



Instruction

Defense Intelligence Agency

DEFENSE INTELLIGENCE AGENCY
WASHINGTON, DC 20340-5100

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29 Sep 04
OPR: [REDACTED]

DIA Records Management Program

- References:
- (a) DIAM 13-1, "Records Maintenance and Disposition", 30 September 1998 (canceled)
 - (b) Title 36, Code of Federal Regulations (CFR), Parts 1220-1234
 - (c) DoD Directive 5015.2, Records Management Program, dated June 2002
 - (d) DoD Standard 5015.2, "Design Criteria Standard for Electronic Records Management Software Application," dated 22 January 2002
 - (e) DoD Directive 5400.11R, "Department of Defense Privacy Program," dated 13 December 1999
 - (f) [REDACTED]
 - (g) Executive Order 12958 as amended, "Classified National Security Information," dated 28 March 2003

1. Purpose

- 1.1. Replaces reference (a).
- 1.2. This instruction implements reference (c) and defines the Defense Intelligence Agency Records Management Program (RMP). The RMP provides policy and responsibilities for the life cycle of records from creation, through maintenance and use, to final disposition.
- 1.3. This Instruction applies to all personnel employed by, assigned to, or attached for duty to the Defense Intelligence Agency (DIA); all DIA contractors and consultants; and all information processed, produced, used or stored by the Agency. However, Defense Attache Offices will adhere to filing procedures in DIAM 100-1 vice the Master File Plan in this instruction.
- 1.4. This section delineates the Agency's policy with regard to records management

2. Definitions - See Enclosure 1.

3. Responsibilities

3.1. The Office for DIA Information Services will promulgate policy necessary for maintaining an effective and economical RMP for the DIA under the provisions of Title 36 Code of Federal Regulations, Parts 1220-1234.

3.2. The DIA Records Management Program Office (RMPO) will:

3.2.1. Oversee the management of the Agency's records.

3.2.2. Ensure DIA is in compliance with Federal law and regulation applicable to creating, maintaining, using, preserving, and disposing of records.

3.2.3. Ensure the Agency's inactive records will not be maintained in costly office space. Inactive records will be disposed of or transferred to the National Archives and Records Administration (NARA) in accordance with approved records disposition schedules.

3.2.3.1. NARA will ensure preservation of DIA records in their temporary storage facility until records are declassified per Executive Order 12958 as amended, "Classified National Security Information," and transferred for permanent storage.

3.3. Deputy Directors for/Special Offices will:

3.3.1. Provide for the implementation of the records management program within their organizations.

3.3.2. Designate individual(s) within their organizations to serve as Area Records Officer(s).

3.3.3. Notify RMPO of organizational or program changes that will result in the:

3.3.3.1. Establishment of new types of records not listed in the DIA Master File Plan.

3.3.3.2. Increase or decrease in the retention time of the records.

3.3.3.3. Ensure their records (regardless of media) have been transferred to the new organization, or the records have been appropriately preserved in accordance with the agency's RDS., if their organization will undergo restructuring.

3.3.4. Designate individuals within their organizations to serve as File Custodians.

3.3.5. Ensure that all vital records necessary to support critical missions at emergency relocation sites or other alternate locations are available.

3.4. The DIA Area Records Officers will:

3.4.1. Manage and coordinate the records management activities for their respective Directorate and work closely with RMPO and File Custodians.

3.4.2. Assist RMPO with official inspections.

3.5. The DIA File Custodians will:

3.5.1. Monitor the records management actions within their respective divisions.

3.5.2. Maintain files to ensure that official records are managed in such a manner that information and documents are readily retrievable.

3.5.3. Create and distribute a copy of the office file plan to all employees in order to identify the office's official records.

3.5.4. Coordinate the retirement to and retrieval of records from NARA.

3.5.5. Conduct an annual review of all files to ensure adequate and proper documentation is maintained, permanent records are preserved, and other records are disposed of in accordance with applicable records disposition schedules.

3.6. The Agency workforce will:

3.6.1. Ensure records management instructions and guidelines regarding records creation and filing procedures issued by RMPO are followed for all types of records, to include:



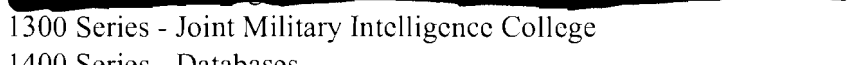
- Paper records
- Electronic records i.e. electronic mail, word processing, spreadsheets, and other desktop applications.
- Microfiche and microfilm
- Audiotape and audiovisual records
- Cartographic records
- Architectural and engineering records.

3.6.2. Search all personal files, including electronic databases, prior to permanent reassignment or retirement, to ensure that valuable official records are transferred to a designated file custodian.

- 3.6.3. Look for, and remove any classified material that may be mixed in with personal files.
 - 3.6.4. Contact the appropriate officials listed in this Instruction for guidance in cases where there are questions about the disposition of records.
 - 3.6.5. Complete mandatory DIA Records Management training. Training available on [JIVU](#), Course Catalog, Records Management
 - 3.6.6. DIA personnel will create, maintain and preserve information as records, in any media (paper or electronic) that documents the transaction of business, policies, decisions, procedures, and essential operational, logistical and support transactions, while protecting the legal and financial rights and interests of DIA, the US Government, and other persons directly affected by Agency activities
- 3.7. The DIA Office of the General Counsel (GC) will:
- 3.7.1. Provide legal advice and assistance in interpreting statutes and regulations applicable to DIA records administration.
 - 3.7.2. Keep RMPO informed of any court decisions that may impact DIA's record keeping requirements as contained in this Instruction or other statute or regulation.
 - 3.7.3. Determine the precedence of lawful record keeping or destruction requirements when conflict exists.
 - 3.7.4. Advise on the potential violations of 44 U.S.C. Section 3106, "Lawful removal, destruction of records" (Reference b).
- 3.8. The Chief Information Officer will:
- 3.8.1. Ensure that any automated information system software or application approved for use on DIA systems, which creates, maintains or preserves electronic records, is compliant with DoD Standard 5015.2, Design Criteria Standard for Electronic Records Management Software Application.
4. Procedures
- 4.1. Use the DIA Master File Plan to setup Directorate Filing Systems and to provide the basis for a single coordinated system for identifying, filing, maintaining, and retrieving, records by subject, and includes criteria for the systematic retirement or destruction of records no longer required for daily operations. This system will be used for all classifications of records. SCI intelligence records requiring control and accountability will be filed in the

