



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
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OPNAVINST 5210.20
DNS-5
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OPNAV INSTRUCTION 5210.20

From: Chief of Naval Operations

Subj: NAVY RECORDS MANAGEMENT PROGRAM

Ref: (a) 44 U.S.C.
(b) SECNAV M-5210.2 of Jul 2008
(c) SECNAV M-5210.1 of Nov 2007
(d) 36 CFR XII
(e) DoD 5015.02-STD of 25 Apr 2007
(f) OPNAVINST 5510.60M
(g) SECNAV M-5216.5 of Mar 2010
(h) SECNAVINST 5720.42F
(i) NARA General Records Schedule
(j) SECNAVINST 5210.8D
(k) DoD Directive 5015.2 of 6 Mar 2000
(l) SECNAVINST 5510.36A
(m) P.L. 107-347 of 2002
(n) DONCIO memo of 15 June 2007, Department of the Navy
Electronic Records Management and Records Electronic
Mail (e-mail)

Encl: (1) Definitions
(2) Dataset Records Manager Appointment Letter
(3) Records Management Appointment Letter
(4) Frequently Asked Questions (FAQs)

1. Purpose

a. To issue the Department of the Navy (DON) Records Management Program policies to ensure consistent records management practices within all Office of the Chief of Naval Operations (OPNAV) claimants.

b. To properly manage the records life cycle from creation or receipt through final disposition according to Federal laws and DON Records Management Program requirements per references (a) through (n).

2. Policy. All OPNAV activities shall establish a records management program to maintain records consistent with the guidance in references (a) through (n) and this instruction

3. Applicability and Scope. This instruction applies to all military, civilian, contractor, and intern personnel assigned to activities within the Chief of Naval Operations (CNO) and its subordinates commands.

4. Definitions. Terms used in this instruction are defined in enclosure (1).

5. Records Management in the DON. Federal law requires the DON to maintain an active records management program that provides for the accurate and efficient tracking and retrieval of command records. Command records shall adequately document the organization, operations, functions, policies, procedures, decisions, and transactions of the DON at all levels and provide information necessary to protect the legal and financial rights of persons, commands, and the government. The Navy Records Management Program is designed to ensure records are maintained and disposed of per references (a) through (n).

6. Records Creation

a. All personnel are responsible for creating, maintaining, and preserving information that meets the definition of a Federal record per reference (a), section 3301. This includes information in any type of media, sufficient to provide evidence of organization, functions, policies, procedures, or decisions; or records that document the transactions necessary to protect legal and financial rights of the command and its personnel.

b. Records shall be properly categorized using the DON information taxonomy, Standard Subject Identification Codes (SSICs). SSICs are critical in determining disposition authority and are contained in reference (b).

7. Records Retention and Disposition. A system shall be in place for the proper retention and disposition of records. The disposition guidance contained in reference (c) is mandatory and shall be followed. Requests for exceptions to disposition

guidance should be forwarded to the echelon 2 records manager who will then forward to the DON Director of Records (OPNAV Director Navy Staff, Director of Records Office (DNS-5)) for approval. The Navy can use any method or source for records storage that they want (Federal records centers (FRCs), in-house, commercial, affiliated archives, electronic records management applications (ERMAs), or a combination of all). Any physical facility used must adhere to reference (d), subpart k. Any ERMA must be compliant with reference (e) and approved by OPNAV/DNS-5 prior to purchase. It is highly encouraged to minimize use of FRCs and maximize use of ERMAs. Disposition is divided into three categories:

a. Permanent Records. All records identified in reference (c) as permanent shall be transferred to the National Archives and Records Administration (NARA). The specific retention period before transfer is normally specified in the records' disposition per reference (c). NARA can accept permanent records as paper, micrographic, or electronic media that meets the provisions of reference (d) or requirements applicable at the time of the transfer.

b. Temporary Records. Temporary records shall be retained for the period specified in reference (c) and then destroyed. If there is no longer a business need for the temporary record, it will be transferred to offsite storage or retained in an approved ERMA.

c. Unscheduled Records. Per reference (c), records that do not have an approved schedule assigned by the Archivist of the United States cannot be destroyed. They should be retained until the records are properly scheduled. The records officer for the command that identifies an unscheduled record should complete a Standard Form (SF) 115 Request for Records Disposition Authority and submit it via its chain of command to OPNAV/DNS-5 within 1 year of its discovery.

