

**Department of Defense
Chief Information Officer**



**Records Management
Senior Agency Official Report 2015**

29 January 2016

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1. DoD Components Covered by this Report

This report addresses records management across the Department of Defense (DoD). The Department's Senior Agency Official (SAO) is the Principal Deputy, DoD CIO. Given the size and complexity of the Department, the DoD SAO is assisted by six Deputy SAOs representing the three Military Departments, the Office of the Secretary of Defense (OSD), the Office of the Chairman of the Joint Chiefs of Staff (OCJCS), and the independent agencies. Table 1 shows each of the Deputy SAOs and the DoD Components that report through that Deputy SAO.

DoD Instruction 5015.02, *DoD Records Management Program*, sets the Records Management (RM) policy for Department. This Instruction delegates the responsibility for execution of this policy to the head of each DoD Components.

Given the size of DoD, the number of Components, and their diverse missions, the strategies and solutions for meeting the goals of the OMB/NARA M-12-18 often differ by Component. Therefore, this report includes DoD-wide actions, as well as specific responses for applicable DoD Components.

Supporting SAO	DoD Components	Supporting SAO	DoD Components
Mr. Gerald B. O’Keefe Administrative Assistant to the Secretary of the Army	Dept. of the Army	Mr. Darren Irvine Acting Director, Executive Services Division/WHS	Office of the Secretary of Defense (OSD)
Mr. Robert W. Foster Dept. of the Navy (DON) CIO Mr. William O’Donnell DON/Asst for Admin, Delegate LtGen James Laster Director, MC Staff, Delegate	Dept. of the Navy	Mrs. Bonnie Hammersley Deputy CIO (Resources and Analysis)	Army and Air Force Exchange Services
Mr. Michael Sorrento Director, Cyberspace Capabilities and Compliance, Office of Information Dominance and CIO	Dept. of the Air Force		Defense Commissary Agency
MajGen Jacqueline D. Van Ovost Vice Director, Joint Staff	Office of the Chairman of the Joint Chiefs of Staff (OCJCS)		Defense Contract Audit
	US Africa Command		Defense Contract Management Agency
	US Central Command		Defense Finance and Accounting Service
	US European Command		Defense Information Systems Agency
	US Northern Command		Defense Logistics Agency
	US Pacific Command		Defense Security Service
	US Southern Command		Defense Threat Reduction Agency
	US Special Operations Command		Defense Technical Information Center
	US Strategic Command	Missile Defense Agency	
	US Transportation Command	DoD Office of Inspector General	
National Defense University	National Guard Bureau		

Table 1: Deputy SAOs and the Components Represented

2. Management of Permanent and Temporary Email Records

Is your agency going to meet the *Directive* goal to manage all email records in an accessible electronic format by December 31, 2016? (*Directive Goal 1.2*)

Yes No

Overall, the email records in DoD, both temporary and permanent, will be managed in an accessible format by December 31, 2016. DoD is addressing manpower and funding challenges effecting two components. Both Components have made progress in 2015 with email policies, disposition practices and automated systems, and they will continue to work on the remaining pieces of their solutions.

2a) *Provide a list of actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved email policies,*
- *use of any automated systems for capturing email,*
- *providing access / retrievability of your email,*
- *establishing disposition practices for agency email (either destroy in agency or transfer to NARA), and*
- *possible implementation of the Capstone approach for applicable agency email.*

All DoD Components have taken actions toward meeting the 2016 deadline and putting into place the policies and processes mentioned in the above list. Of note, all DoD Components either have implemented an email policy or are in the process of developing email policy. The DoD SAO continues to share best practices with Components.

Implementation of the Capstone approach, while optional as specified in NARA's General Records Schedule (GRS) 6.1, is at the discretion of each Component. However, a majority of the Components are in various stages of adopting a form of Capstone. There are some Components that may not adopt Capstone in full due to the volume of email and the size of their organizations. In other cases, Components are already managing email based on the content of the record and do not need to pursue Capstone for compliance.

