



Washington Headquarters Services

ADMINISTRATIVE INSTRUCTION

NUMBER 15

Volume I

November 14, 2006

Incorporating Change 1, April 18, 2008

ESD, WHS

SUBJECT: ~~Administrative Procedures for the~~ Office of the Secretary of Defense (OSD)
Records Management Program – *Administrative Procedures*

- References:
- (a) Administrative Instruction No. 15, “OSD Records Management Program,” August 11, 1994 (hereby canceled)
 - (b) DoD Directive 5110.04, “Washington Headquarters Services,” October 19, 2001
 - (c) DoD Directive 5015.02, “DoD Records Management Program,” March 6, 2000
 - (d) Chapters 29, 31, and 33 of Title 44, United States Code
 - (e) through ~~(t)~~, see Enclosure 1

1. REISSUANCE AND PURPOSE

This Administrative Instruction (AI):

1.1. Reissues Reference (a) to update procedures for the maintenance and disposition of OSD records and implements Reference (b), which assigns responsibility to the Director, Washington Headquarters Services (WHS), for the records management program under References (c), (d), and (e).

1.2. Cancels AIs 22, 49, and 85 (References (f) through (h)).

2. APPLICABILITY AND SCOPE

2.1. This Instruction applies to the OSD, Defense Agencies, and DoD Field Activities to whom WHS provides administrative support and to WHS (hereafter referred to collectively as the “OSD Components”).

Change 1, 4/18/2008

2.2. AI 15 consists of two Volumes (hereafter referred to as Volume I and Volume II (*Reference (i)*). Volume I contains the responsibilities and administrative procedures concerning the lifecycle management of records, ~~Volume II-Reference (i)~~ contains the OSD Components records disposition schedules ~~as 2.3. Until the revised disposition schedule is~~ approved by the National Archives and Records Administration (NARA). ~~Volume II shall consist of the current NARA approved OSD disposition schedule.~~ It will be updated as NARA approves *changes to the various* schedules of the OSD Components *and issues General Records Schedules citations.*

3. DEFINITIONS

Terms used in this Instruction are defined in Enclosure 2.

4. POLICY

It is DoD policy, under Reference (c), to limit the creation of records to those essential for the efficient conduct of official business and to preserve those of continuing value while systematically eliminating all others, and to ensure their management is in compliance with Chapter 31 of 44 United States Code (U.S.C.), 36 Code of Federal Regulations (CFR), and 41 CFR (References (d), (e), and (~~j~~)).

5. RESPONSIBILITIES

5.1. The Director, Washington Headquarters Services, under the authority, direction, and control of the Director of Administration and Management of the OSD (DA&M, OSD), shall:

5.1.1. Direct and administer the records management program for the OSD Components.

5.1.2. Provide guidance to OSD Components for the creation, organization, maintenance, use, and disposition of all their records.

5.1.3. Cooperate with NARA in developing and applying standards, procedures, and techniques designed to improve the management of records; ensure the maintenance and security of records of continuing value; and facilitate the identification, segregation, and disposal of all records of temporary value.

5.1.4. Ensure compliance with Reference (~~j~~).

5.1.5. Coordinate with the Chief Information Officer, DoD, on records management policy matters pertaining to information technology (IT) and electronic records.

5.1.6. Designate the Records and Declassification Division (R&DD), Executive Services Directorate (ESD), WHS, as the office of record and the point of contact for records management activities.

5.2. The OSD Records Administrator (Chief, R&DD), ESD, WHS, shall, as prescribed by Reference (c):

5.2.1. Establish a comprehensive OSD records management program to support the requirements of the References (c) through (e), and ~~(j)~~ .

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

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

5.2.4. Oversee the efforts of the OSD Components in implementation of this Instruction as the Federal Agency Records Officer.

5.2.5. Act as the liaison official with NARA, other Government Agencies, private industry, and private citizens on records management matters.

5.2.6. Institute and oversee a records management evaluation program according to References (e), ~~(j)~~ and Executive Order 12958 (Reference ~~(j)~~) to ensure compliance of the OSD Components and to provide for improvements and changes to existing procedures and records schedules to reflect current mission and organizational requirements.

5.2.7. Ensure that appropriate OSD personnel receive adequate records management training, either through the auspices of other Agencies, e.g., NARA, General Services Administration (GSA), in-house programs, or through professional organizations.

5.2.8. Manage the systematic and mandatory declassification programs of permanently valuable classified information, in accordance with DoD 5200.1-R (Reference ~~(k)~~).

5.2.9. Monitor the acquisition of information technology systems within OSD and WHS enterprise architecture, to ensure compliance with records management laws and regulations.

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

5.2.11. Provide advice and assistance to the OSD Components on the identification, segregation, retention, and disposition of personal papers in accordance with References (e) and (~~k~~).

5.2.12. Coordinate, control, and supervise access to OSD records essential for historical research, ensuring that appropriate safeguards for information security and personal privacy, as outlined by References (~~j~~~~k~~) and DoD Directive 5400.11 (Reference (~~l~~~~m~~)) are followed.

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

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

5.3. The Heads of the OSD Components shall:

5.3.1. Establish a records management program within their Component to support the requirements outlined in References (c) through (e) and (~~i~~~~j~~), and with the regulations issued there under.

5.3.2. Apply standards, procedures, and techniques to ensure the most economical, efficient, and reliable means for creation, retrieval, maintenance, preservation, and disposition of their records, regardless of media.

5.3.3. Institute measures to ensure that records of continuing value are preserved and that appropriate disposition or retirement is made of records no longer of current use.

5.3.4. Appoint an individual(s) to perform the records management functions and serve as accountable records custodians in their Component and to act in liaison with the OSD Records Administrator. Individual(s) should have knowledge of applicable laws and regulations governing records management, and/or must be sent to records management training, offered by NARA or R&DD within 3 months of their appointment. These appointments shall be made in writing and furnished to the OSD Records Administrator. All appointments will state the offices supported by the individual(s). Appointment memos will be updated upon the departure or change of the individual(s).

5.3.5. Ensure that all offices within their component have approved files plans.

5.3.6. Annually review and approve the files plan for each office within their purview to ensure that records are accurately identified; these files plans will be reviewed and approved by the individual appointed in 5.3.4.

5.3.7. Perform self-evaluations of their records management program every 2 years to ensure compliance with the guidance in this instruction.

5.3.8. Evaluate current and potential information systems (IS) to identify record information being created or received during the conduct of business and ensure the preservation of Federal records as specified in Enclosure 7. Record information created by ISs and not identified in the disposition schedule (~~Volume II Reference (i)~~), should be brought to the attention of the OSD Records Administrator.

5.3.9. Ensure that the policies and provisions of DoD Directive 8910.1 (Reference (~~m~~)) are followed in the creation of OSD records.

5.3.10. Ensure that essential documents and records needed for continuity of operations are identified and preserved in compliance with DoD Directive 3020.26 (Reference (~~o~~)).

5.3.11. Ensure that North Atlantic Treaty Organization (NATO) documents are handled in accordance with AI No. 27 (Reference (~~p~~)).

5.3.12. Ensure that the requirements of Reference (~~m~~) are satisfied if creating records or system of records that are subject to the Privacy Act.

5.3.13. Periodically inform and caution all employees not to transfer or destroy records in their custody except as allowed under Reference (d) and this Instruction, and ensure they are made aware of their legal responsibility to report to the appropriate officials any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

5.3.14. Ensure contractors performing Congressionally mandated program functions create and maintain records to document these functions. Contracts must specify the delivery to the Government of all the data required for the adequate documentation of the contractor-operated program. The contractor will apply the appropriate file identification (~~Volume II Reference (i)~~) to all records delivered.

5.3.15. Ensure employees manage their personal papers in accordance with Enclosure 7, and References (e) and (~~k~~).

6. PROCEDURES

The OSD Component records disposition schedules shall be found in ~~Volume II Reference (i)~~. Enclosures 3 through 11 address, in detail, specific functions of the OSD Records Management Program.

7. EFFECTIVE DATE

This Instruction is effective immediately.

A handwritten signature in black ink, appearing to read "Ralph E. Newton", with a long horizontal flourish extending to the right.

Ralph E. Newton
Acting Director

Enclosures – 11

- E1. References, continued
- E2. Definitions
- E3. List of Figures
- E4. The OSD Functional Files System
- E5. Filing Equipment and Supplies
- E6. Disposition Procedures
- E7. Disposition of Personal Papers & Nonrecord Materials
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- E11. Recall of Records from the FRC

E1. ENCLOSURE 1

REFERENCES, continued

- (e) Title 36, Code of Federal Regulations, Chapter XII, Subchapter B.
- (f) Administrative Instruction No. 22, "Automatic Data Processing Records Management," May 24, 1979 (hereby canceled)
- (g) Administrative Instruction No. 85, "Micrographic Policy," March 19, 1981 (hereby canceled)
- (h) Administrative Instruction No. 49, "Systematic Review of 20-Year-Old Classified Records," February 12, 1980 (hereby canceled)
- (i) *Administrative Instruction No. 15, Volume II, "Office of the Secretary of Defense (OSD) Records Management Program – Records Disposition Schedule," April 18, 2008*
- (~~j~~) Title 41, Code of Federal Regulations, Chapter 102
- (~~jk~~) Executive Order 12958, "Classified National Security Information as Amended," March 28, 2003
- (~~kl~~) DoD 5200.1-R "Information Security Program Regulation," January 14, 1997
- (~~lm~~) DoD Directive 5400.11, "DoD Privacy Program," November 16, 2004
- (~~mn~~) DoD Directive 8910.01, "Management and Control of Information Requirements," June 11, 1993
- (~~no~~) DoD Directive 3020.26, "Continuity of Operations (COOP) Policy and Planning," September 8, 2004
- (~~op~~) Administrative Instruction No. 27, "Control of North Atlantic Treaty Organization Classified Documents," October 4 1982
- (~~pq~~) DoD 5015.2-STD, "Design Criteria for Electronic Records Management Software Applications," June 19, 2002
- (~~qr~~) Sections 641 and 2071 of title 18 United States Code
- (~~rs~~) Administrative Instruction No. 50, "Historical Research in the Files of the Office of the Secretary of Defense (OSD)," November 29, 1993
- (~~st~~) Administrative Instruction No. 26, "Information Security Supplement to DoD 5200.1-R," April 1, 1987
- (~~tu~~) Executive Order 12906, "Coordinating Geographic Data Acquisition and Access: The National Spatial Data Infrastructure (NSDI)," April 11, 1994

E2. ENCLOSURE 2

DEFINITIONS

The following list of definitions is comprised of those terms used in this Instruction as well as a number of others, common to the records management field, most likely to be encountered by persons performing records management functions at any level in an organization.

E2.1.1. Access

E2.1.1.1. The availability of or the permission to consult records, archives, or manuscripts.

E2.1.1.2. The ability and opportunity to obtain classified or administratively controlled information or records.

E2.1.2. Accession Number. (1) The transfer of the legal and physical custody of permanent records from an agency to the National Archives. (2) The transfer of agency records to a FRC for temporary storage. See Retirement and Transfer Number.

E2.1.3. Active Records. See Current Records.

E2.1.4. Archival Value. The determination by appraisal that records are worthy of permanent preservation by the Archivist of the United States. See also Historical Value.

E2.1.5. 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, and related records.

E2.1.6. 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 the purposes of their efficient transfer, especially the transfer of permanent records to the NARA. For example, a transfer of records in 5-year blocks.

E2.1.7. 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 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.

E2.1.8. Central Files. The files of several offices or organizational units physically and/or functionally centralized and supervised in one location.

E2.1.9. Chronological Reading File. See Reading File.

E2.1.10. Classified Information. Records or information requiring, for national security reasons, safeguards against unauthorized disclosure. See Closed File (2).

E2.1.11. Closed File. (1) A file unit or series containing documents on which action has been completed and to which additional documents are not likely to be added. (2) A file unit or series to which access is limited or denied. See Cut off and Classified Information.

E2.1.12. Convenience File. Nonrecord copies of correspondence, completed forms, publications, and other information maintained for ease of access and reference. Sometimes known as “working files.”

E2.1.13. Copy. (1) A reproduction of the contents of an original document, prepared simultaneously or separately, and usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy information or reference copy, official copy, and tickler copy. (2) In electronic records, the action or result of reading data from a source, leaving the source data unchanged, and writing the same data elsewhere on a medium that may differ from the source. See Nonrecord Material and Records.

E2.1.14. Cross-Reference. A procedure used to show the location of a document that may be filed, because of content, under more than one subject.

E2.1.15. Current Files Area (CFA). The area where current records are physically maintained, usually in a location that provides convenient access for reference and retrieval.

E2.1.16. Current Records. Records necessary to conduct the current business of an office and therefore generally maintained in office space and equipment.

E2.1.17. 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.

E2.1.18. 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.

E2.1.19. Discontinuance. The placing of an organization in an inactive or surplus status. When the term is used in this Instruction, it includes inactivation, disbandment, discontinuance or reduction to zero in strength.

E2.1.20. Disposal. Physical destruction of Temporary Records. See also Disposition.

E2.1.21. Disposal Authority. The legal authorization for the disposal of records obtained from the Archivist of the United States empowering an Agency to transfer Permanent Records to the NARA and to carry out the disposal of Temporary Records. Also called “disposition authority.”

E2.1.22. Disposition. Actions taken with regard to records following their appraisal by the NARA. No disposition of any Series of records is authorized before its appraisal. Records disposition is any activity with respect to:

E2.1.22.1. Disposal of temporary records by destruction or donation;

E2.1.22.2. Transfer of records to Federal Agency storage facilities or FRCs;

E2.1.22.3. Transfer to the Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation; or

E2.1.22.4. Transfer of records from one Federal Agency to any other Federal Agency.

E2.1.23. Disposition Instruction. An instruction for the cut off, transfer, retirement or destruction of documents. Specific techniques for using or applying disposition instructions are in Enclosure 7 to this Instruction.

E2.1.24. 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.

E2.1.25. 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.” **Volume II Reference (i)** contains the only authorized Disposition Schedule for the OSD. See also General Records Schedule (GRS).

E2.1.26. Disposition Standard. The time period for the cut-off transfer to a records center, destruction, or transfer to the NARA of a file series.

E.2.1.27. 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.2.1.28. Electronic Information System. A system that contains and provides access to a computerized Federal Record. See Information System.

E.2.2.29. Electronic 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.

E.2.1.30. Evidential Value. The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. See Historical Value.

E2.1.31. Federal Information Resources Management Regulation. Regulations on information resources management issued by the GSA and applicable to Federal Agencies.

E2.1.32. Federal Management Regulations (FMR). The FMR is the successor regulation to the Federal Property Management Regulation. It contains GSA regulatory policy on the economy and efficiencies of records management, which are codified in 41 CFR Parts 102-193 (Reference (ij)).

E2.1.33. Federal Records Center. A records center operated by NARA. See Records Center.

E2.1.34. Federal Records. See Record.

E2.1.35. File. (1) An accumulation of records or nonrecord materials arranged according to an approved plan. Used primarily in reference to current records in an office. (2) A unit, such as a folder, microform, or electronic medium, containing records, nonrecords, or personal papers. (3) 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.”

E2.1.36. File Inventory. A survey of Agency records to gain information needed to develop a disposition schedule. Includes a descriptive listing of each record series of a system, together with an indication of where it is located and other pertinent data.

E2.1.37. 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 OSD uses a functional file system. More information on this type of system is in Enclosure 4 to this Instruction.

E2.1.38. Finding Aids. Indexes or other lists, whether manual or automated, designed to make it easier to locate relevant files.

E2.1.39. Frozen Records. Those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period.

E2.1.40. General Records Schedule (GRS). 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."

E2.1.41. Historical Value. The usefulness of records for historical research concerning the Agency of origin. See Evidential Value.

E2.1.42. 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."

E2.1.43. 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.)

E2.1.44. Inactive Records. See Noncurrent Records.

E2.1.45. Information System. The organized collection, processing, transmission, and dissemination of information in accordance with defined procedures, whether automated or manual. Most often refers to a system of electronic records.

E2.1.46. Legal Value. The use of records containing evidence of legally enforceable rights or obligations of Government and/or private persons.

E2.1.47. Life Cycle of Records. The concept that records pass through three stages: creation, maintenance and use, and disposition. Records should be managed properly during all three phases of the lifecycle.

E2.1.48. Meta Data. Data describing the structure, data elements, interrelationships, and other characteristics of an electronic record. Usually described as data about the data. (See Unstructured Data)

E2.1.49. 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-opaques.

