RECORDS MANAGEMENT IN THE OFFICE OF THE SECRETARY OF DEFENSE

INSPECTION REPORT

National Archives and Records Administration
December 2010

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<u>**Executive Summary**</u>

In 2010, NARA inspected elements of the records management program of the Office of the Secretary of Defense (OSD). This effort was conducted under authority granted NARA by 44 U.S.C. 2904(c)(7) and 2906 to review the records management practices of Federal agencies for the purpose of providing recommendations for improvements. For this inspection, NARA received the full cooperation from OSD and the Department of Defense (DoD), including the DoD CIO Records Management Policy Officer, OSD Records Administrator, and OSD/Washington Headquarters Service (WHS) Records Manager.

The inspection covered three high-profile elements of the OSD records management program. The first involved the recordkeeping practices in the Office of the Under Secretary of Defense for Intelligence [OUSD(I)], which was established in 2003 and creates highly significant records. The second is Evault (Enterprise Vault), an "electronic archives" that raises important issues regarding the management of e-mail and other electronic files. The third element is the Executive Archives (EA), a body of largely permanent, high level OSD policy records in electronic format, and a separate body of scanned (electronic) copies of similar records. These two bodies of electronic records include a large volume of significant records, for which NARA wishes to make sure that long-term preservation is carried out. We also are interested in the appropriateness of the selection and scanning process for these records.

NARA presents the following findings and recommendations for this inspection:

Records management in OUSD(I):

- The OUSD(I) Component Records Management Officer (CRMO) and alternate Component Records Management Officer (alternate CRMO) should devote substantially more time to records management duties and receive additional records management training.

- Offices are not regularly printing and filing e-mail records (or filing them in a Records Management Application) or consistently ensuring the proper disposition of electronic records on the shared drive. The offices need to ensure that these e-mails and other electronic records are managed properly.

- Most offices maintain recordkeeping copies in paper format, and the paper files are properly arranged and labeled. However, a number of offices maintain few or no paper records more than three years old. The paucity of older paper records in offices may reflect poor recordkeeping. This issue can be addressed through OUSD(I) conducting an inventory of its program records (see next bullet).

- Other than Staff Action Packages (SAPs), few permanent records are maintained by OUSD(I) offices, which one would expect to generate a wide variety of permanent records beyond the SAPs. To help determine why so few permanent records are being maintained other than SAPs (and whether older records are being consistently retained),

OUSD(I) should inventory its program records with a view toward improving recordkeeping practices and/or revising the OSD records disposition schedule.

Staff Action Packages (SAPs):

- Two bodies of electronic copies of permanent Staff Action Packages (SAPs) may be appropriate for transfer to the National Archives. These are (a) the SAPs OSD-wide that are contained in the Staff Action Control and Coordination System Portal (SACCP), and (b) the SAPs for OUSD(I) that have been scanned by the OUSD(I) Office of Chief of Staff (OCOS). For this purpose, OSD should submit to NARA separate notifications covering these two bodies of records. A notification requests NARA's permission for the permanent disposition approved for paper copies to be applied to the electronic versions.

- Action Officers are treating as non-record working files many of the supporting documents created during internal review of the SAPs. These documents need to be filed in an appropriate series.

Electronic records issues:

- OSD should submit a plan to NARA outlining how proper management will be carried out for the e-mails and other electronic files in Evault and the electronic files maintained by offices on the shared drive.

- The Executive Archives (EA) is a significant collection of electronic records, and OSD should ensure that these records are scheduled appropriately. NARA notes that, prior to this inspection, OSD/WHS records management staff communicated with NARA about the need to schedule the electronic records in EA.

Permanent records at Washington National Records Center (WNRC):

- As part of scanning approximately 5,600 cubic feet of high level OSD permanent records relating to policy and other matters, housed at the Washington National Records Center (WNRC), OSD screeners identified a large volume of temporary series that should have not been retired as permanent. OSD should submit to NARA a plan to prevent the recurrence of such misapplication of permanent schedule items to temporary records.

- OSD should submit to NARA a notification for the scanned records at WNRC requesting permission for the permanent disposition approved for the paper records to be applied to the scanned (digital) copies.

I: Introduction

This report presents the results of an inspection in July 2010 by the National Archives and Records Administration (NARA) of certain elements of the records management program of the Office of the Secretary of Defense (OSD). The inspection was carried out under NARA's authority to inspect the records management practices of Federal agencies to make recommendations for improved records management practices and programs (44 U.S.C. sections 2904(c)(7) and 2906).

The Office of the Secretary of Defense (OSD) was established by the National Security Act of 1947 (61 Stat. 495). The Secretary of Defense is the principal defense policy advisor to the President and is responsible for the formulation of general defense policy. Under direction from the President and the Secretary of Defense, OSD exercises authority, direction, and control over the Department of Defense.

NARA chose three elements of OSD records management for inspection. These elements, and the reasons for their selection, are as follows:

(a) *Office of the Under Secretary of Defense for Intelligence, OUSD(I)* -- recordkeeping practices. Created in 2003, OUSD(I) has a critically important role in policy development and oversight for intelligence. We are interested in how well the records for such a significant office are being maintained. Moreover, since this office is relatively new, NARA never has had an opportunity to review these records other than a review of Under Secretary of Defense for Intelligence [USD(I)] records in the Office of the Chief of Staff (OCOS) in May 2009.

The following eight OUSD(I) offices were selected for the inspection:
- Office of the Chief of Staff (OCOS)
- Human Capital Management Office (HCMO)
- DUSD(I) for HUMINT, Counterintelligence, and Security -- Front Office
- DUSD(I) for HUMINT, Counterintelligence, and Security -- HUMINT Directorate
- DUSD(I) for Joint & Coalition Warfighter Support -- Front Office
- DUSD(I) for Joint & Coalition Warfighter Support-- Policy, Strategy and Doctrine Directorate
- DUSD(I) for Portfolio, Programs, and Resources -- Front Office
- DUSD(I) for Portfolio, Programs, and Resources -- Intelligence, Surveillance & Reconnaissance Programs Directorate

(b) *Evault (Enterprise Vault)*, an "electronic archives" consisting of copies of e-mail and electronic files from shared drives. Evault raises important questions about how e-mail and other electronic files are managed.

(c) *Executive Archives (EA)* and other digital collections of scanned permanent records. NARA chose to review these collections because they include a large volume of highly

significant records. NARA also wanted to examine the appropriateness of the selection and scanning process.

For this inspection, NARA staff visited the offices responsible for Evault and Executive Archives, as well as each of the above-mentioned OUSD(I) offices. Each visited office provided NARA with a set of PowerPoint slides outlining the office's organization, functions, and records management procedures. During the visits, NARA staff viewed records and electronic systems and asked questions of records and program staff.

The Records Manager of the OSD Washington Headquarters Service (OSD/WHS Records Manager) arranged for the NARA visits. For the inspection, NARA received the full support of DoD records management staff, especially the DoD CIO Records Management Policy Officer, OSD Records Administrator, and OSD/WHS Records Manager.

Structure of report

Following this introductory section, this report has several sections that present NARA's findings and recommendations for corrective action. Section II gives an overview of the OSD records management program, Section III covers OUSD(I), Section IV covers Evault, and Section V covers EA and scanned (digital) copies of policy records. Section VI summarizes the findings and includes a consolidated list of recommendations.

Appendix 1 provides an organization chart for OUSD(I). Appendix 2 provides detailed information about the visits to individual OUSD(I) offices, as background to the discussion of OUSD(I) in Section III. Appendix 3 outlines OSD and NARA procedures to follow up the recommendations in this report, as specified in 36 CFR 1239.26.

II: OSD records management program

NARA's inspection did not cover the OSD records management program in general. However, it is useful to present here an overview of the program to provide context for the rest of this report.

Administrative authority over the OSD records management program is exercised by the OSD's Washington Headquarters Service (WHS). The Executive Services Directorate (ESD) is organizationally placed under the WHS, and the Records & Declassification Division (R&DD) is placed under the ESD. The R&DD has control of the OSD records management program. Direction for the program is provided by the OSD Records Administrator, who serves as the OSD Records Officer. Immediate oversight of the program is provided by the OSD/WHS Records Manager.

The major program and administrative organizational units of OSD are referred to as components. The components consist of five Under Secretaries of Defense [including the USD(I)] and fourteen Assistant Secretaries of Defense and equivalent offices. In each component, a high-level official appoints in writing a Component Records Management Officer (CRMO) to oversee records management functions component-wide and to communicate with

the OSD Records Administrator. The CRMO's records management duties are collateral, that is, they are duties beyond what is contained in the incumbent's position description. The CRMO informally appoints a records liaison in each major subdivision of the component, such as the Deputy Under Secretaries of Defense. The liaison is in charge of records management in the subdivision.

The primary records management guidance provided for OSD is WHS Administrative Issuance 15 (AI 15), Volumes I and II. Volume I describes the staff responsibilities and administrative procedures for records management. Volume II contains the OSD records disposition schedule. General guidance for records management for the Department of Defense is provided by Department of Defense Directive 5015.2 (March 6, 2000).

NARA believes that OSD's Records and Declassification Division (R&DD) has established an organizational structure and administrative procedures appropriate to support an effective records management program for the OSD components. However, we have concerns that many of the items in the OSD disposition schedule (AI 15, Vol. II) may be out of date because they were approved by NARA in the 1980s and earlier. This point is elaborated upon in Section III of this report.

An important element of an agency's records management program is to train both records and non-records staff in records management. According to OSD's records management self-assessment for year 2010, formal records management training is provided to between 81% and 100% of records liaisons and to between 41% and 60% of all agency staff. This amount of training is encouraging, and NARA believes that OSD should expand the training in the future. NARA commends OSD for recently adding several questions on records management to the annual Information Assurance (IA) training required to be taken on-line by all OSD personnel.

