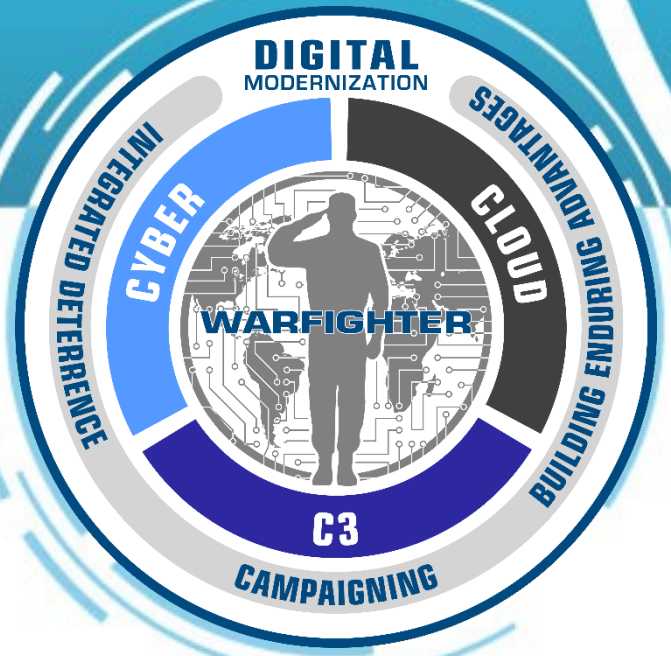


DoD Records Management

Mark Patrick, DoD Records Officer

“The appearance of U.S. Department of Defense (DoD) visual information does not imply or constitute DoD endorsement.” (Cleared for open publication 17 May 2023, added graphics cleared for open publication 22 May 2023 in DoD Records Strategy. DoDM 8180.01 cleared on 4 August 2023.)

Agenda

- Intro
  - What does the DoD information universe look like?
  - What is my role?
- DoD Records Strategy
- DoDM 8180.01
- Where we're headed with MS365…or DoD365
- Final thoughts – Compliance as an operational/business enabler, not an outcome/end state

Army Cpl. Daisy Chikwanha, an AH-64 helicopter repairer assigned to the 1st Battalion, 3rd Aviation Regiment, 12th Combat Aviation Brigade, inspects an Apache helicopter during Exercise Swift Response 23 at the Stefanovikeio Airport in Greece, May 9, 2023. Photo by: Army Sgt. Maria Henderson

DoD Records Office

Air Force Capt. Samuel “RaZZ” Larson, F-22 Raptor Demonstration Team commander, flies at high airspeeds during an air show at Joint Base Langley-Eustis, Va., May 7, 2023.
Photo by: Air Force Airman 1st Class Mikaela Smith

- The DoD Information Universe
- DoD Records Officer role
  - Strategy, Policy (DoDI 5015.02—currently under review), Procedures (STD->Manual), DTM 22-001
  - Managing a collaborative community
  - Aligning under a network of SAORMs
  - New full-time records officer in the wake of the 3 August 2022 Deputy Secretary of Defense memorandum regarding text message preservation—cascading events. Public IG report on phone app usage… Opportunity?
  - Designated ARO by DoD CIO on 13 April 2023
  - Alignment with DoD Data Strategy and new Chief Digital AI Office

Sailors man the rails on the flight deck of the USS Gerald R. Ford in Norfolk, Va., May 2, 2023.

Photo by: Navy Petty Officer 2nd Class Nolan Pennington

Marines assigned to the 2nd Combat Engineer Battalion, 2nd Marine Division, receive a briefing before participating in air attack operations near Skovde, Sweden, April 27, 2023. Marines are deployed to Sweden as part of Marine Rotational Forces Europe 23.1 which focuses on regional engagements throughout Europe by conducting various exercises, arctic and mountain warfare training, and military-to-military engagements, which enhance overall interoperability of the Marine Corps with allies and partners.
Photo by: Marine Corps Sgt. Christian M. Garcia

A Falcon 9 rocket carrying a GPS III satellite launches at Cape Canaveral Space Force Station, Fla, Jan. 18, 2023. The overall objective of GPS III is to deliver sustained, reliable GPS capabilities to America's warfighters, allies and civil users.
Photo by: Air Force Senior Airman Thomas Thomas

DoD Information for Decision Advantage

Camp Smith - Army Gen. Mark A. Milley, chairman of the Joint Chiefs of Staff, meets with Japan Joint Staff Gen. Koji Kamazaki during a bilateral engagement at Camp Smith, Hawaii, March 29, 2022.

Photo by: Navy Chief Petty Officer Carlos M. Vazquez II

"Deploying the full spectrum of DoD Information for Decision Advantage"

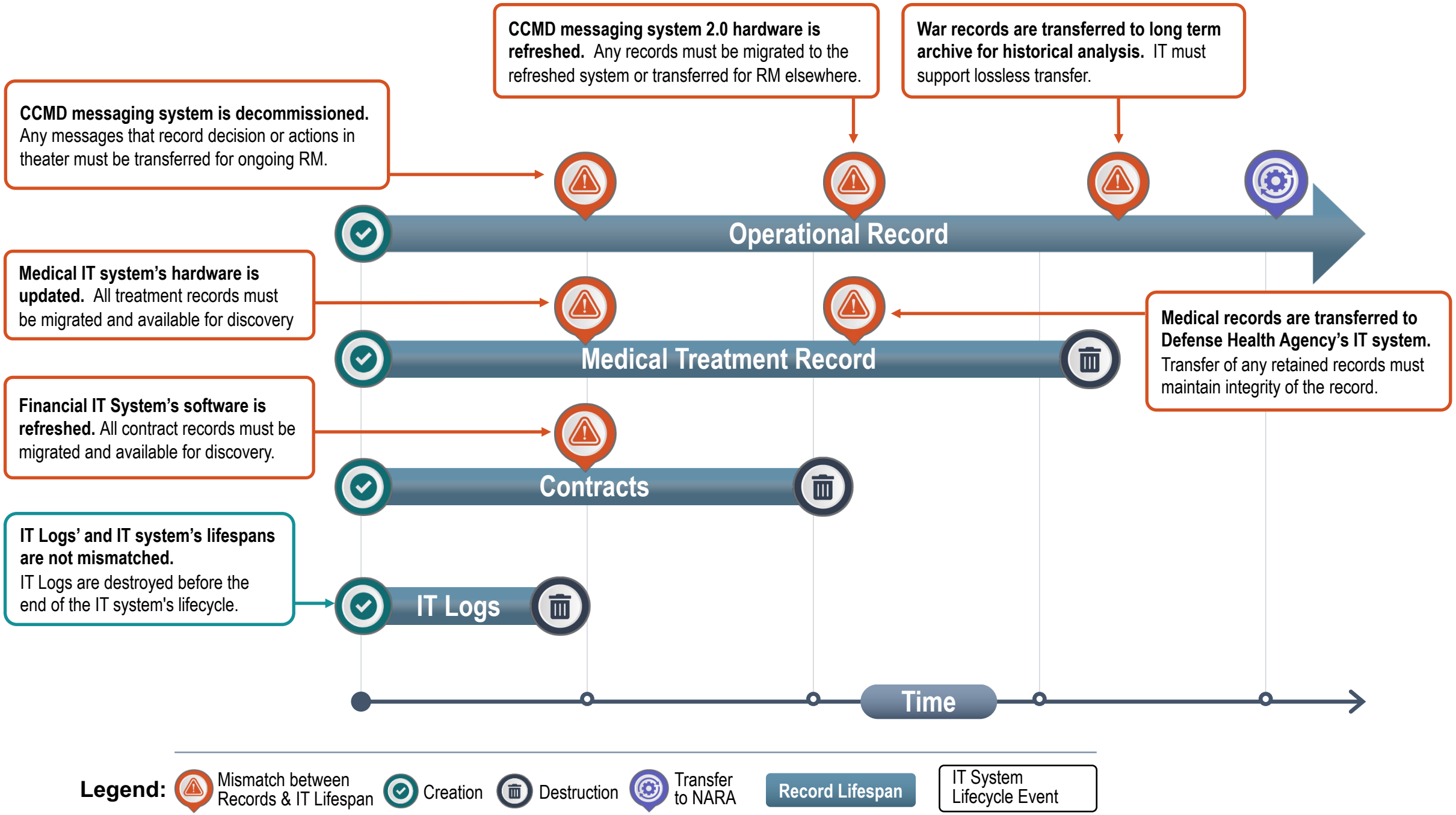
DoD Records Strategy

- First ever DoD Records Strategy signed by Deputy Secretary of Defense 10 May 2023, approximately 27 pages
- Implementation process is underway (5-year notional journey)
- Publicly released (DoD CIO Library page)
- “Will require leadership from chief information officers to implement DoD-wide strategies to achieve digital modernization and information-related capability goals”
- Goals: Curation, Automation of Records Processes, and Governance of Records Across the Lifecycle
- Several key enablers and approaches to goals are presented
- Integrated with data strategy