E2.1.50. Noncurrent Records. Records that are no longer required in the conduct of current business and therefore can be transferred to an FRC or destroyed, if authorized by an approved disposition schedule.

E2.1.51. Nonrecord Material. Material not usually included within the definition of Records, such as extra copies of documents, but only if the sole reason such copies are preserved is for convenience of reference; library and museum material, but only if such material is made or acquired and preserved solely for reference or exhibition purposes; and stocks of publications. This latter category does not include record sets of publications, posters, and maps that serve as evidence of Agency activities and have value for the information they contain. Nonrecord material existing in offices must also be managed. See Personal Papers.

E2.1.52. Official Records. See Records.

E2.1.53. 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 and/or because they contain significant information on persons, things, problems, and conditions with which the Agency deals. The Archivist of the United States estimates that no more than 5 percent of all records generated by the Federal Government are permanent. In the OSD, they generally fall into the following categories:

E2.1.53.1. Policy, Procedural, Organizational, or Reporting Documents

E2.1.53.1. Formal policy and procedural issuances (obsolete as well as current), such as regulations, orders, circulars, manuals, and other types of directives with related forms, recommendations, endorsements, clearances, and comments.

E2.1.53.2. Organizational charts and directories (obsolete as well as current).

E2.1.53.3. Annual or other periodic narrative and statistical reports on accomplishments at the organizational levels above divisions.

E2.1.53.4. Narrative accounts of an Agency's history.

E2.1.53.5. Publicity and public information material, such as press releases on matters of general interest to taxpayers; photographs and official speeches on changes in OSD policies and programs; charts and posters.

E2.1.53.6. Publications that contribute to an understanding of the organization and the functioning of the OSD Components, exclusive of publications that embody the results of statistical or research activity.

E2.1.53.2. Records That Provide Executive Direction to OSD Components

E2.1.53.2.1. Such authoritative documents consist of those received by the OSD for comment, clearance, appraisal, evaluation, guidance, or other action, and those drafted, prepared, or issued by the OSD. Included are documents on legislation and executive orders proposed by the OSD or by other Government Agencies, delegations, and continuing authorities and revocations thereof; inter-Agency agreements; court decisions; internal and external interpretations and rulings; and legal opinions. Also, case, subject, planning, and control files documenting the preparation, issuance, analysis of, reactions to, and compliance with those authoritative documents that affect and define the functions of the OSD Component concerned.

E2.1.53.2.2. Legislative history files, exclusive of nonrecurring copies of hearings, bills, and statutes.

E2.1.53.2.3. Agenda and minutes, with supporting papers, of staff meetings at division and higher organizational levels on substantive functions of the OSD or the Department of Defense.

E2.1.53.2.4. Agenda and minutes, with supporting papers, of those meetings of inter-Agency and extra-Federal Governmental bodies in which OSD participates that relate to substantive matters on OSD or DoD functions.

E2.1.53.2.5. Reports on special studies, surveys, and inspections of operations, management, and systems with related papers showing their inception, scope, procedures, and results.

E2.1.53.2.6. Documents on relations with the White House, the Executive Office of the President, and the Congress, that concern the planning, initiation, management, and effectiveness of changes in OSD's programs, including inter-Agency programs in which the OSD participates.

E2.1.53.2.7. Budget statements (estimates and justifications) prepared at the OSD level, budget digests, budget briefing books, and comprehensive program and financial plans developed under the planning, programming, and budgeting system and earlier or later equivalents, such as zero-base budgeting.

E2.1.53.2.8. Annual activity reports, and any special nonrecurring reports, from field offices that are required for executive directions.

E2.1.53.2.9. Inter-Agency agreements and delegations of continuing authority to and from other Agencies that significantly affect the substantive functions of the OSD.

E2.1.53.2.10. Case files on approved plans, policies, programs (including internal management improvement, records management, and staff development programs), projects, and procedures.

E2.1.53.2.11. Litigant case files, the results of which had a significant impact on DoD policy or procedures.

E2.1.53.3. Records Documenting Major Functions of the OSD Components

E2.1.53.3.1. Documentation of the development, supervision, and evaluation of each of the major substantive functions.

E2.1.53.3.2. Formal legal opinions on major functions.

E2.1.53.3.3. Case files of significance on policy formulation.

E2.1.53.3.4. Summary statistical data on each major function.

E2.1.53.3.5. Pertinent portions of office files of directorates or higher organizational units that were responsible for carrying out major substantive functions of the OSD or the Department of Defense, or both.

E2.1.53.3.6. Pertinent portions of office records, if the substantive functions were administered from the field.

E2.1.54. Personal Papers. Papers of a private or nonofficial character that pertain only to an individual's personal affairs that are kept in the office of a Federal official and clearly designated by that official as nonofficial. Personal papers are required to be filed separately from official records of the office. See Enclosure 7 to this Instruction for additional guidance.

E2.1.55. 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."

E2.1.56. Reading File. A file containing copies of documents, usually outgoing correspondence, arranged in chronological order. Sometimes referred to as a "chron file," or "chronological reading file."

E2.1.57. Record Copy. The official, or file, or coordination copy created by an action office, complete with coordinations, enclosures, or related background papers that form a complete file or history of that action.

E2.1.58. 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 FRCs and/or the National Archives. The record group for the OSD is 330; other elements of the Department of Defense are assigned their own record group numbers.

E2.1.59. Records. (Also referred to as Federal records or Official records). All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. See also Nonrecord Material.

E2.1.60. Records Control Schedule. A listing prepared by each OSD office identifying the records series, filing arrangement, and ultimate disposition of all files maintained. See Enclosure 4 to this Instruction for more detail.

E2.1.61. Records Center. 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.

E2.1.62. 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 OSD records to an FRC. See Enclosure 10 to this Instruction for more details.

E2.1.63. 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.

E2.1.64. Records Manager. The person responsible for or engaged in a records management program. Sometimes called “records officer” or “records administrator.”

E2.1.65. Reference Copies. A collection of extra copies of official records on a specific action used for ready reference.

E2.1.66. Retention Period. The time period that a specific series of records is to be kept. Also called “retention standard.”

E2.1.67. Retirement. The movement of inactive files having a permanent or long-term value to an FRC for storage, servicing, and ultimate disposition. See Transfer.

E2.1.68. 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 and before Transfer or Retirement.

E2.1.69. Series. File units or documents arranged in accordance with an approved filing system. Also called "record series."

E2.1.70 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. Example of structured data is a database.

E2.1.71. 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.

E2.1.72. Temporary Records. Records designated for retention for a specified period of time and that are then authorized to be destroyed in the CFA area. Temporary records are most commonly found among Housekeeping Records and administrative files.

E2.1.73. Transfer. The movement of records out of office space and equipment to a depository but not necessarily an FRC. (See Retirement.)

E2.1.74. Transfer Number. The control number given to any OSD 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. 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 and controlled by R&DD. More information is contained in Enclosure 7 to this Instruction.

E2.1.75. 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

E2.1.76. Unscheduled Records. Records whose final disposition has not been approved by the Archivist of the United States.

E2.1.77. Unstructured Data. Any data stored in an unstructured format at the atomic level. Refers to computerized information which does not have a data structure which is easily readable by a machine and requires human intervention to make the data machine readable. Examples of unstructured data are e-mails, spreadsheets, or word processing documents.

E2.1.78. 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." These records include both emergency-operating and right-and-interests records that are duplicates or extra copies of original records stored off-site.

E2.1.79. Washington National Records Center (WNRC). The official off-site repository for all OSD records. The WNRC is located at Suitland, MD. Other centers may be designated by OSD Field Activities not located in the Washington Metropolitan Area, but not without the concurrence of the particular FRC concerned. Such agreements eventually must be reflected in that Agency's records disposition schedule.

E2.1.80. Working files. (1) Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. (2) In electronic records, temporary files in auxiliary storage. An accumulation of working files may also include nonrecord material and technical reference files.

E3. ENCLOSURE 3

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E4. ENCLOSURE 4

THE OSD FUNCTIONAL FILES SYSTEM

E4.1. THE OSD FUNCTIONAL FILES SYSTEM

The records disposition schedules contained in ~~Volume II~~ *Reference (i)* are arranged according to a “functional” file system. This enclosure outlines in detail how to create and maintain such a filing system. This is the only type of filing system authorized for the OSD Components.

E4.2. RECORDS ARRANGEMENT

Planning the proper location of records so they are arranged in a manner that facilitates their use and disposition is essential to effectively maintain records. Primary planning considerations are maximizing the ease of reference to the files, minimizing the duplication of records, preserving permanent records, and systematically disposing of all others.

E4.3. FILES PLAN DESIGNATION

Every office within the OSD shall have an office files plan. Records accumulated and used in performing a function shall be located in the organizational element performing the function. All files plans are to be reviewed and approved by the Component Records Management Officer.

E4.3.1. Specialized files of OSD-wide interest and use may be centrally located. The OSD Components may establish centralized record systems in their organizations if they are more effective and convenient.

E4.3.2. The OSD Components shall establish written procedures stating or explaining where the record copies are filed. Each such location is known as an office of record.

E4.3.3. Each office of record is responsible for the custody, maintenance, retirement, and disposition of current documents of the office it serves.

E4.3.4. The following factors shall be considered in designating offices of record:

E4.3.4.1. Access. Records kept sufficiently accessible to the using activities so that maintenance of duplicate files is unnecessary.

E4.3.4.2. Security. Classified material maintained in security containers or secured areas established in accordance with Reference (~~k~~).

E4.3.4.3. Space. Adequate space for present and anticipated needs, including the safety, health, and morale of records personnel. Systems selected to manage electronic records must comply with DoD 5015.2-STD (Reference (~~p~~q)). Consideration shall be given to the retention period of the record when selecting the storage media for electronic records; for permanent records, offices must comply with the requirements in Reference (e). Offices storing large quantities of records shall be given fire protection.

E4.3.4. Arrangement. Files equipment and supplies shall be positioned to provide control and convenience to the maximum number of users. Classified files and containers shall be located away from windows and doors to prevent illicit acquisition of, or unauthorized access to, classified information (Reference (ep)). Files requiring protection because they contain privacy information shall be handled and arranged in accordance with Reference (1).

E4.4. RECORDS EVALUATION

There are two types of Federal records: Temporary (TEMP) and Permanent (PERM) (see Enclosure 2, Definitions and Figure E5.F1). TEMP records are disposed of in the CFA or at an FRC after a specified period of time. PERM records are eventually accessioned by NARA, ceasing to be the property of the originating Agency. The value of records is not necessarily determined by how long they are kept. Many temporary documents (personnel and health records for instance) are important although they have no archival value (see Enclosure 2, Permanent Records), which is a criterion for permanent records. The evaluation process (also called scheduling) is participative and includes the document creator, R&DD, and NARA appraisers, if required (see Figures E4.F1. and F4.F2.).



Figure E4.F1
Information Needed for Permanent Records

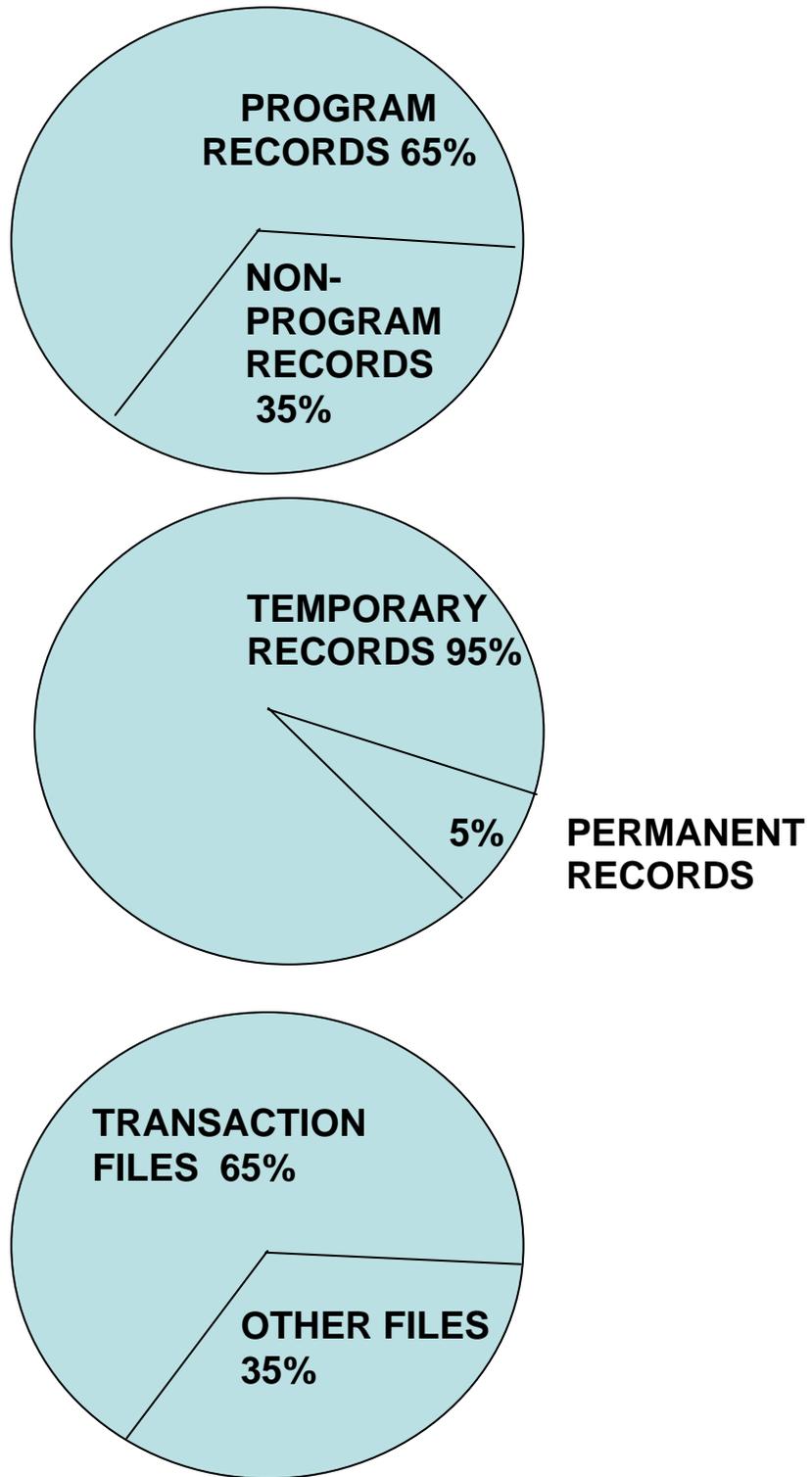


Figure E4.F2 – The Appraisal Process: Three Aspects of Federal Records

E4.5. DOCUMENTATION AND FILE ARRANGEMENT

Documentation concerns the creation of records and the assembly or consolidation of this information; this applies to records in all media (paper, electronic, microfilm, etc). Effective documentation ensures a complete account of actions taken, commitments made, and results achieved. File arrangement is simply the relative positioning of information in a file. Effective file arrangement produces easy retrieval and disposal of documents.

E4.6. BASIC FILE GROUPS

E4.6.1. Subject Files. These are files arranged according to their general content, or information on the same topic brought together 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. The purpose of the subject file is to provide complete documentation in the appropriate subject functional 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.

E4.6.2. 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 contract monitor, 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 deliverable. Another familiar example of a case file is the Official Personnel File. Case filing is the most efficient method for filing and using large quantities of records.

E4.6.2.1. The information may cover one or more subjects on a case or project but shall always be filed by a specific title or number.

E4.6.2.2. A distinguishing feature of a case or project file is the similarity in nature of the information within the case folders.

E4.6.2.3. Information is arranged within each case file in chronological order with the most recent documentation placed at the front of the file folder.

E4.6.2.4. Case or project files are closed upon occurrence of an event or action and placed in an inactive file. Examples of events or actions that would result in placing a file in inactive status would be the separation of personnel, a final contract payment, or project completion.

E4.6.2.5. 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.

E4.6.3. Chronological Arrangement. This system is used to arrange files in date sequence when the date is the primary means of reference, and is useful for keeping records in small, manageable groups; usually by year, month, and day. Reading and suspense files are examples of files arranged by date.

E4.6.4. Reference Files. Sometimes called convenience files or working files (exception paragraph E5.6.5), may include extra copies of documents that are officially recorded elsewhere, such as books, pamphlets, and catalogs. These files should be reviewed periodically to retain only those that are current and of significant reference value.

