



DoDEA REGULATION 5015.01

RECORDS MANAGEMENT PROGRAM

Originating Division:	Executive Services
Effective:	December 19, 2017
Releasability:	Cleared for public release. Available on the DoDEA Issuances Website
Cancels and Reissues:	DoDEA Regulation 1100.2, "Records Management System", November 17, 2005, as amended
Approved by:	Thomas M. Brady, Director

Purpose: This Issuance establishes policy and assigns responsibilities for Department of Defense Education Activity (DoDEA) in accordance with the authority in Department of Defense (DoD) Instruction 5015.02, to establish policy and assign responsibilities for the management of DoDEA records in all media, including electronic, in accordance with Part 1220, Title 44, Code of Federal Regulations and Title 44, United States Code.

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SECTION 1: GENERAL ISSUANCE INFORMATION

1.1. APPLICABILITY. This Issuance applies to the Office of the Director, DoDEA; the Principal Deputy Director and Associate Director for Academics, DoDEA; the Associate Director for Financial and Business Operations, DoDEA; the Chief of Staff, DoDEA; the Director for Student Excellence, DoDEA Americas/Associate Director for Performance and Accountability (formerly the Director, Domestic Dependent Elementary and Secondary Schools, and Department of Defense Dependents Schools, Cuba (DDESS/DoDDS-Cuba)); the Director for Student Excellence, DoDEA Europe (formerly the Director, Department of Defense Dependents Schools, Europe (DoDDS-E)); the Director for Student Excellence, DoDEA Pacific (formerly the Director, Department of Defense Dependents Schools, Pacific, and Domestic Dependent Elementary and Secondary Schools, Guam (DoDDS-P/DDESS-Guam)); (referred to collectively in this issuance as "DoDEA Region Directors for Student Excellence"); and all DoDEA region, district, community, and school leaders and support staff.

1.2. POLICY. It is DoDEA policy that the information in DoDEA records will be effectively and efficiently managed to provide the information foundation for decision making at all levels, personnel services, legal inquiries, business/financial continuity, and preservation of DoDEA history.

1.3. INFORMATION COLLECTION. This Issuance may result in the collection of information due to its policy and procedures. Any collection of information must follow all applicable Federal, DoD, and DoDEA regulations, policies, and guidance.

SECTION 2: RESPONSIBILITIES

2.1. DODEA DIRECTOR. The DoDEA Director:

- a. Establishes the DoDEA-wide Records Management Program (RMP).
- b. Ensures the DoDEA RMP is in compliance with DoD Instruction 5015.02.
- c. Approves all maintenance and disposition schedules prepared for submission to the U.S. National Archives and Records Administration (NARA).
- d. Appoints a DoDEA Records Management Officer (RMO).

2.2. DODEA CHIEF INFORMATION OFFICER. The DoDEA Chief Information Officer (CIO) in accordance with DoD Directive 5144.02 and DoD Instruction 8320.02:

- a. Monitors the acquisition of information technology systems within the DoDEA enterprise architecture, to ensure compliance with records management laws and regulations.
- b. Coordinates, controls, and supervises access to DoDEA electronic records essential for historical research, ensuring that appropriate safeguards for information security and personal privacy.

2.3. DODEA RECORDS MANAGEMENT OFFICER. The RMO:

- a. Establishes, sufficiently resources, and maintains a RMP at all organizational levels of sufficient authority to ensure the DoDEA RMP is efficiently and effectively implemented.
- b. Uses the most economical, efficient, and reliable means to create, maintain and use, dispose and preserve records in any media in accordance with DoD Instruction 5015.2 and Part 1220 of Title 44, Code of Federal Regulations.
- c. Implements records management controls and accountability standards necessary to capture, manage, and preserve records, including electronic records and electronic messages and their attachments, using internal controls.
- d. Ensures personnel meet the requirement to complete annual records training. This includes incorporating necessary requirements into contracts to ensure records training is accomplished for contractors who create or receive records.
- e. Serves as liaison with OSD Records Management office for all record management issues.
- f. Ensures all records and information systems are governed by the records disposition schedule. This includes official DoDEA social network sites and information posted to public sites (e.g., Twitter, Facebook).

