Executive Services

DoDEA Regulation 1100.2
November 17, 2005
(Administrative Change, July 10, 2008)

DEPARTMENT OF DEFENSE EDUCATION ACTTVITY
REGULATION

SUBJECT: Records Management System

References: (a) DS Regulation 1100.2, "Department of Defense Dependents Schools Records Management System," January 19, 1989, as amended (hereby canceled)
(b) Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management"
(c) Chapters 29, 31, 33, and 35 of title 44, United States Code
(d) **Office of the Secretary of Defense (OSD) Records Management Program - Administrative Procedures (Volume I), Nov 14, 2006 (CH 1, 4/18/08); Records Disposition Schedules (Volume II), April 18, 2008**
(e) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000
(f) **DoD 5015 .2-STD, "Electronic Records Management Software Applications Design Criteria Standard," April 25, 2007**
(g) DS Manual 1100.3, "Department of Defense Dependents Schools Records Management Procedures and Schedules," November 8, 1994, (hereby canceled)

1. REISSUANCE AND PURPOSE

This Regulation:

1.1 Reissues reference (a) to establish the policy and responsibilities for the life-cycle management (creation, maintenance and use, and disposition) of information of records in all media including electronic, for the Department of Defense Education Activity (DoDEA) under references (b), (c), (d), (e), and (f).

1.2. Supersedes guidance established in reference (g).

1.3. Updates uniform procedures for the life-cycle management including creation, maintenance and use, and disposition of information of records in any medium originated and/or maintained by the DoDEA per references (b), (c), (d), (e), and (f).

2. APPLICABILITY

This Regulation applies to the Office of the Director, Department of Defense Education Activity, the Director, Department of Defense Domestic Dependent Elementary and Secondary Schools, and Department of Defense Dependents Schools, Cuba (DDESS/DoDDS-Cuba); the Director, Department of Defense Dependents Schools, Europe (DoDDS-E); the Director, Department of Defense Dependents Schools, Pacific, and Domestic Dependent Elementary and Secondary Schools, Guam (DoDDS-P/DDESS-Guam); and all DoDEA District Superintendents, School Principals, Teachers, and Support Staff.

3. DEFINITIONS

Terms used in this Regulation are defined in enclosure 1.

4. POLICY

It is DoDEA policy to:

4.1. Create, maintain, store, use and dispose of information resources of records in any media in compliance with references (b), (c), (d), and (e).

4.2. Create, maintain, and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Activity.

4.3. Manage records to protect the legal and financial rights of the Government and of the persons directly affected by the activities of the Activity.

4.4. Manage records in any medium to promote effective and efficient conduct of operational and support activities by:

4.4.1. Maximizing the use of electronic records and minimizing the use of hard copy records.

4.4.2. Frequent archival of electronic records using external storage.

4.5. Manage all records in any medium for creation or storage, in accordance with schedules approved by the National Archives Records Association (NARA).

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

4.7. Ensure that electronic record management systems that create, use, or store the record copy of documents or data files meet the minimal standards established by reference (f).

4.8. Maintain records either by school year, fiscal year, or calendar year based on the needs of the level and function of the DoDEA office of record.

5. RESPONSIBILITIES

5.1. The Director, Department of Defense Education Activity, shall

5.1.1. Establish the DoDEA-wide records management program.

5.1.2. Ensure that the DoDEA records management program is in compliance with the provisions of references (b), (c), (d), (e), and (f).

5.1.3. Approve all maintenance and disposition schedules prepared for submission to the NARA.

5.1.4. Appoint a DoDEA Records Management Officer (RMO).

5.2. The Functional Manager, Student Management System (SMS), DoDEA, shall:

5.2.1. Ensure that the application electronic recordkeeping technology within DoDEA is managed economically and efficiently.

5.2.2. Ensure that the electronic recordkeeping technology within DoDEA is in compliance with the provisions of references (b), (d), and (f).

5.3. The Chief, Information Officer, DoDEA, shall backup the SMS consolidated database (SMSCDB) in accordance with the normal backup processes through daily tape incremental, weekly tape full backup, and RAID backup.

