



Department of Defense
Defense Commissary Agency
Fort Lee, VA 23801-1800

DIRECTIVE

Records Management Program

DeCAD 5-2
August 28, 2007

Corporate Operations Group
OPR: HQ DeCA/COG

- References:
- (a) DeCA Directive (DeCAD) 30-2, "Defense Commissary Agency Filing System," December 18, 1992 (hereby canceled)
 - (b) DoD Directive 5015.2, "Records Management Program," March 6, 2000
 - (c) DoD 5025.1-M, "DoD Directives System Procedures," March 2003
 - (d) 44 U.S.C. Chapters 29, 31, 33, and 35
 - (e) through (i), see enclosure 1

1. PURPOSE

This Directive:

- 1.1. Replaces reference (a), all supplements, and updated draft versions.
- 1.2. Establishes the authority, objective, responsibility, and procedures for the creation, management, and disposition for all Defense Commissary Agency (DeCA) records in accordance with 44 U.S.C. Chapters 29, 31, and 33; 36 C.F.R. reference (e); and 41 C.F.R. references (f) and (g).
- 1.3. Authorizes the publication of implementing and procedural guidance on the management of records in DeCA, consistent with references (b), (c), (d), (e), (f), (g), and (h).

2. APPLICABILITY

This Directive applies to all DeCA activities. Supplementation of this Directive is prohibited without prior approval from Director, Headquarters Operations, Records Management Program.

3. POLICY

It is DeCA policy to:

- 3.1. Create, maintain, and preserve information as records, regardless of format, that documents the transactions of DeCA business to provide evidence of organizations, functions, policies, procedures, decisions, and activities as described in reference (d).

3.2. Manage records effectively and efficiently in compliance with Department of Defense (DoD) implementation of National Archives and Records Administration (NARA) guidelines and United States statutes relating to the development, maintenance, and handling of Federal records, while protecting the legal and financial rights and interests of the Government and of individuals directly affected by the Agency's activities.

3.3. Simplify the activities, systems, and processes of records creation and of records maintenance and use.

3.4. Manage all records in any media used for creation or storage, in accordance with Agency approved records schedules and the National Archives General Records Schedules (GRS).

4. DEFINITIONS

Terms used in this Directive are defined in enclosure 2.

5. RESPONSIBILITIES

5.1. Director:

5.1.1. The Director of DeCA has overall responsibility for the DeCA Records Management Program. The Director delegates this responsibility to the Agency Records Officers. The statutory basis (The Federal Records Act of 1950, as amended) under which the head of each Federal Agency shall:

5.1.1.1. "Make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the Agency's activities." (44 U.S.C. 3101)

5.1.1.2. "Establish and maintain an active, continuing program for the economical and efficient management of the records of the Agency." (44 U.S.C. 3102)

5.2. Agency Records Officers shall:

5.2.1. Serve as the officials responsible for overseeing the Agency's records management program by developing and implementing policy, standards, and procedures pertaining to the creation, maintenance, and disposal of Agency records.

5.2.2. Evaluate the operation of the Agency records management program for each Department biennially using the tools and checklists in accordance with direction from DoD and the National Archives.

5.2.3. Coordinate records management matters with the Agency's functional process owners (FPO), special staff group (SSG), region directors, store directors, program managers, Chief Information Officer (CIO), Freedom of Information Act (FOIA)/privacy act officer, system administrators, Inspector General, General Counsel, Web manager, historian, micrographics manager, as well as the individual(s) responsible for audiovisual, cartographic, architectural, and printed records.

5.2.4. Establish guidance and processes to ensure that all records are scheduled to include databases, Web sites, and automated information systems used to conduct DeCA transactions.

5.2.5. Provide guidance on procedures for preventing departing employees from destroying ineligible records or removing records from the Agency's custody.

5.2.6. Report the unlawful removal, change, or destruction of Agency records to the National Archives.

5.2.7. Ensure records management orientation is available to all DeCA employees and adequate training and updated training is provided to functional area record managers (FARM), records custodians, and other personnel intimately involved in the management of Agency records.