In recent years, R&DD has undertaken several important records management initiatives on behalf of OSD and worked closely with NARA in these efforts. For example, OSD was the first Federal agency to pre-accession permanent electronic records into the National Archives (i.e., records of Stephen A. Cambone, USD(I), 2003-2006, and records of the Coalition Provisional Authority relating to Iraq) and to submit a notification to NARA for conversion of permanent paper records series to electronic format (i.e., OSD directives).

III.   Office of the Under Secretary of Defense for Intelligence, OUSD(I)

Organizational overview

The Office of the Under Secretary of Defense for Intelligence, OUSD(I), oversees intelligence matters for the Department of Defense. The Under Secretary of Defense for Intelligence, USD(I), is the principal staff assistant and advisor to the Secretary and Deputy Secretary of Defense for matters relating to intelligence, counter-intelligence, and security.

OUSD(I) was created in 2003 when it was separated from the Assistant Secretary of Defense for Command, Control, Communications, and Intelligence [ASD(C3I)].

Appendix 1 to this report presents an organization chart for the OUSD(I). In the immediate office of the USD(I) is the Principal Deputy and the Office of the Chief of Staff (OCOS). The OCOS is responsible for overall administration of the OUSD(I). Below the OUSD(I) are four Deputy Under Secretaries, or DUSD(I)s, each having a particular intelligence focus, and four other offices including the Human Capital Management Office (HCMO), which NARA visited on this inspection. Below each DUSD(I) or equivalent office are a number of directorates and other units.

As indicated in Section I of this report, the NARA inspection covered the OCOS, HCMO, and six offices within three DUSD(I)s.

Records management

This section presents findings on OUSD(I) records management practices, based on NARA's visits to eight OUSD(I) offices and discussions with OSD records management staff. (See Appendix 2 for detailed findings for each office visited.)

OUSD(I) records management structure

The Component Records Management Officer (CRMO) and alternate CRMO oversee the records management program for all of OUSD(I) and act as the liaison with the OSD Records Administrator. These positions are administratively located in the OUSD(I) Office of the Chief of Staff (OCOS). To assist in the inspection, the alternate CRMO arranged for NARA's visits to OUSD(I) offices and accompanied NARA staff on the visits. In addition to the CRMO and alternate CRMO, the OCOS records management staff includes a contract employee who serves as OCOS records custodian.

Consistent with the OSD records management structure discussed in Section II above, each Deputy Undersecretary for Intelligence [DUSD(I)] and equivalent office in OUSD(I) has a records liaison (RL) who is designated by the CRMO. Records staff at lower levels, such as records custodians in the DUSD(I) Directorates, are designated by the RL.

The OUSD(I) CRMO assumed his position in January 2010 and the alternate in April 2010. The CRMO and alternate CRMO indicated that they devote approximately 10% of their time to overseeing records management in OUSD(I). Much of the remainder of their time is devoted to such administrative tasks as tracking and control of directives and Freedom of Information Act request responses.

In view of the importance of the records produced by the OUSD(I), NARA has concerns about the records management roles of the CRMO and alternate CRMO. We believe that the CRMO and alternate CRMO need to spend significantly more time on records management. Moreover, the CRMO and alternate CRMO indicated that they each have received one day of introductory records management training. NARA considers this degree of training to be insufficient for records staff in such a critically important office. The CRMO and alternate CRMO, for example, might take advantage of records management courses provided by NARA, including in the six Knowledge Areas and electronic records management.

> **Recommendation 1**: OSD should submit for NARA's review a plan for the OUSD(I) Component Records Management Officer (CRMO) and alternate CRMO to devote substantially more time to records management functions and to receive additional records management training, including in more advanced matters such as electronic recordkeeping.

OUSD(I) recordkeeping practices

Appendix 2 provides detailed information on recordkeeping practices of the eight OUSD(I) offices visited by NARA.

Recordkeeping format (paper vs. electronic)

Each office has a file plan approved by the CRMO that shows the recordkeeping format of each records series. The file plans for all the offices were prepared and approved within three months prior to the NARA inspection.

With the exception of the OCOS, the offices generally maintain records in paper format. (However, all the offices maintain electronic records in DoD-wide administrative housekeeping electronic systems such as the Defense Travel System and the Automated Time, Attendance and Production System. Records in these systems are scheduled as temporary by the General Records Schedules.)

Specifically, five offices keep records exclusively in paper format. Two offices (HCMO and PP&R/ISR Directorate) keep records in paper format, except that each office maintains two series exclusively on the shared drive. The OCOS maintains records almost entirely as electronic files on the shared drive.

Paper recordkeeping

In general, the seven offices with recordkeeping copies exclusively or primarily in paper format keep them in centralized files, with folders properly labeled and arranged in conformance with the file plan. One exception to this centralized filing is the HUMINT Directorate (under the DUSD(I) for HCI&S), for which paper recordkeeping copies are maintained at Action Officers' (AOs') desks. These records at the AOs' desks are labeled and arranged appropriately.

A number of the offices maintain few or no paper records more than three years old. None of the offices indicated that they had retired records to a Federal Records Center or other records storage facility. (However, the OSD/WHS Records Manager indicated that four accessions from OUSD(I) offices have been transferred to WNRC in the past several years.) NARA is concerned that the paucity of older records in some of the offices may reflect poor recordkeeping. We understand that this may be due in part to the fact that many of the offices were established recently. However, often a new office can be expected to acquire records of a predecessor office. We believe that OUSD(I) should inventory its program records to help determine whether records, including older records in particular, are being maintained properly. (See Recommendation 2 below.)

Contrary to DoD records management policy, staff in the offices do not systematically print and file e-mail records (or file them in a Records Management Application). Most staff indicate that they rely on Evault to access their e-mails.

Electronic files on shared drive

All the offices maintain electronic files on a shared drive (also called the "O drive"). Documents at all classification levels are maintained on the shared drive, although in separate networks, i.e., NIPRNET for unclassified, SIPRNET for classification up to Secret, and JWICS for Top Secret and above. Most files on the shared drive are maintained in electronic folders that are well organized but not consistent with the offices' file plans (which are based on the OSD records schedule).

The two highest levels of folders on the shared drive follow a logical structure established by the OSD's Information Technology staff and high-level records managers several years ago when File Vault began to maintain copies of shared drive files. This was done so that the files in File Vault would have a uniform structure. (For more information on File Vault, see Section IV of this report.) The structure of the lower level folders on the shared drive is established by individual offices. NARA believes that, for most OUSD(I) offices, disposition cannot be easily carried out on the shared drive files because the file structure of the shared drive is not consistent with the file plans.

Only one office, the Office of the Chief of Staff (OCOS), maintains recordkeeping copies almost exclusively as electronic files on the shared drive. The OCOS records custodian indicated that he carries out disposition for these files manually – e.g., by deleting electronic folders for temporary records when the retention has expired.

Because they generally consider their recordkeeping copies to be paper, all offices except for the OCOS treat the files on the shared drive in general as non-record duplicates, retaining them indefinitely. However, NARA believes that the offices maintain a substantial quantity of records on the shared drive. For example, we saw files on the shared drive that are not included in the office's file plan and therefore are not included in a recordkeeping system. These are records of boards and working groups maintained on the shared drive by both the Human Capital Management Organization (HCMO) and Joint & Coalition Warfighter Support (J&CWS), PS&D directorate. NARA expects that there are other examples of OUSD(I) records on the shared drive that are not included in a recordkeeping system. We therefore believe that files on the shared drive need to be managed as records. This issue is discussed in Section IV of this report covering Evault.

Permanent records series

NARA found that the offices maintain very few permanent records series other than Staff Action Packages (SAPs). All the offices indicated that the SAPs were their most important records. SAPs are scheduled according to their subject matter, with some being permanent and some

temporary. (The next subsection of this report discusses further the content and workflow of SAPs.)

Almost all the permanent series of SAPs in OUSD(I) are maintained by the OCOS in folders on the shared drive that have been configured to conform to the OSD disposition schedule. These permanent series of SAPs consist of chronological files (file code 102-16), instructions and directives (103-02), and eight series of policy records (103-01 and 212-01.1 through 212-01.7). In addition, the J&CW PS&D directorate maintains one series of SAPs (under file code 103-02) relating to internal directives developed by the directorate on subjects for which that office has primary responsibility. NARA noted that there is a substantial volume of records in each of the above SAP files.

Besides the above-mentioned series of SAPs, there are only seven permanent series contained in the offices' file plans. These series are organizational charter records of the OCOS, intelligence-related correspondence (file code 502-02.3) and congressional correspondence of the J&CWS front office, intelligence program and resources records (502-01.1) of the PP&R front office, and policy files, organizational planning files, and management survey case files of the HCI&S front office. It is significant that NARA was not shown an appreciable volume of records in any of these seven permanent series.

Given the importance of the offices' work in intelligence, NARA is concerned that the offices are maintaining so few permanent records other than the SAPs. Also of relevance is that, as noted above, only two of the permanent series being maintained are in the 500 Series, even though the 500 Series contains a number of schedule items covering intelligence policy, which is a core mission of OUSD(I).

NARA's concern about the lack of permanent records other than SAPs is reinforced by the fact that the majority of OSD schedule items, other than for electronic systems, were approved by NARA in the 1980s and earlier. Within the past two years, OSD has begun to rectify this situation, having submitted for NARA approval revised schedules for records in the 900 and 1900 Series.

To help determine why so few permanent records are being maintained other than SAPs, NARA believes that OUSD(I) should conduct a comprehensive inventory of its program records. As discussed above, an inventory also will help determine whether offices are consistently maintaining older records. Depending on the inventory's findings, OUSD(I) might need to ensure that offices improve their recordkeeping practices and/or revise the disposition schedule to account properly for the records series created.

