SUBJECT: Records Management Program

References: See Enclosure 1

1. PURPOSE. This Defense Health Agency-Administrative Instruction (DHA-AI), based on the authority of References (a) and (b), and in accordance with the guidance of References (c) through (l) establishes the Defense Health Agency’s (DHA) Records Management Program.

2. APPLICABILITY. This DHA-AI applies to the DHA Enterprise (components and activities under the authority, direction, and control of the DHA) to include assigned, attached, allotted, or detailed personnel.

3. POLICY IMPLEMENTATION. It is DHA’s instruction, pursuant to References (d) through (l) that this DHA-AI applies laws and policy, assigns responsibilities, and outlines procedures for the life-cycle management of records.

4. CANCELED DOCUMENTS. This DHA-AI cancels the following document, DHA-AI 5015.01, “Records Management Program,” February 6, 2020, and replaces the following document, DHA-AI 5015.01, “Records Management Program,” June 12, 2023.

5. RESPONSIBILITIES. See Enclosure 2.

6. PROCEDURES. See Enclosure 3.

7. PROPOSENT AND WAIVERS. The proponent of this publication is the Director, Administration and Management (J-1). When components and activities are unable to comply with this publication the activity may request a waiver that must include a justification, including
an analysis of the risk associated with not granting the waiver. The activity director or senior leader will submit the waiver request through their supervisory chain to the Director, J-1 to determine if the waiver may be granted by the Director, DHA, or their designee.

8. RELEASABILITY. Cleared for public release. This DHA-AI is available on the Internet from the Health.mil site at: https://health.mil/Reference-Center/Policies and is also available to authorized users from the DHA SharePoint site at: https://info.health.mil/cos/admin/pubs/SitePages/Home.aspx.

9. EFFECTIVE DATE. This DHA-AI:

   a. Is effective upon signature.

   b. Will expire 10 years from the date of signature if it has not been reissued or canceled before this date in accordance with Reference (c).

10. FORMS

    a. The following Secretary of Defense (SD) forms are available from https://www.esd.whs.mil/Directives/forms/sd_forms/:

       (1) SD Form 821, Component Records Management Checklist for Processing the Departure of Presidential Appointees and Senior Officials.

       (2) SD Form 822, Departing Employee Checklist Removal of Personal Files and Non-Record Materials from Government Custody.

       (3) SD Form 833, Departing Employee Checklist Transfer of Records Between DoD/OSD Components.
b. The following DHA forms are available from https://info.health.mil/cos/admin/DHA_Forms_Management/Lists/DHA%20Forms%20Management/AllItems.aspx:

(1) DHA Form 143, Notice of Destruction, DHA (Internal)

(2) DHA Form 144, Notice of Destruction, Federal Records Center (External)

11. SUMMARY OF CHANGES

a. Updated procedures for reporting the unlawful or accidental removal, defacing, alteration, or destruction of records.

b. Updated titles.

c. Updated Reference “(h)”.

Telita Crosland
LTG, USA
Director

Enclosures
1. References
2. Responsibilities
3. Procedures
Glossary
ENCLOSURE 1

REFERENCES

(a) DoD Directive 5136.01, “Assistant Secretary of Defense for Health Affairs (ASD(HA)),” September 30, 2013, as amended
(c) DHA-Procedural Instruction 5025.01, “Publication System,” April 1, 2022
(d) United States Code, Title 44
(e) United States Code, Title 41
(f) Code of Federal Regulations, Title 36, Chapter XII, Subchapter B
(g) DoD Instruction 5015.02, “DoD Records Management Program,” February 24, 2015, as amended
(h) DoD Manual 8180.01, “Information Technology Planning in Electronic Records Management,” August 4, 2023
(i) Administrative Instruction 15, “OSD Records and Information Management Program”, May 3, 2013, as amended
(k) DoD Instruction 5400.11, “DoD Privacy and Civil Liberties Programs,” January 29, 2019, as amended
(l) United Stated Code, Title 18

\[1\] This reference can be obtained at [https://www.esd.whs.mil/RIM/](https://www.esd.whs.mil/RIM/) or by visiting DHA Records Management SharePoint.
ENCLOSURE 2

RESPONSIBILITIES

1. DIRECTOR, DHA, OR DESIGNEE. The Director, DHA, or designee will:

   a. Establish, resource, and maintain a records management program pursuant to References (d) through (l).

   b. Ensure all DHA records are managed electronically to the fullest extent possible.

   c. Ensure policies and procedures are followed for creation, retention, storage, transfer, and disposal of records pursuant to References (d) through (j).

   d. Appoint a Component Records Management Officer (CRMO) to administer the DHA Records Management Program.

   e. Direct all prime contractors, sub-contractors, and their employees to follow the DHA Records Management Program in a contract clause.

