossary), except for the removal of custody taken in accordance with the requirements of the National Industrial Security Program established under Executive Order 12829 (Reference (u)), or a successor order. Declassified non-record materials may be removed after coordination and approval as described in subparagraph 4.c.(1) and section 5 of this enclosure.

(3) PA and FOIA. Information restricted from release under the Privacy Act or subject to withholding under one of the nine FOIA exemptions shall not be removed from Government custody, except as permitted under those statutes and their associated issuances. Contact your local PA / or FOIA Officer for further details.

(4) Working Files. Working files such as preliminary drafts and rough notes and other similar materials are classified as Federal records when they are circulated for official purposes such as approval, comment, action, recommendation and when they contain unique information, such as substantive annotations or comments that add to a proper understanding of the agency's decision-making process or how its mission is accomplished and may not be removed from Government custody.

(5) E-mail. The removal of the non-record copy of e-mails will not affect the Government's ability to invoke certain legal privileges under FOIA and PA. E-mail is provided to conduct Government business and the first priority is to ensure that official record e-mail is accessible to the organization upon departure of the employee(s).

d. Unclassified does NOT equal public use. Unclassified non-record materials requested for removal by a departing official or employee for the purpose of personal use must be cleared for public release prior to removal. Clearance for public use is recommended for non-record materials selected for donation, but instructions can be written in the deed of gift. Classified non-record materials cannot be removed or donated pursuant to References (e) and (m).

e. Transfer of non-record copies of official documents. Any transfer of non-record to any Government or private institution must be in writing by a deed of gift or other form of legal conveyance. The written instrument must clearly explain the terms under which the institution accepts the papers and the protection they shall be afforded while in its care, to include

mandatory restrictions on access. These restrictions pertain to any of the following: potential violations of personal privacy; protection of national security information; statements made by or to the donor in confidence; materials or information that might prove prejudicial to the conduct of the foreign relations of the United States; and material relating to law enforcement investigations. Any such conveyance shall be reviewed by the General Counsel and the DLA Records Officer before the donor signs it.

f. Donor Responsibility. It is the responsibility of the donor and their immediate staff to ensure donated materials is screened to contain no official agency record copies or other material that cannot be removed from the Government's control. The donor is responsible for compliance with all security regulations governing classified information and ensuring that such information is removed and maintained by the office of record, until it is eligible for destruction in accordance with the DLA Records Disposition Schedule.

g. Departing/Transferring Personnel. Non-record copies provided to departing employees to utilize in another DLA Organization Component, DoD office or Government agency is to be considered a personal use release and therefore a public release unless the recipient DLA Organizational Component, DoD Component or agency accepts them as its record or non-record information under its control. See paragraph 11.b of Enclosure 5 of this manual for interagency transfer procedures. Employees are not allowed to remove official files when they are reassigned or moved to another DLA Component.

5. ACCESS TO DONATED PERSONAL FILES, NON-RECORD MATERIALS, AND FEDERAL RECORDS. Access to personal files and non-record material donated by an official to an institution for historical preservation shall be in accordance with the instrument of gift signed by the official and the institution, and with Reference (m).

## ENCLOSURE 8

### RECORDS MANAGEMENT EVALUATIONS

1. GENERAL. The NARA is the regulatory oversight agency for all Federal records. Federal Agencies are required to establish and maintain an active RM program to control the creation, maintenance and use and disposition of its records (44 U.S.C. 3102). Agencies must submit annual reports to NARA on the status of their agency RM program.
  
2. SENIOR AGENCY OFFICER (SAO). Office of Management and Budget Directive M-12-18, dated August 24, 2012 required that a SAO be designated for each Department and/or Agency. The DoD identified four SAOs: one for each of the military services and one for all other Components under DoD. The SAO is responsible for coordinating with the Agency Records Officer to ensure the agency's compliance with RM statutes and regulations. DLA must submit an annual report on the status of the Agency RM program to the SAO.
  
3. RECORDS ASSETS. Records are assets of the agency that must be accounted for and protected. They must be inventoried, maintained and destroyed or transferred to NARA in accordance with Reference (c).
  