> **Recommendation 2:** OUSD(I) records management staff should inventory the program records in all OUSD(I) offices to determine whether records are being maintained to document adequately the offices' missions and whether the records are being retained in conformance with the OSD disposition schedule (Administrative Issuance 15, Vol. II). The inventory will help to indicate the extent to which recordkeeping practices need to be improved and/or the disposition schedule needs to be revised.

Staff Action Packages (SAPs) -- General

As stated above, each office indicated that the Staff Action Packages SAPs) are the primary permanent records that are created. Offices throughout OSD [i.e., not just OUSD(I)] create SAPs. SAPs result from inquiries ("taskers") generated either within or outside (e.g., Congress) of OSD and requesting a response, which is generally correspondence (a letter or memorandum) and/or a directive. Besides the correspondence or directive that provides the response, SAPs include such records as concurrence forms ("summary sheets") and attachments, including reports that provide background information for OUSD(I) officials who review and approve SAPs.

The SAPs generated by OUSD(I) offices cover a wide variety of subjects and are scheduled according to the subject matter covered. A large proportion of the OUSD(I) SAPs are permanent because they document significant policy making and development of program management guidance relating to intelligence.

Staff Action Packages (SAPs) -- Workflow

The workflow for SAPs is as follows. An office, within or outside of OUSD(I), originating a tasker registers it in the Staff Action Control and Coordination System Portal (SACCP), a web-based workflow system administered by OSD's Washington Headquarters Services (WHS). SACCP tracks all SAPs and includes metadata about each one, but SACCP contains copies only of unclassified SAPs and not classified SAPs. Many OUSD(I) SAPs are classified, often at the Top Secret and SCI level.   NARA understands that WHS is planning to upgrade SACCP in the future to include classified SAPs. NARA also understands that WHS is piloting an RMA to serve as the records repository for the SAPs covered by SACCP and that each SAP would be moved from SACCP into the RMA two years after the SAP is closed.

The OSD office of origin uses SACCP to route a tasker to another appropriate OSD office for action.   Taskers sent to OUSD(I) for action are received by the OCOS, where the records custodian forwards it to the appropriate DUSD(I) or other OUSD(I) office for response. Within the DUSD(I) or other office, the tasker is assigned to an Action Officer (AO), who prepares a SAP to respond to the tasker.   SAPs are then sent for concurrence to the cognizant OUSD(I) offices, and most are then sent to the OCOS for signature or coordination by the Under Secretary of Defense for Intelligence. ("Coordination" means that the Under Secretary approves the SAP, which then is forwarded for action to another unit within or outside of OSD.)

The OCOS records custodian scans all SAPs completed by OUSD(I). He scans them at 400 dots per inch and applies Optical Character Recognition (OCR) to make the text fully searchable. The records custodian converts the scanned copy to a PDF copy and adds keywords relevant to the SAP as metadata to the PDF copy to enhance searches.   The records custodian stores the PDF copy in electronic folders on the shared drive, organized by the file code to which the SAP pertains. (This is an unusual instance of shared drive folders being made consistent with the OSD disposition schedule.) The paper copy of the SAP usually is returned to the originating

component (DUSD(I) or other office), and a duplicate paper copy is filed by the OCOS records custodian.

Staff Action Packages (SAPs) – NARA Recommendations

NARA believes that the two bodies of electronic copies of the permanent SAPs mentioned above may be appropriate for transfer to the National Archives. These are (a) the SAPs for OSD-wide that are contained in SACCP, and (b) the SAPs for OUSD(I) that have been scanned by the OUSD(I) Office of Chief of Staff (OCOS) records custodian.

Although they both contain SAPs, the two bodies of records differ in scope. SACCP contains SAPs from throughout OSD but only those that are unclassified.   As noted above, in the future OSD may upgrade SACCP to include classified records. By contrast, the SAPs scanned by the OCOS records custodian are only those for which OUSD(I) has the primary responsibility but include both unclassified records and records with security classifications up to the highest level.

SAPs are already scheduled in paper format. Therefore, to promote transfer to the National Archives of both bodies of permanent SAPs in electronic format, we suggest that OSD submit two notifications to NARA. One notification should cover the permanent SAPs in SACCP.   The other notification should cover the permanent OUSD(I) SAPs scanned by the OUSD(I) OCOS records custodian -- in particular SAPs produced during the tenure of USD(I) James R. Clapper, Jr., and subsequent USD(I)s. A notification, after approval by NARA, permits an agency like OSD to apply the permanent disposition approved for the paper records to the electronic versions, which then could be pre-accessioned or otherwise transferred to the National Archives.

NARA notes that since the inspection visits OSD has worked with NARA to prepare a notification for the SAPs scanned by the OUSD(I) OCOS records custodian.

> **Recommendation 3:**   OSD should submit to NARA a notification covering the permanent electronic Staff Action Packages (SAPs) from throughout OSD that are included in the Staff Action Control and Coordination System Portal (SACCP). OSD also should submit to NARA a notification covering the scanned (electronic) copies of permanent SAPs of the OUSD(I) that are maintained by the OUSD(I) Office of the Chief of Staff (OCOS). The latter notification should cover the SAPs produced during the tenure of Under Secretary of Defense for Intelligence [USD(I)] James R. Clapper, Jr., and subsequent USD(I)s.   The purpose of a notification is to request NARA's permission for the disposition approved for the paper records to be applied to the electronic copies, so that the electronic copies could be pre-accessioned or otherwise transferred to the National Archives as permanent.

NARA understands that OUSD(I) Action Officers (AOs) are not properly maintaining many of the supporting documents created during review of the SAPs within OUSD(I). These supporting documents include e-mails, memoranda, and other records providing approvals, concurrences, and comments from offices within and outside of OUSD(I). Although AOs tend to treat these supporting documents as non-record working files, NARA believes that they are records, although of temporary (not permanent) value.   These documents therefore need to be filed in

appropriate series, such as file code 103-01.3 (routine background materials accumulating in formulating or analyzing policy).

> **Recommendation 4:** OSD should issue written guidance to OUSD(I) offices that Action Officers must properly file and maintain the supporting documents for Staff Action Packages (SAPs) that are not appropriate for inclusion in the SAPs themselves. The guidance should indicate that supporting documents should be filed under appropriate temporary records series, such as under file code 103-01.3 (routine background materials accumulating in formulating or analyzing policy) in AI 15, Volume II.

IV: Evault

NARA reviewed Evault (also called Enterprise Vault), operated by the Office of the OSD Chief Information Officer (OSD CIO). The review builds on the experience of two previous NARA reviews. Evault was covered in the "NARA Study of Federal Recordkeeping Technologies" (2008).   In March 2010, the NARA Electronic Records Management Team studied Evault as part of a review of NARA's guidance on e-mail archiving applications.

Evault moves electronic files from users' servers to a consolidated "electronic archives." Evault has two components: (1) E-mail Vault, containing e-mails and attachments, and (2) File Vault, containing Microsoft Office and similar files from shared drives. Symantec Enterprise Vault is the software used to operate Evault.

E-mail Vault stores e-mails and their attachments, as well as e-mail messages from PST files (Personal Storage Table files). PST files are files which contain e-mails that users have transferred to electronic folders outside of the e-mail system. The E-mail Vault software moves e-mails (with attachments) from the Exchange servers into E-mail Vault when they are 45 days old. PST files are moved on an as-needed basis.

File Vault stores Microsoft Office and similar electronic files, including MS WORD, EXCEL, and PDF files, that were maintained on shared drives.   The software moves files into File Vault when they have not been modified for a year.

Beyond making selections by the age or inactivity of files, Evault is not selective in the files it takes in and stores. As a result, Evault includes files that would be categorized as records (permanent, temporary, and unscheduled), non-records, or personal papers. Currently, the Office of the OSD CIO does not manage the files in Evault as records.

As part of taking in files and e-mails, Evault indexes all content to allow full text searches. After files are moved into Evault, users continue to access them using OSD's regular desktop software (e.g., Microsoft Outlook for e-mail or MS WORD for word processing documents).

OSD began implementation of Evault in 2007. Most e-mails and PST files in E-mail Vault date from 2007 to the present, although some date as early as 2000. Files in File Vault date from the

1990's to the present. Evault covers files security-classified up to Secret and therefore excludes many highly significant files, i.e. those classified at higher levels. OSD plans to expand Evault in the future to cover higher classification levels. The volume of files maintained in Evault continues to grow but currently numbers in terabytes.

Evault covers e-mails and other electronic files on shared drives in all offices of the OSD's Principal Staff Elements, which include the Under Secretaries of Defense, Assistant Secretaries of Defense, and other major OSD offices such as General Counsel and Director, Administration and Management. Some 6,500 to 7,000 OSD staff members use the files contained in Evault.

The main purpose of Evault is to facilitate searches in response to requests for information, including those generated by Congressional inquiries, the Freedom of Information Act, law enforcement investigations, and discovery for litigation. When OSD gave a demonstration of Evault, NARA saw that the search process was rapid and appeared to produce responsive documents.

A secondary purpose of Evault is to improve the management of electronic files by consolidating storage, facilitating backups, and reducing storage space used. Storage space usage is reduced partly by eliminating duplicates of e-mails and other electronic files.

Evault does not cover e-mail of the Office of the Secretary of Defense and Office of the Deputy Secretary of Defense (SECDEF and DEPSECDEF), because the computer network used by those Offices is different from the network operated by the Office of the OSD Chief Information Officer, which runs Evault. Currently, the SECDEF and DEPSECDEF e-mails are being retained indefinitely in the e-mail system, and there are no plans to move the e-mails to an electronic archives like Evault. NARA believes that indefinite retention of e-mails, rather than managing them according to the records disposition schedule, is not consistent with Federal records management standards. Although NARA was not able to investigate this matter further for the inspection, we will follow up with OSD to address it.

