



# Defense Health Agency

## ADMINISTRATIVE INSTRUCTION

NUMBER 5015.02

May 8, 2023

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Director, J-1

SUBJECT: E-mail Management

References: See Enclosure 1.

1. PURPOSE. This Defense Health Agency-Administrative Instruction (DHA-AI), based on the authority of References (a) and (b), and in accordance with the guidance of References (c) through (l), assigns responsibilities and establishes procedures for managing and retaining e-mails using the National Archives and Records Administration's (NARA) Capstone E-mail Management Approach. This approach ensures permanent and temporary e-mail records are retained for records management and litigation requirements to enhance DHA transparency, efficiency, and accountability.

2. APPLICABILITY. This DHA-AI applies to the DHA Enterprise (components and activities under the authority, direction, and control of the DHA) to include: assigned, attached, allotted, or detailed personnel. For DHA publications, the terms "market" or "direct reporting market" includes the Hawaii Market unless otherwise noted in the publication. This applies to all published DHA publications, thereby ratifying any actions taken by the Hawaii Market after establishment.

3. POLICY IMPLEMENTATION. It is DHA's instruction, pursuant to References (d) through (l), that DHA personnel will adhere to managing e-mail using the Capstone E-mail Management Approach. This DHA-AI directly supports Office of Management and Budget and NARA's Goal 1.2, "Federal Agencies will manage both permanent and temporary e-mail records in an accessible electronic format," outlined in Reference (d), requiring federal agencies to reform records management policies and practices.

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosure 3.

6. PROPONENT AND WAIVERS. The proponent of this publication is the Director, Administration and Management (J-1). When components and activities are unable to comply with this publication the activity may request a waiver that must include a justification, including an analysis of the risk associated with not granting the waiver. The activity director or senior leader will submit the waiver request through their supervisory chain to the Director, J-1 to determine if the waiver may be granted by the Director, DHA or their designee.

7. RELEASABILITY. **Cleared for public release**. This DHA-AI is available on the Internet from the Health.mil site at: <https://health.mil/Reference-Center/Policies> and is also available to authorized users from the DHA SharePoint site at: <https://info.health.mil/cos/admin/pubs/SitePages/Home.aspx>.

8. EFFECTIVE DATE. This DHA-AI:

a. Is effective upon signature.

b. Will expire 10 years from the date of signature if it has not been reissued or canceled before this date in accordance with Reference (c).

9. FORMS

a. National Archives (NA) Form 1005, Verification for Implementing General Records Schedule (GRS) 6.1: E-mail Managed Under a Capstone Approach is available at: [na-1005.xls \(live.com\)](#).

b. The following Secretary of Defense (form) (SD) forms are available from: [https://www.esd.whs.mil/Directives/forms/sd\\_forms/](https://www.esd.whs.mil/Directives/forms/sd_forms/):

1) SD Form 821, Component Records Management Checklist for Processing the Departure of Presidential Appointees and Senior Officials

2) SD Form 822, Departing Employee Checklist Removal of Personal Files and Non-Record Materials from Government Custody

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3) SD Form 833, Departing Employee Checklist Transfer of Records Between  
DoD/OSD Components

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LTG, USA  
Director

Enclosures

1. References
2. Responsibilities
3. E-mail Management Procedures

Glossary

ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5136.01, “Assistant Secretary of Defense for Health Affairs (ASD(HA)),” September 30, 2013, as amended
- (b) DoD Directive 5136.13, “Defense Health Agency (DHA),” September 30, 2013, as amended
- (c) DHA-Procedural Instruction 5025.01, “Publication System,” April 1, 2022
- (d) Office of Management and Budget Memorandum M-12-18, “Managing Government Records Directive,” August 24, 2012
- (e) Office of the Chief Management Officer-Administrative Instruction 15, “OSD Records and Information Management Program,” May 3, 2013, as amended
- (f) OSD Records Disposition Schedule (RDS), April 2021<sup>1</sup>, as amended
- (g) DHA-Administrative Instruction 5015.01, “Records Management Program,” February 6, 2020
- (h) United States Code. Title 44, Section 3301
- (i) Code of Federal Regulations, Title 36, Part 1236
- (j) DoD Manual 5400.07, “DoD Freedom of Information Act (FOIA) Program,” January 25, 2017
- (k) DoD Directive 5400.07, “DoD Freedom of Information Act (FOIA) Program,” April 5, 2019
- (l) DoD Instruction 8170.01, “Online Information Management and Electronic Messaging,” January 2, 2019, as amended