2b) *Provide a list of the actions your agency, components, or bureaus plan to take in 2016 to meet this goal.*

The DoD Components are planning to take a number of actions to meet the 2016 requirement to manage all email records in an accessible electronic format. These actions include implementation of Capstone, updating guidance related to handling email records, and expanding automated systems. Key examples from across the Department are:

Army

The Army plans to submit a Capstone schedule for approval during 2016. The Army is also revising their regulatory policy. Key revisions include strengthening the requirement to use Army Records Information Management System for management of all non-Capstone email records.

Department of the Navy

The DON is improving their ability to manage records electronically by deploying DON Tasking, Records, and Consolidated Knowledge Enterprise Repository (TRACKER). For preservation of emails, DON TRACKER provides end-users increased capability within a compliant electronic management system. Being deployed in phases, the RM capability of DON TRACKER is scheduled to be implemented later in 2016.

The DON RM policy is expected to be signed in 2016. Additionally, a Capstone schedule has been drafted for approval. Similarly, the Marine Corps has been and continues to enhance policy related to management of email records.

The Marine Corps currently has the capability to access and retrieve retired/exited Capstone email accounts. They plan to initiate a pilot to enhance automation by leveraging Outlook Exchange for Capstone email managers.

Air Force

The Air Force is developing a plan to implement a modified Capstone approach. They anticipate submitting the schedule to for approval in 2016.

Office of the Secretary of Defense

The OSD Records Administrator plans to coordinate a draft Capstone disposition schedule with OSD components in early 2016 and will submit the schedule for approval in 2016. They also continue to identify tools that can augment existing systems to better manage email records electronically. Existing tools include the OSD Executive Archives, Discover Accelerator for Evault searches, and Discovery Attender for searches on home drives and shared folders.

Additionally, OSD is addressing user aspects of email management. They are improving management of senior leader email records through expanded guidance and tailored senior leader training. They are also providing additional training to the OSD Component Records Management Officers and liaisons.

Office of the Chairman of the Joint Chiefs of Staff

The OCJCS is revising guidance for users to improve handling of email records electronically. Specifically, users will be instructed on how to move email records into the appropriate records repository. For non-record email, when it is appropriate, users will be instructed on how to delete messages or leverage automatic deletion features that are consistent with policy.

3. Implementation of Requirement to Forward Electronic Messages from Non-Official Accounts

Has your agency taken actions to implement the 2014 amendments to the *Federal Records Act* requiring Federal employees to copy or forward electronic messages (including email, texts, chats, and instant messaging) that are Federal records from their non-official accounts to official accounts within 20 days?

Yes No

The DoD CIO is finalizing a DoD-wide memorandum that reinforces the requirement that all employees must understand the 2014 amendments to the *Federal Records Act* when using non-official accounts for electronic messaging. In accordance with DoD Instruction 8550.01, *DoD Internet Services and Internet-Based Capabilities*, DoD employees are not allowed to use non-official accounts for government communication unless official communication capabilities are not available. This policy is being updated.

In addition to the memorandum, DoD is updating DoD Instruction 5015.02, *DoD Records Management Program*, to include the requirement for any records contained in an electronic message within non-official accounts to be copied or forwarded to official accounts within 20 days. The revised Instruction will require training at both DoD and Component levels to specifically address amendments to the *Federal Records Act*.

Many DoD Components have begun to update their guidance and processes to reflect the 2014 amendments. As discussed in Question 1, the DoD RM program is implemented in a decentralized manner and assigns responsibility for RM to the DoD Components. Component level training is rooted in DoD policy and provides specifics for their organization. Many Components have taken advantage of their normal policy and training update cycles to include the amendment.

4. Internal Controls for Managing Electronic Messages of Executives

Describe your agency's internal controls for managing electronic messages (including email, texts, chats, and instant messaging) of the agency head and other executives (including appropriate advisers, and other senior management staff).