E4.6.5. Working Files. According to Reference (e), working files and similar materials shall be maintained as records, for purposes of adequate and proper documentation, if:

E4.6.5.1. 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; and

E4.6.5.2. They contain unique information, such as substantive annotations or comments that adds to a proper understanding of the agency's formulation and execution of basic policies, decisions, actions, or responsibilities.

E4.7. FILING ARRANGEMENTS

The first step in arranging a group of files is to determine the major functional categories that apply. These are listed in ~~Volume II~~ *Reference (i)*. Assistance is also available from R&DD in helping make this determination. After selecting the major functions file grouping, a method of arranging each group (see section E.4.6) is selected based on the primary function by which the file shall be requested. Files can be further arranged in one or a combination of the filing arrangements listed below, in accordance with the business or reference needs of the office, except that records not covered by a Privacy Act System Notice (Reference (*Im*)) will not be retrieved by a personal identifier (name, date of birth, or social security number).

E4.7.1. Numerical Arrangement. Numerical files are identified and retrieved by a number, such as a social security number, purchase order, or requisition.

E4.7.2. Chronological Arrangement. Chronological files are identified and retrieved by date.

E4.7.3. Alphabetical Arrangement. Alphabetical files are identified and retrieved by subject and name.

E4.7.3.1. Name. Files are arranged by names of persons, companies, organization or agencies.

E4.7.3.2. Geographical. Geographical files are arranged by a geographical location such as region, country, state, or county.

E4.7.3.3. Subject. Subject titles are arranged alphabetically.

E4.7.4. Alpha Numeric Arrangement. Alphanumerical files are identified and retrieved by an alphabetical numeric arrangement, such as contract files (MDA-011 or H-0012).

E4.7.5. Functional Arrangement. Functional files are identified and retrieved by the function to which the information relates and not necessarily the subject.

E4.8. RECORDS AND FILES SURVEY

Each office of record shall prepare a files plan, listing each file series of records it maintains. The files plan will identify at a minimum the file number, title, brief file description, disposition, media (paper or electronic) and Privacy Act (PA) Systems Notice number, if applicable (see Figure E4.F3). The files plan shall provide a comprehensive system of identification, maintenance, and disposition of all record information. In preparing and maintaining the listing, each office of record shall:

E4.8.1. Review office files plan for accuracy and ensure they are updated as file titles are added, changed, or deleted or office functions change.

E4.8.2. Forward one copy of the files plan to their Component Records Management Officer for review and approval.

E4.8.2. Review the Records Disposition Schedule (~~Volume II Reference (i)~~) annually to ensure that all records are properly identified and the schedule is accurate and complete. If revision is deemed necessary, contact the OSD Records Administrator through the Component Records Management Officer.

ABC Directorate: Administration Office
 Records Liaison or Custodian: Mr. John Doe
 Component Records Management Officer: Ms. Jane Jones (signed)

Date Prepared: September 5, 2006
 Date Approved: September 22, 2006

FN	Title/Brief Description	PA Sys No.	Disposition	Media
101-01	Office General Management: Internal office procedures, hours of duty, and individual duties	NA	DEST when 1 yr old	Paper
101-02	Office Inspection and Surveys: Extracts of inspection reports, security inspection reports, safety inspection reports that pertain only to office operations.	NA	DEST after next survey	Paper
101-08	Office Space Assignment: Administrative spaces assigned to an office.	NA	DEST when SS	Paper
101-09	Office Reading and Informational Files: Outgoing Communications and records received for general information purposes requiring no action.	NA	DEST when 3 months old	Paper
201-11	Orientation and Briefing Files: Orientations and briefings given to visitors and newly assigned individuals.	NA	DEST when SS	Electronic
202-03	Management Survey Files: Individual studies and surveys concerning comprehensive review of organization or particular phase of management.	NA	DEL when 20 years old COFF on Proj completion	Electronic
202-04	Management Improvement Files: Studies, charts, coordination papers, recommendations, statistical data, etc.	NA	DEL when 4 years old COFF on Proj completion	Electronic

Page 1 of 2

Figure E4.F3 – Sample Format for a Files Plan

E4.9. FUNCTIONAL FILE SYSTEM CONCEPT

E4.9.1. The OSD functional file system is based on the concept that each element or office maintains records documenting the performance of each of its functions.

E4.9.2. The functional file system for OSD is a system for identifying and arranging records, following the principle that identification or coding of records, papers, correspondence, and communications is intertwined with the function that they document. The coding and arrangement of files under this system lend themselves to a more flexible arrangement.

E4.10. ORGANIZATION OF THE OSD FILE SYSTEM

The organization of the OSD functional file system provides for the division and identification of record information into several distinct subject series to facilitate referencing and disposition.

E4.10.1. Series 100 pertains to General Office Administration Files. Information in this series relate primarily to the performance of routine administrative and housekeeping operations of any office.

E4.10.2. Series 200 and up pertain to the functional files. The first subdivision of each of these functional series is devoted to administrative files on the particular functions as opposed to the general office files in series 100. These series relate to specific major functional or functional subgroup areas of the OSD. Series identification file number descriptions and instructions for retention and disposition for all the functional file series are contained in ~~Volume~~ *Reference (i)*.

E4.11. APPLICABILITY

The OSD records disposition schedule system shall apply to all record information, regardless of media . Excluded are publications, blank forms, reference materials, personal papers, books in formally organized and officially designated libraries, and reproduction material, such as stencils and offset masters, this is considered nonrecord material (see Enclosure 7).

E4.12. FUNCTIONAL AREA NUMBERING SYSTEM

E5.12.1. The OSD records disposition schedule is set up functionally and does not necessarily follow an organizational relationship The major file series with their numerical designations are:

- 100 Office General Administration Files
- 200 Administration and Management
- 300 Budget and Finance
- 400 Information Management
- 500 Legal Services
- 600 Personnel Administration
- 700 Acquisition and Procurement
- 800 Security and Intelligence
- 900 Health Affairs
- 1000 Education
- 1100 Research and Engineering
- 1200 Analysis and Evaluation

E4.12.1.1. These major series are further divided into categories, as shown in the examples below:

- 401 Records Management
- 402 Information Service Records
- 403 Publication Records

E4.12.1.2. A dash is then employed before designating the file number, a two-digit number, such as 01, is always used to designate a file. Examples are:

- 204-04 Audit Report Files
- 301-17 General Accounting Ledgers

E4.12.1.3. By combining all elements of this numbering system, the following examples demonstrate their composition:

- 300 Budget and Finance
- 301 Budget and Finance Records
- 301-01 Budget Report Files
- 400 Information Management
- 402 Information Service Records
- 402-01 Privacy Act Reports, Administrative, and Request Files

E4.12.1.4. Series and categories are functional breakdowns and not files. Files contain a description of the applicable records and a disposition. Some files identify a specific function, 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 should be applied, the latter are called “buckets.”

E4.12.1.5. File numbers in the 100 series are common to all offices in the OSD and are described in detail in ~~Volume II~~ *Reference (i)*. Each office designates their own specific functional files within this series.

E4.12.1.5.1. A files plan of all files kept in an office shall be maintained by each office and made available to each employee.

E4.12.1.5.2. Each office shall determine the functions that they are primarily responsible for and identify the records that correspond to their function from ~~Volume II~~ *Reference (i)*. Records within a file number may be further arranged by date (Chron files),

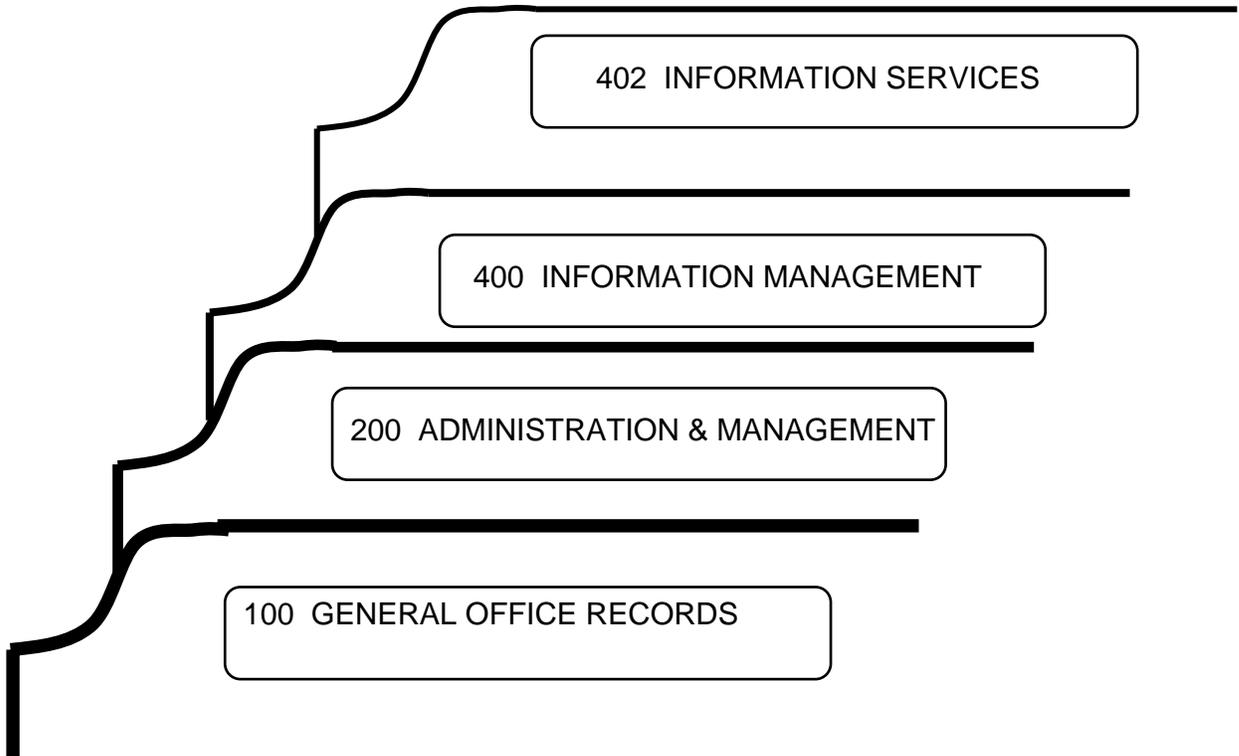
number arrangement (Project number), or alphabetical (subject, name, or organization). Records should be arranged in a manner that best suits the business needs of the office.

E4.12.1.5.3. Records arranged by a personal identifier (name of an individual, SSN, birth date) are subject to the PA Systems of Records (Reference (4m)) and must identify the notice number on the label.

E4.13. FILES CONTROL

E4.13.1. An effective filing system depends upon arranging of guides and folders, preparing and filing materials, retrieving the files and charging them out, keeping the files orderly, and transferring or destroying inactive or files in accordance with approved disposition standards.

E4.13.2. Any filing system is acceptable that employs the procedures and conforms to the disposition schedules in ~~Volume II~~ *Reference (i)*. However, the procedures explained in section E4.14., below, and illustrated in Figures E4.F4. through E4.F7. of this enclosure, should be followed as closely as practicable to ensure uniformity and efficiency in storing, retrieving, and disposing of paper files. Labels must have all the information required to identify the information or papers in the folders, but they do not necessarily have to be in the exact format shown in Figures E4.F4, through E4.F7. When variations are permitted, they should be applied as temporary measures only, and the standards prescribed herein should be adopted as soon as practical. The best time to do that is when new files are created or old ones are remade



GUIDE CARD LABELS – Breakdown of guide cards is authorized if files within one subfunctional category are voluminous, e.g., the 400 category (Information Management) is further divided with guide cards for 401, 402 etc..

101-01 thru 101-20 (05)

Sample label entry for drawer that contains two or more records series. No disposition is shown on the label because it varies among the several record series in the drawer.

(05)
101-09 READING FILES
COFF 31 DEC 05
DEST JAN 09

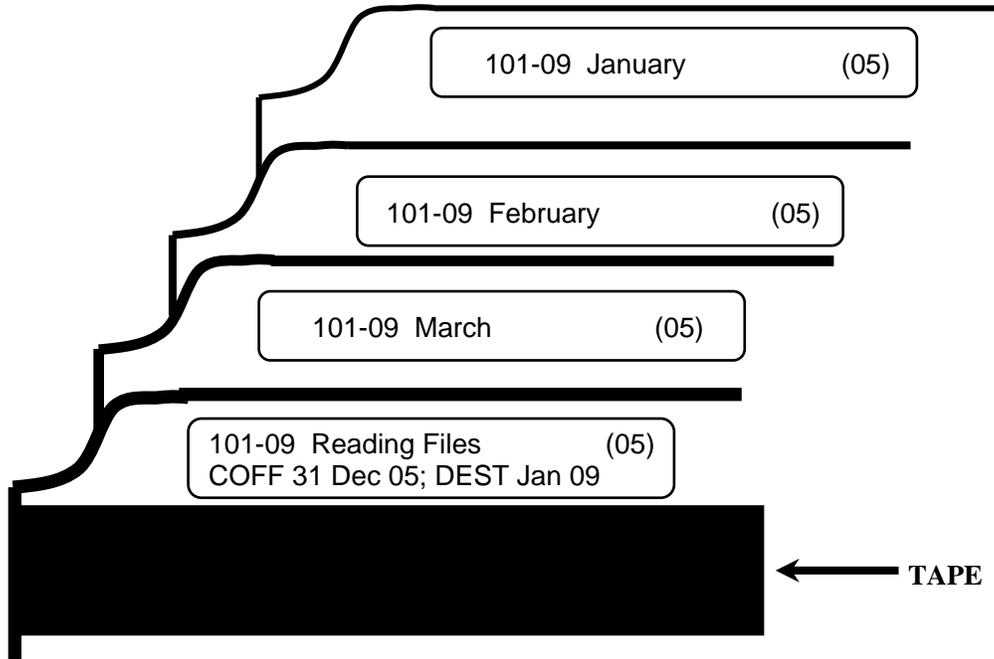
Sample label entry for drawer that contains one (and only one) record type. Note that drawer label is identical to folder label in this case.

Figure E4.F4 – Examples of Guide Cards and Drawer Label Entries

E4.14. PREPARING AND USING GUIDE CARDS, FILE FOLDERS, AND LABELS

E4.14.1. Guide Cards. Prepare and use guide cards to identify each major file 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.

E4.14.2. File Folders. Type identifying data on standard labels, positioning them on the folders as outlined in paragraph E4.14.4. 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 folder - 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 file series. This saves repeating all the same information on the succeeding folders in that series, which require only the basic series number followed by the file name (see Figure E4.F5.).



USE OF “DUMMY” FOLDER – When there are several folders within one file number, a “dummy” file folder may be used as the first in the series. Tape it shut so that no documents can be inadvertently file in it. Subsequent folder labels need only show the file number, contents and year of accumulation (if

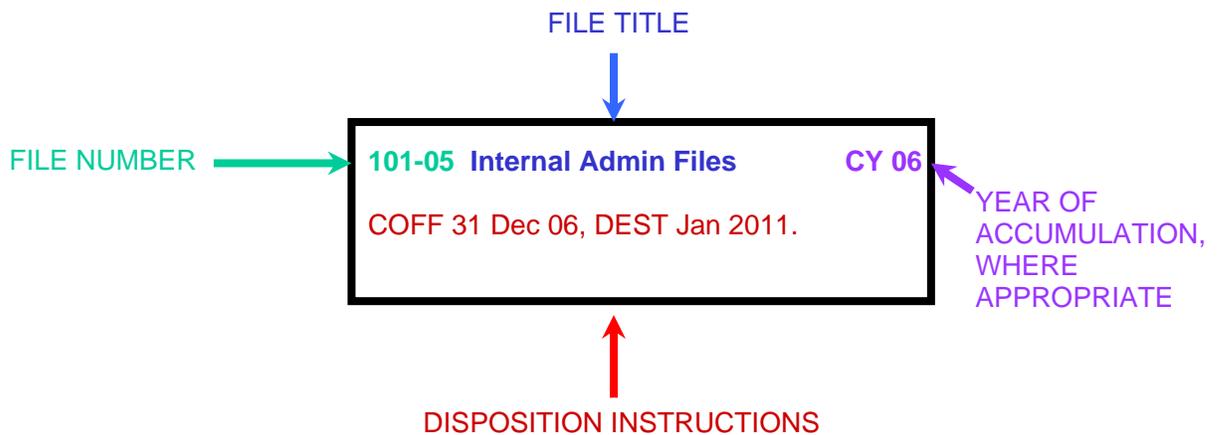


Figure E4.F5 – Samples of Folder Label Entries



Figure E4.F6 – Samples of Label Entries for Binders Containing Reference Publications

E4.14.3. Labels

E4.14.3.1. Preparation of Labels. Label all file folders, binders, or electronic media with the file number, title, year file created, cut off date, disposition instructions, and PA Systems of Records notice number, if applicable (see Figures E4.F5 through E4.F7). The exception is when a dummy file folder is used. Subtitles and commonly accepted abbreviations may be used:

402-12 Office Classified Document Receipt Files

(01) COFF 31Dec 01, DEST Jan 04

702-02 Small and Disadvantaged Business Utilization Case Files

(04) COFF Dec 04, PIF Jan 05

TRF to the WNRC when SS

801-03 Major Investigations and Operations Files

(01) COFF 31 Dec 01, PIF Jan 03

PERM TRF National Archives 1/2026

E4.14.3.2. Labels for Electronic Media. Type identifying data on standard labels, positioning them on the media (diskettes, compact disks (CDs), DVDs, external hard drives, etc) as shown in Figure E4.F7. Labels should contain FN, title, date, author or creator, office name, type of record or name of office (if applicable), PA systems notice and/or security classification (if applicable), software version, and file extension. All files should have a standardized naming convention (X:\Research Services\Meetings\2005_01_01_04Agenda.doc) and date format (YYYYDDMM). In addition the following files must be included in ASCII text format in the media.