Records management considerations

The Office of the OSD CIO has provided OSD staff with detailed guidance for using Evault. WHS has not provided OSD staff with records management guidance specifically on Evault. However, WHS has provided general guidance on recordkeeping, including for e-mail and other electronic files, and this guidance is appropriate to cover the files in Evault. The guidance instructs staff to print and file records or to maintain them in an electronic recordkeeping system.

As indicated above, files on the shared drive that have not been modified for one year are moved into File Vault, retaining the same folder structure. NARA therefore believes that the shared drive and File Vault comprise a unified records system, for which the same records management procedures should be applied. As a result, this part of NARA's report will discuss together the records management procedures for both the shared drive and Evault (which includes File Vault).

Need for proper management of Evault and shared drive

As mentioned above, the Office of the OSD CIO currently treats the files in Evault as non-records. Similarly, most OUSD(I) offices are treating files on the shared drive as non-record duplicates. In general, disposition is not being carried out for the files in Evault or the shared drive, and the files are being retained indefinitely. The Office of the OSD CIO told NARA that Evault was not created for records management purposes.

Nevertheless, NARA believes that the files in Evault and on the shared drive should not be considered as exclusively non-records and should be managed according to accepted records control practices. The OSD Records Administrator and OSD/WHS Records Manager agree with the need for proper management of the records in Evault in particular.

There are two reasons for NARA's view that the Evault and shared drive files must be managed appropriately. First, as discussed in Section III above, NARA's review of OUSD(I) showed that offices are not consistently printing and filing e-mail records and records on the shared drive or otherwise carrying out the approved disposition of these records. NARA therefore considers it likely that proper disposition is not being carried out for e-mails and shared drive files throughout OSD. We believe that Evault and the shared drive probably contain many unique records for OSD as a whole that need to be managed properly.

The second reason why OSD needs to manage files in Evault and the shared drive is that some files are likely to contain personally identifiable information (PII). Certain of these files are likely to be retained longer than allowed by the Privacy Act, given that all files are being maintained indefinitely. Moreover, maintenance of files past their scheduled retention period leads to unnecessary responses to requests under FOIA or discovery for litigation, thus increasing the administrative burden for the offices. Proper management of these files would facilitate their timely disposition so that these problems are avoided.

NARA believes that, because many of the e-mails and other files in Evault and on the shared drive are records, OSD should continue to retain these files indefinitely until they can be managed appropriately.

> **Recommendation 5:** OSD should issue written guidance that the files in Evault and the shared drive must not be destroyed until they can be managed in accordance with OSD records management guidance in Administrative Issuance 15, Vol. I and II.

Possible approaches for managing Evault and shared drive

One method of properly managing the files in Evault and the shared drive is through a Records Management Application (RMA). An RMA is based on categorizing the files as non-records vs. records, and assigning the records to series for which the correct dispositions can be carried out.

NARA understands that OSD has studied this issue and has determined that adding RMA functionality to Evault would seriously degrade the efficiency of Evault. However, NARA believes that OSD needs to find a way to manage the records in Evault properly, using an RMA or some other means. The DOD CIO RM Policy Officer told NARA that, after approval of a planned revised directive DoD 5015.2, all OSD components will be required to adopt an RMA for their records within five years of the revised directive's issuance.

For E-mail Vault in particular, an alternate records management approach would be to schedule e-mail records accumulated in designated high level offices as permanent and e-mail records in all other offices as temporary. OSD would need to determine which offices are designated as high level. This approach would serve only as an interim measure to preserve e-mail records in E-mail Vault until a more effective method (e.g., an RMA) could be adopted.

We believe that this approach could be appropriate for E-mail Vault because e-mails are a specific type of record for which the most important records generally are at the highest organizational levels. By contrast, the records in File Vault and on the shared drive can be expected to be very diverse, so it is less likely that the most important records would be found mainly at the highest levels.

> **Recommendation 6:** OSD should submit an action plan for NARA review addressing the proper management of the e-mails and other electronic files in Evault and the electronic files maintained by offices on the shared drive. The plan should include identifying records vs. non-records, categorizing records according to series in conformance with the OSD records disposition schedule (AI 15, Volume II), and ensuring proper disposition of records.

V: Executive Archives and scanned records at WNRC

NARA reviewed the Executive Archives (EA), a body of electronic records of high level officials and offices, and a separate aggregation of scanned permanent records at WNRC relating to policy and other matters. This section will start with a discussion of the technical aspects of both these bodies of electronic records.

When records are scanned, TIFF images are created with a resolution of 300 dots per inch. These specifications meet NARA's transfer standards for permanent records. Optical character recognition (OCR) software also is applied to the TIFF images so that the full text is searchable. After scanning, the TIFF images are converted to PDF files.

EA in particular includes born-digital documents as well as scanned (digitized) records. Each document in EA is stored in both PDF format and XML format, with the latter format facilitating searches on tagged fields. A limited amount of metadata is added to the PDF copies in EA to enhance searchability.

NARA received a demonstration of the scanning procedure used for both EA and the separate body of scanned policy records. The scanning staff currently consists of five staff members,

three of whom do document preparation and two of whom do the scanning. NARA believes that, in general, the technical quality of the digitized copies is appropriate to permit them to be substituted for the paper originals.

Executive Archives

In 2006 Secretary of Defense Donald Rumsfeld requested that an archives of OSD documents at the highest levels be created to allow future historians to assess OSD's accomplishments. In response, OSD established in 2009 the Executive Archives (EA), a body of electronic records relating to policy created by high level OSD officials, offices, or task forces.   Records are added to EA when high level OSD officials leave their positions or when an office or task force is terminated. EA contains records classified up to Top Secret.

High-level officials who depart from OSD are given access to all the documents in EA that they generated. This policy allows the officials access to the full collection of their documents, i.e., records, non-record material, and personal papers, including both classified and unclassified materials. This policy is intended to solve the problem that, previous to EA, departing officials received access to their records by taking with them duplicates but could not do so for their classified documents, which could not be removed based on 36 CFR 1222.18, Executive Order 12829, and DoD policy.

Another benefit of EA has been to facilitate records searches in response to Congressional, FOIA, and other information requests.   The OSD Records Administrator indicates that EA has greatly reduced the response time for such requests.

Documents in EA are aggregated into discrete file units or collections covering a defined time period, so that no new documents are added to the collection after it is incorporated into EA. There are currently about twenty-three such file units. Examples are the chronological and policy files of Secretaries of Defense Harold Brown, 1977-1981, and Donald Rumsfeld, 2006-2007, and of Paul Wolfowitz when he was Under Secretary of Defense for Policy, 1989-1993, and Deputy Secretary of Defense, 2002-2004. Another example is the records of the National Commission on the Terrorist Attack on the U.S. (9/11 Commission), 2004.

Six million pages are currently included in EA.   Copies of two permanently valuable EA file units have already been pre-accessioned into the physical custody of the National Archives: records of the Coalition Provisional Authority – Baghdad, and records of the Free Iraqi Forces (FIF). A copy of a similar file unit that was not included in EA due to its SCI classification level has also been pre-accessioned into the National Archives. This is the records of Stephen Cambone, the first Under Secretary of Defense for Intelligence, 2003-2006.

The collections and file units in EA derive from diverse sources. Some are scanned permanent series at the Washington National Records Center. Others are collections of documents located in the office of a high level official, task force, or office that is about to depart from OSD or to be closed. In these latter instances, a wide variety of documents found in the offices are collected (either through scanning of paper documents or copying of born-digital documents) for inclusion in EA.

EA contains electronic copies of significant policy records of the Department of Defense that are gathered together in one collection. Most of the series in EA are already scheduled as permanent in paper format. Due to the advantages of electronic records in regard to access and retrieval, it appears likely that the electronic copies will have more value to future researchers than the paper copies.

We therefore believe that OSD should ensure that the electronic records in EA are scheduled. This can be accomplished by submitting to NARA a schedule for the records or a notification covering the permanent records. A notification, after approval by NARA, permits an agency like OSD to apply the permanent disposition approved for the paper records to the electronic versions, which then could be pre-accessioned or otherwise transferred to the National Archives. NARA notes that OSD/WHS records management staff contacted NARA prior to this inspection regarding scheduling of the electronic records in EA.

> **Recommendation 7:** OSD should take the necessary actions to ensure that the electronic records in the Executive Archives are scheduled appropriately. Such actions could include submitting to NARA a schedule or a notification covering the permanent records.

Scanning of permanent records at WNRC

OSD undertook a scanning project from 2002 to 2004 for series of permanent records relating to policy and other matters, stored at WNRC. Some 5,600 cubic feet of paper records, dating from the 1980s to 2004, were scanned. The scanned (digital) series are maintained on servers. A few of these series have been included in EA but the great majority are maintained separate from EA.

The impetus for this project was to explore the cost savings resulting from substituting scanned (digital) copies for permanent paper records stored at WNRC and destroying the paper records. However, OSD has not destroyed the paper records and has no plans to do so in the near term. OSD uses the digital copies for responding to requests relating to Congressional inquiries, FOIA, mandatory declassification review, and other inquiries. (This is also one of the purposes of EA.)

The OSD Records Administrator told NARA that, during scanning of the 5,600 cubic feet of records, approximately 75% of the records were identified (screened) as temporary or non-record. The OSD Records Administrator and the OSD/WHS Records Manager indicated that the screened records included such obviously non-permanent records as periodicals and a series of routing slips, as well as many entire other series scheduled as temporary.