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<sup>1</sup> This reference can be obtained at: <https://www.esd.whs.mil/RIM/> or by visiting DHA Records Management SharePoint.

ENCLOSURE 2

RESPONSIBILITIES

1. DIRECTOR, DHA. The Director, DHA will establish a Capstone Approach for e-mail records (including e-mail messages and attachments, calendar appointments, and tasks).

2. PROGRAM EXECUTIVE OFFICE MEDICAL SYSTEMS/CHIEF INFORMATION OFFICER (CIO), INFORMATION OPERATIONS (J-6). The Program Executive Office Medical Systems/CIO, J-6 will:

a. Support a mechanism to retain and disposition email accounts of DHA Senior Officials designated as DHA Capstone Officials on NA Form 1005 pursuant to Reference (e).

b. Integrate record management functionality and archival requirements for DHA Capstone Officials pursuant to Reference (e).

3. COMPONENT RECORDS MANAGEMENT OFFICER, DHA. The Component Records Management Officer will:

a. Assist the Office of Secretary of Defense (OSD) Records Manager to confirm e-mail account(s) are provisioned, records are maintained, and positions are accurately identified for DHA Capstone Officials.

b. Comply with records management procedures pursuant to References (g) and (l).

4. DHA PERSONNEL. The DHA personnel (including assigned, attached, allotted, or detailed personnel) will:

a. As a general rule, not use personal e-mail or other nonofficial accounts to exchange official information and must not auto-forward official messages to nonofficial accounts or corporate accounts pursuant to Reference (l). The exceptions are described in Reference (l).

b. Ensure federal records sent and/or received on DHA e-mail systems are preserved in an approved recordkeeping system pursuant to Reference (l) and maintained pursuant to Reference (f).

ENCLOSURE 3

E-MAIL MANAGEMENT PROCEDURES

1. POLICY

- a. DHA will use the Capstone E-mail Management Approach to manage e-mail accounts.
- b. E-mail records are DHA property, subject to the Freedom of Information Act, retained pursuant to Reference (f) and integrated to an approved DHA recordkeeping system.
- c. DHA has two types of e-mail account holders: Capstone Officials and Non-Capstone Officials.

2. DHA CAPSTONE OFFICIALS

- a. DHA Capstone Officials are DHA Senior Officials designated as Capstone Officials using criteria outlined in General Records Schedule 6.1, "Email and Other Electronic Message Managed under a Capstone Approach" and annotated on NA Form 1005 through collaboration with the OSD Records Manager.
- b. The OSD Records Privacy and Declassification Division, Executive Services Directorate, Washington Headquarters Services, manages the NA-Form 1005 to ensure all OSD positions are appropriately identified and documented.

3. DHA NON-CAPSTONE OFFICIALS. DHA civilian employees, military members, members of the Office of General Counsel, and contract employees not documented on the NA Form 1005 are Non-Capstone Officials.

4. GENERAL REQUIREMENTS

- a. E-mail records related to case files, contracts, or specific projects will be retained with the associated case, contract, or project files pursuant to Reference (f) in an approved DHA recordkeeping system.
- b. E-mail records not maintained in accordance with paragraph 4.a. (above) will be retained using the file numbers listed in the table below extracted from Reference (f) and migrated to an approved DHA recordkeeping system.