E4.14.3.2.1. A readme.txt file which contains the author's name, agency, and specific information on the diskettes, CDs/DVDs. Example: Information was prepared by John Doe, Agency XYZ. Information herein contains the Audit Reports for the first quarter of 2002.

E4.14.3.2.2. A directory for diskettes, CDs/DVDs, external hard drives only if they contain various types of information. The directory should contain the number of diskettes, CDs/DVDs (if more than one is required) and type of information contained, for example: Audit reports, background information, and IG/GAO responses.

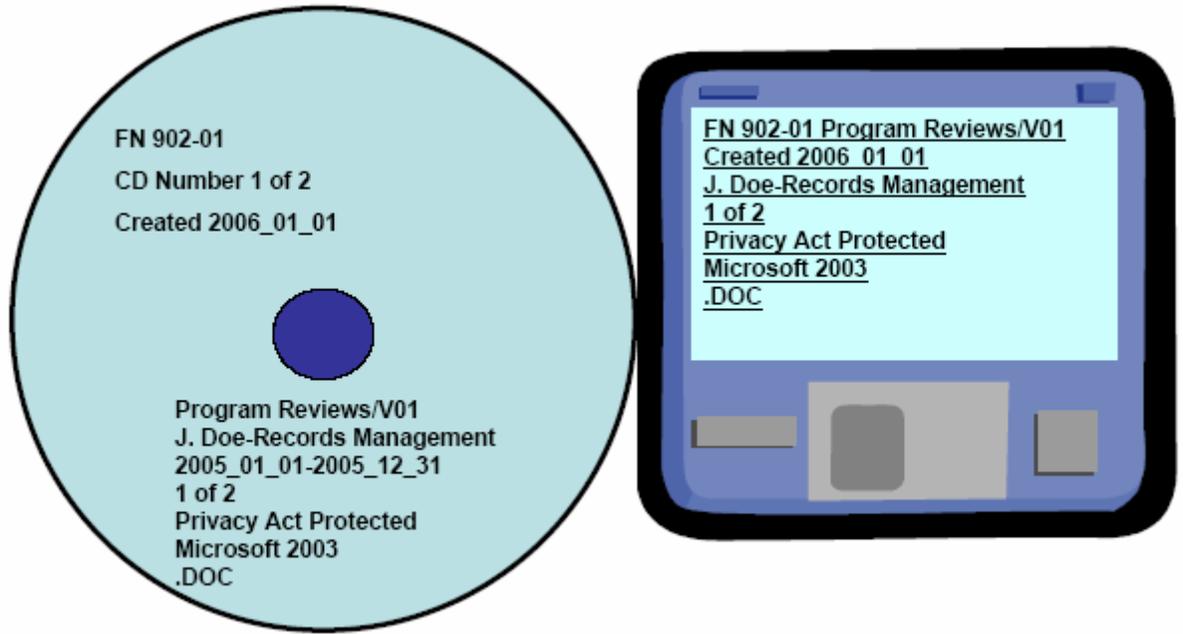


Figure E4.F6 – Samples of Label Entries for Electronic Media

E4.14.3.4. Label Abbreviations. In addition to commonly used abbreviations, use the following in preparing labels:

- CFA Current Files Area
- COFF Cut off
- DEST Destroy
- NLN No longer needed
- NPRC National Personnel Records Center, GSA (Civilian Personnel Records)
(CIV) 111 Winnebago St., St. Louis, Missouri 63118
- NPRC National Personnel Records GSA (Military Personnel Records)
(MIL) 9700 Page Boulevard, St. Louis, Missouri 63132
- OBSOL Obsolete
- PERM Permanent
- PIF Place in Inactive File
- REFP Reference paper
- RET Retire
- SS Superseded
- TRF Transfer
- WNRC Washington National Records Center (WNRC), Suitland, MD 20746

E4.15. MANAGEMENT OF DOCUMENTS/INFORMATION

Personnel shall:

E5.15.1. Prepare information for filing when all actions are completed, when record information is self-identifying, or when an official has requested that documentation be maintained.

E4.15.2. Ensure that each record set is complete and that enclosures or related papers are retained or accounted for in both paper and electronic filing systems.

E4.15.3. Remove or destroy identical or duplicate copies of information before filing. Ensure that duplicate copies of such records retained for convenience are identified as such and any duplicates or versions of records retained in computers that are no longer needed for reference are deleted, per ~~Volume II~~ *Reference (i)*.

E4.15.4. Remove all mail control forms, e-mail, classified cover sheets, envelopes, and routing slips, except those containing remarks or information of significant record value.

E4.15.5. Mend or reinforce torn or frayed temporary papers with transparent tape. Do not tape nor attempt to mend permanent documents. (Upon retirement, torn or frayed permanent documents 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.)

E4.15.6. Assemble related documents for filing, as indicated below, and file by the date of the latest action.

E4.15.6.1. The latest action on top.

E4.15.6.2. The basic paper.

E4.15.6.3. Endorsement, beginning with the earliest paper.

E4.15.6.4. Enclosures in numerical order.

E4.15.6.5. Supporting papers (to include printed email, to include return/read receipts).

E4.15.7. Staple related documents together in the upper left corner. When the material is too thick to use wire staples, use pronged fasteners to fasten related material.

E4.15.8. Bring forward related documents, if appropriate. 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 earlier document does not necessarily require that documents be combined. Do not combine:

E4.15.8.1. Recurring reports with the policy documents requiring such reports.

E4.15.8.2. Applications with the instructions governing their submission.

E4.15.8.3. Documents on the same subject on different transactions, such as reports of inspection of two different organizations.

E4.15.8.4. Use a cross-reference sheet for documents brought forward to maintain continuity.

E4.15.9. File papers loosely in the proper folder with the latest date in front. 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.

E4.15.10. Keep folder labels visible by neatly arranging papers in the folders. When the contents of the folder increase to the point that the papers begin to obscure folder labels, crease the bottom front of the folder. 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.

E4.15.11. Prevent overcrowding files by allowing at least 4 inches of space in each active file drawer to permit sufficient working space.

E4.15.12. 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.

E4.15.13. Ensure that all electronic record files are complete, identified, and maintain in accordance with this AI and DoD requirements.

E4.15.14. Ensure that all action in a file is completed before cutting off the record and applying the disposition instructions.

E4.16. CODING DOCUMENTS FOR FILING

After documents have been prepared for filing, the next step is to code or categorize them. Coding segregates the papers into logical categories for ease of filing and finding. The OSD Component personnel shall adhere to the following guidelines for identifying documents to be filed:

E4.16.1. Exercise care in determining their administrative, legal, and research value to OSD and WHS; their relationship to the organization; usefulness as archival documents; and the costs

of keeping them. See Records Disposition Schedules, ~~Volume II~~ *Reference (i)*, and the office files plan for proper file number.

E4.16.2. In selecting a file number, first determine the functional series that represents the subject matter, and the specific subdivision.

E4.16.3. Select the proper file designation by referring to the series and title descriptions listed in ~~Volume II~~ *Reference (i)*. (See Figure E4.F5.)

E4.16.4. Indicate the filing designation (file number) on the right margin of the document.

E4.16.5. If the material being filed involves one or more subjects by which it may be requested, indicate the cross-reference file number for the additional subject by placing it below the file number shown for the major subject. The cross-reference is preceded by an "X" to distinguish it from the major subject file number and to indicate that it is a cross-reference.

E4.17. CROSS-REFERENCE

E4.17.1. Cross-references are made to locate documents promptly when they are needed. A cross-reference is a paper filed under one classification and date to show the location of material filed elsewhere.

E4.17.2. 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, a blank sheet, conspicuously annotated to show the record copy location, may be used instead.

E4.18. LABELING FILE DRAWERS

File drawers shall be labeled to facilitate retrieval, and discretion used so that identification numbers or markings do not indicate the classifications of material stored therein. Only the major file series and inclusive dates of the material are indicated (see Figure E4.F5).

E4.19. CLASSIFIED INFORMATION

E4.19.1. Classified files shall be safeguarded in accordance with Reference (jk).

E4.19.2. The interfiling of unclassified and classified information shall be restricted to the information that directly supports, explains, or documents the record of the action or transaction.

E4.19.3. Classified information or materials shall be filed or stored in approved classified containers, systems, or secure areas appropriate with the classification of the material to be protected.

E4.20. FILES CUTOFF PROCEDURES

E4.20.1. "Files cutoff" is the process of transferring a file from the active to the inactive state. Generally, this is expressed on the file label as "COFF Dec 31, 2001," followed by transfer or destruction information. Until the file is transferred to an FRC or destroyed, it is held for reference only; no new documents shall be added after the cut off date. Inactive files must be kept separate from active ones to guard against misfiles. A new folder is put into the active files to replace the old one.

E4.20.2. On an annual or fiscal year basis, 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 ~~Volume II-Reference~~ (i), and review and destroy all duplicate or extraneous materials. Cut off:

E4.20.2.1. Calendar year files on December 31.

E4.20.2.2. Fiscal year files on September 30.

E4.20.2.3. Files with a retention period of less than 1 year, on a monthly or quarterly basis.

E4.20.2.4. Files maintained as case or project files are cut off upon the occurrence of a certain event, such as separation of personnel, final contract payment, or project completion. Upon cut off, move such files to an inactive file until they are eligible for destruction or transfer to a FRC, in accordance with disposition procedures contained in ~~Volume II~~ *Reference (i)*.

E5. ENCLOSURE 5

FILING EQUIPMENT AND SUPPLIES

E5.1. FILING EQUIPMENT AND SUPPLIES

This enclosure sets forth standards governing the procurement and use of filing equipment and supplies from the perspective of an efficient and cost-effective records management program.

E5.2. GENERAL

Filing equipment includes all containers, machines, devices, and furniture used for maintaining and servicing files, exclusive of records storage boxes.

E5.3. EQUIPMENT CONSERVATION

E5.3.1. The use of proper equipment and supplies saves time for professional and clerical personnel. Filing equipment used by the OSD shall be efficient and economical to meet requirements. Filing equipment may not be requested solely to improve appearance, office decor, or to acquire the latest design. Used or reconditioned equipment shall be used when available. Excess equipment shall be returned to Supply for redistribution.

E5.3.2. Storing large amounts of blank forms, publications, and other office supplies in filing cabinets shall be avoided.

E5.3.3. Managers must remain aware of and consider alternatives to traditional storage methods, such as conversion of hardcopy records to electronic media when economic analysis indicates that they are workable and shall decrease cost or improve productivity. Consideration should always be given to maintaining records electronically, when possible.

E5.3.4. Agency records officers and administrators must ensure strict adherence to the disposition schedules at ~~Volume II~~ *Reference (i)* to free filing equipment by transferring files to an FRC as soon as they are eligible, or to improve processing time by maintaining electronic information on near-line or off-line storage.

E5.4. STANDARD FILING EQUIPMENT

E5.4.1. Standard Equipment. Standard equipment listed in the GSA Store Catalog, Federal Supply Schedules, and the Defense Services Fund Catalog shall be used. Nonstandard equipment shall be obtained only when completely justified and the acquisition is approved by the Component Records Management Officer.

E5.4.2. File Cabinets. Careful consideration shall be given to selecting the best file cabinets for a particular files operation. The 5-drawer filing cabinets have been standardized because they provide 25 percent more filing area in the same amount of floor space as the 4-drawer cabinets.

E5.4.3. Containers for Safeguarding Classified Material. Classified documents and material shall be stored in security containers and filing equipment authorized by Reference (j)(k).

E5.4.4. Shelf Files. Shelf filing equipment costs less than standard file cabinets, requires less office space, and permits ease of filing operations. Standard shelf filing equipment may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. They are not authorized for storage of classified material unless the units are located within secured areas established and protected in accordance with Reference (j)(k). Requests for open-shelf filing must be submitted to the Component Records Management Officer for recommendations. Shelf filing equipment shall be considered when the records total 50 cubic feet or more (exceptions must be approved by the Component Records Management Officer) and when:

E5.4.4.1. The purchase of filing equipment is contemplated.

E5.4.4.2. Additional space for filing operations is required and only a limited amount of space is available.

E5.4.4.3. The filing station is in a relatively permanent location.

E5.4.4.4. The area is relatively free from excessive dust and other adverse conditions.

E5.4.4.5. The area provides the degree of security required.

E5.5. REQUESTING AND CONTROLLING SPECIALIZED FILING EQUIPMENT

Requests for specialized, nonstandard file equipment not listed in GSA or other Government catalogs shall be submitted through the Component Records Management Officer, who shall review the requests and the file operations involved.

E5.6. REQUISITIONING FILE CABINETS

Requisitions for additional standard file equipment shall be reviewed by the Component Records Management Officer for approval or denial. Review by the Component Records Management Officer shall include:

E5.6.1. A survey of the files of the requisitioning office to determine whether the requirement for additional space may be obtained by disposal of eligible records, and to ensure that existing equipment is properly utilized.

E5.6.2. That all records are included on the Records Disposition Schedule, and maintained in accordance with ~~Volume H~~ *Reference (i)*.

E5.6.3. That all eligible non-current permanent and long-term records have been retired to the appropriate FRCs.

E5.6.4. Ensuring that secure filing equipment is utilized for storage of classified documents. Exceptions to this policy may be made when small amounts of unclassified files are stored in otherwise empty file space and additional file equipment would have to be obtained to comply with this Instruction. All security filing equipment not utilized for classified material shall be exchanged for nonsecurity equipment. The above provisions apply only to the control of existing equipment.

E5.7. USE OF MICROGRAPHICS

See 36 CFR Part 1230 of Reference (e).

E5.8. USE OF ELECTRONIC MEDIA AND SYSTEMS.

See Enclosure 8 and Reference (~~p~~q).

E6. ENCLOSURE 6

DISPOSITION PROCEDURES

E6.1. GENERAL

The OSD Records Management 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 OSD records.

E6.2. SOURCE OF RETENTION PERIODS

Retention periods for categories of OSD files are published in the disposition instructions in ~~Volume II~~ *Reference (i)*. Retention periods cited therein have been established in accordance with records management regulations approved by the Archivist of the United States either upon specific application (see SF 115, E6.F1.) or through the GRSs. Recommendations for changes to retention periods and disposition procedures shall be submitted to the OSD Records Administrator for approval. Records that do not have NARA approved disposition cannot be destroyed or deleted

.

