

**STATEMENT FOR THE RECORD**  
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**MANAGEMENT POLICY**  
**BEFORE**  
**THE HOUSE GOVERNMENT REFORM COMMITTEE**  
**INFORMATION AND TECHNOLOGY SUBCOMMITTEE**

Mr. Chairman and Members of the Subcommittee:

I am pleased to appear before the subcommittee this afternoon to describe the evolution of the Department's electronic records management (eRM) program and standard, culminating in its current relevance to and integration with our plans for advancing the Department to a netcentric environment. Netcentricity will provide an unprecedented accessibility and usability of data to include Departmental records in every electronic media. Through the development of our Global Information Grid Enterprise Services (GES), we will be converting our information infrastructure from a platform-based to a netcentric environment. We will be applying a metatagging standard to DoD data and facilitating its just-in-time discovery. Official records are a critical part of our enterprise knowledgebase. The intent is to make them more visible and usable while utilizing sound content management principles to ensure their proper storage, preservation and protection. I will describe how our approach to electronic

records management has been developed and applied to date and how it represents one of several foundational disciplines converging to achieve our vision of enterprise-wide netcentricity.

Looking back, it seems we have been working for the last ten years to ready our records management processes for netcentricity. In 1993, Records Management was analyzed as part of a functional process improvement initiative.

A baseline analysis of records management in the Defense Department was developed. In 1995, an automated document conversion master plan was developed. We accomplished the groundwork for establishing a certification process and published "Baseline Requirements And Data Elements For DOD Records Management Application Software". A Records Management Software Test and Evaluation Program Plan was developed. This work culminated in the first version of the DoD 5015.2-STD that was signed in 1997.

The focus of the standard has been to prescribe essential records automation functions consistent with the law and regulations. The intent has been to help DoD components build, test or buy compliant records management application software. Its objective has been to be unambiguous and not to dictate design.

The eRM standard's requirements for the Records Management Applications (RMAs) have been to assure basic capabilities to:

- Define a file plan - record categories/series and their associated disposition schedules
- Identify/declare records, provide context
- Store, preserve, protect electronic records
- Search for and retrieve electronic records
- Track records' disposition schedule status
- Execute disposition instructions--cutoff, transfer, destroy

In 1998 we began the process of developing the second revision to the standard.

We added a section on national security classification markings and the declassification schedule as requested by the Intelligence Community. We also included recommendations from the National Archives and Records

Administration (NARA). We added a requirement for information related to

Section 508 of the Federal Rehabilitation Act. We added a section on email that allows editing of sender and addressee metadata fields to comply with

NARA's regulation requiring that email records include the real names of senders

and addressees.- Version 2 of the standard explicitly requires the RMAs to have

the ability to export email from the records repository to an email application

to allow forwarding, and replying.~~Version 2 of the standard explicitly requires the~~

~~RMAs to have the ability to restore email to allow forwarding, and replying.~~ We

enhanced the auditing section and added requirements on vital records.

Additionally, we added requirements to enter the security classification level and

allow the implementation of classification guides. Version 2 of the DoD 5015.2-

STD was signed June 2002.

Currently, the Joint Interoperability Test Command (JITC) of the Defense Information Systems Agency (DISA) manages the compliance testing process for the DOD eRM standard. The Compliance Program verifies that the RMA software satisfies mandatory requirements. This testing is mandatory for DoD and endorsed by NARA. At this time, JITC has certified approximately 43 records management applications as compliant to DoD 5015.2-STD.

There are numerous compliant electronic records implementations in DoD. Here are some examples:

- The Army has implemented the Army Records Information Management System (ARIMS). This “Recordkeeping Redesign” applies to every function and program in the Army. It places emphasis on important records, provides secure management of electronic records and simplifies the process for soldiers and action officers to identify and preserve important records in any medium. ARIMS is a web-based set of applications and tools to help in the management of the Army’s hardcopy and electronic records. Key ARIMS components include:
  - An Army Electronic Archives to preserve electronic records in any format
  - A central index to all records, paper and electronic
  - Web based tools and features to help users find, collect and

preserve record information

ARIMS is available for use via the World Wide Web without cost to the user and provides a searchable web-based database of all retention and disposition information on Army records.