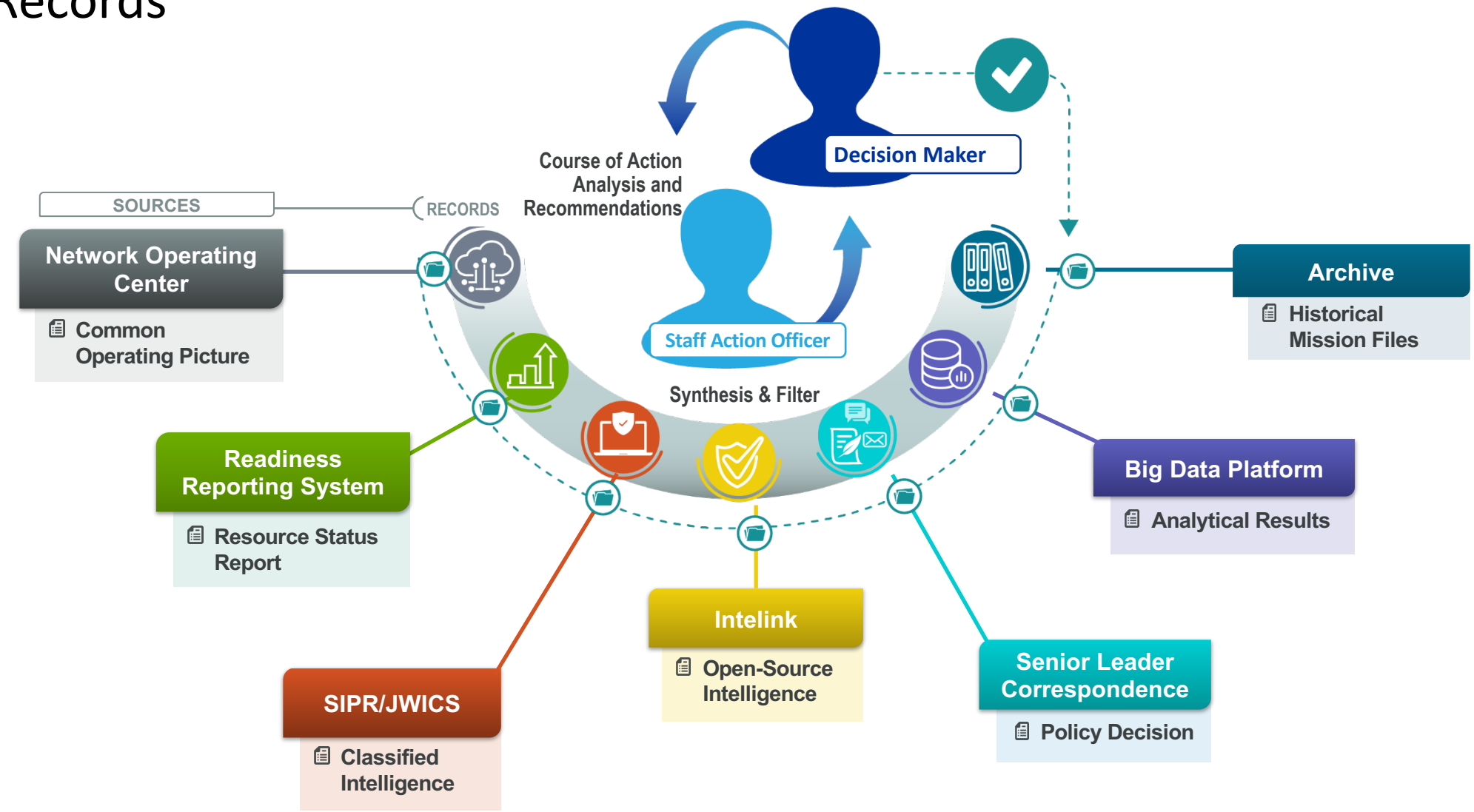
CURATE

AUTOMATE

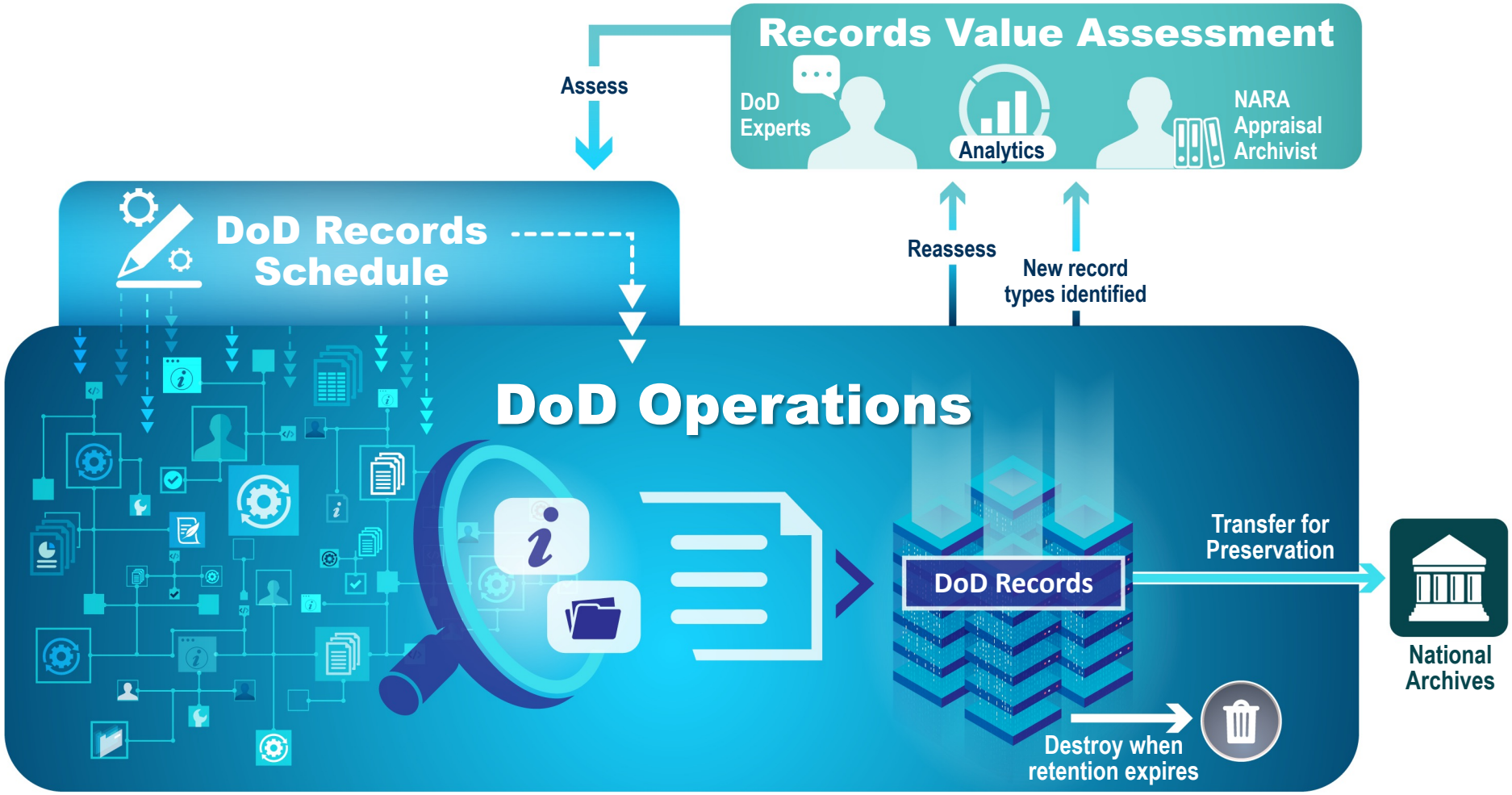
GOVERN


CCMD messaging system 2.0 hardware is refreshed. Any records must be migrated to the refreshed system or transferred for RM elsewhere.
War records are transferred to long term archive for historical analysis. IT must support lossless transfer.
CCMD messaging system is decommissioned. Any messages that record decision or actions in theater must be transferred for ongoing RM.
Operational Record
Medical IT system's hardware is updated. All treatment records must be migrated and available for discovery
Medical Treatment Record
Medical records are transferred to Defense Health Agency's IT system. Transfer of any retained records must maintain integrity of the record.
Financial IT System's software is refreshed. All contract records must be migrated and available for discovery.
Contracts
IT Logs' and IT system's lifespans are not mismatched. IT Logs are destroyed before the end of the IT system's lifecycle.
IT Logs
Time
Legend:
Mismatch between Records & IT Lifespan
Creation
Destruction
Transfer to NARA
Record Lifespan
IT System Lifecycle Event