REQUEST FOR RECORDS DISPOSITION AUTHORITY <i>(See Instructions on reverse)</i>		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER N1-330-02-1	DATE RECEIVED 10/27/2002
1. FROM (Agency or establishment) Department of Defense		NOTIFICATION TO AGENCY	
2. MAJOR SUBDIVISION Office of the Secretary of Defense		In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION Washington Headquarters Services			
4. NAME OF PERSON WITH WHOM TO CONFER D. Fisher	5. TELEPHONE 555-1111	DATE	ARCHIVIST OF THE UNITED STATES
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>3</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE 10/22/2002	SIGNATURE OF AGENCY REPRESENTATIVE C.N. Potter	TITLE OSD Records Administrator	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
1	OFFICE OF THE SECRETARY OF DEFENSE (OSD) Background: These records are by the OSD components and field activities and relate to the mission of each functional element. Disposition instructions have been modified to apply to records in all media and formats.	NC1-330-77-33	
	103-01 Policy Files. These files accumulate in the offices of the Secretary and Deputy Secretary of Defense, immediate offices of the Under and Assistant Secretaries of Defense, or any element of any OSD Component involved in making, promulgating, or analyzing policy relating to a Component's mission. Disposition: Permanent, transfer to the National Archives when 25 years old, in a format that meets NARA standards at the time of transfer. Cutoff when superseded or obsolete.		
2	103-02 Instruction files. Documents on preparing, coordinating, issuing, and interpreting directives, regulatory instructions and comparable instructional material. Included are coordinating actions, studies, interpretations and related information. Disposition: Permanent, transfer to the National Archives when 25 years old, in a format that meets NARA standards at the time of transfer. Cut off annually or when superseded or obsolete, as reference needs require. See Attached Pages.		
115-109		NSN 7540-00-634-4064 PREVIOUS EDITION NOT USABLE	
		STANDARD FORM 115 (REV. 3-91) Prescribed by NARA 36 CFR 1228	

Figure E6.F1. Standard Form 115 (SF 115), "Request for Records Disposition Authority"

E6.3. 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 (see Figure E6.F2). Changes to the retention periods are submitted to the Archivist of the United States for approval (SF 115). The following general rules apply when changing the retention of a record:

E6.3.1. 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.

E6.3.2. 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.

E6.3.3. Conversion of Paper Records to Electronic Media. Record information previously created and maintained in paper and converted to or created in information systems will have to be re-evaluated, to ensure that new records have not resulted due to the nature of the software or media. For example system has the capability to create an index or document information not previously captured or created in the paper-based system.

E6.3.4. Record Freezes or Moratoriums. The destruction of the affected record information is suspended until the record freeze or moratoriums are 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 or moratoriums are provided to the OSD Records Administrator from the Department of Justice or the DoD General Counsel. These records freezes or moratoriums are usually accompanied by a records search for all applicable information. Records searches must be coordinated with the OSD Records Administrator who will notify the OSD Component Records Management Officers 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.

E6.3.5. Unscheduled (Unidentified) Records. Unscheduled records are records which are not identified in the GRS or cannot be filed under any file number in the agency's disposition schedule. These records shall be brought to the attention of the OSD Records Administrator for scheduling (SF 115 process). Unscheduled records shall be maintained in the CFA and treated like permanent records until disposition instructions have been approved by NARA.

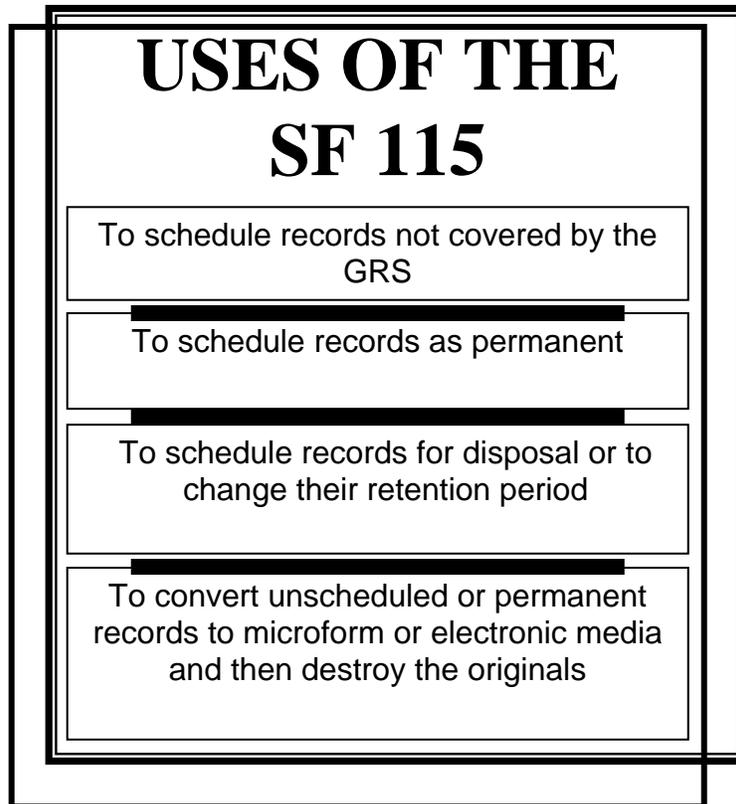


Figure E6.F2. Uses of the SF 115

E6.4. DISPOSITION INSTRUCTION

The disposition instructions in ~~Volume II~~ *Reference (i)* provide the overall retention period for the files 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 file is cut off or closed, unless otherwise indicated. The periods or retention normally shall be accomplished as shown in paragraphs E6.4.1. through E6.4.4., below. 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." Following are examples of how disposition instructions are to read on file labels maintained on a calendar basis:

E6.4.1. Files with 1-Month Retention. Files having a retention period of 1 month or 30 days shall be cut off at the end of the month, held 1 month in the CFA, and then destroyed. Example: COFF April 30, 2002, DEST June 2002.

E6.4.2. Files with 3-Month Retention. Files having a retention period of 3 months or 90 days shall be cut off at the end of each quarter, held 3 months in the CFA and then destroyed. Example: COFF June 30, 2002, DEST Oct 2002.

E6.4.3. Files with 1-Year Retention. Files having a retention period of 1 year shall be cut off at the end of the calendar or fiscal year held in the CFA, and then destroyed. Example:

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

Fiscal year file: COFF Sept 30, 2002, DEST Oct 2003

E6.4.4. Files of Two to 10-Year Retention. Files having retention period of 2 to 10 years shall 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 ~~Volume II~~ *Reference (i)*.

Calendar year file: COFF Dec 31, 2002, RET to MPRC
Jan 2004, DEST Jan 2010

Fiscal year file: COFF Sept 30, 2002, RET to WNRC
Oct 2003, DEST Oct 2009

E6.4.5. Files with a Flexible Retention. Files having a flexible retention period such as delete, destroy or transfer when 5 to 7 years old, shall 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 ~~Volume II~~ *Reference (i)*. The amount of time the record is retained is determined by the business needs of the office.

E6.4.6. Files with Event Retention. Files having an event disposition such as cutoff when superseded, obsolete, or property is turned in, shall be maintain in the active files into 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 schedules in ~~Volume II~~ *Reference (i)*.

Disposition Destroy/Delete 15 years after next GAO Audit

Active file: COFF upon next GAO Audit

Inactive file: COFF 31 Dec 05, DEST Jan 2016

E6.4.7. Files that are unscheduled. Files 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 ~~Volume II~~ *Reference (i)*. Example: COFF June 30, 2002, Retain in CFA until disposition instructions are approved.

E6.5. DISPOSITION PROCEDURES

OSD Components shall:

E6.5.1. Retire records designated for annual retirement on a calendar or fiscal year basis to the appropriate FRC.

E6.5.2. Withdraw from the active file and destroy documents that are disposable upon an event or action.

E6.5.3. 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.

E6.5.4. 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 with the inactive files.

E6.5.5. Include the Component Records Management Officer in the development of potential information systems or enhancement of current systems to evaluate the system for its record creating potential and determine if records management requirements are needed.

E6.6. TRANSFER OF FILES

The transfer of the files from one organization to another is permitted only when a transfer of functions from one Component to another requires the transfer of the files. The order directing the transfer of functions shall provide for the transfer of files. Records transmittal procedures as outlined in Enclosure 10 to this Instruction shall be accomplished to properly document the files transfer.

E6.7. TRANSFER TO OTHER GOVERNMENT AGENCIES

E6.7.1. Transfer to National Archives. The OSD shall transfer all permanent files to the FRC 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 OSD Records Administrator. This is accomplished using SF 258 (see Figure E6.F3.).

E6.7.2. Transfer to Other Agencies

E6.7.2.1. 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:

E6.7.2.1.1. Records are transferred to a NARA FRC.

E6.7.2.1.2. The transfer of records or functions or both is required by statute, Executive order, Presidential reorganization plan, or by specific determination made by this instruction, ruling, or agreement.

E6.7.2.2. Authority to transfer OSD records to another Government Agency must be obtained from the OSD Records Administrator. Recommendations for transfer submitted for the OSD Records Administrator 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.

E6.8. NATO DOCUMENTS

E6.8.1. Reference (*ep*) contains control instructions for NATO documents and refers to applicable disposal authorities. NATO documents classified Secret and below may be maintained with other OSD records when it is determined that they form an integral part of a file of classified records of permanent value.

E6.8.2. Control and Disposal Procedures

E6.8.2.1. Classified document receipts, destruction certificates, and registers relating to NATO, Top Secret, and Secret documents that reflect the final disposition of documents in a subregistry shall be disposed of in accordance with Reference (*ep*).

E6.8.2.2. Document receipts, destruction certificates, and other control files relating to NATO or documents having a lower security classification than those indicated above shall be disposed of in accordance with ~~Volume II~~ *Reference (i)*.

E6.9. DISPOSITION OF FILES AND CHANGES OF STATUS

E6.9.1. Transfer of Functions. When a function is transferred from one OSD organization to another, the records in the CFA relating to the transferred function shall be transferred to the gaining organization, where they are maintained as a separate entity to preserve their administrative origin. Inactive (cut off) files shall be retired to the FRC. A list of the files transferred to the gaining organization, and a copy of the SF 135 listing inactive files retired to the FRC shall be given to the Records Manager of the gaining organization.

E6.9.2. Redesignation or Reorganization. On redesignation without transfer of function, files shall be continued and cut off in the same manner as though no change had occurred.

E6.9.3. Discontinuance of an OSD Component. On discontinuance without transfer of functions, files not authorized for immediate disposal shall be retired to the designated FRC. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission.

E6.9.4. Damage, Alienation, and Unauthorized Destruction of Records. Each OSD Component is responsible for preventing the loss of Federal records

E6.9.4.1. 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 should also be included to aid in the identification of the record. Information that cannot be reconstructed should be annotated on an SF 135, to be included with the rest of the files series, upon retirement.

E6.9.4.2. Federal records may not be removed from the legal or physical custody of OSD, or destroyed without regard to the provisions listed in this instruction.

E6.9.4.3. The maximum penalty for the willful and unlawful destruction, damage, or alienation of Federal records is a \$2,000 fine, 3 years in jail, or both (Reference (e)) and Sections 641 and 2071 of 18 USC (Reference (e)).

E6.10. RECORD SEARCHES AND PRESERVATION ORDERS

E6.10.1. Record searches and orders to preserve records must be coordinated with the OSD Records Administrator (see E6.3.4), except for searches in response to requests under the Freedom of Information and Privacy Acts. Coordination of search and preservation taskings 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 OSD Component is responsible for preventing the loss of responsive information required for litigation, investigation, audit, or subpoena.

E6.10.2. Any decision to direct a search and preservation of paper or electronic documents and data, is a team effort involving general counsel, records management officials, supporting information systems professionals and, in some cases, record custodians. 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. The tasking authority should identify a lead office or individual who will act as the organization's spokesperson or witness on issues relating to the scope of electronic and paper document production. If documents and data are collected in response to a search, they must first be reviewed for matters of privilege, classified information security, or other control requirements before release.

E6.10.3. Essential considerations for the preservation planning team responding to notices of records holds or searches for litigation:

E6.10.3.1. Identify the Components, Agencies, Offices and officials whose files (paper or electronic) are reasonably likely to contain relevant documents and information.

E6.10.3.2. Identify a lead office responsible for consolidating the listing documents and data (and assembling the initial collection if required).

E6.10.3.3. Identify contacts in OGC and OSD Records Administrator who can address questions regarding preservation duties.

E6.10.3.4. Identify an appropriate Information Technology liaison, who works with records officials and legal counsel to identify any systems, files, or data that may be subject to the preservation obligation.

E6.10.3.5. Propose specific key words and metadata descriptors needed for a minimally sufficient search.

E6.10.3.6. Issue an internal records search and preservation memorandum 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 should 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.

E6.10.3.7. 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.

E6.11. DISPOSITION STANDARDS

The OSD Records Administrator shall review recommendations for new or revised files disposition procedures or standards, and make recommendations for final approval to the NARA.

E6.12. THE RECORDS MANAGERS FOR OSD COMPONENTS SHALL:

E6.12.1. Recommend the modification of disposition procedures or schedules in ~~Volume II~~ *Reference (i)*, to OSD Records Administrator, explaining in detail why they should be changed (Fig E6.F1 and E6.F2).

E6.12.2. Follow the format and writing style used in the descriptions and disposition instructions, in presenting recommendations relating to unidentified files, since the proposed standards may have OSD-wide application, retention period for other offices that may be creating similar records shall be considered.

E6.12.3. Recommend to the OSD Records Administrator the establishment of disposition standards for files for which no instructions are provided. Include the following information:

E6.12.3.1. Recommended series and/or file title.

E6.12.3.2. A complete description of the file, including types of record information included therein.

E6.12.3.3. Explain what the series documents: Who, where, when, why, and how an Agency operates or what the Agency does or produces.

E6.12.3.4. Explain who creates the information used in the series, who receives the information, and who uses it.

E6.12.3.5. Explain what information is recorded in the series.

E6.12.3.6. Is the series subject to legal, fiscal, or other requirements? Explain.

E6.12.3.7. Identify what retention period is required to satisfy current business needs, such as:

E6.12.3.7.1. Retain in the office for 1, 2, or 3 years and destroy.

E6.12.3.7.2. Retain as above and retire to an FRC for 1, 2, 3, 5, or 7 years.

E6.12.3.7.3. Retain for the years specified above, then transfer to NARA for permanent retention.

E6.12.3.8. Explain the following:

E6.12.3.8.1. Physical form: paper, microfilm, CD-ROM, other.

E6.12.3.8.2. Arrangement: numerical, chronological, geographical, organizational, alphabetical, subject, functional.

E6.12.3.8.3. Volume to date in cubic feet or number of tapes, as applicable.

E6.12.3.8.4. Dates the files cover.

E6.12.3.8.5. Annual expected accumulation, in cubic feet or bytes.

E6.12.3.8.6. Location of the records.

E6.12.4. The OSD Records Administrator shall obtain NARA approval to make the proposed change.

E6.12.5. Evaluate potential and existing information systems to determine if record information is being created and notify the OSD Records Administrator to validate retention periods identified in ~~Volume II~~ *Reference (i)*. New, revised, or obsolete record information may require revision of the disposition schedule. This process will require the interaction of record management, information technology, and legal staff.

E6.12.6. Notify the OSD Record Administrator of any unauthorized destruction, damage, or removal of official records per E6.9.4.

E7. ENCLOSURE 7

DISPOSITION OF PERSONAL FILES AND NON-RECORD MATERIALS

E7.1. RECORD AND NON-RECORD MATERIALS OF GOVERNMENT OFFICIALS

Many Government officials, during their tenure in office, accumulate substantial collections of “personal files” and copies of official documents (includes electronic files and email) created solely for convenience of reference (non-record material). These latter documents, originated, reviewed, signed, or received during an official's tenure can provide a historically valuable supplement to the official files that when the official departs these materials must be reviewed by the OSD Records Administrator, prior to their removal. To prevent violations of Reference (e), it is necessary that officials in the OSD Components are able to distinguish between Federal records, non-records, and personal files.

E7.2. DISTINGUISHING PERSONAL FILES AND NON-RECORD MATERIAL

This enclosure describes personal files and non-record materials and explains what may and what may not be done with them. Note the difference between personal files and non-record materials. The distinction is sometimes blurred, especially when non-record materials become part of a collection referred to as an official's “personal files.”

E7.3. PERSONAL FILES

Personal files, sometimes referred to as personal papers are not subject to Reference (d) which pertains to the maintenance and disposal of Federal records. Personal papers are defined in Reference (e) as:

E7.3.1. “...documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character that do not relate to or have an effect upon the conduct of Agency business. Personal papers are excluded from the definition of Federal records and are not owned by the Government.”

E7.3.2. The following are examples of personal files:

E7.3.2.1. Business or professional files accumulated by an official before joining Government service that are not used subsequently in the transaction of any Government business.

E7.3.2.2. 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.

E7.3.2.3. 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.

E7.3.3. The following pertain to the maintenance, marking, and handling of personal files:

E7.3.3.1. Personal files should be established at the outset, they shall be clearly designated as such and shall, at all times, be maintained separately from the office's official records.