2. ASSISTANT DIRECTOR (AD), HEALTHCARE ADMINISTRATION, DIRECTOR OF STAFF AND AD, SUPPORT. The AD, Healthcare Administration, Director of Staff and AD, Support will ensure Record Liaisons are appointed within each office to perform records management functions for their organizations and liaise with the DHA Records Management Officer (RMO). Appointments will be updated upon departure or change of individual.

3. DEPUTY ASSISTANT DIRECTOR, HEALTH CARE OPERATIONS. The Deputy Assistant Director, Healthcare Operations will provide oversight for the Health Records Lifecycle Management Program through the DHA Patient Administration Division.

4. PROGRAM EXECUTIVE OFFICE (PEO) MEDICAL SYSTEMS/CHIEF INFORMATION OFFICER (CIO), J-6. The PEO Medical Systems/CIO, J-6 is responsible for enterprise-wide information technology operations at and between all DHA components, facilities, and organizations, to include all required policy, management, and execution activities in support of those operations. The PEO Medical Systems/CIO, J-6 will:

   a. Provide technical advice and assistance to DHA offices to support the inclusion of electronic records management functions into the design, development, enhancement, and implementation of Electronic Information System (EIS) pursuant to References (d) through (j).

   b. As part of the capital planning and systems development lifecycle process, ensure:
(1) Records management controls and functionality are planned and implemented into systems pursuant to References (d) through (i).

(2) All records in an EIS will be retrievable and usable for as long as needed to conduct DHA business and dispositioned pursuant to Reference (j).

c. Assist in the transfer of permanent electronic records to National Archives and Records Administration (NARA) pursuant to References (d) through (j).

d. Use of a standard interchange format (e.g., American Standard Code for Information Interchange or Extensible Markup Language) when needed to permit the exchange of electronic documents between offices using different software or operating systems.

5. CRMO, DHA. The CRMO, DHA will:

a. Administer the DHA Records Management Program for records pursuant to References (d) through (k).

b. Serve as the DHA RMO.

c. Complete Office of the Secretary of Defense (OSD) Records Administrator sponsored training within 3 months of appointment.

d. Furnish a copy of the DHA RMO Appointment Memorandum to the OSD Records Administrator.

e. Collaborate with the DHA Patient Administration Division regarding policy and procedures associated with DoD Health Records.

f. Evaluate current and potential EISs and databases, ensuring the records information contained within these systems are retained as required by Reference (j) and systems are managed pursuant to References (d) through (i).

g. Ensure records information created or received during the conduct of business and maintained in an EIS not identified within Reference (j) is brought to the attention of the OSD Records and Declassification Division.

h. Plan and budget for the migration of records and their associated metadata maintained in an EIS or database to new storage media or formats to avoid loss of record data due to media decay or technology obsolescence.

i. Emphasize the need for offices to identify and maintain essential records.

j. Educate DHA employees to manage records lifecycles using this DHA-AI and References (d) and (j).
k. Report any actual, impending, or threatened unlawful removal, alteration, or destruction of federal records to the OSD Records Administrator.

l. Ensure records information within commercial and government-owned social media sites is maintained pursuant to References (f), (i), and (j).

m. Conduct evaluations to analyze the effectiveness and efficiency of the DHA Records Management Program.

n. Create a unique office code for DHA Headquarters (HQ) Offices for tracking purposes, managing file plans, and locating Records Liaisons (RL).

o. Establish procedures to manage file plans.

p. Collaborate with DHA Office of General Counsel (OGC) regarding Litigation Holds/Preservation Orders/Records Freezes.

q. Establish DHA Records Disposal Procedures.

r. Verify retirement of records.

s. Manage DHA Archives and Records Centers Information System accounts.

t. Assist the DHA Human Capital Division with personnel onboarding and offboarding activities.

6. DIRECTORS, DEFENSE HEALTH NETWORKS (DHNs). The Directors, DHNs will:

   a. Establish, resource, and maintain a records management program pursuant to References (d) through (j).

   b. Establish and use a hierarchical approach to perform records management oversight activities.

   c. Use naming conventions listed below.