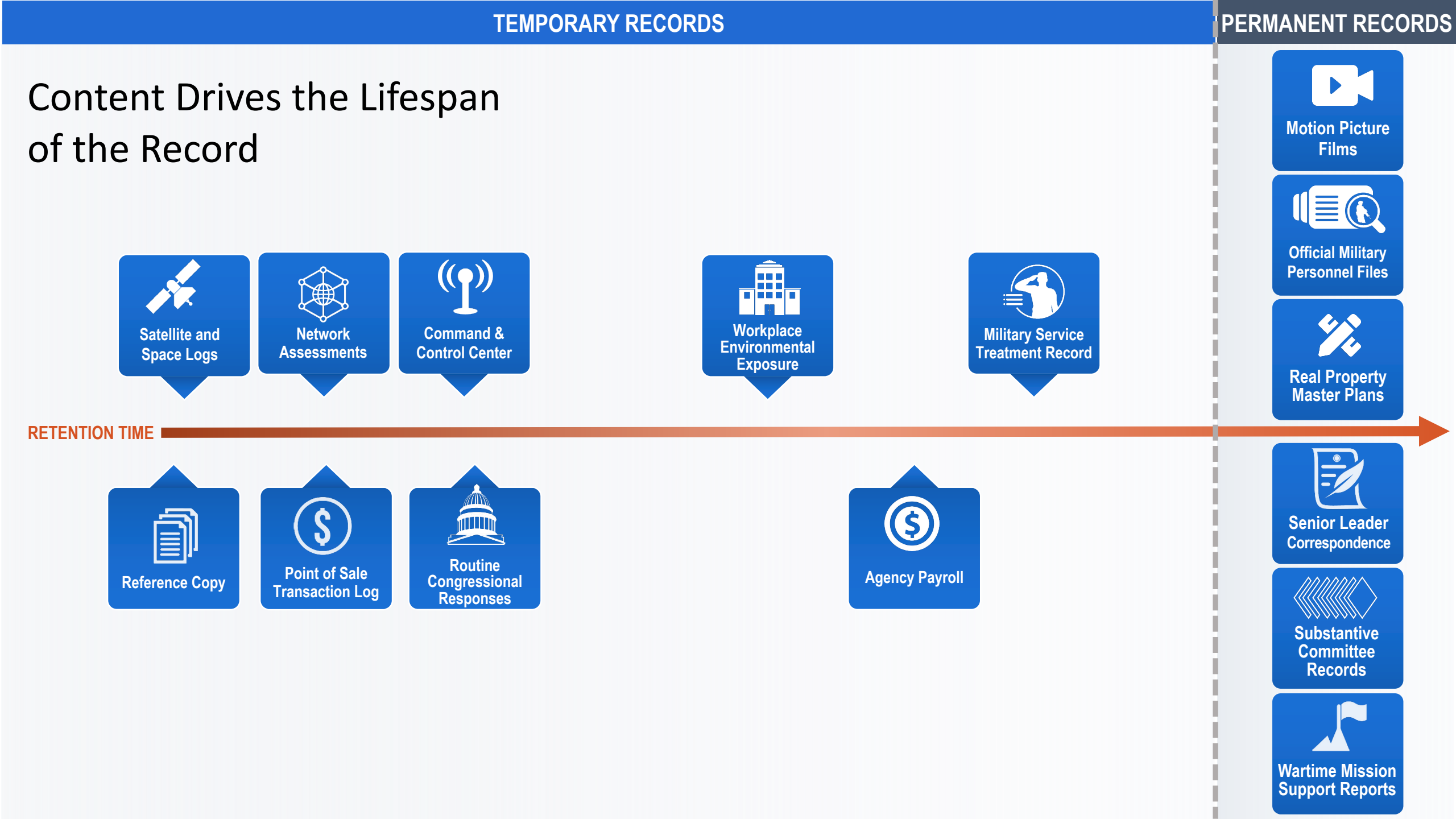
Decision Advantage Using DoD Records



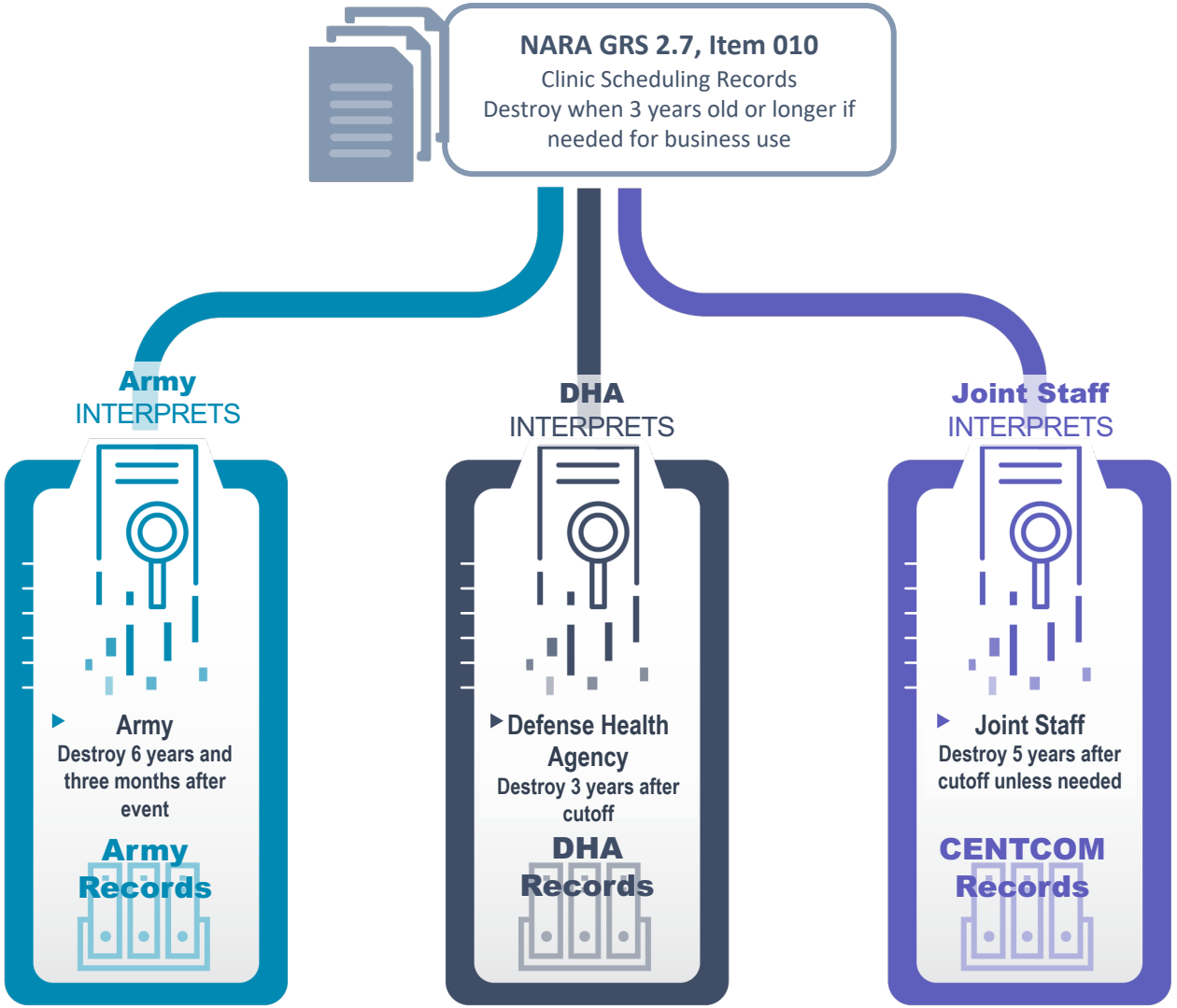
Curation of Records



Content Drives the Lifespan of the Record

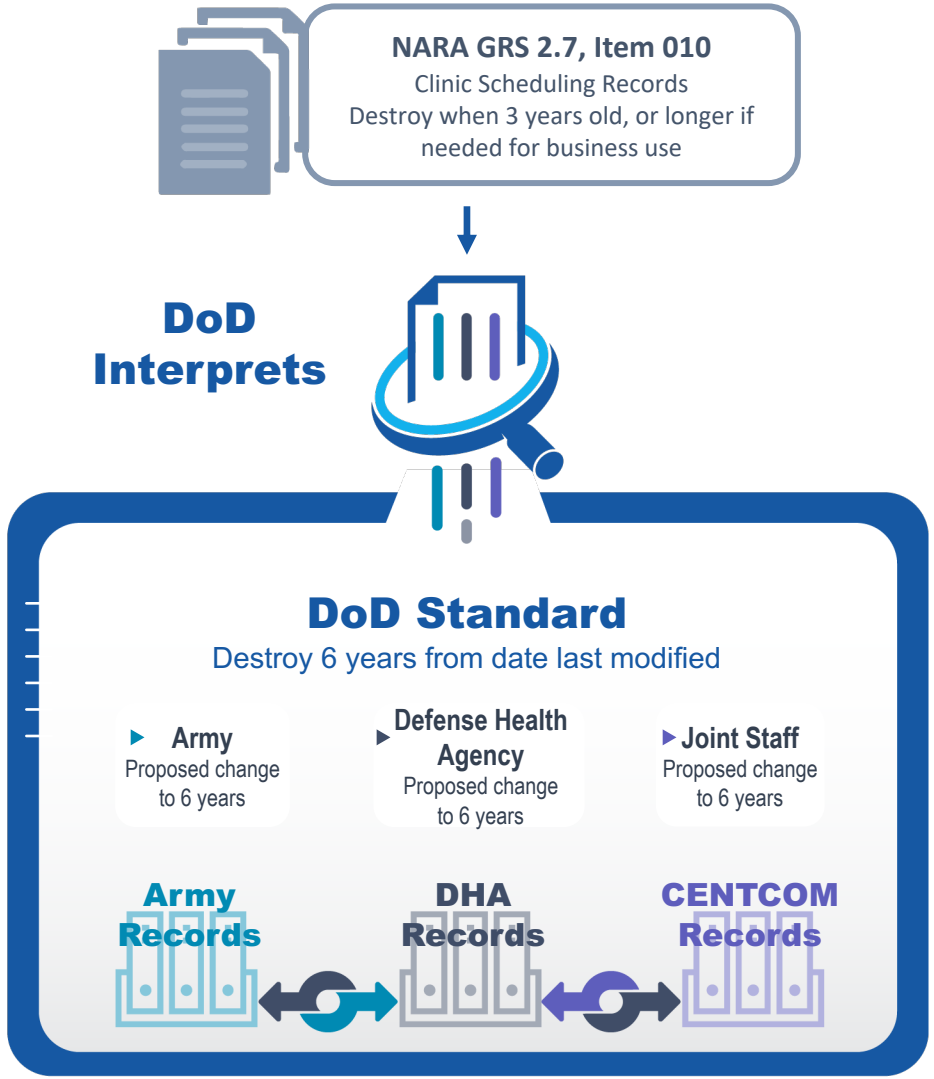


Current Situation



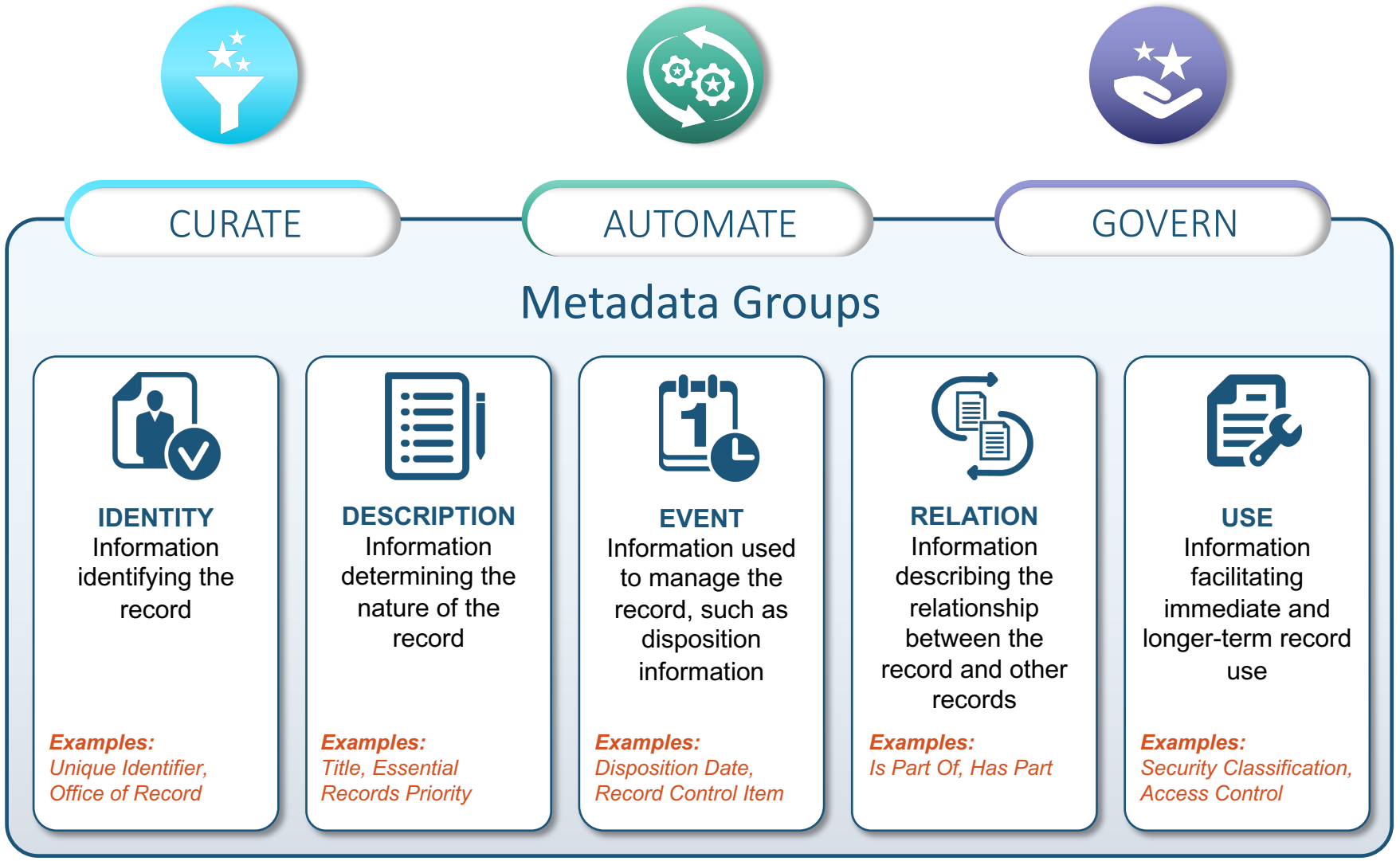
Inconsistent Records Interoperability

Vision



Records Interoperability

Metadata for Meeting Records Strategy Goals



Modernizing Guidance for Electronic Records Management

PAST

DoD Manual "Information Technology Planning for Electronic Records Management"

- Scoped to specific guidance needed for ERM
- Provides a foundation for next generation of compliance and federation
- Replaced DoD 5015.02-STD (4 August 2023)

