

RECORDS MANAGEMENT

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1.0 PURPOSE, APPLICABILITY, SCOPE AND EFFECTIVE DATE

1.1. This Process Chapter is authorized under subparagraph E2.1.1.16. of Enclosure 2 to Department of Defense (DOD) Directive 5105, dated December 6, 1988.

1.1.1. This Process Chapter supersedes DLA Directive 5015.1, DLA Records Management Program and DLA Instruction 5015.1, DLA Records Management Procedures and Records Schedule.

1.1.2. This Process Chapter applies to all HQ DLA and DLA Field Activities.

1.1.3. This Process Chapter establishes and implements policies, processes, and procedures necessary to the effective, efficient, and economical conduct of official Agency business.

1.1.4. Effective Date: November 15, 2002

NOTE: This Process Chapter underwent its annual review on December 6, 2004, and remains necessary to the conduct of official Agency business.

2.0 INTENT

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2.1. The DLA Records Management Program provides guidance and controls for Agency personnel who create, maintain, store, use, and/or dispose of records. These records, in any media, must furnish the information necessary to protect the legal and financial rights of the Government and of the persons directly affected by the Agency's activities. The objective of the process is to achieve an uninterrupted

flow of superior information.

2.1.1. The primary purpose for DLA to manage our information assets as records is to provide concise, accurate, timely, and relevant information to decision makers at all organizational levels any time, anywhere, in support of our mission and that of our customers, the warfighters.

2.2. The outputs of this process are:

2.2.1. Reliable information

2.2.2. Information with proven authenticity

2.2.3. Information that maintains its integrity

2.2.4. Accessible and usable information

2.2.5. Records Management policy and guidance

2.2.6. Destroyed/deleted obsolete records

2.2.7. Compliance with Federal statutory and regulatory requirements

2.3. In today's environment, we cannot afford to have various organizational elements using the same information in different formats, stored on different medium, managed in different environments, and potentially losing access to the information due to inadequate conversion planning. Interoperability within our own organization, as well as with the Military Services and other DOD Components, is imperative in supporting the Joint Vision 2020 and DLA goals of information superiority through the collection, protection, preservation, and projection of records.

2.3.1. We can support these goals by ensuring full compliance with the established DLA Records Management Program. We all must be well educated in the program requirements so we can act upon them individually and collectively. The following performance measures should help us attain that awareness:

2.3.1.1. Number of assigned organizational Records Management personnel.

2.3.1.2. Number of organizational Records Management personnel trained.

2.3.1.3. Percentage of DLA employees (includes civilian, military, and contractors) receiving annual Records Management training.

2.3.1.4. Percent of Federal and DOD regulatory requirements addressed in policy and guidance.

2.3.2. The Services are relying heavily on effective electronic access to data and information in records to achieve information superiority across all mission areas during peacetime and conflict. As DOD moves toward a joint force, commanders must be able to access the best fit of all available resources needed to produce the immediate effects and achieve the desired mission results. Interoperability of the Services, combatant commands, and Defense agencies current and emerging systems, infrastructure, and record repositories will promote cross-functional information sharing, planning, and exercises. A fully implemented and interoperable DLA Records Management Program will help bring DLA's records management responsibilities to the forefront of our daily business activities and insure DLA will be able to adequately support the warfighter with the right information, at the right time, anywhere in the world.

2.3.3. The Agency is in the midst of a shift from analog to digital technologies. We still have a large repository of paper and microfiche records stored at various records storage facilities. We have more information systems than ever before. We are creating massive amounts of records in the form of e-mail

and other electronic records that were nonexistent just a few years ago. Successful implementation of established records management practices ensures the reliability of record information which, in turn, is the cornerstone of the information superiority doctrine of the Joint Vision 2020.

3.0 POLICY

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3.1. It is DLA policy to:

3.1.1. Create, maintain, and preserve information as records that document the transaction of Agency business and mission to provide evidence of DLA organization, functions, policies, procedures, decisions, and activities of the Agency.

3.1.2. Maintain records that protect the legal and financial rights and interests of the Government and of persons directly affected by DLA actions.