8. Electronic Records Management Solution (ERMS). The DON mandated ERMS solution on the Navy and Marine Corps Intranet (NMCI) is provided as part of the NMCI initiative. The software and server platforms are provided by NMCI; however, the records and management of the repository are the responsibility of the individual Navy commands. All ERMS shall

be compliant with reference (e) and certified by the Department of Defense (DoD) as reference (e) compliant (hereafter referred to as the "Navy approved ERMS").

a. All Navy commands on the NMCI network shall use the provided Navy approved ERMS tool for the storage and management of electronic records, to include e-mails and attachments. This policy is a requirement for OPNAV activities only. The Navy ERMS solution dataset is being deployed at the echelon 2 level. Once it is deployed at a command, its use is required to properly categorize records by records series and to file and manage the records until final disposition. A file plan is required for records stored in the Navy approved ERMS and will follow the format prescribed using OPNAV 5210/76 Navy Organizational Records File Plan to track and control each command's records.

b. Until the Navy approved ERMS is fully deployed and operational within all commands, records should be maintained in an electronic format or, if deleted from the electronic system, should be printed and filed in the command's hardcopy filing system pending their final disposition.

c. Electronic records should not be stored in a manner that does not meet the requirements of reference (e). Requests to store electronic records in a system other than an OPNAV/DNS-5 approved system or other Navy approved enterprise-wide program shall be submitted in writing to OPNAV/DNS-5 via the chain of command.

d. Commands not on NMCI shall contact OPNAV/DNS-5 for advice on the storage of their electronic records.

9. Records Freezes and Holds. Regardless of the retention period established by references (c) and (f), chapter 5, records pertaining to unsettled claims for or against the Federal Government, current or pending litigation, preservation orders, Freedom of Information Act and or Privacy Act requests, exceptions taken by the Government Accountability Office or internal auditors, or incomplete investigations subject to a freeze or record hold shall not be destroyed. The command records manager shall take action to ensure the records are safeguarded upon initial receipt of information indicating that

such action is imminent and retained until the litigation or action is settled, the investigation is complete, the preservation or hold order is lifted, or the exception is cleared. Records identified as frozen or held shall not be destroyed without written notification of their release from the command records manager and concurrence from the legal office which implemented the freeze, e.g., DON, Office of General Counsel (OGC), or the Office of the Judge Advocate General. Segregate and retain records directly pertinent to the litigation, investigation, preservation or hold order, or exception, until all actions are completed. Before implementing such procedures, the command records manager shall coordinate with the command judge advocate or legal counsel to establish the legitimacy of the action and the proposed implementing actions. If there are any questions regarding this process, please contact OPNAV/DNS-5.

10. Records Filing Procedures. Filing procedures constitute an integral part of any records management program. Reference (b), chapter 1, provides basic guidance for establishing filing procedures for records created and maintained in offices and activities. Use of these procedures, as amplified in subparagraph 10a below, establish a systematic process that is consistent throughout OPNAV and meets the legal and procedural requirements of references (b) and (c). Procedures in reference (b), along with guidance in this instruction, are to be used by persons responsible for maintaining command records.

a. Filing Procedures for Hardcopy Records. It is recommended that command files be centralized and maintained by the command records manager, but they may be decentralized and maintained by individual departments or use a combination of the two. The decision to have centralized or decentralized files, or a combination of the two, depends on the mission of the activity and a determination by the activity head as to which method is most efficient for the accomplishment of the activity's mission. Whether activities are using centralized or decentralized files or a combination, a "file plan" is required for each activity. Use OPNAV 5210/76 as the file plan to track and control records.

b. Filing Electronic Records. DoD mandates that all ERMS shall be compliant with reference (e). ERMSs are used to store and retain electronic records generated by the command. The

dataset records manager (DRM) is responsible for establishing, maintaining, and updating, as necessary, the command's dataset. Each echelon 2 command, in addition to appointing a records manager in writing, shall appoint a DRM to assist in the deployment and management of the command's dataset. The records manager and the DRM may be the same person, but this is not recommended. Each Navy echelon 2 command is required to provide the name and contact information of their DRM to OPNAV/DNS-5. Enclosure (2) is a sample DRM appointment letter and should be used when providing a response to OPNAV/DNS-5.

11. Fax Transmission Records. Section E of reference (g) provides information on the use of faxes and their use as official records. As with other records, the retention, filing, maintenance, and disposition of official government fax records shall conform to the guidance contained in reference (c) and this instruction.

12. Personal Data. All persons having records containing personally identifying information (PII) shall exercise reasonable caution to ensure that this information is protected from disclosure to unauthorized persons. PII is defined as any information about an individual maintained by an agency including, but not limited to: education, financial transactions, medical history, criminal or employment history, and information which can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, and any other personal information which is linked or linkable to an individual. PII is subject to protection and shall be marked as prescribed in reference (h).