Electronic Records Management Guidebook

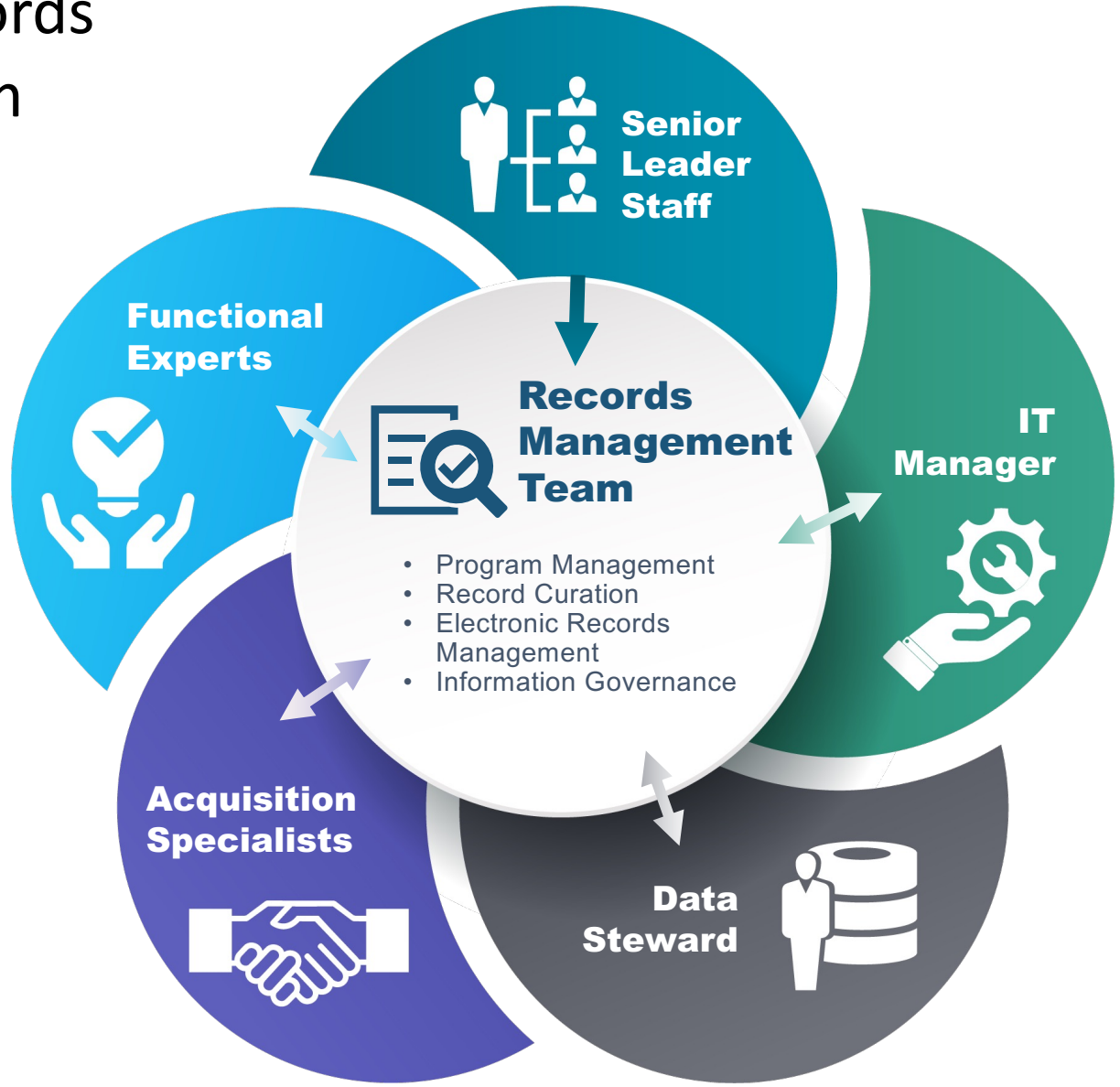
- Provides in-depth and industry best practice guidance for ERM
- Sets principles and vocabulary for ERM within the larger DoD IE
- Sets forth a federated view of ERM in DoD
- Addresses ERM within DevSecOps

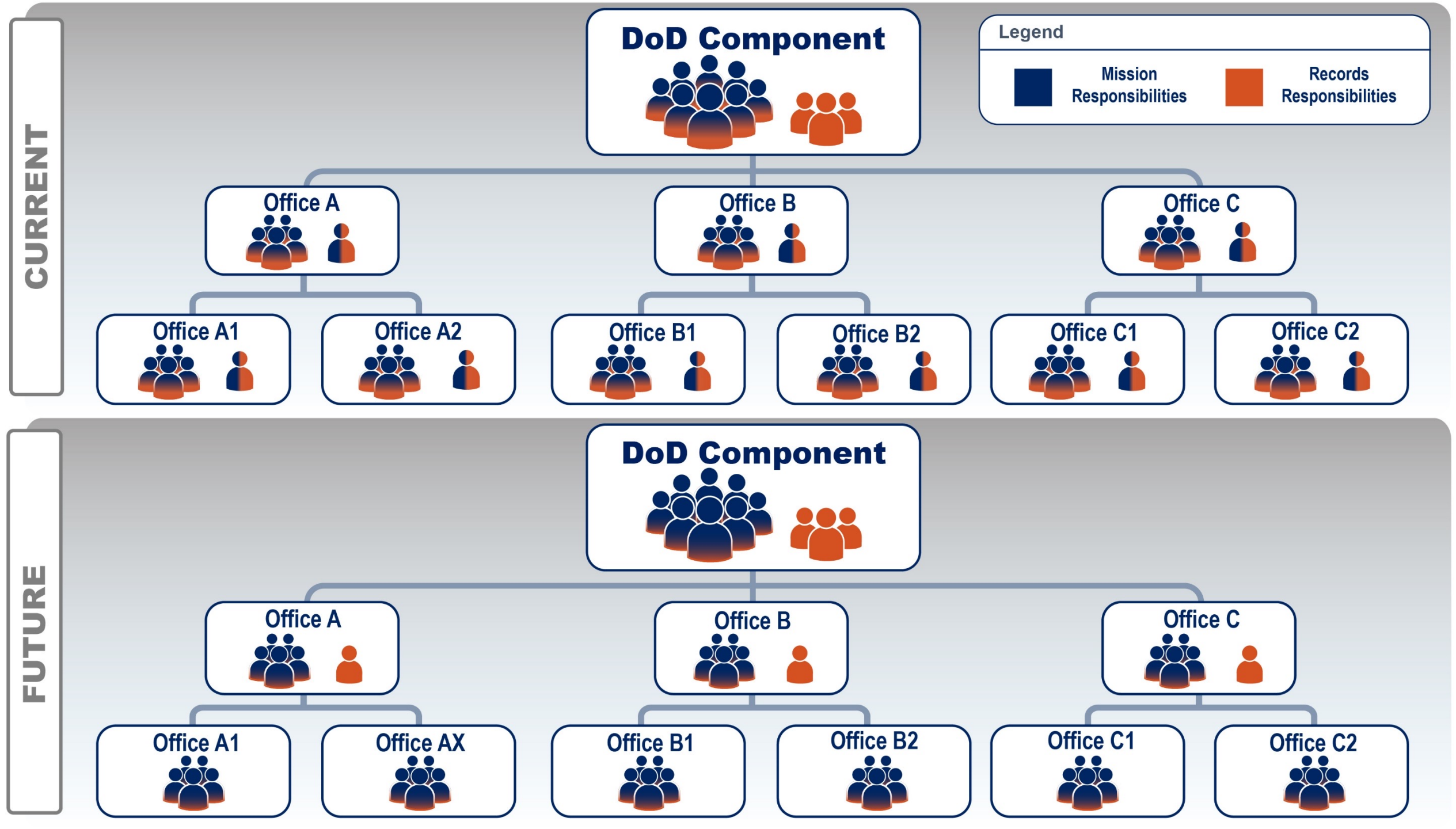
Electronic Records Management Playbook

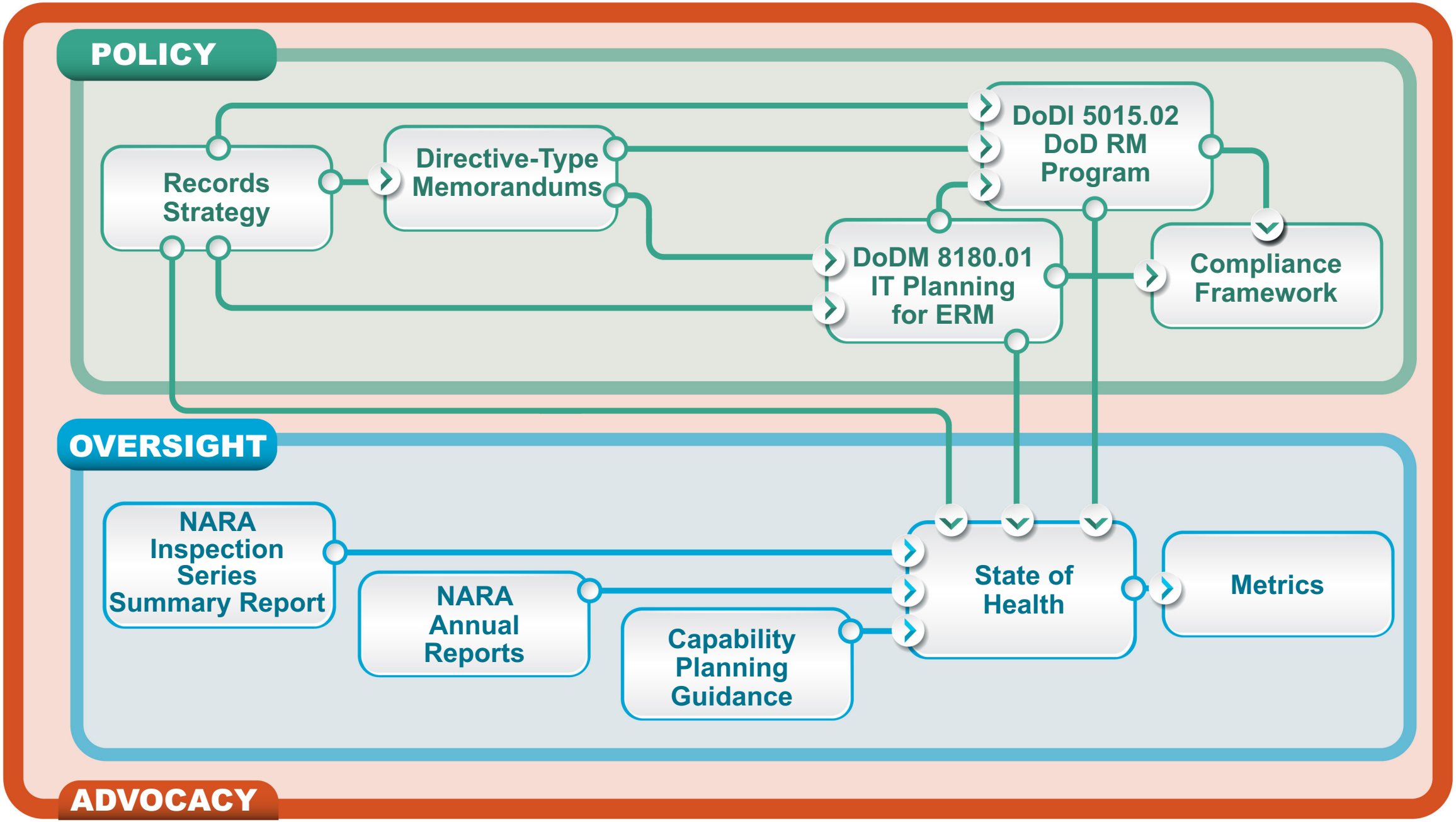
- Provides a set of actions or plays for addressing ERM in DevSecOps
- Scoped to specific guidance needed for ERM
- Possible plays include "Recruiting the ERM Team," "Writing the Data Retention Plan," "Meeting Federation Requirements," and "Planning for Transfer to NARA"