3.1.3. Manage records to promote effective and efficient conduct of both operational and support activities.

3.1.4. Manage all records in any media used for creation or storage, in accordance with the DLA Records Schedule (approved by the Archivist of the United States). The DLA Records Schedule is available at <https://today.dla.mil/J-6/records/documents/DLA%20Records%20Schedule%20Apr%2004.doc>.

3.1.5. Use state of the art technology in handling records, permitting the most economic, efficient and reliable means for creation, retrieval, maintenance, preservation, and disposition of Federal records.

3.1.6. Ensure electronic records management systems that create, use, or store the RECORD COPY of documents or data files minimally meet standards established by DOD. In doing so, only commercial off-the-shelf software products certified by DOD as meeting these standards may be used within DLA to manage records electronically.

3.1.7. The DLA Records Schedule is mandatory for use in determining the life cycle of all DLA information assets, under requirements of 44 USC 2904, 3101, and 3102, and 36 CFR Subchapter B.

NOTE: The number scheme in the DLA Records Schedule has been predetermined and cannot be changed without prior approval of the Archivist of the United States.

4.0 PROCESS AND RESPONSIBILITIES

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4.1 Process Inputs

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4.1. Process Inputs:

4.1.1. Information

4.1.2. Requests for information

4.1.3. Records

4.2 Sub Processes

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- 4.2.1. Filter information.
- 4.2.2. Make records.
- 4.2.3. Manage records.
- 4.2.4. Assign disposition instructions.
- 4.2.5. Index records.
- 4.2.6. Screen records.
- 4.2.7. Store records.
- 4.2.8. Retrieve records.
- 4.2.9. Transfer records.
- 4.2.10. Destroy records.

4.3 Process Mechanisms

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- 4.3.1. Creators/receivers of information, Records Management Officers and Coordinators, DLA Records Manager
- 4.3.2. Enterprise Document and Records Management Integrated Product Team
- 4.3.3. Storage media
- 4.3.4. Data repositories
- 4.3.5. Periodic assessments of internal records management practices
- 4.3.6. Records management web page
- 4.3.7. Document conversion guidance
- 4.3.8. Automated record management applications
- 4.3.9. Myriad of current and emerging systems, infrastructure, and record repositories
- 4.3.10. Records management briefings and annual training program
- 4.3.11. Records Management Evaluation Reports

4.4 Process Controls

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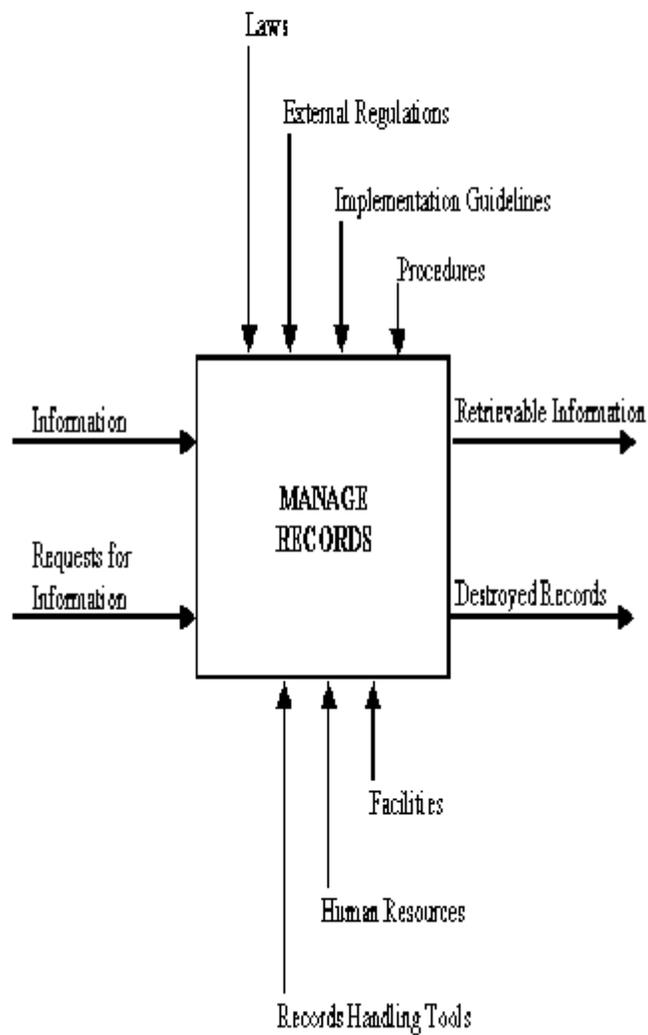
- 4.4.1. Title 44, United States Code, Chapters 29, 31, 33, and 35
- 4.4.2. Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management"
- 4.4.3. DOD Directive 5015.2 DOD Records Management Program