13. Electronic Records. Electronic records include information that may be recorded on any medium capable of being read by a computer and which satisfies the definition of a Federal record. Reference (c), part I, paragraph 17, and reference (g), chapter 1, sections C and D, provide general recordkeeping procedures for electronic records and e-mail. E-mail messages, documents, and files are considered records only when they meet the definition of a Federal record contained in reference (a), section 3301.

14. Electronic Recordkeeping

a. The fact that information is created or stored electronically has no bearing upon whether that information is a record or non-record. Record status is determined by the same criteria for all information, regardless of the medium in which it is created or stored. Examples of electronic media are magnetic tape, disks, drums, and digital video discs (DVDs).

b. ERMSs use automated techniques to manage records, regardless of format. It supports records collection, organization, categorization, and storage of electronic records, metadata, and location of physical records, retrieval, use, and disposition.

c. As with paper records, electronic records can only be destroyed following the disposition guidance in reference (c).

d. The following guidelines establish how to manage records created, stored, or transmitted using personal computers or other electronic office equipment.

(1) Ensure that records are maintained and disposed of under reference (c). When developing a new information technology (IT) system, or a major revision of an existing IT system, ensure the new IT system's records are scheduled. If unscheduled, contact OPNAV/DNS-5 for assistance in development of the SF-115.

(2) Establish procedures to prevent unauthorized access to, loss, removal, or theft of, official records created or acquired in electronic form.

(3) Standardize the internal and external labeling of magnetic tapes, disks, diskettes, compact discs, CD-ROMs, DVDs, and other removable storage mediums to facilitate retrieval of current as well as future mediums. Include on the label title or subject, date(s), description instructions, and identification of the equipment on which the records were created. If classified or sensitive, use the appropriate security markings per reference (f), chapter 5.

(4) Avoid inadvertent destruction of records by using compliant software as listed in reference (e) or the Navy approved ERMS embedded in the NMCI network.

(5) When possible, design systems that are compatible with a variety of other systems. In the event of a system upgrade or replacement, the migration of records from the old to the new system will be easier. If the records are not migrated from the legacy system, the legacy system should be retained and the records should be accessible until all the records have met their retention period and are properly deleted or transferred.

(6) Ensure that electronic records are destroyed at the time of their authorized destruction. Records that have been authorized for destruction but have not been destroyed are subject to Freedom of Information and Privacy Act requests and litigation holds and or freezes as addressed in paragraph 9, above.

(7) When the same information is stored on more than one medium, such as paper and disk, ensure the disposition is applied to all media as prescribed in reference (c).

15. Electronic Record Storage Media. Records may be stored on paper, magnetic tape, compact disks, and optical digital data disks. For approved storage mediums see reference (d), part 1228, subchapter B.

16. E-mail Records. Within OPNAV, e-mail is authorized to be used as official correspondence, to include information meeting the definition of a Federal record, and informal information subject to the limitations discussed in reference (g). E-mail users are:

a. Required to preserve e-mail messages and any attachments that document OPNAV organization, functions, policies, decisions, procedures, and operations meeting the standards as a Federal record. They will be retained in an electronic format in the Navy approved ERMS or printed out for filing. Regardless of media, file and dispose of them as required per references (b) and (c), and this instruction. If

the electronic version contains information that is not disclosed when printed out, the electronic version should also be retained for the full retention period.

b. Required to file e-mail messages (with the transmission data and, when determined necessary to document the actual receipt by addressee(s), receipt data) and attachments determined to qualify as Federal records. If printed out and not saved electronically, they will be filed in the activity hardcopy filing system so that they can be found when needed by those persons authorized to access the command's records.

c. Authorized to use the e-mail system to transmit as an attachment formal correspondence within and outside the DoD. When using e-mail in place of formal correspondence, the drafter shall follow the procedures outlined in reference (g). When using e-mail for this purpose, use standard correspondence formats including SSIC, serial number, date, and signature authority. Retain a copy of the e-mail transmittal and attached correspondence as your command's record copy. Refer to reference (g) for additional information.

d. Record e-mail and any attachments should be deleted from the e-mail system after they have been copied to a paper-based system or an appropriate ERMA. Non-record e-mail should generally be deleted from the e-mail system, when practical, within 180 days of creation or receipt (reference (i)). A command may elect to manage record e-mail with retention periods of 180 days or less on the e-mail system itself, provided such messages are not deleted, either manually or automatically, before the expiration of their retention period. In no event should any e-mail be deleted if it is subject to any type of hold or may be reasonably related to ongoing or potential litigation or investigation.

17. Personal Records or Papers. When retaining records that are personal and not Federal records, they shall be clearly marked "Personal Papers" and kept separate from the command's official records. Additional guidance is contained in reference (c), part I, paragraph 14.