4. ASSISTANCE VISITS. Organizational CRO and/or the DLA Records Officer shall provide assistance visits when requested by DLA Organizational Components to provide RM guidance in establishing or improving their programs.
  
5. EVALUATION REQUIREMENTS. Agencies are responsible to conduct formal evaluation to measure the effectiveness of RM programs and practices, and to ensure that they comply with NARA Regulations per 36 CFR 1220.34. In order to meet inspection requirements the following evaluation criteria will be assessed; however, it may not be inclusive and may be modified as required.
  - a. Frequency of Evaluation. Evaluations will be conducted to ensure RM is established within Components and that adequate and proper documentation of agency programs have developed recordkeeping requirements.
    - (1) The DLA Records Officer will conduct evaluations a minimum of every 3 years, alternating between components.
    - (2) CROs will conduct evaluations of all offices within their component that create and maintain administrative and functional records at least once every two years and submit an evaluation summary report to the Component Director and a copy to the DLA Records Officer. Evaluations may be scheduled and conducted at any time during the calendar year.

b. Administrative Review.

(1) Has a CRO been designated and identified to Component personnel?

(2) Is the CRO position full-time with a RM Position Description?

(a) If assigned collaterally, are CRO RM duties included in the position description?  
Percent of time allotted for RM? Hours per week allotted to RM?

(3) Does the CRO or DLA Records Officer conduct periodic assistance visits to subordinate offices? Date of Last Visit?

(4) Are there designated Records Coordinators for the business units/program offices within the component?

(5) Do departing/transferring personnel complete DLA Form 1937 (RM Checklist for Departing Personnel) to ensure their records are properly turned over?

(6) Has any reorganization or consolidation or similar action that would impact records occurred within the past year?

c. RM Training.

(1) Has the CRO taken NARA training within a year of being designated? If less than 1 year, have they been briefed regarding their record responsibilities?

(2) Have Records Coordinators received RM training by the CRO or other RM training?

(3) Are Senior Leaders and Managers briefed concerning ongoing or significant records issues?

(4) Have all personnel completed basic RM annual training (including NAF and Contract employees)?

d. File Plans and Records Creation.

(1) Is DLA Form 1689 File Plan created and does it reflect all files/records (paper, electronic, audiovisual, etc.)? Is it reviewed and updated annually by the business unit and/or individual maintaining records?

(2) Has the DLA Form 1689 File Plan been reviewed and approved by the local CRO? Is it maintained with the files so all personnel can use it?

(3) Are procedures in place to identify new record series (consolidation, reorganization, new programs)?

(4) Are recommended new records/series, disposition and justifications forwarded to the DLA Records Officer for review?

e. Records Maintenance.

(1) Are active and inactive paper/hardcopy files stored in an area safe from environmental dangers (water, fire, insects, etc.) with appropriate temperature and humidity controls?

(2) Are active and inactive audiovisual records and records on electronic storage devices (CDs, DVDs, external hard drives, etc.) stored physically apart from paper files with appropriate temperature and humidity controls? Are they periodically reviewed for technical obsolescence, and if needed, migrated to new storage media?

(3) Is there a cross-reference for copies kept in other media (for coordinated disposition)?

f. Hardcopy Recordkeeping.

(1) Are accurate and complete records filed on a daily or routine basis?

(2) Before filing, are duplicate copies of correspondence and reports (other than that for cross-reference) and non-record material (envelopes, routing slips, cover sheets) removed from the record?

(3) Are all file folders/binders labeled with record series, CUTOFF, and required disposition instructions?

(4) Are file guides utilized?

(5) Are charge-out cards (or similar tracking device) used whenever documents or files are removed from official file stations or RHAs?

g. Electronic Records and E-Mail Management.

(1) Are electronic records maintained on a Shared network drive?

(2) Are electronic records maintained on a Shared network drive or eWP being managed in accordance with RM rules (labeled with record series/disposition)?

(3) Are records stored on shared network drives or eWP appropriately identified, accessible to users, and included on the DLA 1689 File Plan for that office?

(4) Are personnel filing Email records appropriately (shared network drive or printing)?



(5) Are electronic copies of e-mails purged after a hard record copy has been filed or an electronic version saved?

h. Electronic Information System (EIS) / Web-Based Information.

