



Department of Defense INSTRUCTION

NUMBER 1336.08
November 13, 2009

USD(P&R)

SUBJECT: Military Human Resource Records Life Cycle Management

References: See Enclosure 1

1. PURPOSE. This Instruction:

a. Establishes policy and assigns responsibilities for military human resource records life cycle management in accordance with the authority in DoD Directive (DoDD) 5124.02 (Reference (a)).

b. Prescribes procedures for implementation of military human resource records life cycle management (i.e., the creation, maintenance, use, and disposition) in the Department of Defense consistent with chapters 29 and 31 of title 44, United States Code (U.S.C.) (Reference (b)).

2. APPLICABILITY. This Instruction:

a. Applies to OSD, the Military Departments, the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense (IG DoD), the Defense Agencies, the DoD Field Activities, and all other organizational entities within the Department of Defense (hereafter referred to collectively as the "DoD Components").

b. Supersedes all previous policy and/or procedure guidance on military human resource records management within the Department of Defense.

3. DEFINITIONS. See Glossary.

4. POLICY. It is DoD policy that:

a. Media-neutral military human resource records life cycle management requirements prescribed in References (b) through (n) be adhered to in addition to the DoD-specific requirements outlined in this Instruction.

b. The standard content of the military human resource records is the authoritative information as listed in Enclosure 2 and is the core set of standard military human resources records information for the Department of Defense.

5. RESPONSIBILITIES. See Enclosure 3.

6. PROCEDURES. Military human resource records are initiated and maintained for each Military Service member by the respective DoD Component. The types of information required in military human resource record as well as detailed implementation requirements pertaining to military human resource records life cycle management are provided in Enclosure 2.

7. RELEASABILITY. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DoD Issuances Web Site at <http://www.dtic.mil/whs/directives>.

8. EFFECTIVE DATE. This Instruction is effective immediately.



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ENCLOSURE 1

REFERENCES

- (a) DoD Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R))," June 23, 2008
- (b) Chapters 29 and 31 of title 44, United States Code
- (c) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000
- (d) DoD 5015.02-STD, "Electronic Records Management Software Applications Design Criteria Standard," April 25, 2007
- (e) DoD Directive 5400.07, "DoD Freedom of Information Act (FOIA) Program," January 2, 2008
- (f) DoD Directive 5400.11, "DoD Privacy Program," May 8, 2007
- (g) DoD Instruction 5010.40, "Managers' Internal Control (MIC) Program Procedures," January 4, 2006
- (h) Public Law 104-191, "Health Insurance Portability and Accountability Act of 1996," August 21, 1996
- (i) Public Law 105-262, "Department of Defense Appropriations Act, 1999," October 17, 1998
- (j) Title 10, United States Code
- (k) DoD 7000.14-R, "Department of Defense Financial Management Regulations (FMRs)," as amended
- (l) Section 552a of title 5, United States Code
- (m) DoD Directive 5160.41E, "Defense Language Program (DLP)," October 21, 2005
- (n) DoD Instruction 5160.70, "Management of DoD Language and Regional Proficiency Capabilities," June 12, 2007

ENCLOSURE 2

PROCEDURES

1. STANDARD MILITARY HUMAN RESOURCE RECORDS CONTENT. Standard military human resource records shall contain information required by DoD issuances, in addition to any pertinent Military Service-specific information. They include military human resource information and/or data related to a Service member's career that is resident in all systems of records and authoritative sources with respect to his or her time in service. A Service member will not have records from each and every record category listed below. Each Service member will have records as applicable to the events related to his or her career. The military human resource records shall include but are not limited to:

a. Accession information.

(1) DD Form 1966, "Record of Military Processing – Armed Forces of the United States"

(2) DD Form 4, "Enlistment/Reenlistment Document, Armed Forces of the United States," and Service-specific oath of office documentation

(3) Officer appointment documentation

b. Training documentation as established by Service policy.

c. Foreign language skills, cultural expertise, and regional proficiency in accordance with References (m) and (n).

d. Education documentation as established by Military Service policy.

e. Performance.

f. Discipline-related information.

g. Decorations and awards.

h. Assignments and duties.

i. Casualty documentation.

j. Separation- and retirement-related information.

(1) DD Form 214, "Certificate of Release or Discharge From Active Duty"

(2) DD Form 215, "Correction to DD Form 214, Certificate of Release or Discharge From Active Duty"

(3) Statements of service as deemed appropriate and necessary by the Military Service

k. Compensation.

l. Physical condition and/or medical treatment information as deemed necessary and appropriate by the Military Service.

m. Entry and separation physical examinations, if applicable.

n. Personal documents and non-service related documents, if deemed necessary and appropriate by the Military Service and if applicable.