The OSD Records Administrator told NARA that all the records identified as temporary were nevertheless scanned and the digital copies included with the other digital copies produced by this project. Non-record material such as telephone books and mass market periodicals were not scanned. The OSD Records Administrator indicated that in the future OSD would like to dispose of all the paper records identified as temporary after their retention period has expired. Many of

these temporary records cannot be disposed of at present because they are covered by a disposition freeze.

The OSD Records Administrator and the OSD/WHS Records Manager indicated that the presence of so many temporary records in nominally permanent accessions at WNRC resulted from the fact that many offices did not regularly file their records according to the file plan. As a result, the offices often designated all the records as permanent, because staff members interpreted "permanent records" to mean all official records, or did not want to take the time to categorize records according to the file plan, or considered it safer to designate all records as permanent rather than to risk incorrectly destroying any records.

To mitigate errors like this, the OSD Records Administrator indicated that his office has started conducting records management evaluations for certain offices, including encouragement of office staff to take additional records management training. NARA was told of two these offices in particular -- OUSD(I) and Under Secretary of Defense for Acquisition, Technology, and Logistics.

Generally, the screening for the scanning project was done by retired Federal government employees, at the GS 13 level. There were two levels of review after screening – one by a contractor and one by an OSD/WHS records management staff member. In NARA's view, the grade level of the screeners and reviewers appears to be appropriate for carrying out the screening properly.

Review of records at WNRC

NARA sought to review how accurately the OSD screeners identified as temporary these records retired as permanent. The OSD/WHS Records Manager therefore provided for NARA review a list of WNRC accessions retired as permanent for which the screeners identified a large percentage of temporary records.

NARA reviewed ten of these accessions and found that the OSD screeners appropriately identified temporary records that had been incorrectly retired as permanent. Below are our findings on the accessions reviewed. For two of these accessions, NARA has noted below what we believe is the scheduled temporary series to which the records should be assigned.

- *Accounting feeder reports and cash books.* Incorrectly retired as accounting policy files (permanent), file code 304-02. (WNRC accession 330-89-47)
- *Index cards to case files for security review of OSD publications and speeches.* Incorrectly retired as official speeches with indexes (permanent), file code 701-09.1b. NARA believes that the correct series is security review initial files (temporary), file code 704-01.1 (WNRC accession 330-89-17)
- *Records of Military Assistance Advisory Groups (MAAGs) and similar DoD components relating to transactions for provision of security assistance to foreign governments.* Records include contract case files, electronic systems user guides, invoices, vouchers, and payment reports and approvals. Incorrectly retired under program files on security assistance (permanent), file code 811-01.1 NARA believes that the correct series is

records of individual security assistance transactions (temporary), file code 811-01.2. (WNRC accession 330-91-74)

- *Records of the Assistant Secretary of Defense for International Security Affairs relating to transactions for provision of security assistance to foreign governments.* Records include memoranda authorizing payment, U.S. Department of Transportation publications on foreign credits, flight manifests for C12 aircraft, purchase requests, purchase orders, and printouts of electronic data on product deliveries. Incorrectly retired under security assistance policy, plans, and program formulation (permanent), file code 803-01.1 (WNRC accessions 330-81-215, 330-90-74, 330-01-89, 330-03-46, 330-03-76, 330-03-77, 330-03-78)

In our review, NARA did not see that the OSD screeners had noted on the SF135s (box/folder lists) or anywhere else in the accessions the correct (temporary) disposition for the records retired as permanent. We assume that OSD maintains this information separate from the accessions, e.g., in a database.

Before NARA's review, we suspected that the OSD screeners might have identified as temporary individual documents within the accessions. This practice would be inappropriate because it potentially diminishes the context of the remaining records in the series and is inconsistent with the principle of managing records as series rather than as individual documents. However, NARA's review found no instances of this practice by the OSD screeners.

Although NARA's limited review of accessions for the 5,600 cubic feet of records provides a preliminary indication that OSD screened the records correctly, we are not sufficiently confident of this conclusion to state with certainty that all the records identified as temporary are, in fact, temporary. In view of the importance of OSD's high-level policy records to the nation's history, NARA wishes to take a cautious approach and to have OSD treat the entire body of 5,600 scanned records as permanent.

Because OSD scanned most of the records identified as temporary along with the records that were considered truly permanent, we believe that one approach to preserving these records is for OSD to substitute the electronic records for the paper records as the recordkeeping copy. This approach would allow the electronic records to be transferred to the National Archives as permanent and the paper to be disposed of. We understand that this approach means that a sizeable quantity of temporary records would be transferred in electronic form to the National Archives, but we would accept this outcome to avoid the risk of disposing of records that are truly permanent but were identified as temporary.

Therefore, we ask that OSD submit a notification to NARA requesting that OSD be permitted to apply the permanent dispositions to the scanned (digital) copies for these 5,600 cubic feet of records. Upon receipt of the notification, NARA will determine whether the electronic records are appropriate for transfer to the National Archives or whether the paper records are appropriate instead.

NARA believes that OSD's apparently widespread misapplication of permanent schedule items to temporary records confirms the OSD Records Administrator's impression, mentioned above,

that OSD offices were not following the file plan accurately. NARA is concerned that this practice is likely still prevalent in OSD offices. As mentioned above, we understand that OSD has begun conducting evaluations of offices to address this problem. We ask that OSD submit to NARA a detailed analysis of this problem and a plan addressing it, including actions taken to date as well as future actions. OSD has already described to NARA some elements of a plan to address this problem, including increased training, review of SF 135s (paperwork for transfer of records to an FRC), and internal evaluations. NARA believes that such elements are appropriate for inclusion in this plan.

> **Recommendation 8:** OSD should submit to NARA a notification for the approximately 5,600 cubic feet of scanned records at Washington National Records Center (WNRC), requesting permission for the permanent disposition approved for the paper records to be applied to the scanned (digital) copies. NARA will review the notification to decide whether the digital format is the most appropriate for the pre-accessioning or other transfer of these permanent records to the National Archives.

> **Recommendation 9:** OSD should submit to NARA an analysis of OSD offices' apparent misapplication of schedule items to records, including records retired to Federal Records Centers or other offsite storage facilities. The analysis should include a plan of action to mitigate any misapplication of records schedules in the future.

VI. Summary and list of recommendations

NARA's inspection focused on three elements of the OSD records management program: OUSD(I) records management; Evault (Enterprise Vault), an electronic archives for e-mail and files on the shared drive; and the Executive Archives and a separate body of digitized permanent records relating to policy and other matters. Presented below are NARA's findings for this inspection, followed by a list of our recommendations.

OUSD(I) records management

NARA reviewed the full range of records management activities in the OUSD(I).   In regard to staffing, there is an appropriate structure of OUSD(I) Component Records Management Officer (CRMO) and alternate Component Records Management Officer (alternate CRMO), as well as records liaisons in each DUSD(I). The CRMO and alternate CRMO oversee records management in the OUSD(I) and serve as liaison with the OSD Records Administrator.

NARA found that the CRMO and alternate CRMO have not been devoting sufficient time to records management duties and have not received sufficient records management training. In view of the importance of OUSD(I)'s records, these two positions need to be committed more strongly to records management.

Most OUSD(I) offices maintain recordkeeping copies in paper format, and, in general, the paper files are well labeled and arranged. However, a number of offices maintain few or no paper records more than three years old. The paucity of older paper records in offices may reflect poor recordkeeping. OUSD(I) should address this issue by inventorying its program records (see further below).

One office (Office of the Chief of Staff - OCOS) maintains recordkeeping copies on the shared drive and carries out disposition for these records manually.

Other than the Staff Action Packages (SAPs), the offices maintain relatively few permanent records series, even though the OUSD(I)'s intelligence function is highly significant and should be expected to generate a substantial volume of permanent records beyond the SAPs. Although Series 500 (Intelligence) in the OSD records disposition schedule shows a number of permanent records series, there were only two occurrences of permanent Series 500 records being maintained in the OUSD(I) offices visited by NARA. To address why relatively few permanent records beyond SAPs are being maintained (and whether older records are being consistently retained), OUSD(I) records management staff should inventory the program records in OUSD(I) offices.

Staff Action Packages (SAPs)

Two bodies of electronic copies of permanent Staff Action Packages (SAPs) may be appropriate for transfer to the National Archives. These are (a) the OSD-wide SAPs contained in the Staff Action Control and Coordination System Portal (SACCP), and (b) the OUSD(I) SAPs that have been scanned by the OUSD(I) Office of Chief of Staff (OCOS). OSD should submit to NARA notifications covering these two bodies of records, requesting permission for the permanent disposition approved for paper copies to be applied to the electronic copies.

OUSD(I) Action Officers (AOs) appear to be inappropriately treating as non-record working files many of the supporting documents created during internal review of the SAPs. These documents should be treated as records and filed in an appropriate series.

Electronic records

NARA identified several important issues relating to management of e-mails and of electronic files maintained on the shared drive. In general, the OUSD(I) offices that NARA visited are not ensuring that these e-mails and files are consistently being printed and filed or otherwise maintained in a recordkeeping system.

E-mails and files on the shared drive are automatically moved into Evault at a certain point in their life cycle. Evault treats these files as non-record duplicates. Because it is likely that e-mails and shared drive files are not being managed effectively outside of Evault, the files both in Evault and on the shared drive need to be managed as records. An RMA and/or some other method can be used for this purpose. Until the files in Evault and on the shared drive can be managed properly, OSD should continue to retain them indefinitely.

The Executive Archives (EA) is a significant electronic records collection that should be scheduled. NARA notes that, previous to this inspection, OSD/WHS records management staff have expressed an interest in scheduling the records in EA.