g. Complies with OSD Records Disposition Schedule standards for records maintained in all media in DoDEA.

h. Ensures prompt retirement or disposal of temporary records and the timely transfer of permanent valuable records under authorized OSD Records Disposition Schedules.

i. Advises DoDEA personnel of their record management responsibilities:

(1) Creation and maintenance of Activity records and how to identify records and distinguish them from non-record materials.

(2) Prevents removal of records from Federal Government custody or destroy them, except as required or allowed under authorized record schedules.

(3) Informs appropriate officials of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal Government records.

(4) Identifies personal papers and maintains them separately from organization records.

j. Conducts reviews of offices to ensure compliance with record management rules and regulations.

2.4. HEADQUARTERS FUNCTIONAL MANAGERS. Each Headquarters Functional Manager:

a. Ensures compliance with the provisions of this Issuance within functional areas.

b. Appoints record custodians in writing to oversee management of records within the functional areas.

c. Submits requests for additions, deletions, and/or modifications to the disposition schedules to the DoDEA RMO for approval.

2.5. REGION CHIEFS OF STAFF. Each Region Chief of Staff:

a. Ensures compliance with the provisions of this Issuance within Region offices.

b. Appoints record custodians in writing to oversee management of records within the Region offices.

c. Submits requests for additions, deletions, and/or modifications to the disposition schedules to the DoDEA RMO for approval.

2.6. DISTRICT CHIEFS OF STAFF. The District Chiefs of Staff:

- a. Ensures compliance with the provisions of this Issuance within District offices and schools.
- b. Appoints record custodians in writing to oversee management of records within the District offices and schools.
- c. Submits requests for additions, deletions, and/or modifications to the disposition schedules to the DoDEA RMO for approval.

SECTION 3: ESSENTIAL ELEMENTS FOR THE MANAGEMENT OF RECORDS

3.1. GENERAL ADMINISTRATION.

a. The DoDEA records management program will be administered in accordance with OSD's Deputy Chief Management Officer Administrative Instruction 15 and OSD Records Disposition Schedule that can be found on the Executive Services Directorate website at <http://www.esd.whs.mil/RIM>. If a schedule is not available, approval of the schedules must be obtained from NARA in accordance with applicable guidance.

b. Records, regardless of media, will be created, maintained and used, disposed, and preserved to document the transaction of business of the Activity. Records are evidence of organization, functions, policies, procedures, decisions, and activities, and will be maintained in accordance with applicable guidance issued by the NARA, Office of Management and Budget, and within DoD to include the Office of the Deputy Chief Management Officer, and the OSD Records Disposition Schedules.

3.2. ELECTRONIC INFORMATION SYSTEMS.

a. The acquisition, development, and enhancement, of electronic information systems (EIS) and information technology (IT) services must incorporate records management and preservation considerations, and any records contained in the systems or IT services must be managed in accordance with NARA-approved records disposition schedules.(1) For new EIS and IT services, records will be managed electronically by recordkeeping functionality provided by the EIS or IT service, or by transferring records to an electronic recordkeeping repository, such as a records management solution that is compliant with DoD Standard 5015.02-STD.