2. MILITARY HUMAN RESOURCE RECORDS LIFE CYCLE MANAGEMENT

a. Military Human Resource Systems Requirements

(1) Military Services shall incorporate records management requirements into automated information systems development and redesign in accordance with Reference (c).

(2) Military Services shall use only approved electronic records management applications in accordance with Reference (c). All electronic systems related to military human resource records shall also have the National Archives and Records Administration (NARA) approved records disposition schedules.

(3) Military Services shall identify systemic issues for resolution by appropriate system owners.

b. Military Human Resource Records Creation Requirements

(1) Military human resource records shall be created at Service-specific initial entry points at accession, or during delayed entry program as directed by Service regulations.

(2) Military human resource records, for exception categories such as foreign nationals and Reserve Officer Training Corps scholarship cadets, shall be initiated in accordance with Service regulations.

c. Military Human Resource Records Maintenance Requirements

(1) Military Services shall maintain military human resource records in accordance with DoD and Service-specific guidance as applicable.

(2) DoD or Service-specific system owners shall be responsible for quality assurance and quality control in support of records maintenance for all records resident within respective systems.

(3) Military Services shall identify data quality issues and submit for resolution to appropriate system owners.

(4) Military Services shall provide a copy of the Service member's military human resource records as authorized, if requested in writing by the Service member pursuant to References (e), (f), and (h).

(5) Military Services shall ensure all late flowing military human resource records and information are integrated into the Service member's records.

(a) Inventory and Tracking Requirements

1. Military Services shall be responsible for reconciliation of human resource records.

2. Military Services shall ensure every Service member has military human resource records to document the details of his or her military service.

(b) Security and Access Control Requirements

1. DoD or Service-specific system owners shall implement security and access control procedures in accordance with References (b), (c), and (d).

2. Security and access control procedures shall include granting authorized access to non-DoD agencies or organizations in accordance with References (c), (e), and (f).

(c) Accountability and Audit Trail Requirements

1. Accountability Mechanisms

a. The Military Services shall develop and implement management controls to account for the military human resource records depending on the Service member's status in accordance with Reference (g).

b. The Office of the IG DoD shall conduct inspections to validate that the Military Services have implemented and maintained internal controls consistent with IG DoD standards.

2. Metrics Requirements. System owners shall develop metrics to support the life cycle management of the military human resource records to document and support a Service member's military service, career management, and entitlement processing.

d. Military Human Resource Records Transfer Requirements

(1) The Department of Defense and Military Services shall establish and implement policies and procedures for transfer of human resource information to authorized agencies.

(2) Military Services shall transfer records per current approved NARA records disposition schedules located and available with the Service records managers.

(3) Military Services may transfer ownership of military human resource records information and/or data related to persons of exceptional prominence earlier than 62 years in accordance with the current NARA approved records disposition schedules.

(4) Military human resource records recalled from the National Personnel Records Center, NARA, or the Department of Veterans Affairs (VA) for reinstatement of Service members in the event of their recall to active duty shall include master and working copies.

ENCLOSURE 3

RESPONSIBILITIES

1. UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS (USD(P&R)). The USD(P&R) shall:

- a. Oversee the implementation of and compliance with this Instruction.
- b. Require the Commander, U.S. Military Entrance Processing Command (USMEPCOM), to implement life cycle management of accession data related to members. USMEPCOM is the authoritative source for accession records information and data.
- c. Ensure the transfer of enterprise-wide military human resources records information from the Department of Defense to NARA.
- d. Develop and coordinate proposed revisions to current public laws, DoD issuances, and VA and other interagency guidelines to ensure information and data-related processes within automated DoD human resource systems meet the evidentiary requirements necessary to support Service members receiving appropriate entitlements and benefits accruing from their military service.
- e. Facilitate transfer of military human resource records information and/or data from the Military Services in support of Service members' and veterans' entitlement and benefits processing.
- f. Define and standardize the use of the term "military human resource record" throughout appropriate DoD publications and forms.
- g. Coordinate recommended changes to the disposition schedules of military human resource records with the Secretaries of the Military Departments and the General Counsel of the Department of Defense prior to obtaining approval from NARA.
- h. Coordinate improvement and reengineering of military human resource information management processes with the Secretaries of the Military Departments to enable efficient and effective business practices within the Department of Defense as needed.
- i. Support adequate training of interagency personnel from the VA and Department of Labor to reinforce effective and efficient military human resource records life cycle management to support veterans' and Service members' claims processing.

2. IG DoD. The IG DoD, in addition to the responsibilities in section 3 of this enclosure, shall:

a. Monitor DoD Component compliance with this Instruction and conduct inspections on the military human resource records life cycle management.

b. Provide inspection findings to the USD(P&R), Secretaries of the Military Departments, and the Heads of the DoD Components.