Scanning of records at Washington National Records Center

During the scanning project for permanent records relating to policy and other matters, housed at the Washington National Records Center (WNRC) in 2002 – 2004, OSD records staff identified (screened) a large volume of temporary records that were mistakenly filed with the permanent records. NARA's review of selected WNRC accessions found that the screening process successfully identified series that should have not been retired as permanent. OSD should analyze the reasons for the incorrect filing practices and plan for mitigating this problem in the future.

The digital copies of the permanent records at WNRC that were scanned may have sufficient value to be transferred to the National Archives. OSD should submit to NARA a notification for these records, requesting approval for the permanent disposition for the paper records to be applied to the scanned (digital) copies.

Recommendations

Recommendation 1:   OSD should submit for NARA's review a plan for the OUSD(I) Component Records Management Officer (CRMO) and alternate CRMO to devote substantially more time to records management functions and to receive additional records management training, including in more advanced matters such as electronic recordkeeping.

Recommendation 2:   OUSD(I) records management staff should inventory the program records in all OUSD(I) offices to determine whether records are being maintained to document adequately the offices' missions and whether the records are being retained in conformance with the OSD disposition schedule (Administrative Issuance 15, Vol. II).   The inventory will help to indicate the extent to which recordkeeping practices need to be improved and/or the disposition schedule needs to be revised.

Recommendation 3:   OSD should submit to NARA a notification covering the permanent electronic Staff Action Packages (SAPs) from throughout OSD that are included in the Staff Action Control and Coordination System Portal (SACCP). OSD also should submit to NARA a notification covering the scanned (electronic) copies of permanent SAPs of the OUSD(I) that are maintained by the OUSD(I) Office of the Chief of Staff (OCOS). The latter notification should cover the SAPs produced during the tenure of Under Secretary of Defense for Intelligence [USD(I)] James R. Clapper, Jr., and subsequent USD(I)s.   The purpose of a notification is to request NARA's permission for the disposition approved for the paper records to be applied to the electronic copies, so that the electronic copies could be pre-accessioned or otherwise transferred to the National Archives as permanent.

Recommendation 4:   OSD should issue written guidance to OUSD(I) offices that Action Officers must properly file and maintain the supporting documents for Staff Action Packages (SAPs) that are not appropriate for inclusion in the SAPs themselves.   The guidance should indicate that supporting documents should be filed under appropriate temporary records series, such as under file code 103-01.3 (routine background materials accumulating in formulating or analyzing policy) in AI 15, Volume II.

Recommendation 5:   OSD should issue written guidance that the files in Evault and the shared drive must not be destroyed until they can be managed in accordance with OSD records management guidance in Administrative Issuance 15, Vol. I and II.

Recommendation 6:   OSD should submit an action plan for NARA review addressing the proper management of the e-mails and other electronic files in Evault and the electronic files maintained by offices on the shared drive. The plan should include identifying records vs. non-records, categorizing records according to series in conformance with the OSD records disposition schedule (AI 15, Volume II), and ensuring proper disposition of records.

Recommendation 7:   OSD should take the necessary actions to ensure that the electronic records in the Executive Archives are scheduled appropriately. Such actions could include submitting to NARA a schedule or a notification covering the permanent records.

Recommendation 8:   OSD should submit to NARA a notification for the approximately 5,600 cubic feet of scanned records at Washington National Records Center (WNRC), requesting permission for the permanent disposition approved for the paper records to be applied to the scanned (digital) copies. NARA will review the notification to decide whether the digital format is the most appropriate for the pre-accessioning or other transfer of these permanent records to the National Archives.

Recommendation 9:   OSD should submit to NARA an analysis of OSD offices' apparent misapplication of schedule items to records, including records retired to Federal Records Centers or other offsite storage facilities. The analysis should include a plan of action to mitigate any misapplication of records schedules in the future.

Appendix 1:   OUSD(I) organization chart

Office of the Under Secretary of Defense (Intelligence),
Organization Chart as of July 2010:
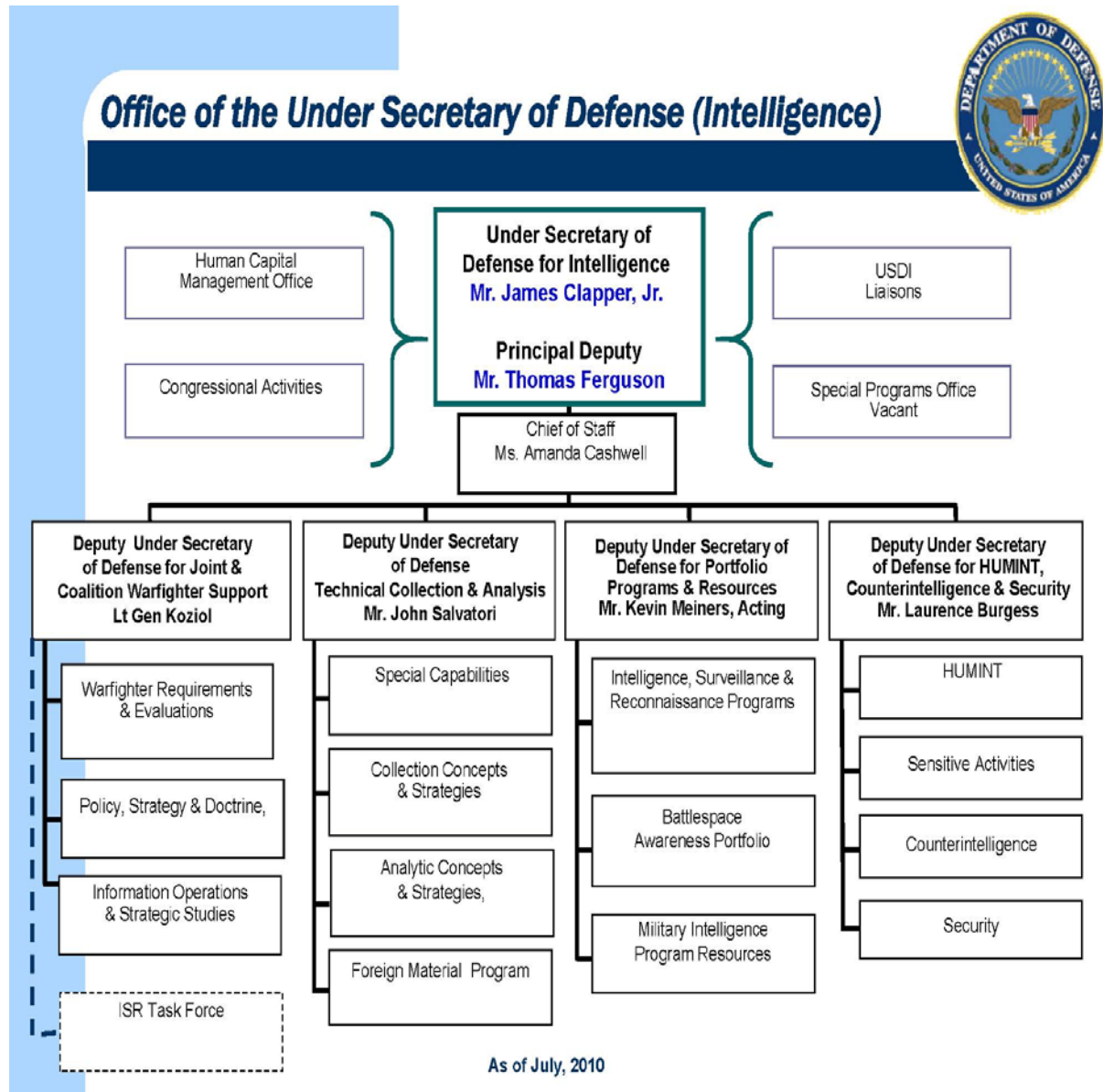
Appendix 2: Findings for OUSD(I) offices

Presented here are NARA's findings on recordkeeping practices in the following eight OUSDI(I) offices that were inspected:

1: Office of the Chief of Staff

2: Human Capital Management Office

DUSD(I) for HUMINT, Counterintelligence, and Security:
3: Front Office
4: HUMINT Directorate

DUSD(I) for Joint & Coalition Warfighter Support:
5: Front Office
6: Policy, Strategy and Doctrine Directorate

DUSD(I) for Portfolio, Programs, and Resources:
7: Front Office
8: Intelligence, Surveillance & Reconnaissance Programs Directorate

For the most part, this appendix will not discuss individually for each office the following recordkeeping characteristics common to all the offices, unless a particular office had a different practice in this regard. These common characteristics are as follows.   None of the offices consistently maintain e-mail records in a recordkeeping system. None of the offices indicated that they had retired any records to a Federal Records Center or other off-site storage facility. However, the OSD/WHS Records Manager indicated that four accessions from OUSD(I) offices have been transferred to WNRC in the past several years.

Each office considered the Staff Action Packages to be the most significant records generated. All offices use the Staff Action Control and Coordination System Portal (SACCP) to track Staff Action Packages. The file plans for all the offices were prepared and approved within three months of the NARA inspection. The offices maintain administrative records in DoD-wide electronic information systems covered by the General Records Schedules, such as Defense Travel System (DTS) and ATAAPS (Automated Time, Attendance and Production System).

1: Office of the Chief of Staff (OCOS)

The Office of the Chief of Staff (OCOS) is placed directly under the Office of the Under Secretary of Defense for Intelligence [OUSD(I)]. The OCOS gives operational support to the Under Secretary and to the Deputy Under Secretaries, directorates, and other units of the OUSD(I) in such areas as budgeting, secretarial services, information technology, human capital management, and records management. The OCOS has 34 staff members and the following four directorates: Budget and Contracting, Executive Secretariat and COOP, Infrastructure and IT, and Human Capital.