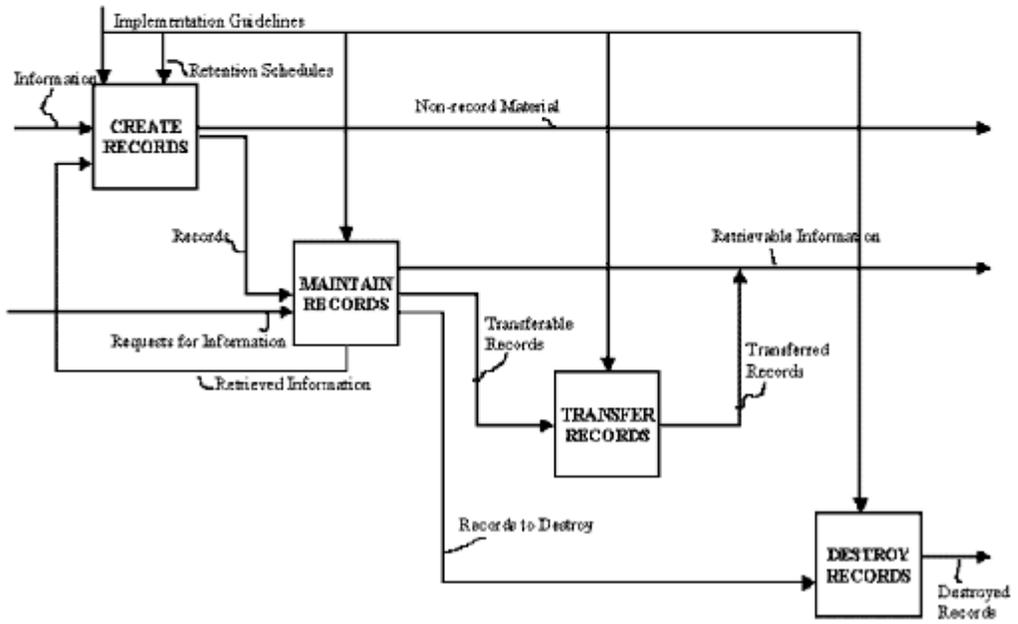
4.4.4. DOD 5015.2-STD, Department of Defense Design Criteria Standard for Records Management.
Application Functional Baseline Requirements

4.5 Process Flowchart

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DEFENSE LOGISTICS AGENCY RECORDS MANAGEMENT





MANAGE RECORDS:

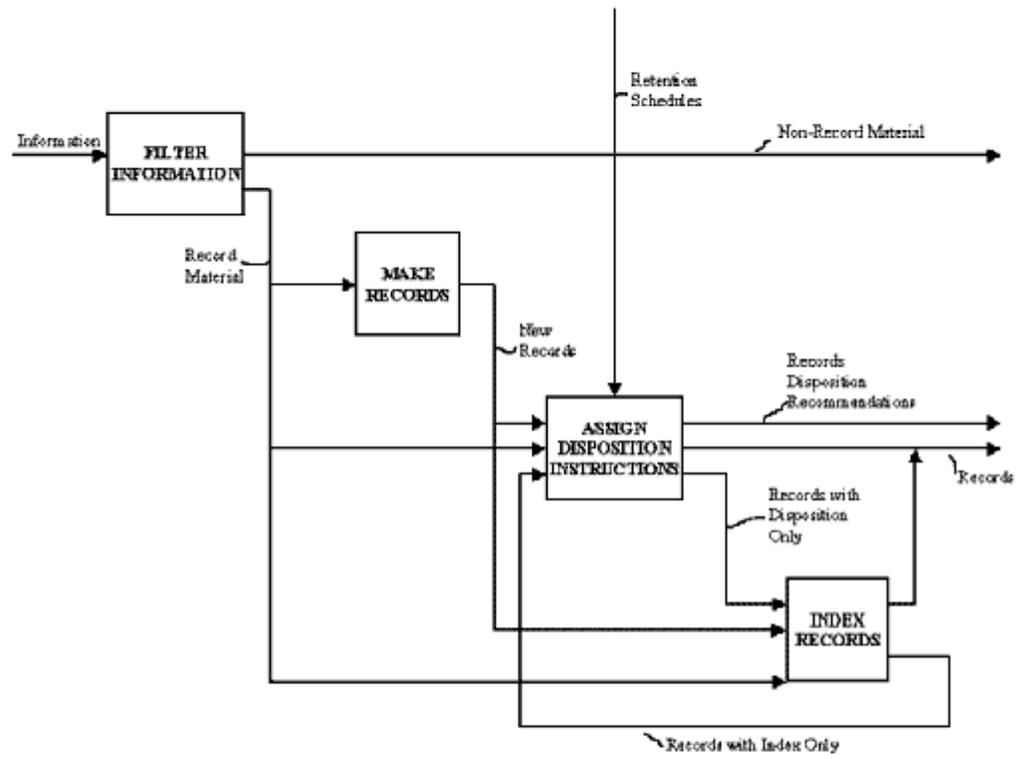
Information is facts or data communicated or received. Upon receipt by the action office, the information may become a record. All records, either physical or electronic are managed in four activities – create, maintain, transfer, and destroy.

Create Records. In the create activity, information received as data or facts that is not already organized as a record may be made into a record. In some cases a received record is used immediately to make a new record. Information that is not made into a record is considered non-record material. Newly created records and the information received that was already in a record format will move into the maintain activity to be maintained as an official record. In the create activity, retention schedule controls and indexing for retrieval are assigned.

Maintain Records. The maintain activity involves the storage, retrieval and handling of records by the action officer. The output of maintain records is retrievable information (and retrieved information used to create new records) and disposable records. Retrievable information is the goal of records management. Records must be organized so that they can be easily retrieved. When records are no longer needed for official business they become transferable or eligible for destruction.

Transfer Records. The transfer activity involves the movement of records from one organization to another, from office space to agency storage facilities, from one Federal agency to another, to a Federal records center, or from records requiring permanent preservation to the National Archives. Transferred records are retrievable information.

Destroy Records. The destroy activity changes the characteristics so that the information is no longer retrievable.



CREATE RECORDS

Creation of a new record is the beginning of its life cycle. Action officers create records in the process of performing staff work; records are also received from sources outside the office such as incoming mail. The creation process consists of four activities: filter information, make records, assign disposition instructions, and index records.

Filter Information. This is the process where management, action officers, and others sort information and decide what will be placed into the organization's records management system. The filter works primarily on information provided to the office from outside sources. This process results in discarding some information and maintaining other information as record material. The process separates information of continuing value to the organization from non-record material; e.g., "junk" mail, routine announcements, business advertisements, and other information not relevant to the activities of the office.

Make Records. This is the internal process by which an action officer documents the business processes of an organization. Various tools can be used in this process, such as word processors, spreadsheets, databases, visual information products, etc. This activity consists of retaining the record copy of outgoing communications, management information, and other information commonly produced in the conduct of DLA business.

Assign Disposition Instructions. Assign disposition instructions and index records must both be accomplished, but not necessarily in a particular order. The process of tagging records with disposition instructions based on established retention schedules. The retention schedules are established by the value of the record and assign a retention period based on length of time, an event, or a length of time after an event. Disposition instructions are provided in the DLA Records Schedule.

Index Records. Tagging records with unique identifiers for storage and retrieval. Indexing may use tools to aid in finding both the record and the information contained in them. These indexes may contain several key criteria that may be used in identifying a record or group of records. Examples are name, date, subject, type of record, record series number, etc.

