



Department of Defense INSTRUCTION

NUMBER 5015.02
February 24, 2015

DoD CIO

SUBJECT: DoD Records Management Program

References: See Enclosure 1

1. PURPOSE. This instruction reissues DoD Directive (DoDD) 5015.2 (Reference (a)) as a DoD instruction (DoDI) in accordance with the authority in DoDD 5144.02 (Reference (b)) to establish policy and assign responsibilities for the management of DoD records in all media, including electronic, in accordance with subchapter B, chapter XII, of Title 36, Code of Federal Regulations (CFR) and chapters 29, 31, 33, and 35 of Title 44, United States Code (References (c) and (d)).

2. APPLICABILITY. This instruction applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff (OCJCS) and the Joint Staff, the Combatant Commands (CCMDs), the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (referred to collectively in this instruction as the "DoD Components").

3. POLICY. It is DoD policy that:

a. The information and intellectual capital contained in DoD records will be managed as national assets. Effective and efficient management of records provides the information foundation for decision making at all levels, mission planning and operations, personnel and veteran services, legal inquiries, business continuity, and preservation of U.S. history.

b. Records, regardless of media or security classification, will be created, maintained and used, disposed, and preserved to document the transaction of business and mission in wartime and peacetime. Records are evidence of DoD Component organization, functions, policies, procedures, decisions, and activities pursuant to References (c) and (d), and will be maintained in accordance with guidance issued by National Archives and Records Administration (NARA) and Office of Management and Budget M-12-18 (Reference (e)).

(7) The designation and handling of personal files. An employee may remove only personal files. Email messages that include record or non-record material cannot be copied or removed as personal files because these messages were used to conduct DoD business. Non-record materials (paper or electronic) are government-owned and must be protected from unlawful removal or disclosure.

(8) The rules for removing and donating official records. Official records cannot be copied, including electronic mail records, solely for the purpose of removal or donation.

(9) The procedures to inform appropriate officials of any current, impending, or threatened unlawful removal, alteration, or destruction of records.

f. Identifies DoD Components that are required to have their designated records officer hold the NARA certificate of Federal Records Management training pursuant to Reference (e).

g. Cultivates a DoD records management community of interest by encouraging use of collaborative tools and technologies to distribute and evaluate the best practices and lessons learned in records and information management.

2. DIRECTOR, DEFENSE INFORMATION SYSTEMS AGENCY (DISA). Under the authority, direction, and control of the DoD CIO, and in addition to the responsibilities in section 3 of this enclosure, the Director, DISA:

a. Establishes and maintains a test and evaluation program for certifying automated records management solutions that meet the standard functional and automated system requirements for records management in accordance with Reference (h).

b. Recommends to the DoD CIO any revisions to records management functional baseline requirements to be incorporated into Reference (h).

c. Establishes and maintains a register of automated records management solutions and active DoD recordkeeping systems that meet the standard functional and automated system requirements in Reference (h). Ready access to this register must be provided to all DoD records management personnel and be available at <http://jitic.fhu.disa.mil/cgi/rma/reg.aspx>.

d. Develops and provides records management subject matter expertise for planning and executing the implementation and integration of electronic records management.

3. DoD COMPONENT HEADS. The DoD Component heads:

a. Establish, sufficiently resource, and maintain a DoD Component records management program at an organizational level of sufficient authority to ensure this instruction and References (c) and (d) are efficiently and effectively implemented. Designate a records officer

to administer the Component program and provide written notification of designation to the DoD SAO.

- b. Appoint a Component SAO, as directed by the DoD CIO.
- c. Use the most economical, efficient, and reliable means to create, maintain and use, dispose, and preserve Component records in any media in accordance with References (c) and (d), Office of Management and Budget Circular A-130 (Reference (m)), and DoDD 5100.03 (Reference (n)).
- d. Implement records management controls and accountability standards necessary to capture, manage, and preserve Component records, including electronic records and electronic messages and their attachments, using internal controls in accordance with DoDI 5010.40 (Reference (o)).
- e. For operational records, support the Combatant Commanders' (CCDRs) operational plans for managing records throughout their life cycle. Records generated as a result of campaigns and contingency operations in the CCMD area(s) of operation (AO) are operational records and must be managed pursuant to this instruction. Administrative records are the responsibility of the DoD Component head.
- f. For any DoD Executive Agent designations in accordance with DoDD 5101.1 (Reference (p)), require any records that document the transaction of business and mission of the DoD Executive Agent are managed according to current records management policy. Assign records management responsibilities to Components consistent with the DoD Executive Agent designation and determine the processes that will be used.
- g. Establish a vital records program to identify and preserve vital records. The vital records program will ensure vital records are maintained, revised and, where appropriate, available in the occurrence of a catastrophic event for continuity of operations in accordance with Reference (c) and consistent with Federal Continuity Directive 1 (Reference (q)).
- h. Require that records contained in Component EISs are managed and scheduled in accordance with Reference (c). For Component EISs, register the EIS in the DoD IT Portfolio Repository (DITPR) in accordance with DoDI 8115.02 (Reference (r)). For those Component EISs that contain records, populate and maintain the associated DIPTR records management data elements.
- i. Deploy and use a records management solution that is compliant with References (h), (i), and/or (j) to manage unstructured electronic records pursuant to this instruction and Reference (e) no later than 5 years after the effective date of this publication.
- j. Ensure all personnel complete annual overview training. This includes incorporating necessary requirements into contracts to ensure overview training is accomplished for defense contractors who create or receive records. The training will educate both DoD personnel and defense contractors on their records management responsibilities using the DoD records

management overview training developed by the DoD CIO. Augment the overview training with Component-specific information to address:

(1) Maintenance of personal papers separately from organizational records in compliance with Reference (c).

(2) Management of electronic records throughout their life cycle, including instructions for disposition and assigning metadata if managed within a DoD-approved recordkeeping system.

(3) Preservation of electronic mail records with attachments and metadata in accordance with Reference (c).

k. Advise senior leaders of their record management responsibilities within the first 30 days of assumption of duties. Provide out-briefings to senior leaders to ensure capture of the records generated during their tenure.

l. Direct defense contractors performing DoD program functions to create and maintain records to document these functions. Contracts must specify the delivery to the USG of all the data required for adequate documentation of the contractor-operated program in accordance with parts 102 through 193 of Title 41, CFR (Reference (s)).

m. Oversee prompt retirement or disposal of temporary records and the timely transfer of permanent records to NARA for preservation under NARA-approved record schedules.

n. Monitor Component compliance with the DoD Records Management Program and Reference (c), and implement corrective actions as deemed necessary.

o. Advise the DoD CIO of records management issues that could have broad implications across DoD or between DoD and other government agencies, and fully cooperate with the DoD CIO in resolving these issues.

p. Work with the DoD CIO to coordinate responses to existing, new, or changing records management requirements in accordance with Reference (e).

q. Safeguard all personal data within records, in accordance with DoD 5400.11-R (Reference (t)). Protect all personal data within health-related records in accordance with DoD 6025.18-R (Reference (u)).

r. Require requests for removal of non-record materials outside of DoD be reviewed by proper DoD authority, as designated by the DoD Component head. Unclassified documents, including electronic mail, are not automatically publicly releasable and must be reviewed for release to departing officials or employees.

s. Maintain accountability of records when they are loaned and transferred to other DoD Components or federal agencies, and accept possession and management responsibility when the