(2) For existing EIS and IT services, records will be managed electronically, manually, or a combination of both. To manage records electronically, recordkeeping functionality will be provided by the EIS or IT services, or records will be transferred to an electronic recordkeeping repository, such as a records management solution that is compliant with DoD Standard 5015.02-STD.

b. All permanent electronic records will be managed electronically for eventual transfer and accessing by NARA in an electronic format.

c. Unstructured electronic records, other than electronic messages, must be managed in a records management solution that is in compliant with DoD Standard 5015.02-STD, NARA Bulletin 2012-02 or NARA Bulletin 2013-02, as applicable. This includes records created using any electronic applications.

d. Non-official electronic messaging accounts, with very few exceptions, must not be used to conduct official DoD communications in accordance with DoD Instruction 8550.01. If a DoD employee uses a non-official electronic messaging account, the employee must copy the message

to his or her official electronic messaging account when the record is first transmitted, or must forward a complete copy of the record to their official electronic messaging account within twenty (20) days of the record's original creation or transmission pursuant to Title 44, United States Code.

3.3. DODEA PERSONNEL.

a. Essential (formerly, vital) records will be identified, protected and managed to ensure they are available in the event of a catastrophic event to support continuity of operations.

b. Records and non-record materials are government-owned and cannot be copied or removed from government custody or destroyed, except as authorized in accordance with Chapter XII, Subchapter B of Title 36, Code of Federal Regulations, Title 44, United States Code, and applicable DoD guidance. This applies to electronic messages used to conduct DoD business because electronic messages include record and/or non-record material and cannot be copied, transferred, or removed as personal files. Non-record materials will be destroyed when no longer needed for business, at the discretion of the DoD Component.

GLOSSARY

G.1. ACRONYMS.

CIO	Chief Information Officer
EIS	Electronic Information System
IT	Information Technology
NARA	U.S. National Archives and Records Administration
OSD	Office of the Secretary of Defense
RMO	Records Management Office
RMP	Records Management Program

G.2. DEFINITIONS. Unless otherwise noted, these terms and their definitions are for the purpose of this Issuance.

contractor. Any person who enters into a contract with the Federal Government for the production of material or for the performance of services for national defense.

EIS. An information system that contains and provides access to computerized federal records and other information.

electronic records. Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal Government record. The term includes both record content and associated metadata that the Activity determines is required to meet Activity business needs.

non-record materials. Federally owned informational materials that do not meet the statutory definition of records, or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit.

personal files (also called personal papers or records). Documentary materials belonging to an individual that are not used to conduct Activity business. Personal files are excluded from the definition of Federal Government records and are not owned by the Federal Government.

record. All books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an government Activity under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Federal Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Federal Government or because of the informational value of the data in them.

record keeping system. Manual or electronic system that captures, organizes, and categorizes records to facilitate their preservation, retrieval, use, and disposition.

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

vital records. Essential Federal Government records that are needed to meet operational responsibilities under national security emergencies or other emergency conditions or to protect the legal and financial rights of the United States Government and those affected by United States Government activities.

REFERENCES

- Code of Federal Regulations, Title 36, Chapter XII, Subchapter B
- Code of Federal Regulations, Title 44, Part 1220
- DoD Directive 5144.02, “DoD Chief Information Officer (DoD CIO),” November 21, 2014
- DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as amended
- DoD Instruction 8320.02, “Sharing Data, Information, and Information Technology (IT) Services in the Department of Defense,” August 5, 2013
- DoD Instruction 8550.01, “DoD Internet Services and Internet-Based Capabilities,” September 11, 2012
- DoD Standard 5015.02-STD, “Electronic Records Management Software Applications Design Criteria Standard,” April 25, 2007
- National Archives and Records Administration Bulletin 2012-02, “Guidance on Managing Content on Shared Drives,” December 6, 2011
- National Archives and Records Administration Bulletin 2013-02, “Guidance on a New Approach to Managing Email Records,” August 29, 2013
- Office of Deputy Chief Management Officer, Administrative Instruction 15, “OSD Records and Information Management Program,” May 3, 2013, as amended
- Office of Management and Budget and National Archives and Records Administration M-12-18, “Managing Government Records Directive,” August 24, 2012
- Office of Secretary Defense, Records Disposition Schedules, <http://www.eds.whs.mil/RIM>
- United States Code, Title 44