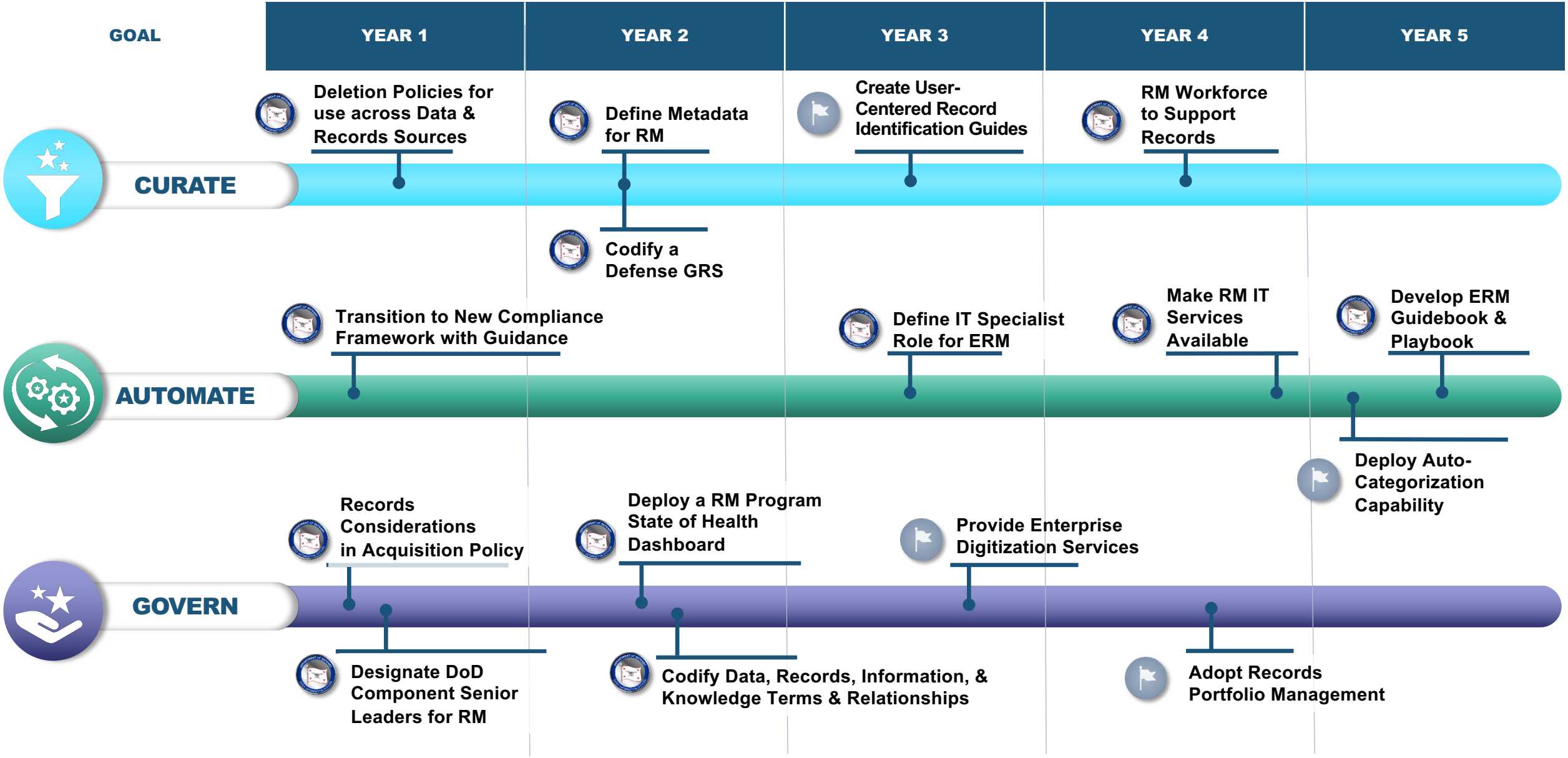
FUTURE

Vision for the Records Management Team




CURRENT
DoD Component
Legend
Mission Responsibilities
Records Responsibilities
Office A
Office B
Office C
Office A1
Office A2
Office B1
Office B2
Office C1
Office C2
FUTURE
DoD Component
Office A
Office B
Office C
Office A1
Office AX
Office B1
Office B2
Office C1
Office C2


POLICY
Records Strategy
Directive-Type Memorandums
DoDI 5015.02 DoD RM Program
DoDM 8180.01 IT Planning for ERM
Compliance Framework
OVERSIGHT
NARA Inspection Series Summary Report
NARA Annual Reports
Capability Planning Guidance
State of Health
Metrics
ADVOCACY


GOAL
YEAR 1
YEAR 2
YEAR 3
YEAR 4
YEAR 5
CURATE
Deletion Policies for use across Data & Records Sources
Define Metadata for RM
Codify a Defense GRS
Create User-Centered Record Identification Guides
RM Workforce to Support Records
AUTOMATE
Transition to New Compliance Framework with Guidance
Define IT Specialist Role for ERM
Make RM IT Services Available
Develop ERM Guidebook & Playbook
Deploy Auto-Categorization Capability
GOVERN
Records Considerations in Acquisition Policy
Designate DoD Component Senior Leaders for RM
Deploy a RM Program State of Health Dashboard
Codify Data, Records, Information, & Knowledge Terms & Relationships
Provide Enterprise Digitization Services
Adopt Records Portfolio Management
Office of Primary Responsibility: DoD CIO
Office of Primary Responsibility: To Be Determined

DoD Manual 8180.01

- “Information Technology Planning for Electronic Records Management”
- **Purpose**: In accordance with the authority in DoD Directive (DoDD) 5144.02 and DoD Instruction (DoDI) 5015.02, this issuance implements policy, assigns responsibilities, and provides procedures specific to electronic records management (ERM) for DoD information technology (IT) acquisition, configuration, implementation, and maintenance of IT systems and services.
- Signed by the DoD CIO on 4 August 2023
- It replaces the DoD 5015.02-STD, “Electronic Records Management Software Applications Design Criteria Standard”
- New 8000 series issuance reflects IT focus
- Many of the ***values*** of the original standard don’t change
- Primary audience is the IT Provider and calls for inclusion of Records Officers in the process
- This manual is publicly available via the Washington Headquarters Services Directives web site. Search on DoDM 8180.01