MAINTAIN RECORDS:

Maintain records is the second stage of the records management life cycle and generally considered to be the most important part of the records management process. The maintain records activity is defined as any action taken to administer, use and preserve a record during its life cycle. Implementation guidelines are dependent upon Federal laws and regulatory instruments initiated by DLA such as regulations, instructions, letters, etc. The three major activities are store, screen, and retrieve.

Store Records. The store records activity is defined as retaining records in an organized manner for ease of retrieval and to ensure preservation throughout their life cycle. This includes periodic reviews of media and record quality and integrity. Inputs are records and records to be re-filed. Records to be re-filed are records that have been retrieved, used, and are being returned to records storage. Outputs are retrievable information and stored records. Retrievable information is information, regardless of media, that can be found easily through the use of standardized approaches including cataloging and indexing techniques.

Screen Records. The screen records activity is defined as identifying all stored records which meet a particular set of characteristics, e.g., eligible for disposition, exceptions to standard disposition, FOIA and Privacy Act queries. Inputs are stored records and requests for information. Requests for information are expressed as needs or desires for information that is expected to be contained in DLA records. The output is selected records. Selected records are records identified as a result of a search using a given set of criteria. In an automated environment, the selected records process includes the ability to perform batch dispositions without physically retrieving the records.

Retrieve Records. The retrieve records activity is defined as accessing a stored record. The input is selected records and the outputs are retrieved information, transferable records, records eligible for destruction, and records to be re-filed. Retrieved information is information extracted from retrieved records. Transferable records are records eligible for movement from one organization to another, from office space to agency storage facilities, from DLA to another federal agency, to a Federal Records Center, or, for records requiring permanent preservation, to the National Archives. Records become eligible for destruction according to the DLA Records Schedule .

4.6 Sub-Process, Descriptions, and Responsibilities

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4.6.1. Filter information. Creators/receivers of information sort information and decide what will be placed in the organization's records management system. The process separates information of continuing value to the organization from non-record material.

4.6.2. Make records. Creators/receivers of information use tools such as word processors, spreadsheets, databases, visual information products, etc., to document the business and processes of the organization. It includes retaining copies of incoming and outgoing communications, management information, or other information commonly produced during business operations.

4.6.3. Manage records. Creators/receivers of information organize, store, retrieve, and handle records so that they can be easily accessed. Retrievable, reliable information is the goal of records management systems.

4.6.4. Creators/receivers of information assign disposition instructions based on established DLA Records Schedule.

4.6.5. Index records. Creators/receivers of information tag records with unique identifiers for storage and retrieval.

4.6.6. Store records. Creators/receivers of information retain records in an organized manner for ease of retrieval and to ensure preservation throughout their life cycle. This includes periodic reviews of media and record quality and integrity.

4.6.7. Screen records. Creators/receivers of information will identify all stored records that meet a particular set of characteristics, e.g., eligible for disposition, exceptions to standard disposition, Freedom of Information Act .

4.6.8. Retrieve records. Creators/receivers of information retrieve records by accessing stored records. This retrieved information may be used, updated, transferred, marked for destruction, or used in any manner consistent with records preservation guidelines.

4.6.9. Transfer records. Organizational Records Officers/Coordinators formally transfer records from one organization to another, from office space to Agency storage facilities, from one Federal agency to another, to a Federal records center, or for records requiring permanent preservation to the National Archives. Transferred records are retrievable information.

4.6.10. Destroy/delete records. Creators/receivers of information identify records for destruction. When destroyed/deleted, the characteristics are changed so that the information is no longer retrievable.

5.0 ADDITIONAL INFORMATION

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5.1. DLA J-6 Records Management Web Page, <https://today.dla.mil/J-6/records>.

6.0 COMPETENCIES / CERTIFICATIONS

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6.1. All Agency personnel should receive an annual Records Management Training class/orientation.

6.2. Organizational Records Officer/Coordinators and other records management personnel should be fully trained in Federal Records Management.

6.3. Agency Records Manager should be well grounded in National Archives and Records Administration (NARA) policies and procedures.

7.0 ACTIVITY BASED COSTING / REPORTING CODES

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TBD

9.0 AUTHENTICATION

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9.1. BY ORDER OF THE DIRECTOR:

Richard J. Connelly
Director, DLA Support Services
Date: November 15, 2002

Last Updated:

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