DoD has begun to implement more rigorous controls related to the management of executive level electronic messages through both improved processes and enhanced technology. In addition, there are many DoD Components that have entry and exit processes for executives and staff that include specific education and questions regarding records. With the progress toward Goal 1.2 to manage email records, the use of Capstone and other disposition practices are improving control of email records. Addressing internal controls for electronic messages other than email has begun in some DoD Components, but is an area that DoD will be addressing more fully in upcoming updates to both policy and training programs. Examples from the Department are:

Army

The Army journals emails for the agency head and other selected senior Army officials. Army policy currently requires social media users to comply with RM policy equally without regards to position of the individual. The Army Records Information Management System, which is currently under revision, will contain additional guidance regarding management of record content of electronic messages with more detailed guidance regarding record content of senior officials

Department of the Navy

The DON uses several internal controls for managing email, including senior staff check out procedures, on-site inspections, and training of RM personnel.

Air Force

Emails are captured from the agency head and select senior leaders. The Air Force is working on ways to manage other forms of electronic messages.

Office of the Secretary of Defense

The OSD email policy and procedures for retention of electronic messages outside of Outlook is promulgated in Administrative Instruction 15 and reinforced in the OSD RM Training Program. OSD CIO and IT program managers have been advised prior to NARA's issuance of this guidance on the potential record status of these technologies, and they work collaboratively with OSD to ensure that emails are not released to officials departing DoD without approval.

Office of the Chairman of the Joint Chiefs of Staff

The OCJCS email service provider, Defense Enterprise Email, journals (preserves a copy) the email of 103 identified key positions. The journaling includes email attachments and is managed, stored, and preserved as permanent records.

5. Records Schedule Submission for Existing Records

Is your agency going to meet the *Directive* goal to submit records schedules to NARA for all existing paper and other non-electronic records by December 31, 2016? (*Directive Goal 2.5*)

Yes No

All of the DoD Components will meet the Directive goal to submit records schedules for existing paper and non-electronic records by December 31, 2016.

5a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal.*

The DoD Components have taken a number of actions to meet the 2016 requirement to submit records schedules to NARA for all existing paper and other non-electronic records. These actions include inventories, submission of schedules, and "bucketizing" existing schedules. Key examples from across the Department are:

Army

The Army has completed a data call and inventory of all unscheduled existing paper and other non-electronic records. A team is working on submitting schedules of these items to NARA. Army is on track to complete this process by December 31, 2016.

Department of Navy

The DON is currently in the final stages of completing a major project of “bucketizing” its retention manual and schedules to make the selection of a retention schedule easier for the user. Also, the Navy has been reviewing the approximately 1,300 DON Electronic Information Systems (EIS) annually to determine if the records contained in the system are covered by an existing schedule or need to be scheduled.

The Marine Corps has been actively scheduling its EIS records for the past three years. An awareness campaign is being developed to ensure paper records are scheduled.

Air Force

The Air Force has compiled a preliminary list of proposed records dispositions. They have also developed a new bucket schedule that if approved will incorporate the proposed records dispositions. Some of these schedules have been submitted for approval.

Office of the Secretary of Defense

The OSD is validating its records schedules with the components. The initial draft of the reformatted 200 Chapter, General Administration, was sent to NARA for review.

The OSD has also conducted a records inventory for the Office of the Undersecretary of Defense for Intelligence. The results of this inventory were submitted to NARA in October 2015. Using the results of the inventory, they are revising the 500 Chapter of their records schedule that addresses the intelligence function.

OCJCS

The OCJCS is working with the Combatant Commands (CCMD) and National Defense University (NDU) to identify record series required for incorporation in the Joint Staff/CCMD Records Disposition Schedule. This will include the creation of new record series for academic affairs, collegiate research, state funerals, and humanitarian actions.

- 5b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The DoD Components plan to take a number of actions to meet the 2016 requirement to submit records schedules to NARA for all existing paper and other non-electronic records. These actions include continuing efforts to “bucketize” records schedules and monitoring the Component for any additional records that are unscheduled. Key examples from across the Department are:

Army

The Army will continue to monitor this action and submit required documentation to NARA to ensure unscheduled records are properly scheduled.

Department of Navy

The DON will continue its work to complete the “bucketizing” of its retention manual. Two-thirds of the manual chapters are in the review process. The remaining chapters will start the formal comment process in early 2016. The Marine Corps plans to include new and updated education events to improve records management awareness in the field.