      (1) Defense Health Network Records Manager (DHNRM) – DHN.

      (2) Facility Records Manager (FRM) – Military Medical Treatment Facility (MTF)/Dental Treatment Facility (DTF)/Veterinary Treatment Facility (VTF) level.

      (3) RL - Office level.
d. Appoint a DHNRM to perform records management functions and serve as the accountable records officer for the organization. Appointments will be updated upon departure or change of individual.

e. Ensure FRMs are appointed at MTFs, DTFs, and VTFs to perform records management functions for their facilities and liaise with the DHNRM.

f. Ensure RLs are appointed within each office to perform records management functions for their office and liaise with the FRM and/or DHNRM. RL duties are a collateral duty.

g. Advise the DHA CRMO before entering into local support agreements to accomplish records management tasks.

7. DIRECTORS, MTFs, DTFs AND VTFs. The Directors, MTFs, DTFs and VTFs will:

   a. Establish, resource, and maintain a records management program pursuant to References (d) through (j) for records encompassing all offices within their organization.

   b. Establish and use a hierarchical approach to perform records management oversight activities of subordinate organizations.

   c. Use the naming conventions listed at 6.c.

   d. Appoint an FRM to perform records management functions and serve as the accountable records officer for the organization. Appointments will be updated upon departure or change of individual.

   e. Ensure FRMs are appointed at each subordinate MTF/DTF/VTF to perform records management functions for their facilities.

   f. Ensure RLs are appointed within each office to perform records management functions for their organizations and liaise with the FRM.

8. DHNRM. The DHNRM will:

   a. Develop, implement, administer, and sustain the records management program pursuant to this DHA-AI and References (i) and (k). These duties are closely aligned to the DHA CRMO responsibilities on a smaller scale and may be a collateral duty, although a full-time position is recommended.

   b. Serve as the organization’s Accountable RMO.

   c. Liaise with the DHA Records Management Branch as required.
d. Furnish a copy of appointment memorandum to the DHA Records Management Branch.

e. Follow records management procedures outlined in Enclosure 3.

f. Conduct and participate in records management evaluations.

g. Collaborate with their MILDEP records management representative as required to maintain and/or gain access to records created prior to DHA transition.

h. Request Archives and Records Centers Information System accounts through the DHA CRMO.

9. FACILITY RECORDS MANAGER (FRM). The FRM will:

a. Develop, implement, administer, and sustain the records management program pursuant to this DHA-AI and References (i) and (k). These duties are closely aligned to DHNRM responsibilities on a smaller scale and may be a collateral duty, although a full-time position is recommended.

b. Serve as the organization’s Accountable RMO.

c. Liaise with the DHNRM and/or the DHA CRMO as required.

d. Furnish a copy of appointment memorandum to the next higher records management office.

e. Follow records management procedures outlined in Enclosure 3.

f. Collaborate with their MILDEP records management representative as required to maintain and/or gain access to records created prior to DHA transition.

g. Request Archives and Records Centers Information System accounts through the DHA CRMO.

10. RL. The RL will:

a. Serve as the Accountable RMO at their office level. Duties and responsibilities at this level are normally a collateral duty.

b. Follow records management procedures outlined in Enclosure 3.

c. Collaborate with their next higher records management office and/or the DHA Records Management Branch as required.
d. Ensure individuals assigned, attached, allotted, or detailed to the office understand and are familiar with the DHA Records Management Program.

11. **INDIVIDUALS.** Individuals within the DHA Enterprise will maintain records and information created and received in the course of their daily responsibilities pursuant to the DHA Records Management Program.
ENCLOSURE 3

PROCEDURES

1. **GENERAL.** This DHA-AI in conjunction with References (i) and (j) prescribes the processes used to create, retain, store, transfer and dispose of records during the records lifecycle.

2. **TRAINING.**
   
a. Individuals appointed to a DHNRM, FRM, or RL position will complete DHA Records Liaison Training within 3 months of appointment and not later than every 2 years thereafter.

   b. DHNRMs may develop Records Liaison Training for their organization. Training will be reviewed/approved by the CRMO before implementation.

   c. All individuals within the DHA Enterprise will complete DHA-US1369 Annual OSD Records and Information Management Training via Joint Knowledge Online.