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Table. E-mail Retention File Numbers

Officials	File Number	File Name	Disposition
Capstone Officials	212-10	E-mail Retention for Capstone Officials on the Secretary of Defense	Permanent. Cut off annually. Transfer to NARA 25 years after cutoff.
Federal Civilian Employees and Military	102-12.1	E-mail Retention for Non-Capstone Officials	Temporary. Cut off annually upon receipt. Destroy 7 years after cutoff.
Contract Employees	102-12.4	E-mail Retention for Contractors assigned to OSD Components, Defense Agencies and Field Activities	Temporary. Cut off annually upon receipt. Destroy 3 years after cutoff.
Office of General Counsel	102-12.5	E-mail Retention for the DoD General Counsel (GC) and for GCs assigned to OSD Components, Defense Agencies, and Field Activities	Temporary. Cut off annually upon receipt. Destroy 10 years after cutoff. <i>NOTE: The DoD GC/GCs must ensure that all e-mail records with dispositions of longer than 10 years be retained external to their e-mail systems.</i>
All DHA Employees	103-13	Intermediary Records	Temporary. Cut off and destroy upon verification of successful creation of the final document or file, or when no longer needed for business use, whichever is later.

c. Transitory e-mail records have a short retention, are cutoff and dispositioned in accordance with Reference (f) and maintained in accordance with file number 103-13 listed in the table above. Such records are authorized to be maintained solely in the e-mail system.

d. Converting e-mail records to portable document format (PDF) and migrating to an approved DHA recordkeeping system, “Archiving,” is the preferred retention method to ensure accessibility. Microsoft Outlook browsers contain the Acrobat E-mail Tool, allowing users to save single/multiple e-mails, single/multiple folders, or a single inbox into a PDF. This tool also has a feature to setup automatic archiving.

e. Any email records subject to legal hold will be kept in their original (current) state and are not controlled by Reference (f) or the disposition specified in the table above. Individual users (regardless of Capstone status) are not to “Archive” emails subject to legal hold without further instructions from the Office of General Counsel.

f. Microsoft Personal Storage Table (PST) file format may be used by non-Capstone officials to retain temporary e-mail records. *NOTE: The PST file format is easily corrupted and accessibility is of concern due to encryption.*

g. Retention of e-mail records by PDF or PST is an individual responsibility for non-Capstone users.

h. Non-Capstone users will discard all non-record information before conversion of e-mail records.

i. Removal or transfer of e-mail records will be requested using the following Secretary of Defense forms SD Form 821, Component Records Management Checklist for Processing the Departure of Presidential Appointees and Senior Officials, SD Form 822, Departing Employee Checklist Removal of Personal Files and Non-Record Materials from Government Custody, or SD Form 833, Departing Employee Checklist Transfer of Records Between DoD/OSD Components.

j. Use the figure below to determine if an e-mail is a record.