18. Removal of Files Upon Transfer or Retirement. Individuals who are transferring or retiring shall not remove official records from their offices. The individual transferring or

retiring may remove personal files at their discretion without agency permission. Extra copies of official records shall be removed upon approval by the command's records manager. Approval may be granted only if all of the following conditions are met:

- a. Removal will not diminish official records.
- b. Removal will not exceed normal administrative economies.
- c. The materials do not contain national security classified information. (An exception may be granted when moving to another command that is authorized to store classified defense information.)
- d. The information removed is not subject to the Privacy Act of 1974, as amended.
- e. Disclosure of the information removed is not otherwise prohibited by law.
- f. If there is a question regarding whether or not a record is personal or official, contact supervisor or organization's legal counsel to help make the determination of record status.

19. Vital Records. All commands should incorporate a vital records program per reference (c), appendix H. Each activity will develop a file plan using OPNAV 5210/76 that identifies records necessary for the activity to accomplish mission essential functions without unacceptable interruption during a national security emergency, or other emergency or disaster, and also protects the legal and financial rights of all OPNAV employees and individuals directly affected by its activities. Electronic filing in Navy's approved ERMS is the recommended method of maintaining the command's vital records.

20. Backup Files. Electronic backup files should be maintained by the command's IT department, but only for disaster recovery purposes. They should not be used as backup storage to locate records deleted from the active command electronic systems. The IT department is the functional

program manager responsible to establish procedures for the proper maintenance, storage, and disposal (i.e., deletion) of backup media.

21. Records Destruction

a. Provisions for emergency destruction of records can be found in reference (d), section 1228.92, and reference (a), part I, paragraph 5. Destruction of records outside the territorial limits of the continental United States is authorized during a state of war between the United States and any other nation or when hostile action by a foreign power appears imminent. In addition, agencies will destroy records that constitute a continuing menace to human health or life or to property per reference (a), section 3310, and reference (c), part I. In both of the above cases, the commanding officer, or in cases where the command has no military, the appropriate activity senior civilian, shall report the destruction of records to OPNAV/DNS-5 via their chain of command and follow the procedures outlined in reference (c), part I, paragraph 5, and reference (d), sections 1228.92(d) and 1228.94(b).

b. Provisions for the accidental destruction of records can be found in reference (c), part I, paragraph 6. Reports should be submitted to OPNAV/DNS-5 within 10 working days of a determination that the records have been accidentally destroyed and will follow the format outlined in reference (c).

c. Alienation and unauthorized destruction of records prior to their scheduled disposition is illegal. These illegal actions may be punishable under the Uniform Code of Military Justice and Federal law (18 United States Code (U.S.C.) 2071). These actions may also create an unfavorable public opinion of the United States Navy. (Per 18 U.S.C 2071, the Federal government may impose a two thousand dollar fine and or 3 years in prison for such violations.) All alienation and unauthorized destruction of records shall be investigated and the results of the investigation should be forwarded to NARA via chain of command and OPNAV/DNS-5 as final OPNAV authority.

d. Records authorized for destruction may be donated to an eligible person, organization, institution, corporation, or government if OPNAV/DNS-5 and the Archivist of the United States approve the donation. Process requests with full

justification for the donation through records management channels to OPNAV/DNS-5. Specify the name and address of the records custodian, the name and address of the proposed recipient, and a complete description, file number(s), and inclusive dates of the records.

22. Base Realignment and Closure, Disestablishment of Activities, and Decommissioning of Ships or Squadrons

a. Upon notification of installation closure, disestablishment of an activity and or ship or squadron decommissioning commanding officer or civilian head shall take steps to safeguard the records of the command or activity. Heads of activities being disestablished will follow the pertinent portions of the guidance for decommissioning ships. When decommissioning ships, reference (c), part IV requires that the commanding officer shall:

(1) Consult with the command's administrative, legal, personnel or human resources, medical, contracts, and environmental and industrial hygiene departments to plan the collection and proper disposition of all the commands records.

(2) Conduct an inventory of all records held by the command and assign an SSIC number to each record per reference (c).

(3) Determine which records can be destroyed per reference (c).

(4) Determine which records need to be transferred to an FRC. The FRC shall be contacted to determine the method and plan to process the command's records.

(5) Determine which records, such as contract files, should be transferred to the next higher echelon command level for continued administration, use, and closure of the accounts.

(6) Ensure that all environmental and industrial hygiene records are protected.

(7) Contact OPNAV/DNS-5 to obtain permission prior to the transfer of any records to a Federal, State, or city

government agency or private organization, including, but not limited to, building plans and or environmental records.

b. Provide the echelon 2 level command and OPNAV/DNS-5 with a close-out report which includes:

(1) Copies of all SF-135 Records Transmittal and Receipts and inventories of all records transferred to the FRCs.