3. **DHNRM, FRM, AND RL APPOINTMENT DOCUMENTS.**
   
a. DHA offices and components will use the “Records Liaison Appointment Letter DHA HQ Offices,” to assign individuals to RL duties.

   b. DHNRMs, MTFs, DTFs, and VTFs will use the “DHA Memorandum Records Manager/Liaison Appointment_Template,” to assign records management duties.

   c. Regional contractors and other contractor partners will use the “Primary Care Contractor Template,” to assign RL duties.

   d. Appointments will be updated upon departure or change of individual.

4. **FILE PLANS.**
   
a. DHA HQ offices and component offices will create file plans using the Records Management Storage Tracking System.

   b. DHNs and MTFs will:

      (1) Establish procedures to manage, review, and approve file plans.
(2) Use the DHA file plan template to create file plans until replaced by an electronic management solution.

c. Unscheduled records will:

(1) Be maintained as permanent records on the file plan until final disposition is approved by the Archivist of the United States.

(2) Be reported to the DHA CRMO.

5. FILE NUMBERS. DHA file numbers are assigned to official records and non-records pursuant to reference are pursuant to Reference (j).

a. Non-records (active records) are:

(1) Continue to be used with sufficient frequency.

(2) Working documents files.

(3) Non-finalized documents.

b. Inactive records are:

(1) No longer used in the daily course of business, finalized documents.

(2) Cutoff.

(3) Maintained in the inactive Electronic File Station (EFS) until their disposition.

6. MAINTAINING RECORDS. The DHA Enterprise maintains active and inactive records in electronic format to the maximum extent possible using the two methods listed below.

a. Approved records management application. An EIS Survey is required for electronic systems used.

b. The active and inactive EFS is a method by establishing a folder and file structure maintained on a DHA server. Access to the folders and files are managed by permissions outlined below.

(1) DHA offices and components.

   (a) Manage their active EFS permissions.
(b) The DHA Records Management Branch manages their inactive file station permission.

(2) DHNs will establish procedures and follow procedures for their organizations.

c. Ensure records created, sent, or received using electronic messaging accounts are managed electronically, including the capability to identify, retrieve, and retain records for as long as they are needed, pursuant to this DHA-AI and References (i) and (j).

d. Ensure personal files, non-record material, and work-related records and information are not commingled.

7. LITIGATION HOLDS, PRESERVATION ORDERS, RECORDS FREEZES.

a. Records Management Branch will:

   (1) Coordinate records freeze language with DHA OGC.

   (2) Collaborate with DHA OGC regarding questions associated with litigation holds, preservation orders, or records freezes from DHA Offices.

   (3) Distribute notices to pre-determined offices with search criteria, supporting documentation and certified acknowledgement and receipt form.

   (4) Track all responses and comments.

   (5) Ensure responsive offices are aware of their responsibilities to safeguard records and information identified until the litigation holds/preservation orders/records freezes are lifted.

   (6) Provide Records Freeze Response Report to OGC after all responses have been received.

   (7) Provide production request guidance to responsive offices.

b. DHNs and MTFs will:

   (1) Conduct a thorough search for the appropriate records and respond accordingly if receiving a litigation hold/preservation/records freeze from a MILDEP.

   (2) Seek guidance/assistance as required from the DHA Records Management Branch and/or DHA OGC.

   (3) Distribute notice(s) to pre-determined offices with search criteria, supporting documentation and certified acknowledgement and receipt form.
8. DISPOSAL PROCEDURES.

a. Records Management Branch will:

   (1) Establish and use records disposal procedures pursuant to References (i) and (j).

   (2) Serve as the proponent for the Notice of Destruction Forms listed below.

   (a) DHA Form 143, Notice of Destruction, DHA (Internal).

   (b) DHA Form 144, Notice of Destruction, Federal Records Centers (External).

   (3) Utilize DHA Form 143, Notice of Destruction, DHA (Internal) and DHA Form 144, Notice of Destruction, Federal Records Centers (External) to document disposal of records.

   (4) The DHA CRMO is the approving authority for DHA HQ offices and components.

b. DHA HQ offices and components will Utilize DHA Form 143, Notice of Destruction, DHA (Internal) and DHA Form 144, Notice of Destruction, Federal Records Centers (External) to document disposal of records.

c. DHNRMs and FRMs will:

   (1) Establish record disposal procedures pursuant to this DHA-AI and References (i) and (j).