- The Defense Logistics Agency has implemented a compliant RMA for their Financial Services Office. They have digitized five years of records and thus provided a speed and flexibility of function unavailable previously when the staff was required to manually and laboriously search through large volumes of paper records.
- Through their Enterprise-wide Navy Marine Corps Internet (NMCI), the Navy and the Marine Corps are looking to merge records and document management for over 350,000 users.

*“Navy is equipped to provide a robust foundation to support the enterprise-wide requirement for ERM and EDM solutions. The Department of the Navy is excited to become the world’s largest electronic records management customer... Although electronic records management (ERM) tools are not widely used within the Navy and Marine Corps at this time, the implementation of the Navy Marine Corps Intranet (NMCI) is poised to bring about a fundamental transformation...The Department of the Navy (DON) required the winner of the NMCI contract to provide for the*

*'retention of electronic information files consistent with applicable DoD (DoD Standard 5015.2-STD) and DON policy (SECNAVINST 5212.5D), as part of the basic service for all NMCI seats'...."*

[http://www.chips.navy.mil/archives/02\\_Summer/authors/index2\\_files/DONERM.htm](http://www.chips.navy.mil/archives/02_Summer/authors/index2_files/DONERM.htm)

In 2003, DoD partnered with NARA on Electronic Records Management as part of the President's E-Government Initiatives. Joint research has begun regarding transfer of permanent electronic records to NARA with ultimate inclusion in the next version of the DoD standard. This next version is anticipated to include additional metadata for special permanent record classes to include digital photographic images, scanned images of hard copy comments; web pages; email attachments and "portable document format" or "PDF". NARA is partnering with DoD to certify direct export from RMA to NARA to include coordination of transfer and specification for transfer file format. This effort, especially upon its adoption by the Federal community, has the potential for substantial improvements in the timeliness, cost and quality of permanent records transfers throughout the Government.

Additionally, and in preparation for netcentricity collaboration services, we are looking at the implications for eRM. It has been suggested that different records classes could have different metadata sets. Structure of metadata fields and export file formats will have to be specified in the next version of the standard.

Adoption of DOD 5015.2 STD version 2.0 for civilian agency use was specified in

NARA Bulletin issued 1/15/03. It endorses the DoD standard for all agencies and recommends using the DoD standard and the DoD –certified products as a baseline when selecting an RMA to manage the agency’s electronic records:

*“We recommend that agencies use the DoD standard and the DoD-certified products as a baseline when selecting an RMA to manage the Agency’s electronic records. NARA has evaluated the DoD standard for record keeping functionality and has determined that DoD-certified products comply with the relevant provisions of the Federal Records Act and NARA regulations with respect to the creation, maintenance and use, and disposition of Federal records. Continued partnership between NARA and DoD to develop future enhancements to the DoD standard will enable DoD 5015.2-STD certified RMAs to export electronic records and directly transfer them to NARA. “(NARA Bulletin 2003-03, January 15, 2003)*

As we begin to operationalize netcentricity through our GES initiative, we are cognizant of the need to assure electronics record management becomes a part of the Department’s enterprise services. Netcentric principles such as the following will be particularly transformational for records management:

- “Only handle information once.” (OHIO) Collecting information or replicating data entry is costly and adversely affects efficiency in both combat and business operations. “Only handling information once” requires that processes be re-engineered, and that technology and

processes are integrated to minimize time and effort dedicated to data collection and entry.

- “Post before processing” means that access to data for disparate needs is not delayed by unnecessary processing. Everyone is a provider and consumer of information. As a provider, they have the responsibility to post data before they use it; as a consumer they will have the technical capability to securely access all data when they want it and in the format they need.
- Users will “pull” data as needed instead of having massive amounts of information “pushed” to them regularly, regardless of whether it is needed.
- Collaboration technologies will be employed to assist users in making sense of the data that is pulled. For example, subject matter experts from diverse units or organizations are frequently called upon to come together to make sense out of special situations. The ability to pull expertise from within a unit as well as from across the Department is a value-added feature of a net-centric environment.

These netcentric principles and their accompanying infrastructure and capabilities have the potential to solve some of the Department’s most stubborn records management problems.

The DoD 5015.2-STD could not be more opportune. It is being sought after and used by the Federal and even the international community. It is open enough to encompass different functions and infrastructures but serves to assure consistently useful electronic records products. We look forward to working closely with the Federal community to develop solutions for our common data and records problems. We welcome the support of this committee and look forward to a continuing dialogue about this critical area. Thank you.