(2) List of all records transferred to the next echelon level command.

(3) List of all records that were approved by NARA for transfer to another government agency including Federal, State, city, or private organization.

(4) Provide a list of records management lessons learned and best practices that may be used for future closures and decommissioning procedures.

23. Records of Armed Conflict. Information and guidance for records of armed conflict are contained in reference (c), part V.

24. Responsibilities

a. OPNAV/DNS-5

(1) OPNAV/DNS-5 is the lead for records management for OPNAV and the echelon 2 commands. OPNAV/DNS-5 will develop and coordinate standards, procedures, and techniques necessary for an efficient and effective DON records management program to include development of a records management self-assessment tool, general records management computer based training for all personnel who create or use records, and publicize awareness of the DON records management program.

(2) Will coordinate and act as the primary liaison for all OPNAV records management issues with NARA and other military service records managers, including the DoD and the DON chief information officer (CIO).

(3) Will act as senior advisor to all echelon 2 records group managers and records managers and their subordinate commands to ensure a consistent execution of records management procedures and policies.

(4) Manage and execute the DON records disposition program. Publish a manual containing NARA approved record disposition schedules for the DON (Navy and Marine Corps) record series per reference (c). Annually review the records schedules and revise and update as necessary per reference (c). This manual shall also delineate procedures and processes necessary to administer and manage a compliant records management program.

(5) Publish the DON SSIC and filing procedures in reference (b) and this instruction. Annually review reference (c) and this instruction and revise and update these procedures as necessary.

(6) Publish and maintain instructional guidance for the DON Vital Records Program.

(7) Review access to all records in the FRCs as required to meet the mission of Secretary of the Navy (SECNAV) and OPNAV, as well as their lower echelon organizations. Take appropriate action to include removal of access when it is determined that there are serious infractions of FRC, security, privacy, and or records access policies and procedures.

(8) Assist the OGC and command legal departments in all DON litigations or pending litigations, legal holds, etc., where records freezes are imposed or should be imposed.

(9) Work with CNO Freedom of Information Office (CNO (DNS-36) to ensure that records contained in DON system of records notices are properly scheduled and published in reference (c).

b. Echelon 2 Record Managers

(1) Implement, monitor, and provide leadership for the DON Records Management Program within their echelon 2 and subordinate commands per references (a) through (e), (g) and (h), and (j) through (m), and this instruction.

(2) Shall provide a copy of their commander and or commanding officer appointment letter (enclosure (3)) to OPNAV/DNS-5 within 30 days of their appointment.

(3) Shall complete OPNAV 5270/77 Records Management Self-Assessment Checklist within 90 days of the signature date of this instruction and then every 3 years thereafter with a copy sent to OPNAV/DNS-5 via his or her chain of command.

(4) Provide assistance to the command and or subordinate activities or units to the person(s) responsible for continuity of operations planning (COOP) to develop and implement a vital records program and incorporate it into their COOP plan.

(5) Ensure that all command records are kept per guidance in applicable Navy directives, regardless of where they are maintained or physically located.

(6) Preserve records that protect the legal and financial rights of the Government, the Navy, and its personnel.

(7) Establish a system of supervision to ensure the prompt disposition of non-current records per reference (c).

(8) Regardless of routine disposition instructions contained in reference (c), ensure records involved in records freezes or holds are not be destroyed until final disposition authorization is provided by the echelon 2 records officer, the command legal officer, or other competent authority. Refer to paragraph 9 of this instruction for further details.

(9) Ensure records of historical value and records of armed conflicts are preserved and transferred in a timely manner to NARA per reference (c).

(10) Conduct a records inventory or file plan review of all records annually to ensure they are being properly maintained.

(11) Assist OGC and command legal counsel in all DON legal holds and records freezes per reference (f), chapter 5.

(12) Implement, monitor, and test at least annually a command vital records program.

(13) In cooperation with the command IT department and in compliance with reference (m), maintain a list of all IT systems used by the command and include which SSIC relates to them along with the associated NARA job number. Update IT system list in the DoD IT Portfolio Repository (DITPR) - DON as needed to reflect the records management requirements per reference (m).

(14) Manage the NARA assigned record group (RG) number, if your echelon 2 command has an assigned RG number. NARA has divided Navy records into RGs. These RGs are a sub-set of like records divided by the functional missions of the Navy, such as Naval Sea Systems Command and Bureau of Medicine and Surgery. Each active and inactive RG has a manager assigned. Contact OPNAV/DNS-5 for further information on RGs and a list of current RG managers. Associated responsibilities of RG managers include:

(a) Provide access control to their RG using the NARA and FRCs' established procedures. Track all records removed from the FRC under their RG and ensure that they are returned to the FRC within 90 days. If records cannot be returned within 90 days, the responsible manager will take appropriate steps to monitor the records until they are returned. Maintain a current list of personnel who have access to pull records from FRCs within their RG.