5.2.8. Ensure records are stored in accordance with NARA rules contained in [36 C.F.R. 1228, Subpart K](#).

5.2.9. Promote the records management program by publicizing its benefits and encouraging its acceptance.

5.2.10. Evaluate the program's results to ensure effectiveness and efficiency as well as compliance with applicable laws and regulations, including regulations issued by NARA and other oversight agencies. Concentrate on reviewing recordkeeping requirements, file plans, and records schedules to ensure that they are clear, comprehensive, and current.

5.2.11. Provide oversight and guidance for the Agency's paper and electronic recordkeeping processes.

5.2.12. Ensure the Agency's out-processing form for departing employees includes supervisory clearance to confirm the transfer of records custodianship to the appropriate staff; this includes staff transferring from one directorate to another.

5.3. Program Management Office shall:

5.3.1. Coordinate with the Agency records officers to ensure the design and implementation of the Agency's information systems incorporate federal, DoD, and Agency records management requirements.

5.3.2. Ensure Agency electronic systems, if applicable, have the proper security functions in place in accordance with legal statutes and DoD standards.

5.3.3. Ensure system backups are conducted and maintained in accordance with Agency schedules.

5.3.4. In coordination with FPO, ensure each system has a records COOP plan in accordance with business continuity requirements.

5.4. Functional Process Owners, Special Staff Group, Region Directors, and Store Directors shall:

5.4.1. Designate a FARM and records custodian to coordinate the office's records management activities with the Agency records management office.

5.4.2. Ensure all staff completes the records management orientation provided under DeCA Center for Learning Web-Based Training (WBT) page.

5.4.3. Ensure all financial and vital records have a COOP plan in accordance with business continuity requirements for financial and vital records not in a system.

5.4.4. Implement procedures to prevent departing employees from destroying ineligible records or removing records from the Agency's custody.

5.4.5. Ensure contracts include requirements for the delivery of records by contract staff.

5.4.6. Ensure a list of permanent and vital records are identified and submitted to the records management office.

5.4.7. In coordination with PM and the CIO, ensures all electronic media are reported to the records management office for proper scheduling with the National Archives. This includes all systems, Web pages, databases, and applications.

5.4.8. In coordination with the SE directorate, works with the Agency records officers to provide cost benefit analysis for new and updated systems, upgrades and changes in automated information systems software and hardware systems. Analysis should include the cost of storage facilities and the requirements as defined in 36 C.F.R. reference (e). Migration cost must include the conversion, verification, and validation of the data of the record.

5.4.9. Request staff assistance visits on an as needed basis.

5.4.10. Ensure records management is notified 180 days prior to store opening or closure to plan and coordinate the records management requirements (applies to store directors only).

5.4.11. Ensure Agency electronic systems, if applicable, have the proper security functions in place in accordance with legal statutes and DoD standards.

5.5. Zone Managers shall:

5.5.1. Coordinate with the Agency records officers regarding any recordkeeping deficiencies identified during inspections and investigations.

5.6. Chief Information Officer (CIO) shall:

5.6.1. Provide oversight and guidance for the planning and design of information systems including meeting requirements for archiving information maintained in electronic format.

5.6.2. Provide oversight and compliance to ensure personally identifiable information is managed

in accordance with DoD policy and regulations.

5.6.3. In coordination with the records management office, develop and maintain an enterprise document management strategy.

5.7. Functional Area Records Managers shall:

5.7.1. Serve as the point of contact, the lead for records management issues for each office under his/her area of responsibility and as the liaison to the Agency records officers.

5.7.2. Ensure updated DeCA Form 30-18, File Plans, from his/her area of responsibility are submitted to the records management office annually.

5.7.3. Identify and submit in memorandum format to the records management office new records that need to be added to the Agency records schedule. The memorandum should include the title of the new record, the description, proposed cut-off dates, and proposed destroy dates.