Air Force

The Air Force is reworking a bucket disposition schedule, which will incorporate unscheduled records. It will be submitted to NARA for approval. The Air Force is also developing a plan to submit all known unscheduled records via the bucket approach.

Office of the Secretary of Defense

The OSD will complete its review of the remaining records schedule chapters in 2016. They plan to incorporate all “bucketized” GRS series into their records schedule as they are promulgated. They also plan to re-issue standardized records schedules that are electronically accessible and searchable for their users.

Using the results of the records reviews and incorporating feedback from OSD offices, OSD will begin consolidating records schedules into a big bucket approach for submission to NARA in the second half of 2016. Their goal is to submit all chapters by the end of 2017.

Office of the Chairman of the Joint Chiefs of Staff

The OCJCS plans to work with the CCMDs and NDU to identify remaining records series for which there are no disposition instructions.

6. Management of Permanent Electronic Records

Is your agency going to meet the *Directive* goal to manage all permanent electronic records in an electronic format by December 31, 2019? (*Directive Goal 1.1*)

Yes No

All DoD Components are on track to meet Goal 1.1 to manage all permanent electronic records in an electronic format by December 31, 2019 with the exception of OSD. OSD has policies and some systems in place for managing permanent electronic records. A key example is the Executive Archive. There are gaps, however, in the technology to manage all permanent electronic records that may not be filled by the deadline. They are working with their leadership to address electronic solutions, resources, and manpower issues.

- 6a) *Provide a list of the actions your agency, components, or bureaus have taken to meet this goal. Include specific information on your progress regarding:*

- *establishing formally approved electronic records policies,*
- *use of any automated systems for capturing electronic records,*
- *providing access / retrievability of your electronic records,*
and
- *establishing disposition practices for agency electronic records.*

All DoD Components have taken actions toward meeting the 2019 deadline and putting into place the key elements of a successful program. Of note, all DoD Components either have disposition practices established or this activity is in progress. Additionally, all of the Components either have policy addressing management of permanent records or are in the process of developing it. While many of the Components are already using automated systems that enable access, others are investigating potential tools that will meet their needs.

- 6b) *Provide a list of the actions your agency, components, or bureaus plan to take in the future to meet this goal.*

The DoD Components are planning to take a number of actions to meet the 2019 requirement to manage all permanent electronic records in an electronic format. These actions include identifying of potential tools, updating related policy, and improving employee training. Key examples from across the Department are:

Army

The Army plans to focus on policy related to electronic management of records. Policy will be revised to require, to the extent possible, permanent records be saved electronically in PDF format and stored in the Army electronic archive until transfer to NARA.

The Army also plans to implement Capstone to retain emails of selected senior officials as permanent. These emails will be automatically captured, stored, and managed in an electronic format.

The Army is in the process of identifying and scheduling Electronic Information Systems that create and maintain permanent records. Systems such as the Integrated Personnel Electronic Records Management System, which manages military personnel records, will be scheduled to ensure management of records throughout their lifecycle and transfer to NARA.

Department of the Navy

The Department of Navy uses a DoD 5015.2 STD- compliant solution to manage electronic records. Capabilities will increase when the DON completes the TRACKER program. DON TRACKER aligns task management with RM processes using a Web-based Open Source format that is more accessible than their current electronic records system.

The Marine Corps uses a SharePoint based tool, Marine Corps Tool for Information Lifecycle Management (MCTILM), for RM. MCTILM has been used to capture war records

and successfully preserve and transfer them to NARA. MCTILM has been configured to seamlessly integrate all data into DON TRACKER as it matures.

Air Force

The Air Force is currently developing requirements for an improved process and automated system to manage electronic information throughout its lifecycle. The Air Force is currently redesigning their processes so that they can acquire an integrated content management system.

Office of the Secretary of Defense

The OSD currently uses the OSD Executive Archives and Discover Accelerator to support storage and management of electronic records. They continue to explore additional tools and methods to leverage existing tools to improve management of permanent electronic records.