(b) Obtain a copy of NARA's Accessions Holding Report and conduct monthly reviews of record holdings to ensure that all records are scheduled, destroyed, or transferred to NARA at the required time. Coordinate with the appropriate FRC to obtain access to the reports.

(c) Act as a liaison with OPNAV/DNS-5, FRCs, and NARA.

(d) Review SF-258 Agreement to Transfer Records to the National Archives of the United States for transfer of permanent records from the Navy to NARA.

(e) Maintain a copy of all SF-135s and record inventory for their RG.

c. Echelon 2 Command DRM

(1) Report to OPNAV/DNS-5 for coordination of all dataset related activities.

(2) Stand up an ERMS working group to coordinate efforts with OPNAV/DNS-5 and the ERMS deployment teams. This working group will include, but is not limited to: command information officer, records manager, IT representative, and legal representative. Additional members will be appointed as needed. This working group shall:

(a) Inform the command senior leadership regarding all issues involving ERMS.

(b) Provide support to the ERMS deployment team in completing its initial dataset configuration and implementation.

(c) Identify and coordinate with business process owners for initial implementation of the command's dataset.

(d) Coordinate initial end user and administrator training per the ERMS deployment schedule.

(e) Coordinate future ERMS training via online modules posted on Navy Knowledge Online (NKO).

(f) Complete the NMCI contract line item number (CLIN) 0116AA request for initial storage for the deployment of the command's dataset.

(g) Provide input and representation to the ERMS configuration board, which is responsible for oversight and changes to the DON approved ERMS.

(3) Customize and modify, as required, the generic core configuration in DON approved ERMS to effectively reflect the organization's structure.

(4) Set DON approved ERMS usage policy and maintain final authority over the organization's dataset.

(5) Control access to and use of records in the command's dataset.

(6) Monitor and troubleshoot the dataset.

(7) Develop and maintain business rules for use of the dataset.

d. Local ERMS Administrators (Located within an Echelon 2 Dataset). Local administrators are responsible for controlling all aspects of ERMS within their command or departments as well as implementing the policies put in place by the echelon 2 DRM. Local administrators will:

(1) Contact the echelon 2 DRM to establish the high-level command structure in DON approved ERMS and have access granted to the administrator before a command can access the ERMS dataset.

(2) Serve as first line of support to end users within the command or departments.

(3) Ensure all DON approved ERMS folders and documents in their dataset(s) of responsibility have the proper retention SSIC and security applied to them.

(4) Create workflows for sections as needed.

(5) Provide access to the DON approved ERMS for new employees.

(6) Remove the DON approved ERMS access to employees who transfer, retire, etc.

e. Echelon 3 and Below Records Managers

(1) Ensure a records management program is implemented at all levels within their activity and provide the appropriate level of guidance to ensure effective continuity of the command's program.

(2) Ensure command compliance with records management policies and guidelines as set forth in references (a) through (n) and this instruction. This includes, but is not limited to, the following:

(a) Institute the command's OPNAV 5210/76 and records inventory(ies). The records manager shall conduct a records inventory or file plan review of all records annually to ensure they are being properly maintained. The command's file plans and inventory(ies) shall be available at all times for inspection and review.

(b) Complete an annual review and inspection of local disposition procedures for the activity's records to ensure records disposition and retention procedures are current, adequate, and applied per reference (c).

(c) Notify the echelon 2 records manager when unscheduled records are located and ensure that they are not destroyed pending receipt of NARA approved records schedule.

(d) Maintain copies of all SF-135s generated by their command.

(e) Supervise the transfer of the command's inactive records that are no longer needed for current operations to the supporting FRC.

(f) Maintain the command's vital records program and reviewing procedures annually.

f. DON Employees (End Users). End users will add, retrieve, search, and view electronic records in the DON approved ERMS. It is the responsibility of end users to understand the definition of a record per reference (d) and appropriately add records to the command dataset when required. See enclosure (4) for frequently asked questions (FAQs). Additionally, DON employees shall:

(1) Create records needed to document the business of their agency, record decisions and actions taken, and document activities for which they are responsible.

(2) Maintain records so that information can be found when needed.

(3) Execute the proper disposition of records under their control per DON records schedules contained in reference (c) and Federal regulations.