5.7.4. Ensure the records management office is notified in memorandum format when certain records no longer need to be created due to changes in business processes or otherwise. The memorandum should include the file number, title, description, retention period, and an explanation of why the record is no longer needed.

5.7.5. Ensure a list of record custodians are identified by department, division, branch, or section and submitted to the records management office. The list should include the name, department, branch, or section of responsibility.

5.7.6. Submit Standard Form (SF) 135, Records Transmittal and Receipt for records transfer and destruction.

5.7.7. Ensure offices within his/her area of responsibility are aware of the DoD requirement to print e-mails and electronic program records with retention periods of 180 days or more for filing purposes until the Agency implements a certified recordkeeping system. This does not include records approved for filing in a certified electronic recordkeeping system, i.e., the DeCA Electronic Records Management and Archives System (DERMAS).

5.7.8. Notify the records management office by memorandum when records need to be frozen or retention periods need to be adjusted.

5.7.9. Attend records management training biennially (every 2 years), or as needed, to keep up-to-date with records management practices.

5.7.10. Immediately reports lost, damaged, and unauthorized destruction of records to the records management office.

5.7.11. Keep abreast of ongoing changes with the records management program by routinely visiting the records management guidance located in public folders. Share changes with personnel in their area of concern and implement changes, as required.

5.7.12. Work with the records management office to establish or maintain records management support at the hosting installation.

5.7.13. Ensure records are properly organized, stored, and sensitive records are secured in a locked cabinet or in a location with restricted access.

5.7.14. Identify and report all electronic forms of records to the records management office for proper scheduling with the National Archives. This includes all systems, Web pages, databases, and applications.

5.7.15. Remind staff not to mix personal papers and nonrecord materials with federal records and not to remove records from the office without proper authorization.

5.8. Inspector General (IG) shall:

5.8.1. If requested by the Command Group as a special project or review, the IG will inspect records management for compliance with DeCA directives.

5.9. General Counsel (GC) shall:

5.9.1. Serve as the official responsible for providing legal advice and assistance to the Agency records officer, officials, and employees.

5.9.2. Review schedules for legal standards prior to the implementation of any Agency schedule.

5.9.3. Provide advice to the Agency records officer and others regarding the legal value of the Agency's records and the issue of public access to them.

5.9.4. Notify the Agency records officer in writing when a freeze on records disposition is needed to support litigation or other legal matters.

5.10. Historian shall:

5.10.1. Serve as the official responsible for documenting and preserving the Agency history by writing narratives of past Agency activities.

5.10.2. Provide advice to the Agency records officer on what Agency records are likely to have long-term or permanent value.

5.11. Publications Manager shall:

5.11.1. Ensure that when publications become superseded or obsolete, the original is provided to the Records Management Office for forwarding for to the National Archives for permanent storage.

5.12. Contracting Officer shall:

5.12.1. Ensure all contracts provide for deliverables include complete and accurate records documenting the activities and functions necessary for the performance contract.

5.12.2. Work with the Agency records officer, contractors, FPOs, and others to ensure the proper management and delivery of such contractor held and government owned records.

5.13. Contract Employees shall:

5.13.1. Create and maintain records in compliance with National Archives approved records schedules.

5.13.2. Ensure all deliverables are met in accordance with the governing contract.

5.14. Departing Employees shall:

5.14.1. Departing employees are reminded they are responsible for ensuring that records, to include electronic records, in their area of responsibility are properly handled and transferred prior to departure from the Agency by taking the following steps:

5.14.1.1. Identify and transfer to the records custodian all documentary materials, including paper and electronic Agency records. Workspace includes the computer hard drive, network drives, e-mail (inboxes, sent boxes, and folders), and removable media (diskettes, CDs, thumb drives).

5.14.1.2. Discard personal papers and nonrecords that are not needed for Agency business.

5.14.1.3. Ensure SF 135s and boxes are properly prepared for those records requiring transfer to a record holding area.

5.14.1.4. Obtain written approval from the records officer prior to the destruction of any records.

5.15. All Employees shall:

5.15.1. Complete the basic records management orientation course located under the DeCA Center for Learning Web-Based Training (WBT) page.