manner best suited for control purposes; however, disposition standards contained in this enclosure will be applied in the retention or destruction of these records.

4.2. File records according to the major series to which they relate. A subcategory may be created to facilitate filing and retrieval. An approved disposition, directing the transfer or destruction of the record, is identified for each file series in the enclosure. The Major File Series are as follows:

- 100 Series- Office Administration
- 200 Series - Agency Direction and Management, General Counsel, Inspector General, and Historian
- 300 Series - Resources and Financial Management
- 400 Series - Personnel and Training
- 500 Series - Communication Records
- 600 Series - Security
- 700 Series - Records and Information Mgmt
- 800 Series - Logistics and Engineering
- 900 Series - Defense Attaché System (Headquarters)
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- 1300 Series - Joint Military Intelligence College
- 1400 Series - Databases
- 1500 Series - Contracting
- ADDITIONAL INFORMATION SPECIFIC TO FILING SERIES CAN BE FOUND IN ENCLOSURE 2

4.3. Records Disposition:

4.3.1 In order to dispose of office records, determine the type of records for disposition. There are two types of records:

- Mission Records. These records document policymaking and program management functions for which a directorate has primary responsibility. These records are permanent and will be retired to the Washington National Records Center (WNRC) in accordance with established disposition standards.
- Office Administrative Records. Records consisting of routine, transitory, internal housekeeping activities and matters for which another office has the primary responsibility for documentation of governing policy and procedures. These records are temporary and will be destroyed upon termination

of retention periods in accordance with established disposition standards.

4.3.2. The Records Disposition standards in the enclosure are the basis for the Agency's records disposition program. These standards prescribe how long records will be retained, whether temporarily or permanently, and provide for:

- The preservation of records, regardless of media, having permanent value.
- The periodic destruction of records having temporary value.

4.3.3. Each sub series in enclosure 2 has its own applicable disposition standards.

4.3.3.1. New. Records disposition standards are developed by the DIA Records Management Program Office, which have been identified in the General Records Schedule (GRS) or approved through the National Archives and Records Administration (NARA). Records will be retired or destroyed in accordance with these disposition standards.

4.3.3.2. Revised. All Agency records must be covered by disposition standards. If a category of records exists for which a disposition standard is not provided or a change becomes necessary, a recommendation for a new or revised standard should be submitted to the Records Management Program Office using DIA Form 99, Request for Records Disposition Authority, (Figure 11-1) for evaluation and processing.

4.3.3.3. Identification. Those series that have a (PA) under their number are designated files that contain personal information which is protected by the Privacy Act of 1974.

4.3.4. Reference copies: All reference copies of records may be destroyed when no longer needed for current operations. This applies to all DIA file series.

4.4. Supplemental Procedures specific to each individual filing code are found in Enclosure 2.

James Manzelmann
Deputy Director for Administration

Enclosures - 2

E1. Definitions

E2. DIA Master Filing Codes and Supplemental Procedures

E1. Enclosure 1
Definitions

- 2.1. Archives – The National Archives and Records Administration (NARA) is responsible for the determination of permanent records, their preservation and making the records available to the public.
- 2.2. Disposition – The actions taken regarding records no longer needed in current office space. These actions include transfer to Federal Records Centers, transfer from one agency to another, transfer of permanent records to NARA, and disposal of temporary records.
- 2.3. Electronic Records – Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record in 44 USC 3301.
- 2.4. File Series – Documentary material, regardless of its physical form arranged according to a filing system or kept together because they relate to a particular subject or function. (See Enclosure – DIA Master File Plan).
- 2.5. Records Management – The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.
- 2.6. Record – 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 United States 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 in them. (44 USC 3301).
- 2.7. Records Disposition Schedules (RDS) – A document providing authority for the final disposition of records. The two types are the General Records Schedule (GRS) for use by all agencies, and Agency Records Schedules (ARS) which are specific to individual agency's records.
- 2.8. Retention Period – The length of time that records are to be kept.
- 2.9. Retirement – The transfer of records to off site storage facilities.

E1.Enclosure 1

2.10. **Unscheduled Records** – Records whose final disposition has not been approved by NARA.

2.11. **Vital Records** - Records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the legal and financial rights of that organization and of the individuals directly affected by its activities.

2.12. The definitions of filing series' subjects are found in E2.Enclosure 2.

DIA Records Schedules for Individuals Applying for Possible Employment

- 1) **Record Series 440 (PA): QUALIFICATION, PLACEMENT, AND PROMOTION.**
Documentation related to matters regarding promotions, placements, and qualifications of civilian employees; includes recommendations for appointments, promotions, and appointments of consultant. Employment Applications. Applications (Standard Form 171, Application for Federal Employment) and related records (i.e. resumes), EXCLUDING applications that result in appointment which are filed in the OPF.

TEMPORARY -- Cut off annually, hold 1 year and destroy. (NN 171-12, Item 440)

2)

NON RESPONSIVE