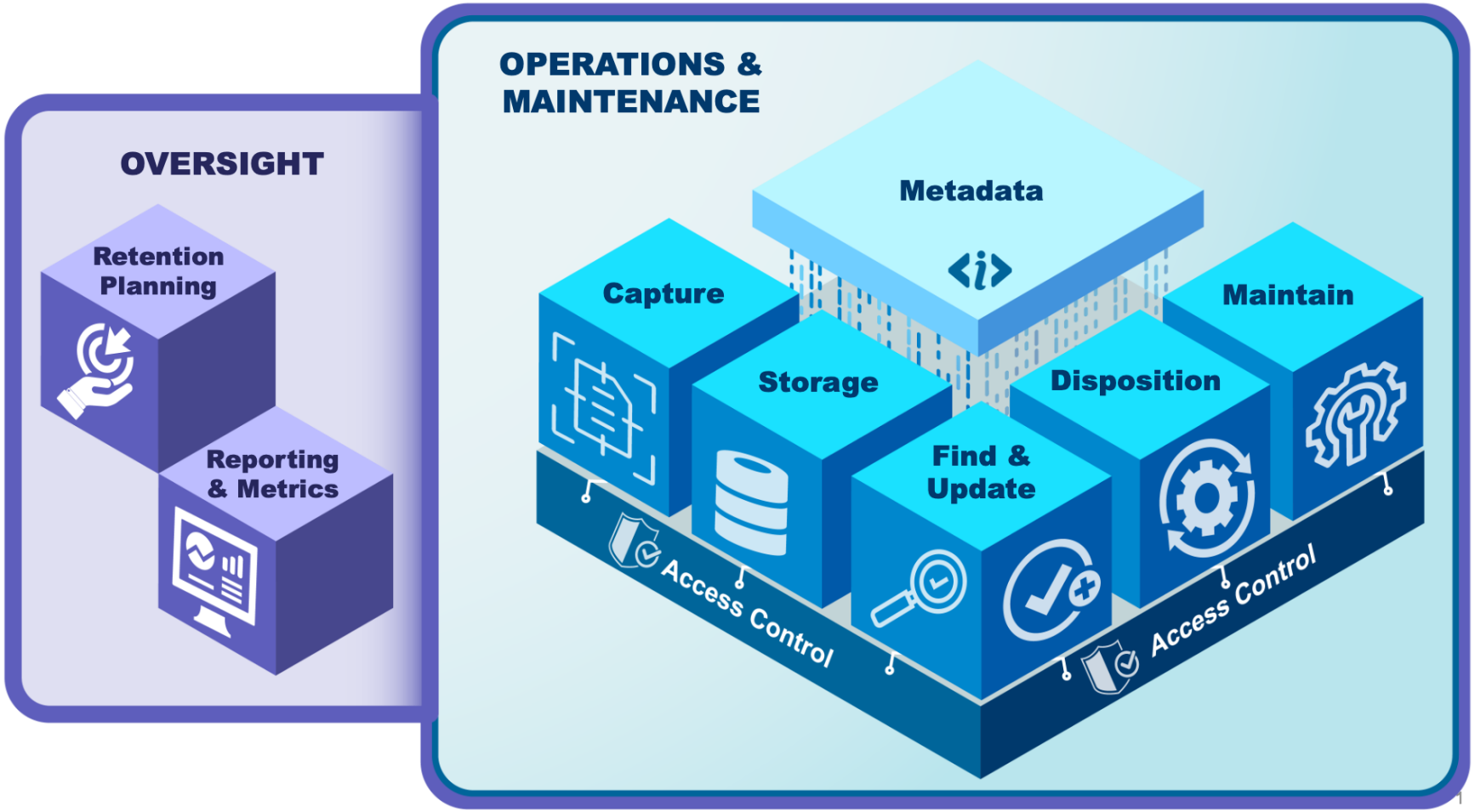
DoD Manual 8180.01 (Continued)

- Paradigm shift focusing from ***certified*** software to ***effective deployment*** of software
- 88 pages, technical
- 14 Sections

Section		Section	
1	General Information	8	Find and Update
2	Responsibilities	9	Disposition
3	Overview	10	Maintain
4	Retention Planning*	11	Access Control
5	Metadata	12	Reporting and Metrics
6	Capture	13	RM Outcomes Checklist
7	Storage	14	Required Functionality

*Includes sample data retention plans for purpose-built IT systems, utility IT systems, and purpose-built IT systems that contain operational records.

DoDM 8180.01 ERM Technology Building Blocks

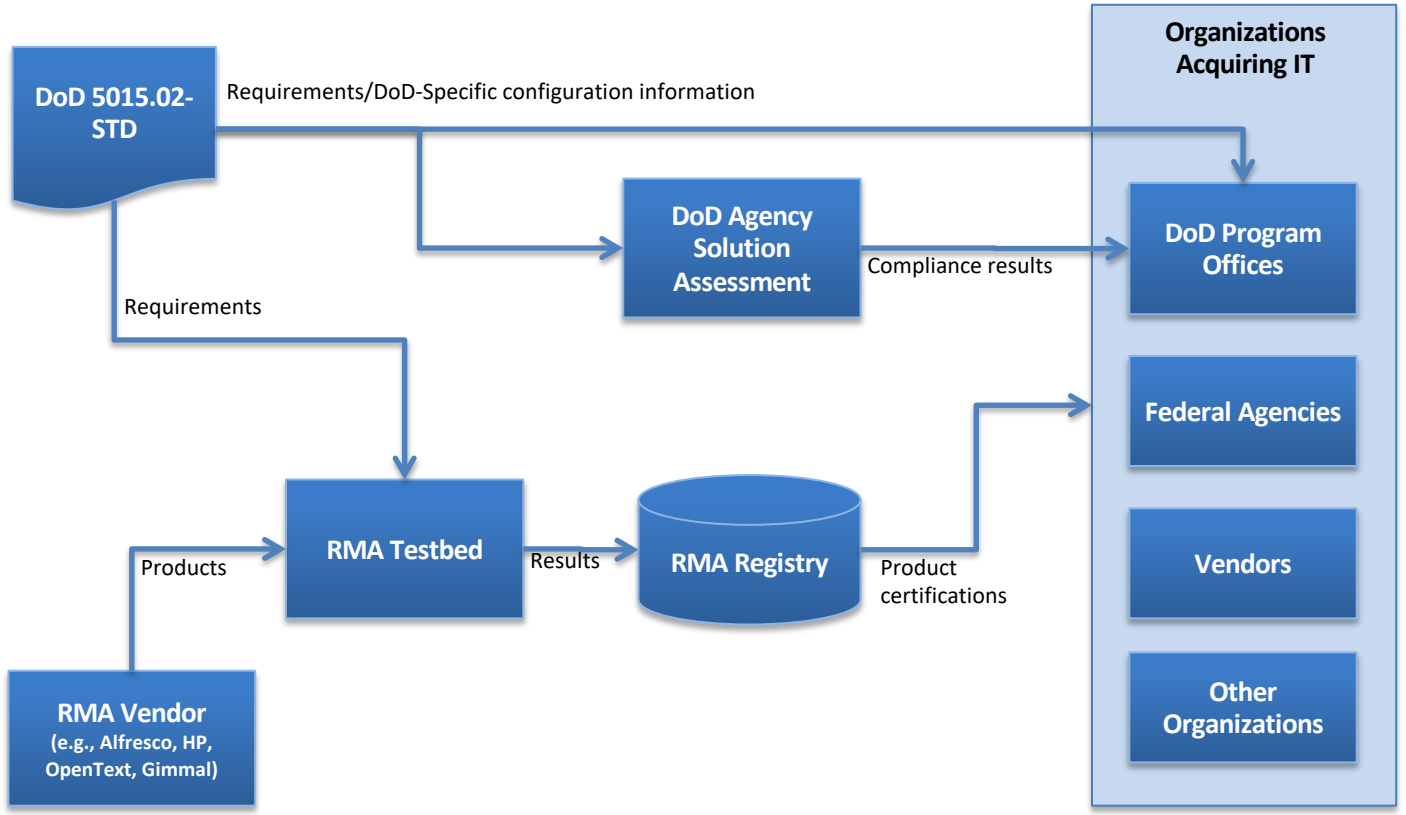


- Focus on unique considerations and requirements for ERM
- Technology Perspective is composed of nine building blocks.
- DoDM provides for each building block:
  - Overview
  - Inputs
  - Considerations
  - Outcomes✓

DoD 5015-STD Has Provided Baseline Requirements

DoD 5015.02-STD has:

- Facilitated industry evolution to providing RM solutions
- Provided a test baseline for vendor product compliance
- Provided a baseline of requirements for government IT acquisition and development
- Documented RM functionality and metadata for managing all records, classified records, and support for FOIA and Privacy Act



For over 25 years, the DoD 5015.02 Standard has provided the RM community from industry to government with clear documentation of requirements for electronic records management.