E7.3.3.2. 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.

E7.3.3.3. 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 a label such as "personal" is not sufficient to determine the status of documentary materials in a Federal office.

E7.3.4. Personal files that are strictly personal in nature may be removed at the discretion of their creators, unless they are classified.

E7.4. NON-RECORD MATERIALS

E7.4.1. As defined by Reference (e) are Government-owned documentary materials that include:

E7.4.1.1. Library and museum materials (only if made or acquired and preserved solely for reference or exhibition).

E7.4.1.2. Stocks of publications and other printed documents.

E7.4.1.3. Extra Copies of Federal records (if accumulated for the SOLE PURPOSE of ease of reference). Copies of official documents shall not be made SOLELY for the purpose of removal or donation (at the end of an official's tenure), doing so may be a violation of Reference (¶r). These materials may be removed from Government control providing the following conditions are met:

E7.4.1.3.1. Unclassified. A departing official may remove unclassified non-record materials from Government custody for personal use or for donation to a Presidential Library of the NARA, Library of Congress, or to some private institution (college, library, historical society, etc.), providing such removal does not violate privacy or any other interest protected by law and has been approved by the OSD Records Administrator.

E7.4.1.3.2. Classified. Information classified under the provisions of Reference (j/k) is not personal property and shall not be removed from the Government's control under any circumstances. "Government control" is defined as the ability of the originating Agency to regulate access to the materials. Officials may transfer classified non-record materials for historical retention to a Government repository such as a Presidential Library, authorized to safeguard national defense information. Access to these documents (aside from the archivists responsible for their custody and maintenance) shall be granted only to those persons who have the requisite security clearances and whose access has been approved, in accordance with Reference (j/k), by the Agencies who originated the classified material.

E7.4.2. Note that 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, etc., 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.

E7.4.3. Any transfer of non-record copies of official documents to any Government or private institution must be effected in writing by a deed of gift or other form of legal conveyance. The written instrument must clearly explain the terms under which the donee 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 Department of Defense General Counsel and the OSD Records Administrator before the donor signs it.

E7.4.4. It is the responsibility of the donor and his or her immediate staff to ensure that the donated materials are screened so that they 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 in his or her files until the classified material is properly transferred to another individual or institution or destroyed.

E7.5. INSTRUCTIONS FOR REMOVAL OF PERSONAL FILES

E7.5.1. The OSD Components should ensure departing OSD employees:

E7.5.1.1. Pack personal files in boxes or containers clearly marked as personal.

E7.5.1.2. Delete all personal files on the PC (E-mail, spreadsheets, documents, etc.)

E7.5.1.3. Account for all program records created, received, and maintained during their employment by printing and filing, sending to an RMA, or moving to a designated area on the

network all Federal/official records from their office PC/laptop. If employee occasionally worked from home, the residential PC should also be considered for review.

E7.5.1.4. Provide access to program records by providing password and/or location of the records on the network.

E7.5.1.5. Provide a listing of any convenience copies of records they wish to remove to the immediate supervisor and the Component Records Management Officer for their review and approval.

E7.5.2. The OSD Records Administrator and/or General Counsel can provide additional guidance to the OSD Components, as needed.

E7.6. 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 References (~~k~~) and (~~fs~~). Access to Federal records by former officials which they originated, reviewed, signed, or received while serving as Presidential appointees can be granted in accordance with Reference (~~fs~~).

E8. ENCLOSURE 8

ELECTRONIC RECORDS

E8.1. GENERAL

Electronic information meets the criteria of a Federal Record when it is: “Information made or received in connection with the transaction of public business and preserved or appropriate for preservation by an agency as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.” (See Reference (d).) Such a record is also governed by the records disposition principles applying to all other Federal Records in paper or other media. Electronic records should be identified as early as possible in the life cycle of the record system to ensure their preservation.

E8.1.1. CATEGORIES OF ELECTRONIC RECORDS

E8.1.1.1. Databases. Mission-related databases, usually identified by a specific name or acronym, are distinct from those purely administrative files described in the 102 series. Databases contain structured data which is centrally managed within the application. Records officers must pay particular attention to databases that contain significant statistical data or information related to policy-making functions, as these may have long-term or permanent value and must be scheduled. Information that may have to be scheduled includes: input/source records; system documentation (codebooks, record layouts, etc.); system outputs; and masterfile.

E8.1.1.2. Information systems. Records generated and created or used by data input personnel, computer operators, programmers, analysts, and systems administrators. They may include files required to manage system housekeeping, performance tuning, system usage, login and password control, system and audit trail files.

E8.1.1.3. Electronic information systems (EIS). Records generated in systems created to perform mission related functions (payroll, finance, personnel, acquisition, etc.) and used by office and/or organizational personnel, computer operators, programmers, and systems administrators. These systems are usually identified by a specific name or acronym and contain structured data. Information produced by these systems will have to be evaluated for its legal, administrative, and fiscal values. The same information that may be scheduled for databases applies to electronic information systems. In addition inputs received from other systems or information transmitted to other

E8.1.1.4. Electronic office records

E8.1.1.4.1. Office records are created in an office setting such as word processing, desktop publishing, spreadsheet, and database files; electronic mail (e-mail); electronic calendars; appointment, telephone, trip and visit logs; finding or tracking aids, and other

“helpers” employed to enhance the effectiveness of the system. This type of record is considered to be unstructured data and usually requires a document management system or records management application (RMA) to manage them effectively throughout their lifecycle.

E8.1.1.4.2. Electronic files used strictly as backup for paper record copies, or containing only transitory information that does not document the activities of an office, the 100 series in ~~Volume II Reference (i)~~ for temporary electronic records shall be used. The electronic file may be erased when the hardcopy has been generated or when the data is no longer needed. However, users may elect not to erase certain electronic files, particularly if they are reusable for later revision of manuals, directives, recurring memoranda, and spreadsheet models.

E8.1.2. The management of electronic records is the same as that for paper records: Files needed often for the conduct of business should be stored conveniently for immediate access (online). Those less frequently needed should be stored near-line or off-line on tape, disk, or other media, for retrieval when required. Files not requiring long-term retention or not needed to document the business of an organization, such as draft versions of documents, should be deleted from the storage media in accordance with ~~Volume II Reference (i)~~. Classified information should be deleted in accordance with References (jk) and (st) and ~~Volume II Reference (i)~~.

E8.1.3. An office that relies only on electronic versions of files for any of its official records must appraise and schedule them. Some Components may have a "hybrid" system; e.g., both paper and electronic versions of their official records. Offices purchasing new systems or upgrading old ones must ensure that records disposition instructions for the data are incorporated into the system's design.

E8.2. PLANNING AND MANAGING INFORMATION SYSTEMS

E8.2.1. Offices' responsible for the acquisition and management of electronic information systems must ensure that adequate and up-to-date technical documentation for each system is maintained, to ensure that the records remain accessible and useable during its life cycle. The minimum documentation required is a narrative description of the system; physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric), or a data dictionary or the equivalent information associated with a database management system including a description of the relationship between data elements in databases; and any other technical information needed to read or process the records.

E8.2.2. The functional proponent of the system must schedule the EIS and furnish the information required by the National Archives when submitting a new electronic record for approval (see Enclosure 6). A survey of the information system is completed and used to create the SF 115, (see Figure E6.F1.) submitted to NARA. The SF 115 is prepared by R&DD, in coordination with the functional proponent, and forwarded to the National Archives and Records Administration for approval. Only the OSD Records Administrator, as the Federal Agency

Records Officer, or the Chief, R&DD is authorized to sign the SF 115. The following information is required:

E8.2.2.1. Name of the system. Use the commonly used name and acronym of the system.

E8.2.2.2. System control number. Specify the internal control number assigned for reference, control, or cataloging purposes.

E8.2.2.3. Agency program supported by the system.

E8.2.2.4. Purpose of the system. Indicate the reasons for the system and the requirements met by it.

E8.2.2.5. Data input and sources. Describe the primary data input sources and the providers of the data to the system. Also state if inputs are received from other systems.

E8.2.2.6. Major output. Show the system's main products and the frequency of their preparation. Also state whether the information is transferred to other systems.

E8.2.2.7. Information content. Describe the main subject matter, date coverage, time span, geographic coverage, update cycle, and other major characteristics. Also state whether it saves superseded information and whether it contains microdata or summary data. Indicate the location of documentation needed to read and understand the files and list any restrictions on their access and use, national security, privacy, or other.

E8.2.3. All files included in this category must be individually appraised in coordination with the OSD Records Administrator for permanent or long-term value, particularly those information systems created for an office or organization that may contain significant information not duplicated in paper records. Information systems that replace a manual (paper-based) system must also be reappraised to identify any new records being created by the automation of the process. Where an electronic file duplicates a paper one, the office may choose to retain records of short-term value (180 days or less) in electronic form, rather than printing a hard copy. To identify records of short-term value, see Enclosure 4. Both temporary and permanent records must be included in the records schedule regardless of the media used for their retention.

E8.3. ELECTRONIC RECORDKEEPING OVERVIEW

An electronic recordkeeping system collects, organizes, and categorizes electronic records in their native file form instead of requiring the user to print and file them in a manual filing system. Such a system automates the preservation, retrieval, use, and disposition of the electronic record.

E8.3.1. Electronic recordkeeping systems that maintain the official file copy of text documents on electronic media shall meet the following minimum requirements:

E8.3.1.1. Provide a method for all authorized users of the system to retrieve desired documents, such as an indexing or text search system.

E8.3.1.2. Provide an appropriate level of security to ensure integrity of the documents.

E8.3.1.3. Provide a standard interchange format when necessary to permit the exchange of documents on electronic media between Agency computers using different software/operating systems and the conversion or migration of documents on electronic media from one system to another.

E8.3.1.4. Provide for the trustworthiness of the records by ensuring records are authentic, complete and unaltered (integrity), accessible, and reliable. System should consider the content, context, and structure of the electronic record.

E8.3.1.5. Provide for the disposition of the documents including, when necessary, the requirements for transferring permanent records to NARA. NARA accepts permanent electronic records on approved media only. (See section E8.6., Transferring Permanent Electronic Records to NARA.)

E8.3.1.6. Components should plan for the maintenance of non-permanent electronic records throughout their disposition cycle. Most FRCs do not accept electronic records for retirement purposes, and NARA currently accepts the early transfer of permanent records.

E8.3.2. Before a document is created electronically on electronic recordkeeping systems that maintain the official file copy on electronic media, each document shall be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out the disposition of documents in the system. Appropriate identifying information for each document maintained on the electronic media may include: office of origin, file code, key words for retrieval, addressee (if any), signator, author, date, authorized disposition (coded or otherwise), and security classification (if applicable). Agencies shall ensure that records maintained in such systems can be correlated with related records on paper, microform, or other media.

E8.4. ACQUISITION AND UPGRADING OF SYSTEMS

Reference (pq) describes requirements for Records Management Application (RMA) software compatible with Reference (e) definition for an electronic recordkeeping system. Commercially available RMA software products meeting the DoD Standard are currently available and should be considered in implementing electronic recordkeeping programs by Agencies. Only systems that comply with Reference (e) are authorized for use; contact R&DD personnel for additional information on approved products.

E8.5. ELECTRONIC MAIL (E-MAIL) RECORDS

E8.5.1. Principles Governing Electronic Mail

E8.5.1.1. Many computer users have difficulty thinking of e-mail as having the characteristics of a record. However, Reference (d) describes records as documentary materials meeting certain criteria "regardless of physical form or characteristics." Users should screen all e-mail messages in their control and be prepared to separate those that may constitute a record to ensure they are preserved properly. They also must learn to apply the proper disposition to messages and attachments that are Federal records and delete as soon as possible those messages that are not Federal records or have transitory record value, see ~~Volume II~~ *Reference (i)*, file number 101-21 or GRS 16.

E8.5.1.2. The intention of this guidance is not to require the preservation of every e-mail message. Its purpose is to direct the preservation of those messages that contain information documenting Agency policies, programs, and activities. E-mail message creators and recipients must decide whether particular messages are appropriate for preservation. In making these decisions, all personnel should exercise the same judgment they use when determining whether to retain and file paper records.

E8.5.2. Deciding Which Electronic Mail Messages Are Records

E8.5.2.1. E-mail messages, like paper documentary materials, are records when they are made or received by an office under Federal law or in connection with the transaction of public business and are preserved or are appropriate for preservation 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.

E8.5.2.2. Non-record e-mail messages are those containing official information but received and preserved ONLY for convenience of reference; personal messages are those that pertain ONLY to an individual's private business.

E8.5.2.3. According to Reference (e), Agency records must sufficiently:

- E8.5.2.3.1. Document the persons, places, things or matters dealt with by your office.
- E8.5.2.3.2. Facilitate action by officials and their successors in office.
- E8.5.2.3.3. Make possible a proper scrutiny by the Congress or other duly authorized Agencies of the Government.
- E8.5.2.3.4. Protect the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions.

E8.5.2.3.5. Document the formulation and execution of basic policies and decisions and the taking of necessary actions, including all significant decisions and commitments reached orally (person-to-person, by telecommunications, or in conference).

E8.5.2.3.6. Document important board, committee, or staff meetings.

E8.5.2.4. Examples of e-mail messages that are Federal records include those with:

E8.5.2.4.1. Key substantive comments on a draft memorandum, if they add to a proper understanding of an action.

E8.5.2.4.2. Documentation of significant Departmental decisions and commitments reached orally and not documented elsewhere.

E8.5.2.4.3. Information of value on important activities, e.g., data compiled in response to a Departmental request.

E8.5.3. Managing Electronic Mail Records

E8.5.3.1. 36 CFR 1234.24, "Standards for Managing Electronic Mail Records," requires that recordkeeping systems (manual or electronic) account for the following:

E8.5.3.1.1. Transmission data (names of sender and addressee(s) and date the message was sent) must be preserved for each electronic mail record. Any other transmission data needed for purposes of context should also be preserved.

E8.5.3.1.2. Distribution lists to ensure identification of the sender and addressee(s) of messages that are records.

E8.5.3.1.3. Electronic return receipts, if used to certify a message was delivered to the recipient(s), must be filed with the original message so as to be retrievable throughout the disposition cycle of the original message.

E8.5.3.1.4. Federal records sent or received on these systems are preserved in the appropriate recordkeeping system along with transmission and receipt data.

E8.5.3.1.5. Some e-mail systems provide calendars and task lists for users.

E8.5.3.1.5.1. Calendars or other records of all Government officials containing substantive or non-substantive information relating to official activities, which have been incorporated into official files, see ~~Volume II~~ *Reference (i)*, file number 101-18.

E8.5.3.1.5.2. Calendars or other records relating to the official activities of high Government officials - Secretary of Defense, Deputy Secretary of Defense, Heads of the OSD Components, and the Heads of those organization entities under OSD for administrative support,

that have NOT been incorporated into the office files, shall submit an SF 115 to NARA through the OSD Records Administrator to effect scheduling of these records.

E8.5.4. Disposition of E-mail. As previously stated, users should delete all non-record messages as soon as practicable. For messages that are determined to be records, the procedure to be followed depends on whether or not the organization uses an electronic recordkeeping system. When messages are copied and placed in a manual record system, the disposition schedule of that system is applied. If your office has implemented an electronic recordkeeping program using an approved Records Management Application, you must determine the proper file category.

E8.6. JUDICIAL USE

Electronic records are admissible as evidence in Federal Courts proceedings, if the record is deemed trustworthy by ensuring its accuracy, integrity, and authenticity of the information. To ensure the trustworthiness of the electronic record:

E8.6.1. Protect the information from unauthorized deletions, modifications, or additions. Validate the system to prevent unauthorized access.

E8.6.2. Demonstrate that a standard method for storing and retrieving the information is utilized.

E8.6.3. Identify the location of the record information and retain the record in accordance to the disposition instructions (~~Volume II~~ *Reference (i)*).

E8.6.4. Coordinate with your IT, records management, and legal staff to ensure compliance with current regulatory requirements.

E8.6. TRANSFERRING PERMANENT ELECTRONIC RECORDS TO NARA

Transfer of permanent electronic records to the legal custody of the National Archives must be on a medium acceptable to NARA at the time they are transferred. NARA's criterion of the acceptable medium is the usefulness of the form in which the records are offered to NARA for transfer, compared to the usefulness of the original medium of the records and nature of the media used to transfer the records to NARA.