5.15.2. Create and maintain records documenting official business.

5.15.3. Ensure electronic records and e-mail records are maintained until the date of authorized destruction in accordance with Agency schedules and as defined in reference (h). E-mails and electronic records required for retention longer than 180 days, according to Agency schedules, must be printed out and filed in the paper recordkeeping system.

5.15.4. View the Records Management folder posted in public folders at least once a month to keep up-to-date with changes in records management requirements.

5.15.5. Cooperate with FARMS and the records custodian to ensure that all records are listed in the office file plan and are described accurately in the Agency's records schedule.

5.15.6. Separate personal files and nonrecord materials from Agency records.

5.15.7. Safeguard records until the authorized date of destruction has been met.

5.15.8. Understand that the unauthorized removal, concealment, falsification, mutilation, and early destruction of records are prohibited by law and may result in a fine, imprisonment, or both.

6. REPORTING UNAUTHORIZED DESTRUCTION, DAMAGE, AND REMOVAL OF RECORDS

6.1. The accidental destruction, damage, and removal of records must be reported to the Agency records management office in writing immediately upon discovery utilizing the DeCA Interest Report (DIRep) process (DeCA Directive 30-18, Chapter 10).

6.2. The Agency records officers will review the report and gather further details if necessary and submit a report to the Agency head for submission to the National Archives.

7. ACCESSIBILITY

This Directive is approved for release and is available on www.commissaries.com.

8. EFFECTIVE DATE

By order of the Director, this Directive is effective immediately.


Bonita M. Moffett
Chief, Corporate Operations Group

Enclosures - 2

- E1. References, continued
- E2. Definitions

ENCLOSURE 1

REFERENCES (continued)

- (e) 36 C.F.R. Chapter 12, Subchapter B – Records Management
- (f) 41 C.F.R. Part 101-11 – Federal Records
- (g) 41 C.F.R. Part 102-193 – Creation, Maintenance and Use of Records
- (h) DoD Memorandum, “Electronic Mail Records and Electronic Mail Retention Policies for the DoD,” May 22, 2005
- (i) DoDD 5105.55, “Defense Commissary Agency (DeCA),” November 9, 1990

ENCLOSURE 2

DEFINITIONS

1. **Agency.** Includes the DoD Components and any military, civilian, or contractor personnel conducting operational, logistical, or support transactions anywhere within the DoD Components.
2. **Nonrecord Materials.** Federally owned informational materials that do not meet the statutory definition of records (44 U.S.C. 3301) 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.
3. **Permanent Records.** Federal record that has been determined by the National Archives to have sufficient value to warrant its preservation in the National Archives of the United States. Permanent records include all records accessioned by NARA into the National Archives of the United States and later increments of the same records, and those for which the disposition is permanent on SF 115s, Request for Records Disposition Authority, approved by NARA on or after May 14, 1973.
4. **Personal Papers.** Personal papers are documents, or any reasonably differentiable portion thereof, of a private or nonpublic character that do not relate to, or have an effect upon, the conduct of Agency business.
5. **Records.** Includes 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 U.S.C. 3301).
6. **Records Management.** The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance, use, and disposition of records to achieve adequate and proper documentation of federal policies and transactions, and effective and economical management of Agency operations.
7. **Series.** File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use. Also called a records series.
8. **Temporary Record.** Records approved by the National Archives for disposal or destruction after a specified retention period.
9. **Unscheduled Records.** Records where the final disposition has not been approved by the National Archives. Unscheduled records are those that have not been included on the SF 115, Request for Records Disposition Authority. These records must be treated as a permanent record until disposition has been approved by the National Archives.
10. **Vital Records.** Records essential to the continued functioning or reconstitution of the Department and its operating units during and after an emergency (emergency operating records). Includes those

records essential to protect the rights and interests of the Department and of individuals directly affected by its activities (rights-and-interests records). Vital records are duplicates or extra copies stored off-site.