3. HEADS OF THE DoD COMPONENTS. The Heads of the DoD Components shall:

a. Establish and implement procedures within their Component in accordance with this Instruction.

b. Create, maintain, use, and preserve military human resource information and/or data regardless of media to support routine DoD business operations and mission in accordance with References (b) through (n).

c. Manage military human resource information and/or data in accordance with this Instruction and References (b) through (n) in support of DoD business operations and mission.

d. Establish inventory, tracking, and access control with respect to military human resource information and/or data in accordance with this Instruction and References (b) through (n).

e. Institute security, ethical use, internal control, and accountability standards with respect to military human resource information and/or data in accordance with this Instruction and References (b) through (n).

f. Retire military human resource information and/or data in the Service member's human resource record to NARA in accordance with the approved disposition schedules.

g. Transfer ownership of military human resource records information and/or data to NARA in accordance with the current NARA-approved disposition schedules.

h. Conduct media-neutral information life cycle management of the military human resource records.

i. Use only approved electronic records management applications in accordance with Reference (c) and ensure electronic systems related to military human resource records have NARA-approved records disposition schedules.

4. SECRETARIES OF THE MILITARY DEPARTMENTS. The Secretaries of the Military Departments, in addition to the responsibilities in section 3 of this enclosure, shall:

a. Ensure updates to their respective Service regulations in accordance with this Instruction.

- b. Perform routine life cycle management of the military human resource records information and/or data within the Military Departments, including military academies and preparatory schools, in accordance with this Instruction and Reference (b).
- c. Make available copies of, or grant access to, the military human resource records information and/or data upon written request by the Service member and other authorized users in accordance with References (c), (d), (e), and (f).
- d. Standardize the use of the term “military human resource record” throughout military Service publications and forms.
- e. Review requests for transfer of ownership of military human resource records information and/or data related to persons of exceptional prominence earlier than 62 years to NARA in accordance with the NARA-approved records disposition schedules.

GLOSSARY

DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this Instruction.

creation. The first stage of the records life cycle in which records are made (or received) by an office.

disposition. The actions taken regarding inactive records no longer needed for current Government business. These actions include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle.

inventory. Records of every Service member assigned to a command.

maintenance and use. Any action involving the storage, retrieval, and handling of records kept in offices by, or for, a Federal agency. This is the second stage of the records life cycle.

media neutral. Record information created, used, maintained, accessed, stored, retained, or disposed of, regardless of the medium (paper and/or electronic) in which it is presented.

military academies and preparatory schools. U.S. Military Academy, U.S. Naval Academy, U.S. Air Force Academy, U.S. Coast Guard Academy, or their academic preparatory schools with cadet and/or midshipmen candidates.

military human resource records. Military human resource information and/or data related to a Service member's career that is resident in all systems of records and authoritative sources with respect to his or her time in service. Standard military human resource records contain information required by DoD issuances, in addition to any pertinent Military Service-specific information. These records include but are not limited to accession information such as the DD Form 1966, "Record of Military Processing – Armed Forces of the United States"; DD Form 4, "Enlistment/Reenlistment Document, Armed Forces of the United States"; Service-specific oath of office documentation; officer appointment information; training documentation as established by Service policy, foreign language skills, cultural expertise, and regional proficiency; education documentation as established by Military Service policy; performance and discipline-related information; decorations and awards; assignments and duties; casualty documentation; separation- and retirement-related information such as DD Form 214, "Certificate of Release or Discharge From Active Duty", and DD Form 215, "Correction to DD Form 214, Certificate of Release or Discharge From Active Duty"; and statements of service, compensation, physical condition and/or medical treatment information as deemed necessary and appropriate by the Service, entry and separation physical examinations if applicable. Personal documents and non-service related documents may be maintained if deemed necessary and appropriate by the Military Service and if applicable.

Military Services. The Army, the Navy, the Marine Corps, the Air Force, and the Coast Guard, including their Reserve and/or National Guard Components.

recall. Requesting records stored, but ownership not yet transferred to NARA.

records life cycle. The management concept that records pass through the following stages: creation, maintenance, use, retention, and disposition.

retention. The provision of adequate facilities to protect, care for, or maintain records including specific measures, individual and collective, undertaken to maintain, repair, restore, or protect records.

retire. The movement of inactive records to agency storage facilities or a Federal records center.

Service member. A current member of the U.S. Army, Navy and Marine Corps, Coast Guard, or the Air Force with Active or Reserve affiliation, or prior member who had an Active or Reserve affiliation (Service dischargee and retiree).

statement of service. Documentation of service on DD forms 214, 215, 220, and other Department of Defense, and non-DoD, or Service-authorized forms or un-numbered documents.

transfer. The act or process of moving inactive records from one location to another, especially from office space to agency storage facilities or Federal records centers, from one Federal agency to another, or from office or storage space to NARA for permanent preservation and records involved in such relocation.