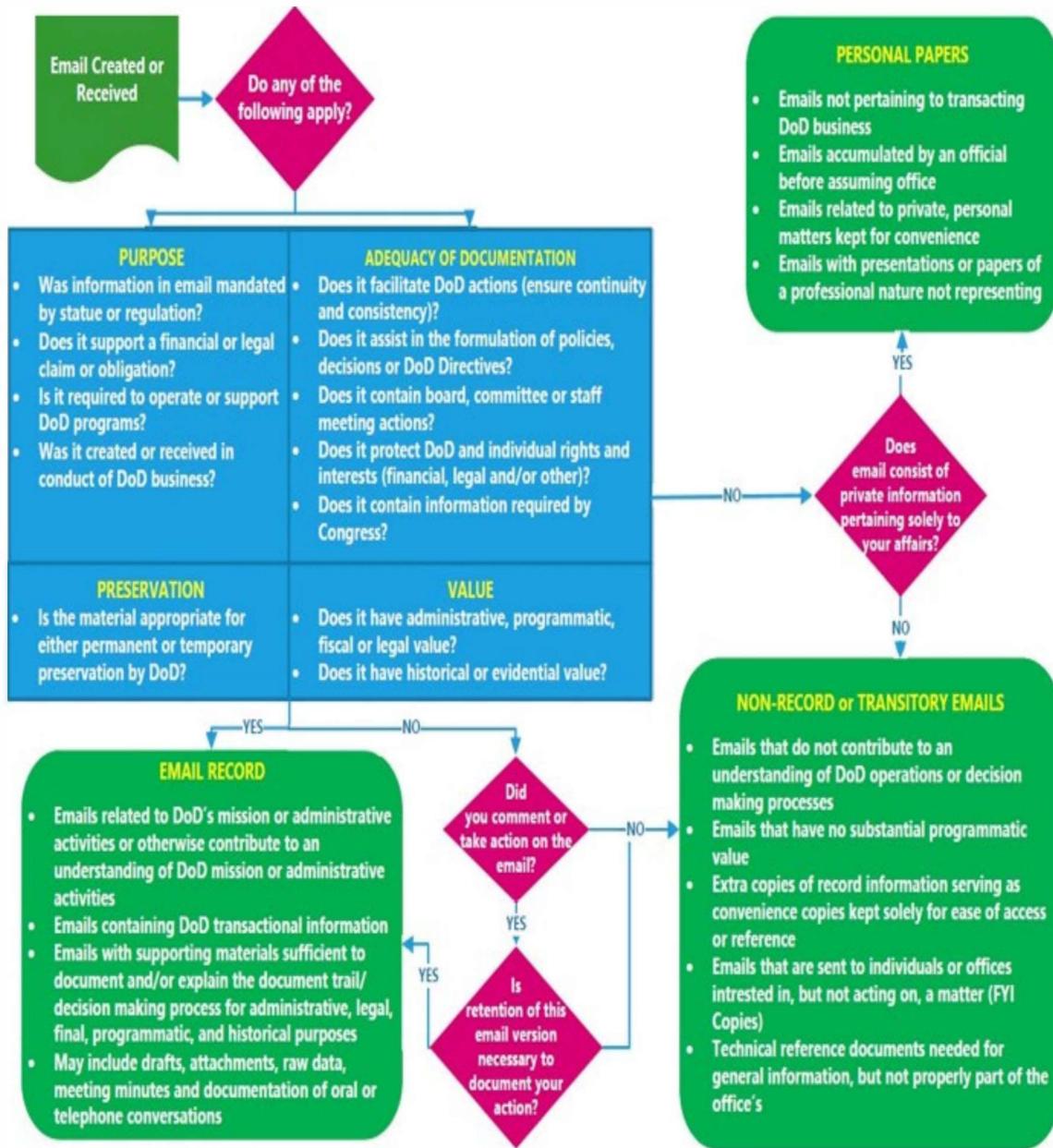


Figure. Is E-mail an Official Record?

GLOSSARYPART I. ABBREVIATIONS AND ACRONYMS

CIO	Chief Information Officer
DHA	Defense Health Agency
DHA-AI	Defense Health Agency-Administrative Instruction
J-1	Administration and Management
J-6	Information Operations
GC	General Counsel
GRS	General Records Schedule
NA	National Archives
NARA	National Archives and Records Administration
OSD	Office of Secretary of Defense
PDF	portable document format
PST	Personal Storage Table
SD	Secretary of Defense (form)

PART II. DEFINITIONS

archiving. Converting e-mail records to a PDF and migrating to an office electronic file station where it is maintained in accordance with DHA Records Management procedures and OSD Records Disposition Schedule.

Capstone Approach. This allows for categorization and disposition of e-mails based on the role or position of the account holder rather than content of each e-mail.

Capstone Category 1. The head of the agency, such as Secretary, Commissioner, Administrator, Chairman or equivalent. The very top executive of the agency. For cabinet level agencies, this is typically a Secretary. For independent agencies, and components within cabinet level agencies, this may be a Commissioner, Administrator, Director, or a specialized title (such as “Archivist of the United States”). For other agencies, including Commissions and Boards, this may be a Chairman, Executive Director, a group of Commissioners, Council Members, Board Members, or the equivalent. Most agencies will have one position for this category (although the one position may have multiple e-mail accounts); some agencies, such as Commissions and Boards, may have multiple positions in the category.