(1) Are EIS (i.e., access databases or other databases unique to your office) identified with a record series and scheduled, with current copies on file with the DLA Records Officer?

(2) If records are created or maintained on web-based information systems (portals, e-rooms, wikis, blogs, etc.,) are they identified as such and dispositioned according to approved retention schedules?

i. Records Disposition.

(1) Do Record Coordinators/File Custodians follow approved disposition instructions and take prompt action to:

(a) Execute file Cutoffs?

(b) Create new folders, as required, for new calendar or fiscal year after the cutoff?

(c) Retire inactive (hardcopy) records to agency storage areas?

(d) Retire inactive records to FRCs?

(e) Transfer permanent retired records to the National Archives?

(f) Destroy records that have reached their disposition?

(2) Are electronic records maintained on Shared network drives being managed and disposed of IAW the DLA Records Disposition Schedule?

(3) Is an SF-135 and box list (if applicable) prepared for records eligible to be retired to a FRC?

(4) Is a SF-135 maintained for records that are transferred to the FRC for 6 years past destruction of associated records?

(5) Are records shipped to the FRC/WNRC in accordance with the DLA Procedures Guide (review a sampling of SF-135s)?

j. Non-Record & Personal Papers.

(1) Is non-record material separated from record material and reviewed and if applicable disposed on at least an annual basis (to include hardcopy and information stored electronically on Shared Network drives and eWP)?

(2) Is there a business rule for the component that identifies non-record and other content will be reviewed for relevancy and disposed of if no longer needed for reference? (Please provide a copy)?

(3) Are personal papers maintained separately from official records?

k. Storage Requirements (Internal Record Holding Areas (RHA)).

(1) Are approved record boxes and containers used for paper and magnetic material storage?

(2) Is there humidity and environmental controls?

(3) What is the maximum capacity of records stored in the RHA? Use cubic feet (CF)

(4) What is the volume in CF currently being stored in the local RHA?

(5) Does the RHA meet NARA storage facility requirements?

(6) Are records stored in the RHA being managed and destroyed IAW the DLA Records Disposition Scheduled?

l. Security.

(1) Are offices that maintain classified records trained in RM procedures?

(2) Are offices that maintain classified information keeping the records IAW the DLA records disposition schedule?

(3) Are offices that maintain classified information storing records IAW Reference (ff)?

(4) Are files containing PII/PA maintained in labeled cabinets that are locked (or password protected for electronic records) and only accessible by authorized personnel?

(5) Do the CRO and RC know the procedures for reporting accidental loss or willful and unlawful destruction, damage, removal or alienation of federal records as identified in the DLA Procedures Guide and 36 CFR 1230?

m. Results of Last Records Evaluation. Shall include the date of the last inspection and the rating received on that inspection.

(1) No discrepancies noted – no corrective action required.

(2) Discrepancies noted and:

(a) Have been corrected

(b) Corrective Action Plan developed? (provide copy to CRO)

n. Overall Evaluation.

(1) Satisfactory - Files are organized and in compliance with current Federal regulations, DoD and DLA RM policy and procedures except for minor discrepancies as noted.

(2) Progressing Towards Satisfactory – Minor discrepancies noted – see notes  
Additional work required before records are in compliance with federal regulations, DoD and DLA RM policy and procedures. Corrective action plan required.

(3) Unsatisfactory – Several major discrepancies noted – see notes – overall RM program is below acceptable standards. Corrective action plan required.

o. Scoring Chart. The scoring chart is part of the instructions attached to the actual checklist which can be accessed on the DLA RM eWP page.

