NATIONAL SECURITY AGENCY
CENTRAL SECURITY SERVICE
NSA/CSS POLICY 1-6

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Revised:

(U) NSA/CSS RECORDS MANAGEMENT PROGRAM

(U) PURPOSE AND SCOPE

(U) This document implements DoD Directive 5015.2, "Records Management Program" (Reference a) and delineates the role of the NSA/CSS (also referred to as "the Agency") *Records Management Program* (RMP). In accordance with the references, the RMP provides policy and responsibilities for the *life cycle* of *records* from creation, through maintenance and use, to final *disposition*. It applies to all NSA/CSS elements.

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Endorsed by
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(U) This Policy document supersedes Policy 1-6, dated 4 February 2004.
(U) OPI: Records Management Policy, DJP6, 972-2451s.
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(U) POLICY

1. (U) NSA/CSS personnel shall create, maintain and preserve information as records, in any media, that document the transaction of business, policies, decisions, procedures, and essential operational, logistical and support transactions, while protecting the legal and financial rights and interests of the NSA/CSS, the U.S. Government, and other persons directly affected by Agency activities.

2. (U) The Agency shall retain *permanent records* and related archival collections in the NSA/CSS *Archives*. The NSA/CSS Archives shall ensure preservation of its records until they are declassified per Executive Order 13526, "Classified National Security Information," (Reference b) and transferred to the custody of the National Archives and Records Administration (NARA).

3. (U) Any official record created, maintained, and *stored* on electronic media must also adhere to the records management guidelines for processing electronic records, in accordance with DoD 5015.2-STD (Reference c). All offices currently creating, maintaining or storing *electronic records*, or anticipating the creation, maintenance or storage of electronic records, shall incorporate records management requirements into the automated information systems development and redesign and be fully compliant with the standard specifications of DoD 5015.2-STD (Reference c).

4. (U) Any organization undergoing restructuring must ensure that their records, no matter the media, have been *transferred* to the new owning entity, or that they have been appropriately preserved in accordance with the Agency's *Records Disposition Schedule* (RDS).

(U) RESPONSIBILITIES

5. (U) The Associate Director for Community Integration, Policy and Records (DJ) shall serve as the NSA/CSS Federal Records Officer. In this capacity, or as delegated, establish and maintain an active, continuing program for the economical and efficient management of the records of the agency. The program, among other things, shall provide for:

a. (U) Effective controls over the creation, maintenance, and use of records in the conduct of current business;

b. (U) Cooperation with the Administration of General Services and the Archivist in applying standards, procedures, and techniques designed to improve the management of records, promote the maintenance and security of records deemed appropriate for preservation, and facilitate the segregation and disposal of records of temporary value; and

c. (U) Compliance with References a-e.

6. (U) The Deputy Associate Director for Policy and Records (DJP) shall:

a. (U) Promulgate policy necessary for maintaining an effective and economical RMP for the NSA/CSS under the provisions of Title 36 Code of Federal Regulations, Parts 1220-1234 (Reference e);

b. (U) Ensure NSA/CSS compliance with Federal law and regulations applicable to creating, maintaining, using, preserving, and disposing of records;

c. (U) Preserve records and safeguard against the removal or loss of Federal records, as required in (References a, c, d and e);

d. (U) Provide facilities and staff for storing, maintaining, and accessing NSA/CSS records; and

e. (U) Maintain, operate and regulate the *NSA/CSS Records Center* (NCRC) and the NSA/CSS Archives;

f. (U) Issue guidance and technical assistance with respect to compliance with Federal law and regulations applicable to the creation, maintenance, use, preservation, and disposition of records;

g. (U) Issue guidance with respect to compliance with Federal law and regulations applicable to storage, preservation, description, and research of archival holdings;

h. (U) Cooperate and coordinate with NARA and other appropriate agencies in matters of mutual interest pertaining to the NSA/CSS RMP;

i. (U) Monitor Federal records management policies, procedures, and technologies;

j. (U) Obtain authority for the disposition of NSA/CSS records from the *Archivist of the United States*;

k. (U) Exercise technical control over, and provide training to *Directorate Records Officers* (DROs), and supporting *Records Management Officers* (RMOs);

l. (U) Provide reference services and access for records maintained in the NCRC and the NSA/CSS Archives;

m. (U) Implement the final approved disposition for records maintained in the NCRC;

n. (U) Transfer declassified or sanitized permanent records to NARA;

o. (U) Promote the preservation of Agency records and their proper management through use of various media, including exhibits, displays, brochures, classes, and articles;

p. (U) Provide annual training for all employees on records-keeping policies and sanctions for unauthorized removal and *destruction* of Agency records, and direct employees to report any unauthorized removal and/or destruction of Agency records;

q. (U) Conduct a periodic review of the Agency RMP; and

r. (U) Assist Directorates and Extended Enterprise Elements in understanding the requirements set forth in Reference a.