25. Training

a. It is highly recommended that echelon 2 and 3 level records managers and DRMs complete the six course NARA records management certification program. For more information, visit the NARA Web site: <http://www.archives.gov/records-mgmt/training/certification.html>.

b. Records managers at the echelon 2 level and below shall complete courses listed in subparagraphs 25b(1) and 25b(2) below via the NKO E-learning Web site. In addition, if their command is using the Navy approved ERMS, they shall complete the courses listed in subparagraphs 25b(3) and 25b(4). DRMs shall complete all four courses on the NKO E-learning Web site.

(1) Records Management in the DON: Everyone's Responsibility (DOR-RM-010).

(2) DON Records Management: Advanced Topics (DOR-RM-020).

(3) Total Records and Information Management (TRIM) via the NMCI (Entry) (DOR-TRIM-101).

(4) TRIM via the NMCI (Advanced) (DOR-TRIM-201).

c. All Navy personnel (to include military, civilian, and contractors) shall complete DOR-RM-010 and, if their activity uses the DON approved ERMS, DOR-TRIM-101 on an annual basis.

26. Records Management. Records created as a result of this instruction, regardless of media and format, will be managed per reference (c).

27. Forms and Reports Control

a. The following forms are available for download from Naval Forms Online: <http://navalform.daps.dla.mil>:

(1) OPNAV 5210/76 Navy Organizational Records File Plan.

(2) OPNAV 5270/77 Records Management Self Assessment Checklist.

b. The following forms are available for download from GSA Forms Web site: <http://www.gsa.gov/portal/forms/type/SF>:

(1) SF 115 Request for Records Disposition Authority.

(2) SF 135 Records Transmittal and Receipt.

(3) SF 258 Agreement to Transfer Records to the National Archives of the United States.

c. Reports contained within this instruction are exempt from reports control per SECNAV Manual 5214.1 of December 2005.



J. M. BIRD
Vice Admiral, U.S. Navy
Director, Navy Staff

Distribution:

Electronic only, via Department of the Navy Issuances Web site
<http://doni.daps.dla.mil/>

Definitions

1. Cut Off or File Break. This refers to the termination of a file at regular intervals to allow continuous disposal or transfer of file series. File cut off periods are normally by calendar or fiscal year. "Cut off" is sometimes referred to as "file break."

2. Documentary Materials. A collective term for Federal records, non-records materials, and personal papers that includes all media containing recorded information whatever the method or circumstance of recording. Federal records may be created on any physical media. The method of recording information may be manual, mechanical, photographic, electronic, or any combination of these or other technologies.

3. National Archives and Records Administration (NARA). The organization or agency responsible for appraising, accessioning, preserving, and making permanent records available. NARA is responsible for implementing records management laws within the Federal government.

4. Non-Record Materials. Information and documents not meeting the definition of a "Federal record" are called non-record materials. These materials may be destroyed when no longer needed and includes federally owned materials that are:

a. Not created or received under Federal law or in connection with government business.

b. Not preserved or considered appropriate for preservation because they lack evidence of agency or component activities or information of value.

c. Extra copies of documents kept only for convenience or reference.

5. Permanent Records. Any record with enduring value of a historical, research, legal, scientific, or cultural nature, and that documents primary missions, functions, responsibilities, or significant experiences and accomplishments.

6. Personal Record or Papers. These are materials belonging to an individual that are not used to conduct agency business. They are related solely to an individual's own affairs or are used exclusively for that individual's convenience. Correspondence designated as "personal" or "private," but relevant to the conduct of public business is an official record and must be managed by this instruction.

7. Record. According to reference (d), the term "record" includes all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristic, 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. In short, a "record" is any document or material made or received in the course of government business, which is or should be kept either as evidence of the conduct of business or because it contains valuable information. The electronic format has no bearing on whether the information is a record.

8. Records Management. Includes planning, controlling, directing, organizing, training, promoting, and managing activities involving information requirements, records creation, records maintenance and use, records preservation, and records disposition of all Federal agency records.

9. Standard Subject Identification Code (SSIC). The DON's information taxonomy is also a method for categorizing and subject classifying Navy and Marine Corps information that ensures documents are filed consistently and can be retrieved quickly. An SSIC is a four or five digit number that categorizes the subject of a document. Per reference (g), a SSIC is required on all DON records including, but not limited to, letters, messages, directives, forms, and reports. The SSIC is to be used in conjunction with reference (c), which describes specific DON records and provides disposition schedules for them.

10. Temporary Records. A temporary record is any record that does not qualify as permanent. Examples include leave applications, Equal Employment Opportunity Program files, personnel files, general correspondence, security logs, etc.

11. Vital Records. These are records essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of the organization and of the individuals directly affected by its activities. Vital records include both emergency operating and rights-and-interest records. These records are considered part of an agency's COOP.