5.4. The Department of Defense Education Activity Records Management Officer, shall:

5.4.1. Establish a comprehensive records management program to ensure effective control over organization, maintenance, use, designation, and disposition of records regardless of medium.

5.4.2. Develop and apply standards, procedures, and techniques designed to improve the management of official records.

5.4.3. Ensure the most economical, efficient, and reliable means for creation, retrieval, maintenance, preservation, and disposition of records in any medium.

5.4.4. Serve as a liaison with Office of Secretary of Defense (OSD) Records Management Office for all records management issues.

5.4.5. Apply DoD records management functional and system requirements to all electronic records management systems; incorporate records management requirements into automated information systems development and redesign per reference (b), (d), and (f).

5.4.6. Issue retention and disposition standards for records maintained in all media in DoDEA.

5.4.7. Ensure proper training of all personnel who create and use records to ensure compliance with this Regulation and references (b), (c), and (d).

5.4.8. Ensure prompt retirement or disposal of temporary records and the timely transfer of permanently valuable records under authorized record schedules.

5.4.9. Establish and implement a records management review within DoDEA to assure compliance with this Regulation and references (b), (c), (d), (e), and (f).

5.4.10. Advise all DoDEA employees no less than annually:

5.4.10.1. Of their responsibility to create and maintain records.

5.4.10.2. How to identify records and distinguish them from non-record materials.

5.4.10.3. Not to remove records from Government custody or destroy them, except as required or allowed under authorized record schedules.

5.4.10.4. How to inform appropriate officials of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

5.4.10.5. To identify personal papers and maintain them separately from organizational records, in compliance with reference (b) and (d).

5.5. The Director, Department of Defense Domestic Dependent Elementary and Secondary Schools and Department of Defense Dependents Schools, Cuba; the Director, Department of Defense Dependents Schools, Europe; the Director, Department of Defense Dependents Schools, Pacific and Domestic Dependent Elementary and Secondary Schools, Guam: shall:

5.5.1. Appoint an Area Records Management Officer (ARMO) for the areas.

5.5.2. Ensure compliance with the provisions of this Regulation at the area office, district offices, and school offices.

5.5.3. Provide training in the area offices and conduct reviews of offices to ensure compliance with this Regulation.

5.5.4. Submit requests for additions, deletions, and/or modifications to the disposition schedules to the Records Manager Officer, DoDEA for approval.

5.6. Functional managers at all levels in DoDEA shall:

5.6.1. Ensure that support personnel are apprised of the provisions of this Regulation and references (b), (c), (d), (e), and (f).

5.6.2. Appoint an office records custodian to oversee records at the local office.

6. EFFECTIVE DATE

This Regulation is effective immediately.

Joseph D. Tafoya
Director

Enclosure - 1
E1. Definitions

E1. ENCLOSURE 1

DEFINITIONS

E1.1. Disposition Schedule. A document governing, on a continuing basis, the 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." Enclosure 4 to reference (d) contains the only authorized Disposition Schedule for the Office Secretary of Defense (OSD). Also the General Records Schedule (GRS) which is a schedule issued by the Archivist of the United States, governs 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 U.S. 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."

E1.2. Life Cycle of Records. The concept that records pass through three stages: creation, maintenance and use, and disposition.

E1.3. National Archives and Records Administration (NARA). Storage facility for permanent records, located in College Park, Maryland.

E1.4. Non-Record. 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 is 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.

E1.5. Permanent Record. 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 U.S. estimates that no more than 5 percent of all records generated by the Federal Government are permanent.

E1.6. 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 10 of reference (d) for additional guidance.

E1.7. 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 contained therein.

E1.8. Records Management. That area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and disposition of records.

E1.9. Records Manager. The person responsible for or engaged in a records management program. Sometimes called records officer or records administrator.

E1.10. Temporary Records. Records designated for retention for a specified period of time and that are then authorized to be destroyed in the current files area. Temporary records are most commonly found among Housekeeping Records and administrative files.