7. (U) The Chief Information Officer shall assure that any automated information system software or application approved for use on NSA/CSS systems that creates, maintains or preserves electronic records is compliant with DoD 5015.2-STD (Reference c).

8. (U) The Associate Director for Education and Training shall provide the necessary support for annual training of all NSA/CSS employees in records management.

9. (U) The NSA/CSS Directors, Associate Directors, the NSA/CSS Chief of Staff, and Extended Enterprise Commanders/Chiefs shall:

a. (U) Ensure adequate records are created to document their organizations' functions, policies, decisions, procedures, and essential transactions, and furnish information necessary to protect the rights and interests of the NSA/CSS, U.S. Government, and other persons directly affected by Agency activities;

b. (U) Ensure that all records are identified and scheduled in accordance with the cited references;

c. (U) Ensure the proper creation, maintenance, storage and disposition of records in accordance with NSA/CSS RDSs;

d. (U) Designate DROs and supporting RMOs down to, at a minimum, the Office level;

e. (U) Provide annual certification to the Office of Policy and Records that all records from their organizations have been reviewed consistent with Reference b; and

f. (U) Ensure compliance with DoD 5015.2-STD (Reference c).

10. (U) The Directorate Records Officers (DROs) shall:

a. (U) Develop and effectively supervise Directorate RMOs, and ensure that the requirements of this Policy and the NSA/CSS RDSs are carried out. To accomplish these tasks, DROs must remain current on records management issues;

b. (U) On an annual basis, certify to the Office of Policy and Records that all RDSs under their control have been reviewed. Notify the Office of Policy and Records when records not previously included in an NSA/CSS RDS are created, or a previously scheduled records series is substantially modified, and assist the Office of Policy and Records in developing proposed disposition recommendations;

c. (U) Notify the Office of Policy and Records when organizational designators for records maintained in the NCRC change as a result of reorganization; and

d. (U) Ensure RMOs are designated down to the Branch level (when possible) within the lower echelons of their organizations to coordinate all phases of records management and disposition within that organization. The DROs shall coordinate the RMOs' activities, ensure they are trained and are in compliance with appropriate directives and procedures, and report their appointment to the Office of Policy and Records in a timely manner.

11. (U) The Records Management Officers (RMOs) shall:

a. (U) Perform the functions of records management for their respective organizations. All transactions pertaining to records management, including the use of the NCRC, must be forwarded through the appropriate RMOs;

b. (U) Maintain a good working knowledge of their organization's *files*, reports, forms, and records systems, including information systems;

c. (U) Implement the appropriate RDS for their organizations' records;

d. (U) Ensure records in their area of responsibility are protected, and apprise all personnel of records management policies, services, and procedures;

e. (U) Remain current on records management issues;

f. (U) Inform their DRO of the need to change, add, or modify any existing *file series* in the RDS, as well as add new items for file series not covered. On an annual basis, assist their DRO in the review of all currently used RDSs to ensure continued appropriateness; and

g. (U) Ensure all records are identified, scheduled, and comply fully with all cited references.

12. (U) The Agency workforce shall:

a. (U) Ensure records management instructions and guidelines on records creation and filing procedures issued by the RMP are followed for all record types, to include paper records; electronic records (i.e., electronic mail, word processing, spreadsheet, and other desktop applications); microfiche and microfilm; audiotape and audiovisual records; cartographic records; and architectural and engineering records;

b. (U) Search all files, including electronic databases, prior to retirement or reassignment, to ensure that valuable Federal records are transferred to a designated official or records officer. See Policy 1-52, "Classified National Security Information" (Reference f) for additional responsibilities of holders of NSA/CSS protected information;

c. (U) Look for and remove any classified material that may be mixed in with personal files;

d. (U) Contact the appropriate officials listed in this Policy for guidance in cases where there are questions about the disposition of records. If these officials cannot determine the appropriate disposition of the records, then they shall contact the Office of Policy and Records who will consult with the Office of General Counsel, if necessary, for legal guidance and advice concerning the appropriate disposition of the records; and

e. (U) Attend annual training on Records Management.