Capstone Category 2. Principal assistants to the head of the agency (second tier of management), such as Under Secretaries, Assistant Secretaries, Assistant Commissioners, and/or their equivalents; this includes officers of the Armed Forces serving in comparable position(s). Generally, the second tier of management within an agency, this may include Under Secretaries, Assistant Secretaries, Assistant Commissioners, Vice Chairmen, etc. Some agencies may use other terminology, such as “Associate.” The number of positions at this level will vary greatly agency to agency. Some may only have one, such as an Assistant Commissioner, while others may have multiple, such as numerous Assistant Secretaries each with oversight of a specific program, bureau, or line of business within the agency.

Capstone Category 3. Deputies of all positions in categories 1 and 2, and/or their equivalent(s). Most of the first- and second-tier executives covered in the first two categories have corresponding deputy position(s) that assist in the daily operations of the agency. This includes Deputy Secretaries, Deputy Commissioners, Deputy Assistant Commissioners, etc. The number of deputy positions will also vary greatly from agency to agency.

Capstone Category 4. Staff assistants to all positions in categories 1 and 2, such as special assistants, confidential assistants, military assistants, and/or aides. For those senior officials in categories 1 and 2, important work is often carried out by special assistants, confidential assistants, military assistants, aides, executive assistants, etc. They may send e-mail on behalf of senior officials and/or their e-mail account contains e-mail closely related to the responsibilities and actions of the senior officials they support. For example, a “special assistant” to the Secretary of Defense, or a “Counselor” to Secretary of Health and Human Services would fall into this category.

Capstone Category 5. Principal management positions, such as Chief Operating Officer, CIO, and Chief Financial Officer, and/or their equivalent(s). These positions tend to be those executives who have operational and management responsibilities within an agency, including Chief Operating Officer, CIO, Chief Knowledge Officer, Chief Technology Officer, and Chief Financial Officer. These positions are often required by statute or executive order, such as, for example, the Chief Financial Officer Act and the Chief Technology Officer Act. For some agencies, these positions may already be covered by other categories.

Capstone Category 6. Directors of significant program offices, and/or their equivalent(s). Those directors (or equivalents, such as Executive Directors, Managers, Directorates, or Chiefs) that oversee and manage major program offices, bureaus, or lines of business that support the agency mission. For example, many agencies will have a director that oversees Congressional and Legislative affairs, or a director that oversees one specific mission-related program office. For some agencies, these positions may already be covered by other categories.

Capstone official. DHA account holder who has been designated as occupying a position with primary decision-making role.

e-mail message. E-mail created, sent, received, stored, or otherwise processed by an e-mail system for the purposes of communicating between individuals.

e-mail record. Any messages created, sent or received within an electronic system required to control, support, or document the delivery of programs, to carry out operations, to make decisions, or to account for activities of the organization

e-mail system. A computer application used to create, receive, and transmit electronic messages and other documents.

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.

legal hold. A directive to preserve documents, electronically stored information and tangible items, in their current state, that may potentially be relevant to the pending or foreseeable litigation.

NA Form-1005. Form used by agencies to notify NARA before implementation of GRS 6.1 and resubmission upon changes, or at a minimum of every 4 years.

Non-Capstone official. DHA e-mail account holder not designated as a CAPSTONE official.

non-records. U.S. Government-owned documentary materials excluded from the legal definition of records (Reference (i)).

PST. File format Microsoft programs use to store items like calendar events, contacts, and e-mail messages.

record. (Also referred to as federal records or official records). The term "records" includes all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the U.S. government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved only for convenience.

transitory e-mails. E-mails received for information purposes and not related to your duties and responsibilities.