   (2) Utilize DHA Form 143, Notice of Destruction, DHA (Internal) and DHA Form 144, Notice of Destruction, Federal Records Centers (External) to document disposal of records.

   (3) Office leadership (civilian or military) will provide concurrence/non-concurrence and digitally sign Notice of Eligibility for Disposal, National Archives Form 13001 for records maintained at a NARA Federal Records Center as required.

d. Justification for non-concurrence of records eligible for destruction or deletion will be provided. (i.e., under a litigation hold).

e. DHA personnel must promptly report any unlawful or accidental removal, defacing, alteration, or destruction of records to the DHA CRMO. Once received the DHA CRMO will report to OSD within 10 business days. DHA personnel will not report directly to NARA or Service-specific Records Manager. The report must include:

   (1) A complete description of the records with volume and dates if known;

   (2) The office maintaining the records;
(3) A statement of the exact circumstances surrounding the removal, defacing, alteration, or destruction of records;

(4) A statement of the safeguards established to prevent further loss of documentation; and

(5) When appropriate, details of the actions taken to salvage, retrieve, or reconstruct the records.

9. ONBOARDING AND OFFBOARDING.

a. DHA Records Management Branch will:

   (1) Provide an Onboarding and Offboarding Records Management Brief for DHA HQ personnel maintained in the DHA Onboarding and Offboarding Portal.

   (2) Review and coordinate applicable SD forms as required for DHA HQ personnel prior to departure.

b. The DHA Enterprise will use SD Form 821, SD Form 822, and SD Form 833 as appropriate for departing personnel. Collaborate with the DHA Records Management Branch regarding departing personnel intending to remove non-records or personal information.

c. DHNs and their subordinate organizations will integrate records management briefings into their onboarding and offboarding procedures.

10. RECORDS MANAGEMENT EVALUATIONS.

a. The Records Management Branch:

   (1) Conducts records management evaluations to ensure the DHA Enterprise is effectively and efficiently following records management policies and procedures outlined in this DHA-AI and References (g) through (j).

   (2) Coordinates evaluation schedules.

   (3) Maintains the DHA Records Management Evaluation Checklist.

   (4) Uses the DHA Records Management Evaluation Checklist to document evaluations.

   (5) May use sampling of offices when conducting evaluations.

b. Evaluation Frequency.
(1) DHA HQ offices and components are evaluated biennially for compliance.

(2) Regional contractors and other contractor partners are evaluated biennially for compliance. A contract officer representative will be present and provide direct oversight during these evaluations.

(3) DRNs, MTFs/DTFs/VTFs are evaluated biennially for compliance.
   (a) DHNRMs will evaluate subordinate facilities and offices.
   (b) FRMs will evaluate subordinate facilities and offices.
   (c) May use sampling of offices when conducting evaluations.

(4) All offices across the DHA Enterprise will conduct and document internal evaluation annually using the DHA Records Management Evaluation Checklist.
   c. All records management evaluations will be documented on the DHA Records Management Evaluation Checklist.
   d. Discrepancies during evaluations will be corrected and documented using a memorandum format and provided to the evaluating office when applicable.

11. CONTRACT REQUIREMENTS.
   a. Pursuant to Reference (f), contracts will specify the delivery to the government of all the information required for the adequate documentation of a contractor-operated program.
   b. Below are the minimum requirements that will be included in the contract Performance Work Statement or Statement of Work.

   (1) Maintain government records and information created and received during the course of business. Ensure each record set is complete and retained in electronic filing systems pursuant to References (d) through (k).

   (2) Maintain electronic mail and attachments documenting government related activities.

   (3) Ensure contract company business records and personal files are not commingled with DHA records.

   (4) Ensure records and information maintained on network shared drives, websites or defense portals are maintained pursuant to References (d) through (k).
# GLOSSARY