## GLOSSARY

### PART I. ABBREVIATIONS AND ACRONYMS

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

ARCIS	Archives and Records Centers information Systems
CD	Compact Disk
CIO	Chief Information Officer
CF	Cubic Feet or Foot
CFA	Current Files Area
CFR	Code of Federal Regulations
COFF	Cut Off
COOP	Continuity of Operation Plan
CUI	Controlled Unclassified Information
CY	Calendar Year
DLA	Defense Logistics Agency
DoD	Department of Defense
DVD	Digital Video Disk
DLAM	Defense Logistics Agency Management
EIS	Electronic Information System
EOA	Enterprise Organizational Alignment
ERA	Electronic Records Archives
FOIA	Freedom of Information Act
FOUO	For Official Use Only
FRC	Federal Records Center
FY	Fiscal Year
FTP	File Transfer Protocol
GAO	General Accounting Office
GRS	General Records Schedule
IT	Information Technology
IAW	In Accordance With
IP	Internet Protocol
LMS	Learning Management System
NARA	National Archives and Records Administration
NATO	North Atlantic Treaty Organization
NIST	National Intelligence Support Team

OSD	Office of the Secretary of Defense
OF	Official Form
OPR	Office of Primary Responsibility
PA	Privacy Act
PC	Personal Computer
PDF	Portable Document Format
PERM	Permanent
PLFA	Primary Level Field Activity
RC	Records Coordinator
RM	Records Management
SF	Standard Form
SAO	Senior Agency Officer
TEMP	Temporary
U.S.C.	United States Code
WNRC	Washington National Records Center

## PART II. DEFINITIONS

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

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

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

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

Active Records. See current records.

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

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

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

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

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

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

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

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

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

Chronological Reading File. See reading file.

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

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

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

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

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

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

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

**Hybrid Cloud.** The cloud infrastructure is a composition of two or more distinct cloud infrastructures (private, community, or public) that remain unique entities, but are bound together by standardized or proprietary technology that enables data and application portability (e.g., cloud bursting for load balancing between clouds).

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

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

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

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

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

**Custody.** The guardianship of records that in a strict sense includes both physical possession (protective responsibility) and legal title (legal responsibility). For example, OSD records transferred to an FRC are in the PHYSICAL POSSESSION of that facility but legal title to them remains with the OSD and access may be granted only with the approval of the originating Agency; when accessioned by the National Archives, legal title, and physical possession then

pass to the Archivist of the United States, who may grant access without reference to the originating agency.

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

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

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

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

Disposal of temporary records by destruction or donation;

Transfer of records to Federal agency storage facilities or FRCs;

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

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

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

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

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

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

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

DLA Component. Any organizational entity of the Defense Logistics Agency such as the DLA Headquarters’ D/J Codes and Organizational Offices, PLFAs and, DLA Field Activities.



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

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

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

E-mail System. A computer application used to create, receive, and transmit messages, and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain transmission data), data systems used to collect and process data that have been organized into data files or databases on either personal computers or mainframe computers, and word processing documents not transmitted with the message.

Evidential Value. The worth or benefit of a record in documenting the organization's, functions, and activities of the Agency creating or receiving them. See historical value.

Federal Records. See record.

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

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

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

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

For Official Use Only (FOUO). "Unclassified information that may be exempt from mandatory release to the public under the Freedom of Information Act (FOIA)." The policy is implemented by DoD Regulation 5400.7-R and DODM 5200.01 Vol 4.

Federal Record Center (FRC). A facility, sometimes specially designed and constructed, for the low-cost, efficient storage and furnishing of reference service on semi-current records pending

their ultimate disposition. Generally, this term refers to the FRCs maintained by NARA, but provisions exist, providing stringent criteria are met, to permit individual Federal agencies to create their own records centers or to contract this service out to civilian enterprises.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Library and museum material made or acquired and preserved solely for reference or exhibition purposes.

Duplicate copies of records preserved only for convenience.

Official Records. See records.

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

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

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

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

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

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

**Records.** Includes all recorded information, regardless of form or characteristics, made or received by a Federal agency 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 United States Government or because of the informational value of data in them.

**Recorded Information Defined.**— For purposes of the above paragraph, the term ‘recorded’ information includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

**Determination of the Definition.**—The Archivist’s determination whether recorded information, regardless of whether it exists in physical, digital, or electronic form, is a record as defined in subsection (a) shall be binding on all Federal agencies.

**Records Center.** See FRC.

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

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

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

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

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

**Records Officer.** The person responsible for or engaged in a RM program. Sometimes called “records manager” or “records administrator.”

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Web Site. A collection of interconnected web pages consisting of a homepage, images, videos, or other digital assets that are addressed relative to a common Uniform Resources Locator, 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. May also include non-record material and technical reference files.