The Executive Secretariat and COOP Directorates' staff includes the OUSD(I)'s Component Records Management Officer (CRMO) and alternate CRMO, who oversee the records management program for the OUSD(I) as a whole. The CRMO and alternate CRMO are appointed to their positions formally, i.e., in a memorandum signed by the appropriate OUSD(I) official. The OCOS staff also includes a contract employee who is the OCOS records custodian.

Because the CRMO, alternate CRMO, and records custodian have records management duties that relate to OUSD(I) as a whole, a discussion and assessment of their duties is provided on pages 6-7 of the main body of this report.

The OCOS file plan contains 28 records series. According to the file plan, these series are maintained exclusively on the shared drive, except for one series, the calendars of high-level officials, which is maintained both on the shared drive and in paper format. As stated on page 8 of the main body of this report, the OCOS records custodian indicated that he carries out disposition of the shared drive files manually, i.e., by deleting electronic folders at the end of the retention period of the records in the folder.

The 28 series in the file plan include twelve administrative housekeeping series relating to such matters as civilian and military awards and FOIA. Of the sixteen program-related series, eleven are for permanent series. The CRMO told NARA that the only substantial volume of records maintained by the OCOS are the Staff Action Packages (SAPs) that are signed and coordinated by the OUSD(I). According to the CRMO, the only records besides these that are maintained by the OCOS are a small volume of administrative reports and instructions. NARA's review of the OCOS records therefore focused on the SAPs. NARA believes that CRMO would benefit from additional records management training to provide a broader view of the types of records necessary to document the office's functions.

For SAPs signed or coordinated by the OUSD(I), the OCOS records custodian scans a paper copy and files the scanned (digital) copy on the shared drive in electronic folders in conformance with the file plan. The records custodian files many of these SAPs in ten permanent series listed in the file plan. These constitute chronological files (file code 102-16), policy analyses (103-01), instructions (103-02), and seven subject categories of significant OUSD(I) policy-related correspondence and other records (file codes 212-01.1 through 212-01.7). Examples of records in file codes 212-01.1 through 212-01.7 are significant correspondence pertaining to relations with the White House, Executive Office of the President, Congress, and the public, or pertaining to foreign affairs.

Because SAPs are generated by all units of the OUSD(I), a full discussion of recordkeeping for SAPs is provided on pages 8-12 of the main body of this report.

2: Human Capital Management Office (HCMO)

Established in 2005, the Human Capital Management Office (HCMO) is a Direct Reportiing Office (DRO) under the OUSD(I). HCMO's mission is to prepare personnel policy in regard to

training, education, recruitment, and foreign language competency that ensures a successful intelligence workforce.

Under the HCMO Front Office are four Deputy Directors' offices, divided into these functions: personnel, professional development, readiness, and language and culture. There are some 25 to 30 staff members in HCMO as a whole. NARA reviewed the HCMO Front Office, consisting of the HCMO Director, Chief of Staff, and a small administrative staff.

The HCMO Front Office's records staff consists of two staff members -- the HCMO records liaison and records custodian. The records liaison was not available for the inspection, so NARA was briefed by the records custodian. The records custodian spends 10% of his time on records management duties, devoting his other time to administrative duties such as scheduling the Director's travel and videoconferences and ordering and managing supplies. The records custodian has held this position for two and a half years and has received one hour of records management training. His previous positions did not involve records management. NARA believes that the records custodian should receive additional records management training, such as that offered by NARA, to enhance his skills. However, we understand that the primary records management responsibility for HCMO is exercised by the records liaison.

With a few exceptions, the HCMO Front Office maintains recordkeeping copies in paper format. Two exceptions are series maintained exclusively on the shared drive: (a) organization charts and descriptions of duties and functions, and (b) orientations and briefings for visitors and new staff members, relating to office functions. These two series are retained until superseded or no longer needed. NARA did not review these two series on the shared drive.

Most of the office's records are administrative in nature, with only four series relating to program matters. The office maintains no permanent records.

The office maintains its reference copy of the Staff Action Packages (SAPs) in the chronological reading files ("chron files"). The chron files have a fixed retention of one year. The WHS Records Manager suggested filing these reference copies in a series with an indefinite retention (such as file code 102-3 – reading files), since the office will likely need to refer to the SAPs over a longer time period. NARA agrees with this suggestion.

The office showed NARA the folder structure for electronic files maintained on the shared drive. Most of the folders do not appear to correspond to the office's file plan or to the OSD disposition schedule (AI 15, Volume II). For example, during the inspection NARA saw on the shared drive records of working groups and organizations that are not included in the file plan or disposition schedule. NARA believes that it would be difficult for the HCMO Front Office to carry out dispositions for shared drive files, if the office chose to adopt electronic recordkeeping.

3 and 4: Office of Deputy Under Secretary of Defense for Intelligence [DUSD(I)] for HUMINT, Counterintelligence, and Security (HC&S)

The DUSD(I) for HC&S is responsible for DoD-wide planning, policy, and oversight for human intelligence (HUMINT), counterintelligence, identity intelligence, and security. With more than

100 staff members, DUSD(I) for HC&S has four directorates: HUMINT, Counterintelligence, Security, and Sensitive Activities. The DUSD(I) for HC&S was established in July 2008. NARA inspected the Front Office and the HUMINT Directorate.

Front Office

The Front Office of the DUSD(I) for HC&S provides overall direction for the DUSD(I). The Front Office has eight staff members, including the Deputy Under Secretary, Assistant Deputy, military, special, and executive assistants, and support staff, including the records custodian. The records custodian assumed her current position in July 2008 and had many years of records management experience before then.

The Front Office maintains its recordkeeping copies in a centralized file in paper format. The office treats as non-records the files maintained on the shared drive.

The office's file plan contains twenty-nine records series, roughly half of which are administrative in nature. Program-related records series that are scheduled as temporary include office organization files, routine correspondence with Congress, memoranda of agreements with Federal agencies, staff visit files, inspection and audit files, schedules of activities of the Deputy Under Secretary, and security classification re-grading files. Three program series are scheduled as permanent: policy files, organizational planning files, and management survey case files.

Despite the large number of items in the file plan, the office's actual files include a small number of records series, including the schedule of activities of the Deputy Under Secretary, staff visit reports, routine Congressional correspondence, and appeals of declassification decisions (titled "security classification re-grading files"). The files date from 2009 and 2010.   None of the files are for permanent records. Although the small number of files may be due partly to the recent origin of this office, NARA believes that it also might indicate that records have not been consistently maintained in the paper files.

Directorate for HUMINT

The HUMINT Directorate reviews and interprets policy and policy implementation in regard to intelligence derived from human sources. The Directorate recently expanded its purview to include use of biometrics in intelligence work. The Directorate has thirteen staff members, including the Director, Deputy Director, and Action Offices and other program staff devoted to human intelligence and biometrics.

NARA was briefed on the Directorate's recordkeeping practices by a HUMINT Action Officer (AO) serving as the Directorate's records custodian. The Directorate maintains no centralized files, and each staff member keeps at his or her desk the recordkeeping copies of files in paper format.

The HUMINT Action Officer (AO) explained the records that she maintains.   Her work involves reviewing policy in regard to certain aspects of human intelligence gathering.

The file plan for this AO's records contains four items, two of which are for administrative records.   The two program-related items are (a) reference paper files and (b) policy and precedent files.

The Action Office files in the reference paper files reports and other records, usually from entities outside of the DUSD(I) for HC&S, that are relevant to her work. These records occupy some nine cubic feet and are the most important records produced by this AO. The records in the policy and precedent files occupy about 3 cubic feet.

5 and 6: Office of Deputy Under Secretary of Defense for Intelligence [DUSD(I)] for Joint and Coalition Warfighter Support (J&CWS)

The DUSD(I) for J&CWS develops policy and other guidance, undertakes planning and coordination, and exercises oversight for intelligence requirements in support of the warfighter. The DUSD(I) for J&CWS has three Directorates: Policy, Strategy & Doctrine (PS&D), Warfighter Requirements and Evaluation, and Cyber, Information Operations & Strategic Studies. Established in 2008, the DUSD(I) for J&CWS is somewhat smaller than the other DUSD(I)s reviewed by NARA, having less than thirty staff members. NARA review covered the Front Office and the P&SD Directorate.

Front Office

The Front Office of the DUSD(I) for J&CWS provides direction for the three Directorates of the DUSD(I).   The Front Office has four staff members, one of whom serves as the records liaison. At the time of NARA's review, the records liaison had served in that function for one month. He devotes half of his time to records management issues and half to providing executive support to the Deputy Under Secretary.

The file plan contains eighteen series. The recordkeeping copy for all the series is paper. As is the case for most of the other OUSD(I) offices, about half of the series are administrative records such as FOIA requests or personnel files. Two of the series are for permanent records – Congressional correspondence of historical significance (102-18.2) and correspondence and coordination of intelligence activities (502-02.3). One other series is for intelligence reference documents (504-06), which relate to the DUSD(I)'s core mission but are temporary.

The records liaison indicated that he had set up the files for the paper recordkeeping copies within the past month.   The files date from 2009 and 2010, reflecting the recent origin of this DUSD(I). The files are well labeled. There are about two cubic feet of records for 2010 and much less than one cubic foot for 2009.   There were few records in the two permanent files mentioned in the previous paragraph. NARA was told that the Front Office does not place many documents on the shared drive.

NARA was told that Action Officers (AOs) generally keep working files in paper format at their desks and that AOs treat many of their working files as non-records. NARA believes that the AO's need to be aware of the requirement of 36 CFR 1222.12(c) that working files are records if

they have been circulated beyond the creator for official purposes and contain unique information.