## PART I. ABBREVIATIONS AND ACRONYMS

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>AD</td>
<td>Assistant Director</td>
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<tr>
<td>CIO</td>
<td>Chief Information Officer</td>
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<td>CRMO</td>
<td>Component Records Management Officer</td>
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<tr>
<td>DHA</td>
<td>Defense Health Agency</td>
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<td>DHA-AI</td>
<td>Defense Health Agency-Administrative Instruction</td>
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<td>DHN</td>
<td>Defense Health Network</td>
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<td>DHNRM</td>
<td>Defense Health Network Records Manager</td>
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<td>DTF</td>
<td>Dental Treatment Facility</td>
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<td>EFS</td>
<td>Electronic File Station</td>
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<td>EIS</td>
<td>Electronic Information System</td>
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<td>FRM</td>
<td>Facility Records Manager</td>
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<td>HQ</td>
<td>Headquarters</td>
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<td>Administration and Management</td>
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<td>J-6</td>
<td>Information Operations</td>
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<td>MILDEP</td>
<td>Military Department</td>
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<td>MTF</td>
<td>Military Medical Treatment Facility</td>
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<td>NARA</td>
<td>National Archives and Records Administration</td>
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<td>OGC</td>
<td>Office of General Counsel</td>
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<td>OSD</td>
<td>Office of the Secretary of Defense</td>
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<td>PEO</td>
<td>Program Executive Office</td>
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<td>RL</td>
<td>Records Liaison</td>
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<td>RMO</td>
<td>Records Management Officer</td>
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<td>SD</td>
<td>Secretary of Defense</td>
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<tr>
<td>VTF</td>
<td>Veterinary Treatment Facility</td>
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PART II. DEFINITIONS

contractor. An organization with which DHA has entered into a contract for delivery of and/or processing of payment for health care services, and the performance of related support activities, such as, pharmacy services, quality monitoring and/or customer service.

DHNRM. Individual who has oversight of the records management program of a Defense Health Network and its subordinate organizations.

DoD Health Record. In accordance with Reference (t), the DoD Health Record is the primary record of medical, dental, and mental healthcare documentation, regardless of medium, for individuals receiving care in the Military Health System.

EIS. Pursuant to Reference (f), A system that contains and provides access to computerized federal records and other information. Reference (f) An EIS includes the inputs and outputs that are generated, as well as the master files. The system may contain budgetary, fiscal, social, economic, scientific, technical, or program-related data and information, operated in support of agency programs and management responsibilities.

Essential records. Pursuant to Reference (f), Records an agency needs to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) and to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records). Previously referred to as vital records.

Evaluation. Internal audit by agency staff.

FRM. Individual who has oversight of the records management program at the MTF level.

File plan. A plan designating the physical location(s) at which an agency’s files are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. Also, a document containing the identifying number, title or description, and disposition authority of files held in an office.

Litigation holds/preservation order/records freeze. Temporary records held for litigation hold, preservation order, investigation, or audit purposes. Frozen records can be destroyed only after completion of litigation hold, preservation order, audit, or investigation and notification from the appropriate authority.

MTF. Any DoD facility, outside of a deployed environment, constructed primarily for health care or as otherwise determined by the SD to be an MTF.

office. Organizations within an OSD Component, Defense Agency, or Field Agency that develop, implement, and manage appropriate policies and procedures regarding specified
functions. Program offices also perform oversight and periodic review of operating offices to ensure their compliance with federal law, regulations, and DoD issuances.

official records. See records definition.

non-records. Documentary materials excluded from the legal definition of records. The United States Code defines “non-record materials” to include material such as unofficial copies of documents kept only for convenience or reference, stocks of publications and near-print documents, and library or museum material intended solely for reference or exhibition.

records. Includes all recorded information, regardless of form or characteristics, made or received by a federal agency 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 United States Government or because of the informational value of data in them.

RL. The appointed individual responsible for the records management program of an organization or office.

records management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records, carried out in such a way as to achieve adequate and proper documentation of federal policies and transactions and effective and economical management of agency operations.

records schedules. A records schedule or schedule is:

A Standard Form-115, Request for Records Disposition Authority, that has been approved by NARA to authorize the disposition of Federal records.

A General Records Schedule issued by NARA.

A printed agency manual or directive containing the records descriptions and disposition instructions approved by NARA on one or more Standard Form-115s or issued by NARA in the General Records Schedule.

scheduling. The process of determining and recording in a records schedule the appropriate retention period and ultimate disposition of a series. The records thus provided for are called scheduled records.

transfer. The process of moving records from one location to another, especially from office space to off-site storage facilities, from one agency to another, or from an agency office to a Federal Records Center or to NARA.

unauthorized disposal. The improper removal of records without NARA approval or the willful or accidental destruction of records without regard to a NARA approved records schedule.
Unauthorized disposition of Federal records is against the law and punishable by up to $250,000 in fines and imprisonment. (Section 3106 of Reference (d) and Section 2071 of Reference (l)).