The Landscape Has Changed

- Shift from a dedicated Records Management Application to ***IT solutions***
  - Many IT components are sources of records and can perform some RM functions efficiently within the Component
  - RM compliance is achieved across a solution composed of a set of IT components of that touch a dataset, information product, or record
- Shift to ***cloud*** solutions bring major considerations:
  - Make sure that access to the records is available for records management, legal holds, and discovery
  - Provide capability to "losslessly" move information and its metadata into and out of the cloud
- Shift from an afterthought to a ***holistic approach***
  - DoD information and data are record information of different retention time periods, from transitory with a retention of 6 months or less to permanent records to be preserved for the life of the Republic
  - Planning for RM throughout the information lifecycle provides an opportunity for more automation and less burden on the endpoint user
- Shift from a standalone publication to ***more integrated guidance***
  - Within DoD, DoD 5015.02-Standard has been used primarily by a small set of IT-focused RM professionals
  - For the most impact, the reissued guidance will be designed to work synergistically with other DoD guidance and provide tools for use across a wider audience
  - Opportunities for references from other guidance will be pursued where useful

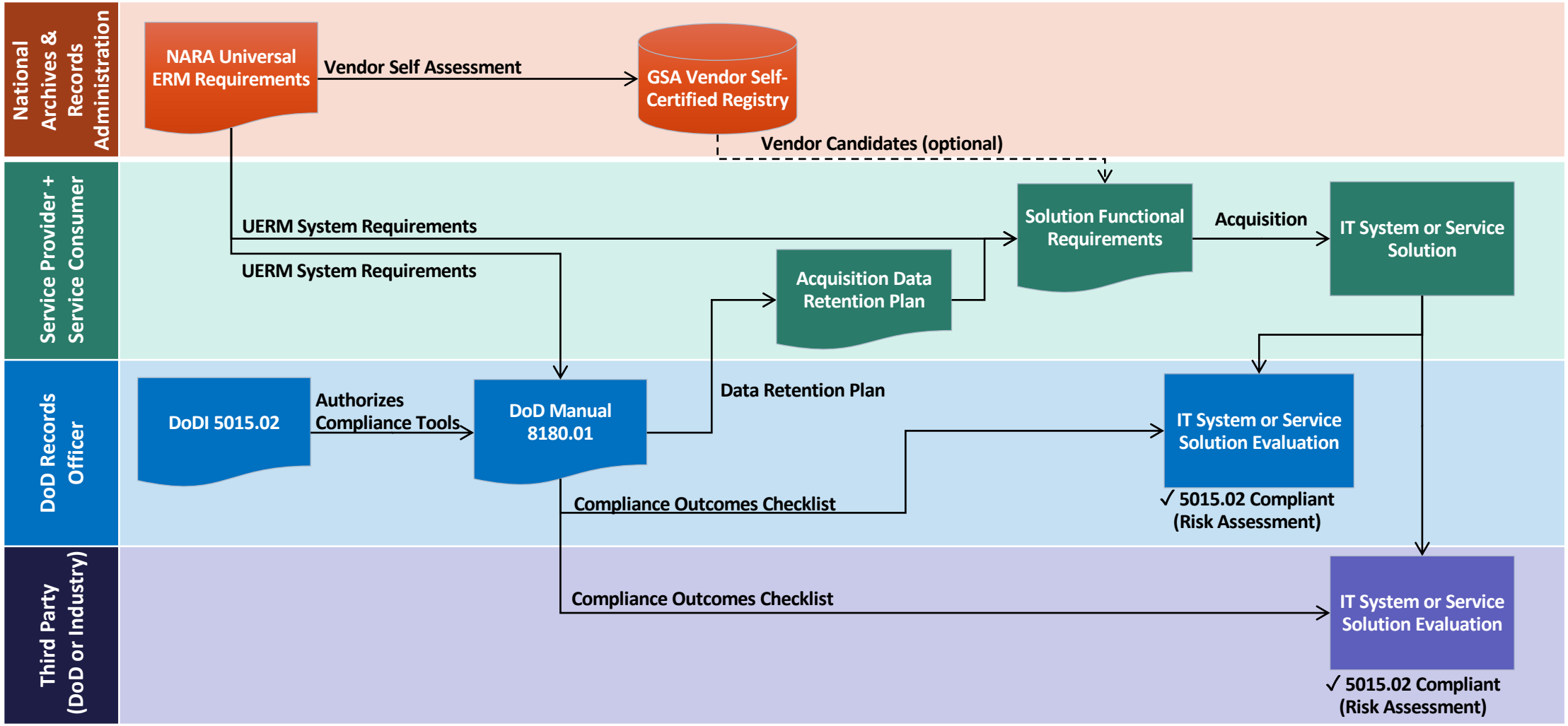
Significant changes in technology, acquisition processes, and DoD guidance warranted significant changes as the DoD 5015.02-Standard is reissued.

Vision for DoDI 5015.02 Compliance Framework for IT Systems and Services

Policy foundation for the vision:

- DoD Instruction 5015.02, “DoD Records Management Program” sets RM policy for DoD and is authorized by the charter of the DoD Chief Information Officer (currently under review)
  - Electronic records are to be managed in an IT system or service that is compliant with DoDI 5015.02 throughout their lifespan.
    - For records of long-term or permanent value, their lifespans may cross IT systems and services boundaries
    - All IT systems and services that contain records must be compliant
  - DoDI 5015.02 ERM compliance is an assessment of risk to DoD records by the use of IT system or service
- DoD Manual 8180.01, “Information Technology Planning for Electronic Records Management” was developed to provide guidance for IT acquisition on RM-specific considerations.
  - Tools from the DoDM 8180.01 can be used to inform acquisition along with the Universal Electronic Records Management Requirements (UERM) published by NARA.
  - The DoDM 8180.01 provides the tools for third party organization, either DoD or industry, to execute the assessment process.
  - The purchase of a product does not provide compliance; therefore, the deployment of an IT system or service must be assessed.

Vision for DoDI 5015.02 Compliance Framework for IT Systems and Services (cont.)



Guiding Considerations

- The key success factor for this manual is getting it into the hands of a wider audience including the ***IT and Acquisition communities***.
- This manual aligns with NARA's Federal Electronic Records Modernization Initiative (FERMI) including mapping to the UERM with more specific extensions expected.
- This manual will be consistent with the principles and guidance set forth by the International Organization for Standardization (ISO) and IT Infrastructure Library (ITIL). DoD-specific considerations will be the focus of the DoDM.
- This manual will be more technology agnostic in order to match its contents to the lifecycle of DoD Issuances.
- An IT Compliance Checklist is a key section of the DoDM providing a tool for auditing an IT component, service, or system of application compliance to DoD RM requirements.

Where we're headed with MS365

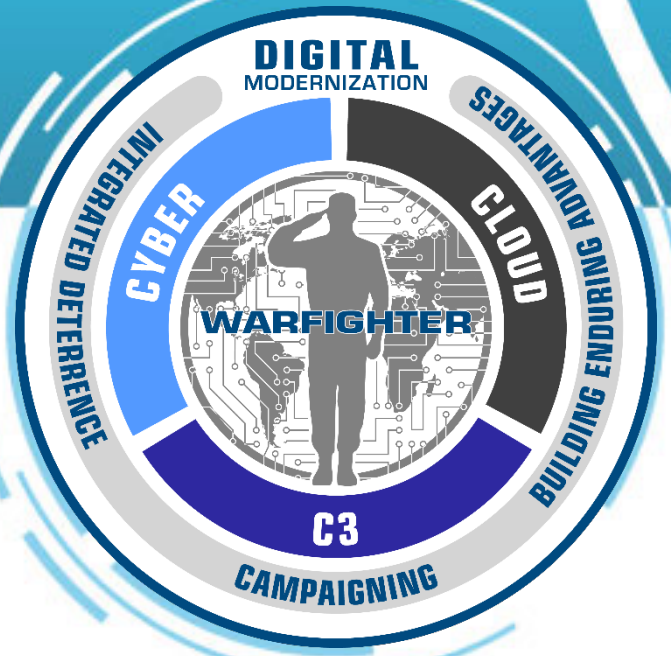
- 14 active tenants in DoD365 unclassified cloud environment managed by the Defense Information Systems Agency (DISA) Defense Enterprise Office Solution (DEOS) Program Management Office (PMO).
- Multiple tenants and security domains complicate the use of information governance features of 365 across the DoD enterprise, however, efforts are underway which include DISA, Microsoft, and 3rd party consultancy to optimize the use of the platform's governance features.
- DoD CIO is running a recurring 365 RM Tiger Team as part of roll-out which is evolving to be part of a larger IT governance framework.
- Non-365 electronic RM is more of a mixed bag, as well as security domains where 365 isn't deployed

Final thoughts

- Compliance as an operational/business enabler, not an outcome/end state—why does it matter?
- The critical evolution of the RIM team
- Navigating the “digital Tower of Babel”—dialects, vocabulary, Venn diagrams, and the dangers of SME silos

Air Force Staff Sgt. Aaron Ray scans an electronic shelving label in a warehouse at Eglin Air Force Base, Fla., April 11, 2023. The electronic labels have saved the warehouse staff thousands of work hours by streamlining their storage procedures.

Photo by: Samuel King Jr., Air Force


DIGITAL
MODERNIZATION
CYBER
CLOUD
C3
WARFIGHTER
INTEGRATED DETERRENCE
BUILDING ENDURING ADVANTAGES
CAMPAIGNING

Questions?