E8.6.1. Timing of Transfers. Each agency is responsible for the integrity of the records it transfers to the National Archives. To ensure that permanently valuable electronic records are preserved, each Federal agency shall transfer electronic records to NARA promptly in accordance with the agency's records disposition schedule. Furthermore, if the agency cannot provide proper care and handling of the media (see Part 1234 of Reference (e)) or if the media are becoming obsolete and the agency cannot migrate the records to newer media, the agency

shall contact NARA to arrange for timely transfer of permanently valuable electronic records, even when sooner than provided in the records schedule.

E8.6.2. Temporary Retention of Copy. Each agency shall retain a second copy of any permanently valuable electronic records that it transfers to the National Archives until it receives official notification from NARA or R&DD that the transfer was successful and that NARA has assumed responsibility for continuing preservation of the records.

E8.6.3. Transfer Media. This paragraph covers the transfer of permanent records to the National Archives; it does not apply to the use or storage of records in agency custody. See Section 1234 of Reference (e) for the requirements governing the selection of electronic records storage media. The agency shall use only media that are sound and free from defects for such transfers; the agency shall choose reasonable steps to meet this requirement. The media forms that are approved for transfer are open reel magnetic tape, magnetic tape cartridge, and Compact Disk, Read Only Memory (CD-ROM). See Section 1228.270 of Reference (e), Electronic Records for media specifications and transfer instructions.

E8.6.4. Formats. The agency may not transfer to the National Archives electronic records that are in a format dependent on specific hardware and/or software. The records must not be compressed unless NARA has approved the transfer in the compressed form in advance. In such cases, NARA may require the agency to provide the software to decompress the records. Some of the formats currently acceptable to NARA are: Data files and databases; E-mail; Plain ASCII files, with or without Standard Generalized Markup Language (SGML) tags; .TIFF; Portable Document Format (PDF); Digital spatial data files; Digital photos; and Web records (HTML or *Extensible Markup Language* (XML)).

E8.6.4.1. Other Categories of Electronic Records. Agencies should identify any foreseeable problems in the possible transfer of potentially permanent electronic records in accordance with Reference (e) §1228.270 at the time the records are scheduled. Special transfer requirements agreed upon by NARA and the agency shall be included in the disposition instructions.

E8.6.1.2. NARA Consultation. The agency shall consult with NARA for guidance on the transfer of types of electronic records other than those prescribed in Reference (e) §1228.270.

E8.6.5. Documentation. Documentation adequate to identify, service and interpret electronic records that have been designated for preservation by NARA shall be transferred with the records. This documentation shall include completed NARA Form 14097, "Technical Description for Transfer of Electronic Records," and a completed NARA Form 14028, "Information System Description Form," or their equivalents. Where possible, agencies should submit required documentation in an electronic form that conforms to the provisions of this section.

E8.6.5.1. Data Files. Documentation for data files and databases must include record layouts, data element definitions, and code translation tables (codebooks) for coded data. Data element definitions, codes used to represent data values and interpretations of these codes must match the actual format and codes as transferred.

E8.6.5.2. Digital Spatial Data Files. Digital spatial data files shall include the documentation specified in Section 1228.270 of Reference (e). In addition, documentation for digital spatial data files may include metadata that conforms to the Federal Geographic Data Committee's Content Standards for Digital Geospatial Metadata, as specified in Executive Order 12906 (Reference (tu)).

E8.6.5.3. Documents Containing SGML Tags. Documentation for electronic files containing textual documents with SGML tags shall include a table for interpreting the SGML tags, when appropriate.

E8.6.5.4. Web content records. These requirements supplement the transfer documentation requirements in Section 1228.270 of Reference (e). For each transfer, if applicable, agencies must additionally supply documentation that identifies:

E8.6.5.4.1. Web Platform and Server, including the specific software application(s) and, where available, intended browser application(s) and version(s).

E8.6.5.4.2. Name of the web site.

E8.6.5.4.3. URL of the web site, including the file name of the starting page of the transferred content.

E8.6.5.4.4. Organizational unit primarily responsible for managing web site content.

E8.6.5.4.5. Method and date of capture:

E8.6.5.4.5.1. If harvested, also include the application used with either a URL to the application's web site or a description of the harvester's capabilities and the log file(s) generated by the harvester that document the harvesting process.

E8.6.5.4.5.2. If PDF, also include the software and version used to capture the PDF.

E8.6.5.4.5.3. If manual, only method and date of capture are needed.

E8.6.5.4.5.4. If more than one method is used, clearly identify which content was captured by which method.

E8.6.5.4.6. Contact information for individual(s) responsible for the capture.

E8.6.5.4.7. The name and version of any content management system used to manage files on the web.

E8.6.5.4.8. All file names, inclusive of both the path (or directory) name and the file name itself.

E8.6.5.4.9. The business logic and web interfaces clearly identified with each corresponding database.

E8.6.5.4.10. If available, a site map of the web site from which the web content records originated.

E8.7. OPTICAL DISK SYSTEMS

Optical Disk technology is now commonly employed in offices needing high volume information storage and having rapid and/or multiple user retrieval requirements. Acquisition of Optical Disk (OD) systems is encouraged wherever a manual or automated records function can be performed in a more cost-effective manner using optical storage. OD technology may be used for all records authorized for disposal in the CFA, consistent with the lifespan of the disk medium itself.

E8.8. ADDITIONAL GUIDANCE

Currently, NARA does not recognize any current industry standard for graphics files, the type created by imaging systems. Thus, it is not currently possible to accession optical disk (or other non-textual electronic files) to the National Archives. For up to date and additional guidance on acceptable transfer media and formats for electronic records visit the following websites:

Reference (e) Electronic Records:

<http://www.gpoaccess.gov/cfr/index.html>

NARA Records Management site:

http://www.archives.gov/records_management/index.html

E9. ENCLOSURE 9

SELECTING RECORDS FOR TRANSFER TO THE FRC

E9.1. BACKGROUND

There are two types of records that may be transferred: PERM and TEMP. PERM records shall be held at the FRC for a specified period of time, usually 25 to 30 years, and then offered to the National Archives for accession. TEMP records are held at the FRC until they are ready for destruction and then they are disposed of by FRC personnel, usually from 2 to 10 years after their transfer. Only TEMP records with a specified destruction date can be retired to an FRC. Preparing records for transfer is a two-step process: selecting and screening. Preparing the records for actual transfer, packing them, and preparing the paperwork, is covered in Enclosure 10 to this Instruction. The process of preparing and screening files is provided in Enclosure 4, Management of Documents.

E9.2. SELECTING FILES FOR TRANSFER

To be transferred to an FRC, records must be eligible. The following criteria must be met:

E9.2.1. They must be scheduled for transfer to an FRC. To determine this, check the appropriate files series at ~~Volume II~~ *Reference (i)*.

E9.2.2. They must not be needed to carry out current Agency operations. Files must be closed.

E9.2.3. They must not be eligible for immediate destruction, unless pre-empted by a records freeze (See paragraph E6.3.4) . Records must have at least 1-year retention from the date of transfer. Note: Do not transfer records with disposition instructions that state, "Destroy when superseded, no longer needed, or obsolete."

E9.3. SCREENING

E9.3.1. Screening is the removal of documents or folders or other materials that are unnecessary or have no lasting value to the record series being transferred. This includes duplicate copies of documents (see Enclosure 4, paragraph E.4.15.). Not all files have to be screened.

E9.3.2. Permanent records and records scheduled for retention for 30 years and more must be screened and extraneous materials removed.

E9.3.3. TEMP files; that is, files that shall be held at the FRC for a period of time and destroyed there, do not have to be screened, but you should remember that to be useful to anyone, your files should always be slim and trim and ready for reference. In deciding whether or not to screen, consider the following:

E9.3.3.1. Can complete folders be removed?

E9.3.3.2. Can disposable material be separated easily from individual folders?

E9.3.3.3. Can materials to be removed be easily identified?

E9.3.3.4. Is access to the records to be screened easy?

E9.3.3.5. Is physical processing such as the removal of fasteners necessary?

E9.3.4. REMEMBER THESE RULES:

E9.3.4.1. Screening problems should not arise if records to be retained permanently or for long periods are not filed with papers of lesser value.

E9.3.4.2. If you have to recall papers back from the FRC for reference the more clearly they are marked and organized, the easier it shall be to find what you are looking for. If you have done your work thoroughly, you can recall individual file folders instead of whole boxes from a shipment of records.

E10. ENCLOSURE 10

PACKING AND SHIPPING PROCEDURES FOR TRANSFER OF RECORDS

E10.1. PACKAGING RECORDS FOR TRANSFER TO FRC

Records are transferred in standard GSA cardboard cartons, as specified below, each holding 1 cubic foot. NO EXCEPTIONS PERMITTED. The cartons shall accommodate either letter- or legal-sized material. Special containers may be obtained for oversized materials or magnetic tapes. Nonstandard boxes cannot be used.

E10.2. SHIPPING CONTAINERS AND RELATED SUPPLIES

The standard record shipping container to be used for the transfer of files is a fiberboard (lock bottom with reinforced hand holes on each side); 275-pound test; size: 14-3/4 x 12 x 9-1/2 inches; FSN: 8115-00-117-8249.

E10.3. REQUISITIONING

Standard-sized boxes are available in the self-service supply centers. Containers for odd-size boxes should be ordered directly from supply services using the stock numbers listed below.

E10.4. SHIPPING CONTAINERS FOR ODD-SIZED DOCUMENTS

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

E10.4.1. Half-size Box, 14-3/4 X 9-1/2 X 4-7/8 inches, NSN: 8115-00-117-8338. For shipping 3 by 5-inch card files when strips of cardboard are placed between rows of cards and wadded paper is used to fill any open space in the box. In addition, this box is suitable for shipping punched cards.

E10.4.2. Magnetic Tape Box, 14-3/4 x 11-3/4 x 11-3/4 inches for Magnetic Tape Records, NSN: 8115-00-117-8347.

E10.4.3. Microfiche Box, 14-3/4 x 6-1/2 x 4-1/2, NSN: 8115-01-025-3254.

E10.4.4. Tubes, not longer than 36 inches should be used for documents that are normally shipped rolled (maps, charts, plans). If tubes are not available fold these records and ship in the standard container above. Note: Tubes shall be used for permanent records.

E10.5. LISTING RECORDS FOR TRANSFER OR RETIREMENT

Files to be retired to the FRC shall be identified on SF 135, "Records Transmittal and Receipt." Available in electronic form (MS-WORD or PDF format) from the NARA website at http://www.archives.gov/records_center_program/forms/forms.html. When more than one page is required for the box list, continue the list in a separate electronic file (MS Word, Excel, or PDF formats are acceptable). The SF 135 serves as a packing list for the transfer and retirement of files; as a medium for controlling the location and disposition of files in record holding areas and FRCs; and as a receipt for records retired to the FRCs.

E10.6. TRANSFER OF RECORDS TO OTHER EXTERNAL ORGANIZATIONS

E10.6.1. Unclassified files transferred to other external organizations as a result of a transfer of functions, or for other reasons, shall be approved by the OSD Records Administrator, and listed on SF 135.

E10.6.2. Distribution of Consolidated Records Transmittal List:

E10.6.2.1. The original and one copy is forwarded to the receiving organization.

E10.6.2.2. Another copy is provided to the OSD Records Administrator.

E10.7. HOW TO PREPARE RECORDS FOR RETIREMENT AND SHIPMENT TO THE FRC

E10.7.1. Records Transmittal and Receipt, SF 135 (see Figure E10.F1.)

E10.7.1.1. The retirement and transfer of records require the preparation of a SF 135. As the attachment illustrates, each different series of records is a block of records having the same disposal authority and the same disposal date. The SF135 is available electronically and it is requested that you use the electronic form for retirement of the records. The SF 135 has detailed instructions for completion in a separate attachment, which is available on the NARA website (see paragraph E10.5) or can be requested from R&DD. In addition to these instructions, the OSD Components shall:

E10.7.1.1.1. Describe the records adequately, including the inclusive dates in column "f" and the security classification in column "g." Transmittal documents for temporary records must list the beginning and ending file in each box. For permanent records a folder title list of the box contents or equivalent detailed records description must be provided for every box.

E10.7.1.1.2. Obtain the accession/transfer number and point of contact for submitting the SF135, from R&DD. When entering volume on the SF 135, except when special containers are used to package oversized materials, punch cards, or magnetic tapes, volume should be expressed as number of boxes or containers, capacity of standard GSA cardboard records

retirement cartons is one cubic foot; i.e., the appropriate entry is the total number of boxes comprising the transfer.

E10.7.1.1.3. When completing column 6(h), Disposal Authority, in addition to the AI 15 disposal citation (file series number), you must include either the GRS citation or the SF 115 (Request for Records Disposition Authority) Authority. The Authority Number (N1-330-XX-XX) is located before the disposition instructions. If you cannot find these citations or are not sure which ones apply to the records you are preparing for transfer, call R&DD for assistance. Sample entries are provided below:

E10.7.1.1.3.1. AI 15, series 801-01., NC1-330-76-1.

E10.7.1.1.3.2. AI 15, series 301-09., GRS 6, Item 1a.

E10.7.1.1.4. Complete the SF 135 and box list. Submit the completed SF 135 and box list via email to the R&DD POC, through your Component Records Management Officer. The R&DD POC will review for completeness, provide an transfer number, sign block 2, and submit to the appropriate FRC for processing. Retain one copy for your Office Record Locator files (101-17, *Volume II Reference (i)*). Since this is the only source of information describing the records you are transferring to the FRC, this document is vital to you and your successors when the need arises to retrieve specific papers from the FRC. The location information shall be furnished to you later via email by R&DD (see E10.7.1.1.4.2.).

E10.7.1.1.4.1. When retrieval is necessary, identify the transfer number of the box that contains the specific material, along with the box location numbers.

E10.7.1.1.4.2. The location information shall be furnished to you by the FRC through the OSD Records Administrator, and recorded on columns (~~j~~), (~~k~~), (~~l~~), and (~~m~~) of SF 135 returned from the FRC.

E10.7.1.2. The transfer of records constituting a system of records subject to the provisions of Reference (~~l~~) shall be accompanied by the most recent OSD PA notice covering the records. Include the PA Systems Records number in column (i) of the SF 135; however, information subject to the PA should be omitted.

RECORDS TRANSMITTAL AND RECEIPT Complete and send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse. PAGE 1 OF 3 PAGES

1 TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)

Washington National Records Center
4205 Suitland Road, Suitland, MD 20746-8001

2	AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL <i>(signature and title)</i> Mr. XXXXX OSD Records Administrator	DATE
3	AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No)</i> Ms. XXXXX, Records Manager, DoD (GC), Room XXXX, 697-0000	
4	RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <i>(Signature and Title)</i>	DATE

5 FROM *(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)*

DOD/Washington Headquarters Services
Records and Declassification Division
1155 Defense Pentagon
Washington, D.C. 20301-1155

Fold Line ↙

6 RECORDS DATA

ACCESSION NUMBER			VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(with inclusive dates of records)</i>	RESTRICTION	DISPOSAL AUTHORITY <i>(schedule and item number)</i>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
<i>(a)</i>	<i>(b)</i>	<i>(c)</i>	<i>(d)</i>	<i>(e)</i>	<i>(f)</i>	<i>(g)</i>	<i>(h)</i>	<i>(i)</i>	<i>(j)</i>	<i>(k)</i>	<i>(l)</i>	<i>(m)</i>
330	07	0000	2	1 2	DoD GENERAL COUNSEL Privacy Act: DWHS 000VM623 These records are in addition to a record system previously retired to the records center and information previously submitted by DoDFC is still applicable. Access Restricted to DoDGC Officials. These records were created by the Office of General Counsel. The mission of the office was and remains processing of intellectual property law and court suits. ABC File (1984-1985) DEF File (1986) XYZ File (1987-1989)	R	AI 15 Info FN 402-01 (NC1-330-76-2)	Transfer to NARA 2025				

Figure E10.F1 – Standard Form 135 (SF 135), “Records Transmittal and Receipt”

E10.7.2. Packing the Cartons

E10.7.2.1. Before placing records in the GSA cartons, the OSD Components shall make sure that any records eligible for destruction are destroyed as authorized in the OSD Records Disposal Schedules.

E10.7.2.2. Records shall be packed snugly in the box, but not forced, for ease of future reference. Existing filing arrangements shall not be disturbed to make future reference easier.