NARA believes that the current records liaison is doing a good job in establishing files for paper recordkeeping copies but that the lack of files particularly for 2009 may indicate that records were not being managed appropriately before the records liaison began serving in that function.

Policy, Strategy & Doctrine (PS&D) Directorate

The PS&D Directorate's primary function is to coordinate intelligence, counterintelligence, and security policy for the Department of Defense (DoD). This function includes preparing policy for signature and issuance by the Deputy Secretary of Defense and the Under Secretary of Defense for Intelligence, as well as commenting on policy developed by other OSD elements. The Directorate also prepares intelligence strategy, reviews doctrine (Joint Staff and Service) for DoD intelligence activities, and communicates the OUSD(I) view to the Director of National Intelligence regarding intelligence community policy. PS&D is also responsible for information sharing and foreign relationships with respect to the OUSD(I) mission.

The Directorate has some twenty staff members. The records liaison assumed that position approximately six months prior to NARA's visit, and she had more than ten years experience in records management prior to that. She spends half her time on records management duties such as setting up files and filing. The other half of her time is devoted to supporting the policy team and assisting with executive assistant duties such as setting up travel and scheduling meetings for Directorate staff.

The Directorate's file plan contains nine series, of which five are program records and four are administrative records such as contracts or personal files. One of the program records series is instruction files (103-02), which are DoD instructions and other guidance maintained by the office of primary responsibility. This series consists of the Staff Action Packages prepared by the PS&D Directorate for signature by the USD(I), which document the coordination and promulgation of intelligence, counterintelligence, and security issuances for which USD(I) is the proponent. These are considered internal directives. Because the PS&D Directorate has responsibility for preparing the internal directives, the recordkeeping copy of these SAPs is maintained by the Directorate as a permanent series. There is a similar series of SAPs for external directives on intelligence matters, for which the PS&D Directorate does not have the primary responsibility. These records are not considered the recordkeeping copies and are scheduled as temporary (file code 103-03.1) Both the internal and external directives likely are duplicated in the scanned copies of permanent SAPs maintained by the Office of the Chief of Staff (OCOS).

Other temporary program records are Policy Review Board files, filed under Non-Policy Administrative Files (102-07).

The recordkeeping copies of all files are maintained in paper format in a central file. The largest series of records (five file drawers) are the Staff Action Packages (SAPs). These are divided between internal directives (file code 103-02, permanent) and external directives (file code 103-

03.1, temporary). The internal directives are the more voluminous. Some of the SAPs dated back to the 1980's, reflecting the fact that the PS&D Directorate took on the functions and records of a predecessor office.

Other program records in the paper files are agendas, briefings, attendance lists, and other records of the Policy Review Board, which is chaired by the Director of the PS&D Directorate. Most of the other paper records are administrative records.

The Directorate uses a portal (web site) to coordinate with other agencies on policy issues. However, the Directorate does not consider the documents on the portal to be recordkeeping copies. The Directorate also uses an MS Access database to track documents pending for action by the Director. This database is scheduled as temporary by GRS 23, item 8 (Tracking and Control Records).

Although, like other OUSD(I) offices, the Directorate do not routinely file e-mail records in a recordkeeping system, Directorate staff print important e-mails for filing in Staff Action Packages.

The Directorate maintains files on the shared drive but does not consider any of these files to be the recordkeeping copies. NARA viewed files maintained on the shared drive by an Action Officer. We viewed various files relating to boards and working groups in which the Directorate is involved. As mentioned above, the files for the Policy Review Board have been printed and placed in the paper files. However, the PS&D Directorate receives briefings from other working groups for which PS&D is not the proponent but which require coordination by PS&D. These briefings, which do not appear to be included in the paper files, pertain to the Directorate's work, although they may warrant only a short term retention. NARA believes that they need to be included in a recordkeeping system, either paper or electronic.

7 and 8: Office of Deputy Under Secretary of Defense for Intelligence [DUSD(I)] for Portfolio, Programs and Resources (PP&R)

The DUSD(I) for PP&R is responsible for oversight of key areas of DoD intelligence activity. The DUSD(I) for PP&R has three Directorates: Battlespace Awareness Portfolio, Military Intelligence Program Resources, and Intelligence, Surveillance, and Reconnaissance Programs. Battlespace Awareness (BA) Portfolio is one of nine DoD capability portfolios, each covering a critical military need. BA Portfolio balances intelligence, surveillance, and reconnaissance capabilities across DoD. Military Intelligence Program Resources seeks to ensure the necessary resources to provide intelligence and counterintelligence to support warfighters. Intelligence, Surveillance, and Reconnaissance (ISR) Programs has oversight over the military services to ensure compliance with ISR requirements and policy. The total staff of the DUSD(I) for PP&R numbers about fifty persons. NARA's review covered the Front Office and the ISR Programs Directorate.

<u>Front Office</u>

The Front Office of the DUSD(I) for PP&R provides direction and administrative control over the three Directorates of the DUSD(I).   The Front Office has four staff members, one of whom -- the special assistant -- briefed NARA for this inspection. The special assistant spends some 80 percent of her time on such duties as scheduling meetings for the Deputy Under Secretary and the Assistant Deputy, correspondence control, and assigning and tracking Staff Action Packages throughout the DUSD(I) for PP&R.

The special assistant serves as the records liaison for the Front Office and is able to devote a relatively small percentage of her time to records management duties. This work includes setting up file folders for the paper records of the Front Office and electronic folders on the shared drive for all units of the DUSD(I) for PP&R. The special assistant has many years of experience in intelligence work and recently completed two records management courses offered by the WHS Records & Declassification Division (R&DD).

The Front Office's file plan lists seventeen records series.   About half the series listed are administrative files or other non-program records like transitory files. Recordkeeping copies are primarily paper, except for certain administrative housekeeping records maintained in DoD-wide electronic information systems. The file plan lists one permanent series – records relating to development and coordination of intelligence planning (file code 502-01.1).

The records liaison showed NARA the paper records, which are maintained in a central file. The only substantial volume of program records consists of copies of briefings (mostly PowerPoint presentations) received by the Deputy Under Secretary relating to technical topics. Most of the briefings were created by vendors.   One series of such briefings is maintained in file folders as reading files (file code 102-03), and another set is maintained separately in three-ring binders. The other paper records are either administrative housekeeping records or support records such as budget justifications. The paper files did not include any records for the one permanent series listed in the file plan. Thus, as was the case for most offices, NARA was not shown any permanent records relating to intelligence matters.

NARA also viewed documents on the shared drive, but in general these documents are not the recordkeeping copies.

<u>Intelligence, Surveillance and Reconnaissance Programs (ISR) Directorate</u>

The ISR Directorate provides oversight for the military services' intelligence, surveillance and reconnaissance (ISR) programs to ensure compliance with the Military Intelligence Program and National Intelligence Program. A primary part of this work is oversight over the acquisition and formal requirements process of ISR weapon systems, electronic systems, ISR communications, etc.   For example, the Directorate reviewed the development of the Reaper (unmanned aerial vehicle) to assess compliance with approved requirements, such as cost and delivery-schedule requirements. This mission includes identifying gaps in the ISR capabilities of the Combatant Commands. The ISR Directorate also works with the Defense Science Board, although a different DoD agency is the Executive Secretariat for the Board.

The Directorate's work force numbers thirty-three staff members, primarily Action Officers performing mission-related functions. During the briefing, the Directorate's records custodian provided information about the Directorate's recordkeeping practices.

The Directorate's file plan contains sixteen records series, most of which are not mission-related, e.g., transitory files or administrative records such as record locator files or personnel files. No permanent records are listed. The format of the recordkeeping copies varies for different series. Four series are maintained as part of OSD-wide electronic information systems such as the Defense Travel System; none of these series is mission-related. Six series are maintained exclusively in paper, and four series are maintained both in paper and in electronic format (on the shared drive). Two temporary series are maintained exclusively on the shared drive: reference publication files and reading files.

NARA viewed the paper files, which appeared to be well-maintained. The files were largely administrative. Included were working copies of contract files for studies sponsored by the Directorate regarding ISR technical issues. The recordkeeping copies of the contract files are maintained by the appropriate DoD contracting office. The studies cover very narrow issues and therefore do not warrant permanent retention. NARA also viewed the two electronic files maintained by the Directorate exclusively on the shared drive. These two files are kept in folders consistent with the file plan.

NARA was shown records from two important series for which the ISR Directorate is not the office of primary responsibility. These are (a) ISR Roadmap, an annual publication providing funding projections for ISR for all the military intelligence agencies, and (b) Congressional Budget Justification, a multi-volume annual publication giving funding and other information about the DoD intelligence program. Both publications are mandated by Congress. Although they appear to have historical value, they are not generated by the ISR Directorate but, respectively, by the Battlespace Awareness Portfolio Directorate and the Military Intelligence Program Resources Directorate. In the future, NARA will work with the OSD/WHS Records Manager and these two Directorates to ensure that these two publications maintained by these Directorates are scheduled and, if permanent, transferred to the National Archives.

Appendix 3: Review and Follow-up

AUTHORITIES

44 U.S.C. Chapter 29
36 CFR Chapter XII, Subchapter B
Part 1239, Program Assistance and Inspections

FOLLOW-UP STEPS

Action Plan

OSD will submit to the Archivist of the United States an action plan that specifies how the agency will address each inspection report recommendation, including a timeline for completion and proposed progress reporting dates.

The plan should be submitted within 60 days after the date of transmittal of the final report to the head of the agency.

Progress Reports

OSD will submit to NARA progress reports on the implementation of the action plan until all actions are completed.

NARA Review

NARA will analyze the adequacy of OSD's action plan, provide comments to OSD on the plan within 60 calendar days of receipt, assist OSD in implementing recommendations, and inform OSD when progress reports are no longer needed.