In addition, OSD plans to continue scheduling electronic information systems in coordination with DoD Privacy Act officials. They are currently streamlining schedules using a phased approach. The objective of Phase 1 is to standardize formats. Phase 1 will also result in a searchable version online for users that incorporates all finalized GRS Bucket schedules, removes outdated and unused series, and incorporates any new series that will need to be scheduled. The objective of Phase 2 is to consolidate and streamline existing series into buckets that will be easier to use for categorization of electronic records by staff.

Office of the Chairman of the Joint Chiefs of Staff

The OCJCS continues to develop an enterprise content management system for use across OCJCS. The solution is being developed in phases and will include document, task, and records management.

Dispositioning is critical to maintaining effective RM programs. Therefore, OCJCS plans to reinforce existing training and focus on dispositioning of records at the OCJCS and CCMDs.

7. Insights for Implementing the *Managing Government Records Directive*

[Please provide any insight to your agency's efforts to implement the *Managing Government Records Directive* and the transition to a digital government.](#)

The *Managing Government Records Directive* has provided DoD with a focus for its broad and diverse RM efforts. We have capitalized on the requirement to designate a SAO by developing a governance structure that allows for collaboration and leveraging of ideas across the DoD records community. The Directive has also led to increased priority across the Department to complete records schedules and update RM training. Finally, the Directive has led to a more professional and qualified RM staff by requiring Agency Records Officers to obtain the NARA Certificate of Federal Records

One area of challenge for meeting the Directive deadlines for managing email records and electronic permanent records is the sheer volume of information created and used across

the Department. Capstone provides a straightforward approach for managing email records. However, the ever increasing volumes of email in an organization the size of DoD or any of its large Components makes capture and storage of all emails, even for short periods of two or three years, financially unfeasible. Until auto-categorization technology is mature, dealing with the volume of email and electronic documents and files is challenging. In many areas, it continues to be manual, time-consuming and costly.

Across the board, funding is the greatest challenge to achieving the 2016 and 2019 deadlines for electronic management of email records and permanent records. For most Components, electronic RM solutions are viewed as applicable to both goals. A number of Components have Records Management Applications that meet these requirements today. Others, however, are developing plans and investing in new technologies to better meet their RM needs. But given resource realities, many do not yet have firm acquisition plans.

8. Preparation for Change in Presidential Administration

[With regard to records management, is your agency preparing for the upcoming change in Presidential administration?](#)

Yes No

The DoD SAO is finalizing a memo to all Components reminding transitioning leaders of their RM responsibilities. The memo will highlight statutory and policy requirements, address disclosure of official information, and cite restrictions on the removal of documentary materials from government custody. It will also direct officials to work with their Records Officer to ensure they understand Component procedures and obtain technical support.

The Military Departments and OSD are also addressing proper handling of the records of transitioning officials.

OSD requires Record Managers to use SD821, "Component Records Management Checklist for Processing the Departure of Presidential Appointees and Senior Officials," to ensure transiting officials understand their responsibilities. One item on the checklist is a briefing by a member of the OSD RM team that identifies requirements to be met prior to departure. Additionally, the OSD process incorporates the DoD General Counsel to ensure compliance.

The Army is also planning for the transition. The Headquarters Department of Army (HQDA) Records Administrator will work with all records managers whose offices are affected by the change in administration. They will schedule appointments with the affected offices to give guidance and provide assistance as needed. Record managers from affected offices will provide the HQDA Records Administrator with a description and disposition of the records of departing senior officials.

The DON is in the process of updating their policy regarding departing personnel, including senior officials. The new RM Instruction includes an appendix specifically detailing action regarding departing personnel, including senior officials. The Department currently uses a checkout process for departing senior officials that requires interface with Service records managers.

The Air Force has issued policy for transitioning personnel leaving the Department. It includes a process whereby the Headquarters Air Force (HAF) Records Manager works with offices to ensure exit briefings are conducted for senior officials on the appropriate disposition of records, including email, that are under their immediate control. It specifically mentions the increased importance during changes in Presidential administrations that may affect politically appointed Air Force officials. Like the other Components, the HAF Records Manager will work with affected offices to ensure compliance.