E10.7.2.3. Records having different retention periods may not be packed in the same box, nor have the same accession number. The Records Disposal Schedules in ~~Volume II~~ *Reference (i)* contain retention periods.

E10.7.2.4. Records on different media (CD-ROM, Diskettes, and microfilm) shall not be packed with paper records; these records will be packed separately and the media will be identified on the SF 135, column "i."

E10.7.3. Labeling and Transferring the Boxes. The information printed on the end of the box shall be legible, completed in black magic marker include the accession number, carton number, and security classification if any. The boxes shall be numbered consecutively in the upper right hand corner of the front end of the box. The box number will identify the box number and the total number of boxes in the accession. For example, if the shipment has three boxes, the numbers should read "1/3, 2/2, and 3/3." Each series of records transferred shall be assigned a separate accession number. (See Figure E10.F2.)

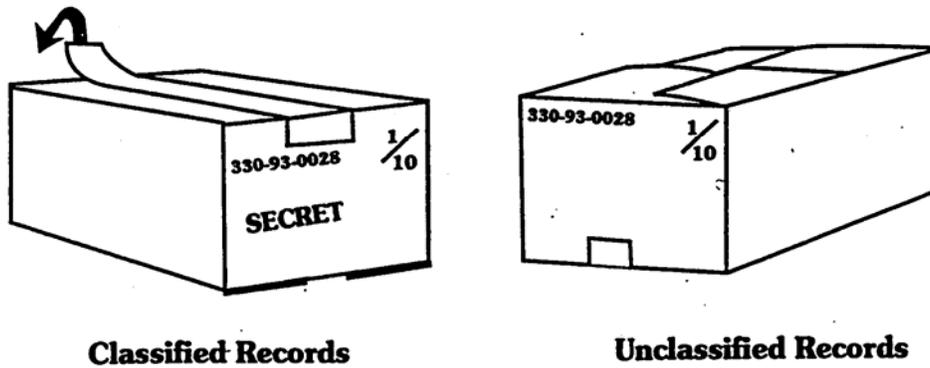
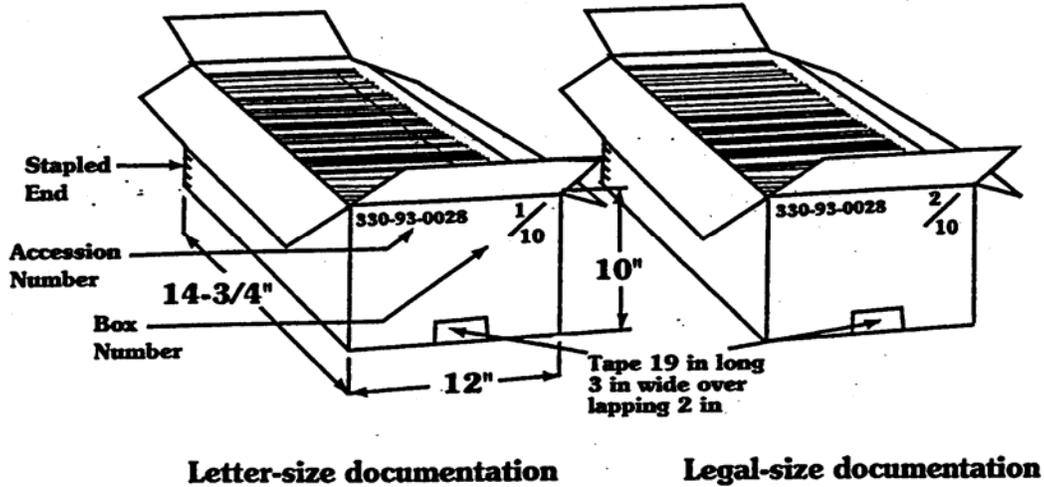


Figure E10.F2. Labeling of Retirement Boxes

E10.7.4. Retirement of Classified Security Information

E10.7.4.1. When eligible for retirement, classified records like unclassified records, shall be transferred to the FRC. In filling out the SF 135, Column “g.” (Restrictions), must be completed to indicate the classification of the records being transferred. The SF 135 is a public record, for Column “f.” “Series Description”, care shall be taken in describing the records so as not to include any classified information in the description of the file.

E10.7.4.2. Observe security requirements of Reference (jk) when retiring Confidential and Secret files to the FRC. Before transferring classified material, ascertain whether or not the material can legitimately be downgraded in accordance with Section 4, paragraph 3-402, Chapter III, Reference (jk) or destroyed.

E10.7.4.3. Reference (jk) rules for safeguarding classified material must be followed when classified material is packed in boxes. Reference (jk), paragraphs 8-200b.4 and 8-201b, must be complied with before transfer or disposal of any classified material. Boxes containing classified data must be taped closed, taking care not to cover the informational matter listed on the outside of the box (see Figure E10.F2.). Each box must be marked conspicuously with the highest classification of material contained in that respective box. When the boxes are shipped to the FRC, the provisions of Reference (jk), Chapter VIII must be complied with.

E10.7.4.4. Retire Top Secret documents eligible for retirement as specified in Enclosure 4 and retire them to the FRC. The SF 135 is completed in the usual manner except that the continuation sheet lists the Top Secret documents under each subject and file number to facilitate identification for possible future downgrading. Classified titles are not listed since the SF 135 must be unclassified. Top Secret documents must be properly identified under a separate accession number. The FRC provides separate storage for Top Secret records. Ensure that Top Secret documents are not included in accessions that are retired under an accession number identified as Secret or below; to do so constitutes a security violation since special storage arrangements are made at the FRC for Top Secret documents.

E10.7.4.5. Cross-reference regraded or declassified Top Secret documents that formed a part of the files that have already been retired and sent to the FRC. Make an entry on the SF 135 transmitting the documents to retirement. On the Records Transmittal and Receipt form show the designation of the organization and administrative subdivision, the file number and title of the file, and the accession shipment number assigned by the OSD Records Administrator.

E10.7.4.6. Staffs of organizations slated for discontinuance shall, prior to discontinuance, review all Top Secret documents for downgrading or declassification before shipping records to the FRC.

E10.7.4.7. Since some FRCs may not be cleared to provide storage for classified Sensitive Information (SI) documents, request you verify with R&DD prior to retiring records whether or not FRC is cleared.

E10.7.4.8. See paragraph E10.9.5. for the transfer of Restricted Data or Critical Nuclear Weapon Design Information (CNWDI).

E10.8. MATERIAL THAT SHOULD BE DESTROYED

All eligible records are identified and destroyed in accordance with the disposal standards authorization contained in ~~Volume II~~ *Reference (i)*. Destroy obsolete reference material, such as extra copies of speeches, staff papers, news releases, blank forms, reports, and publications. Extra carbon and photocopies should be eliminated. Do not retire housekeeping records to the FRC. See Enclosure 9 to this Instruction for more detailed instructions on the selection of files.

E10.9. USE OF RESTRICTED COLUMN

E10.9.1. A single classification shall be shown for each accession number.

E10.9.2. The classification of each document in the box is not shown, only the highest classification in the box.

E10.9.3. Interfiling only a few classified documents in an accession number that is predominantly unclassified shall be avoided.

E10.9.4. Example of how to complete Form 135 is shown in Figure E10.F1.

E10.9.5. Boxes containing Restricted Data or CNWDI shall use the "Q" designation and clearly indicate on the SF 135 that access is restricted to individuals who are cleared for Restricted Data or CNWDI, as appropriate, in addition to further restricting use to only individuals of the office that retired the records.

E10.10. PACKING PROCEDURES

The instructions contained in this paragraph govern the arrangement and packing of files for retirement and retire to the FRC.

E10.10.1. General. Regardless of the type of container used for files, containers shall be filled with only one row of file folders, not stacked one on top of the other.

E10.10.2. Arrangement in Fiberboard Boxes

E10.10.2.1. Letter and legal-sized files shall be packed in fiberboard boxes. When filled to capacity, the box holds 15 inches of letter-sized or 12 inches of legal-sized files. Do not place additional material on the bottom, side or top of the box.

E10.10.2.2. The dimensions of the corrugated fiberboard boxes are such that when the containers are filled to capacity with files, no packing material is required between the files and the inner walls of the box. When it is necessary to ship partially filled boxes, the space between the files and the inner walls of the box is packed with crumpled or wadded paper or other

suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, newspapers, or surplus file folders are not used as packing material.

E10.10.2.3. Do not over pack the boxes. Boxes may be filled to capacity whenever sufficient files are available; however, care must be exercised to ensure that boxes are not packed so tightly that files cannot be serviced while in the container, or that the box cannot be closed completely with the flaps flat.

E10.10.2.4. See Figure E10.F3 for stacking instructions for large shipments of records. Use these instructions when shipping via a commercial carrier or when requesting a pickup from the FRC.

E10.10.3. Packing of Files for Retirement. Permanent files and files having a disposal date (temporary) shall be packed in separate boxes when they are retired to a FRC under separate accession numbers. Separate records to be transferred into the following groups:

E10.10.3.1. Unclassified temporary records.

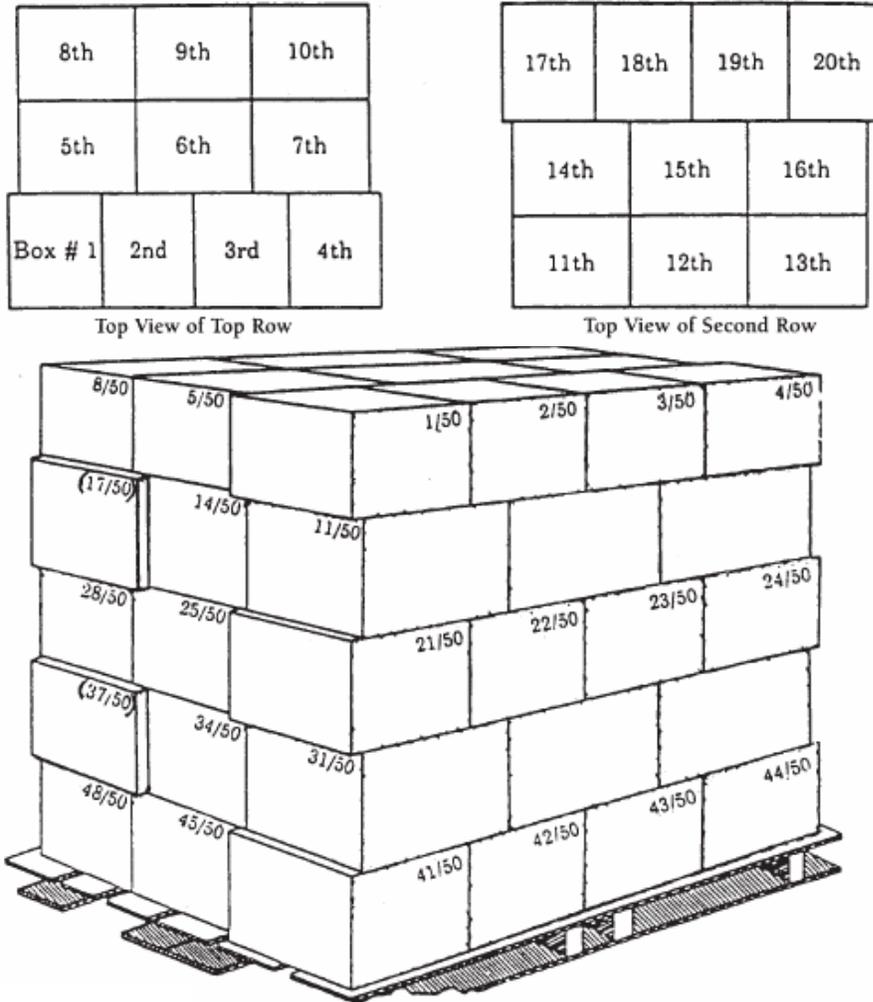
E10.10.3.2. Unclassified permanent records.

E10.10.3.3. Classified temporary records (see E10.7.4.4.).

E10.10.3.4. Classified permanent records (see E10.7.4.4.).

E10.10.3.5. For Official Use Only (FOUO) records are retired under unclassified material.

EXAMPLE OF PROPERLY STACKED PALLET
SHOWING AGENCY BOX NUMBERS



1. Face the boxes as shown in diagram.
2. Stacking pattern for palletized records in 10 standard records center cartons per row, 5 rows per pallet. 50 cartons per pallet. Box 50 is in the bottom row, and box 1 is in the top row.
3. Four boxes on each row are placed perpendicular to the rest of the boxes in that row.
4. Numbered end not facing the front of the pallet should face right.
5. When records are boxed before pallets are available, keep the boxes in numerical order so they can be loaded on pallets properly.
6. Failure to load pallets properly will be cause for the Center to refuse the records.
7. Pallets should be banded with steel, plastic, or cord strapping before shipping.

Figure E10.F3. Example and Instructions for a Properly Stacked Pallet

E10.11. PACKING AND SHIPPING CLASSIFIED FILES

The instructions contained in this paragraph govern the packing and shipping of files classified Secret and Confidential. The shipment of large quantities of unclassified material in classified shipments is discouraged.

E10.11.1. Shipments of 10 cubic feet or less should be segregated and forwarded as two shipments, one classified, the other unclassified, when more than 50 percent of the material is unclassified.

E10.11.2. Shipments in excess of 10 cubic feet containing 25 percent or more unclassified material, the latter material is segregated and forwarded as a separate unclassified shipment.

E11. ENCLOSURE 11

RECALL OF RECORDS FROM THE FRC

E11.1. OFFICIALS AUTHORIZED TO MAKE RECALLS

The OSD Records Administrator shall maintain an up-to-date list of individuals authorized by each OSD Component head to recall its records. This list shall be provided to the servicing FRC and corrected as changes occur. Only these individuals can request records to be recalled via R&DD. The R&DD recalls records from FRC for the OSD components, except as noted in E11.2.2. Each OSD Component designee is responsible for picking up (as applicable, records can also be mailed to the office) and returning its own records. Responsibility for this extends to Top Secret transfers, which may necessitate Agency courier or Defense Courier Service arrangements.

E11.2. NORMAL RECALL PROCEDURES

E11.2.1. To obtain reference service on records at the FRC, an Optional Form 11, "Reference Request - FRC," must be completed by the requestor. A separate form for each item (box or file) requested is required. Requesters must provide the accession/transfer number, box number, FRC location (as shown on SF 135 file). The completed form is mailed to the appropriate FRC.

E11.2.2. An alternative to mailing Optional Form 11s to the FRC is Centers Information Processing System (CIPS). See the NARA website for account access instructions: http://www.archives.gov/records_center_program/index.html. Customers having high-volume requirements may obtain a CIPS account through R&DD and access the system directly. Organizations that only occasionally recall records submit requests by email, listing accession number, box numbers, file title (if requesting folder), office address, pick-up date and time (if records are to be picked up by office staff), state whether it is a temporary or permanent withdrawal, and provide point of contact information (no location number needed for CIPS) to R&DD. NOTE: For records being picked up at the FRC by office staff, a minimum 3 days notice is required for non-emergency requests.

E11.2.3. Component Records Management Officers wanting more information about CIPS should contact the R&DD POC.

E11.3. URGENT REQUESTS

Urgent requests must be kept to a bare minimum. An urgent request recalls records needed to complete testimony before the Congress, records required as part of a legal proceeding, actions

under the Freedom of Information or Privacy Acts, or records specifically requested by the Secretary of Defense. Emergency recalls shall be arranged by R&DD.

E11.4. RETURNING RECORDS

E11.4.1. To avoid the misplacing or the re-absorption of recalled records into the current file system, records should be returned to the FRC as soon as they are no longer needed. OSD Component offices shall annually report the location of recalled records and the reason for their retention to the OSD Records Administrator when recalled records are retained for more than a year.

E11.4.2. Records should be returned in their original folder or box to allow accurate refilling. If the record box or folder is not reusable for shipment, copy the information on the previous container to its replacement. The word "REFILE" should be written on the white copy of the OF 11 or on the CIPS request form that accompanied the records. If these documents are no longer attached to the records, specify the refile action in a brief note or cover letter and attach it to the records being returned. The memo should also include the same information used to request the records. The OSD Component Records Management Officer shall notify R&DD when records are returned to the FRCs.

E11.5. ACCESS TO FEDERAL RECORDS BY OTHER INDIVIDUALS

Access to Federal records by individuals not employed by an OSD Component or an assigned service member of the Armed Forces such as historical researchers, former Presidential appointees, and non-DoD employees shall be processed in accordance with Reference (f). OSD Components are not to independently recall, retrieve, or duplicate records for these individuals.