13. (U) The NSA Office of the General Counsel (OGC) shall:

a. (U) Provide legal advice and assistance in interpreting statutes and regulations applicable to NSA/CSS records administration;

b. (U) Keep the Office of Policy and Records informed of any court decisions that may impact NSA/CSS's recordkeeping requirements as contained in this policy or other statute or regulation;

c. (U) Determine the precedence of lawful record keeping or destruction requirements when conflict exists; and

d. (U) Advise on potential violations of 44 U.S.C. Section 3106, "Lawful removal, destruction of records" (Reference d).

14. (U) The NSA Office of the Inspector General may be responsible for periodic audits of the RMP relating to adequacy of documentation, maintenance, use, and disposition to determine compliance with NARA regulations and assess the effectiveness of the Agency's program.

(U) REFERENCES

15. (U) References:

a. (U) DoD Directive 5015.2, "Records Management Program," dated 6 March 2000.

b. (U) Executive Order 13526, "Classified National Security Information," dated 29 December 2009.

c. (U) DoD 5015.02-STD, "Electronic Records Management Software Applications Design Criteria Standard," dated 25 April 2007.

d. (U) Title 44 U.S. Code (USC), Sections 2901-2909, 3101-3314.

e. (U) Title 36 Code of Federal Regulations, Parts 1220-1234.

f. (U) NSA/CSS Policy 1-52, "Classified National Security Information," dated 8 January 2007.

(U) DEFINITIONS

16. (U) Archives – (1) The non-current (permanent) records of an organization preserved because of their continuing or enduring value. Those records that have been determined by the Archivist of the United States to have sufficient historical or other value to warrant their continued preservation by the Federal Government. (2) The organization or agency responsible for appraising, accessioning, preserving, and making available permanent records.

17. (U) Archivist of the United States – The head of the National Archives and Records Administration (NARA).

18. (U) Destruction – The primary type of disposal action. Methods of destroying records include salvaging the record medium and burning, pulping, shredding, macerating, or discarding and selling it with other waste materials.

19. (U) Directorate Records Officer – DROs are responsible for managing Directorate-level and other related records management resources under their purview.

20. (U) Disposition – The actions taken regarding records no longer needed in current office space. These actions include transfer to Agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to NARA, and disposal of temporary records.

21. (U) Electronic Record – Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record in 44 USC 3301.

22. (U) File – An arrangement of records. A term used to denote papers, photographs, photocopies, maps, machine-readable information, or other recorded information, regardless of physical form or characteristic. Files are accumulated or maintained on shelves, in filing equipment boxes, or machine-readable media, and they occupy office or storage space [36 CFR 1220.14].

23. (U) File Series – Documentary material, regardless of its physical form or characteristics, that is arranged in accordance with a filing system or maintained as a unit because it pertains to the same function or activity.

24. (U) Life Cycle – The records life cycle is the life span of a record from its creation or receipt to its final disposition. It is usually described in three stages: creation, maintenance and use, and final disposition.

25. NSA/CSS Records Center (NCRC) – NSA/CSS Records Center located in SAB 2 houses temporary and permanent records.

26. (U) Record – According to 44 USC 3301, the term "includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included and are considered non-records."

a. (U) Permanent Records – Records appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed for administrative, legal, or fiscal purpose.

b. (U) Temporary Records – Records approved by the National Archives and Records Administrative for disposal, either immediately or after a specified retention period.

27. (U) Records Center – An establishment maintained and operated by the National Archives and Records Administration or by another Federal agency primarily for the storage, servicing, security, and processing of records that need to be preserved for varying periods of time and need not be retained in office equipment or space.

28. (U) Records Disposition Schedule (RDS) – A document providing authority for the final disposition of recurring or nonrecurring records.

29. (U) Records Management Officers (RMOs) – Records Officers are "deputies" of the Records Management Policy Office who are designated throughout all parts of the Agency, in every organization and directorate.

30. (U) Records Management Program (RMP) – The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to information requirements, records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of Agency operations.

a. (U) Storage – Space for non-active records. Can be in digital, optical, or physical units.

b. (U) Transfer – The act or process of moving records from one location to another, especially from the office space in which the record is used to Agency storage facilities or Federal Records Centers, from one Federal Agency to another, or from office or storage space to the National Archives for permanent preservation. Transfer does not relieve the owning organization of legal and management responsibilities for non-permanent records. Accessioning permanent records to NARA does transfer legal ownership and responsibility for the records to NARA.