Sample DRM Appointment Letter

(Command Letterhead)

5210
Ser
Date

From: Commander, (Command Name)
To: Department of the Navy Director of Records (DNS-5),
720 Kennon Street S.E., Bldg 36 RM. 203, Washington Navy
Yard 20374-50740

Subj: APPOINTMENT OF TRIM DATASET RECORDS MANAGER

Ref: (a) OPNAVINST 5210.20
(b) SECNAVINST 5210.8D
(c) SECNAV Manual 5210.1 of November 2007
(d) SECNAV Manual 5210.2 of December 2005

1. Per reference (a), the below listed person has been appointed as the Total Records Information Management (TRIM) dataset records manager (DRM) for Commander, (Command Name). A copy of his or her appointment letter is on file at the command. The appointee and his or her supervisor has been advised to become thoroughly familiar with the requirements in references (a) through (d). This appointment is effective immediately. The following information is provided for this appointment:

Command Name:
Command Address:
DRM's Name:
DRM's e-mail Address:
DRM's Phone Number:
Name of DMR's Supervisor:
Supervisor E-mail Address:
Supervisor Phone Number:

2. This appointment will remain in effect until cancelled or revoked. My point of contact is (individual name), (e-mail), (phone number).

J. A. DOE
By direction

Copy to:
Command Records Manager
OPNAV/DNS-5

Enclosure (2)

OPNAVINST 5210.20
21 Dec 2010

Sample Records Management Appointment Letter

(Command Letterhead)

5210
Ser:
Date

From: Commander (Command Name)
To: Department of the Navy Director of Records (DNS-5),
720 Kennon Street S.E., Bldg 36 RM. 203, Washington Navy
Yard 20374-50740

Subj: APPOINTMENT OF COMMAND RECORDS MANAGER RE: JOHN Q.
PUBLIC

Ref: (a) OPNAVINST 5210.20
(b) SECNAVINST 5210.8D
(c) SECNAV Manual 5210.1 of November 2007
(d) SECNAV Manual 5210.2 of December 2005

1. Effective (date), (name of designee) is assigned the following additional duty: records group manager, records manager, and records coordinator for (activity and field officer code), per reference (a).

2. You are required to become thoroughly familiar with the provisions in references (a) through (d). As command records manager, you shall be responsible for the effective and efficient implementation of the objectives and policies of the Secretary of the Navy's Records Management Program. You shall have oversight responsibility for the maintenance, management and administration of the records management program of (insert command name).

3. This appointment shall remain in effect until cancelled or revoked.

J. A. DOE
By direction

Copy to:
Command Records Manager
OPNAV/DNS-5

Enclosure (3)

Frequently Asked Questions (FAQs)

Defining Records Management

Q1: What is records management?

A1: One common definition is "the field of management responsible for the systematic control of the creation, maintenance, use, and disposition of records. "From a Navy perspective, it is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in records creation, maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations (reference (a), section 2901).

Records management addresses the life cycle of records, i.e., the period of time that records are in the custody of DON. The life cycle usually consists of three stages:

- a. Creation or receipt;
- b. Maintenance and use; and
- c. Disposition.

The DON has established the tools, governance, and policy for maintaining and using records. The governance includes file plans, indexes, controlled vocabularies, taxonomies, data dictionaries, and access and security procedures. The main tool used to manage the disposition of records is the records schedule (reference (c)).

Q2: What requires me to maintain records and establish a records management program?

A2: DON recognizes many government standards as requirements to perform records management. The following are mandatory standards which the Department considers key to maintain records and establish a records management program:

- a. The Federal Records Act (reference (a), chapter 31) states, "The head of each agency shall make and preserve records

containing adequate and proper documentation [and] provide for effective controls over the creation of records in the conduct of current business."

b. Office of Management and Budget Circular A-130 is the basis for why the records management requirement was inserted into the NMCI contract. Section 8a1(k) states all agencies shall, "Incorporate records management and archival functions into the design, development, and implementation of information systems."

c. Reference (d), chapter 12, contains regulations affecting Federal agencies and their records management programs, and discusses the role of NARA and the FRCs.

d. Reference (e) is the NARA adopted, DoD mandated, Federal standard for the design and testing of records management software applications.

e. Reference (j) provides policy and assigns responsibilities for the life-cycle management (creation, maintenance, use, and disposition) of information as records in all media, including electronic, and establishing responsibility for the DON Records Management Program.

f. Reference (c) lists the taxonomy, policy, and procedures for the maintenance, use, and disposition of all DON records.

Q3: What are the benefits of records management?

A3: Records enable and support the Navy's work to fulfill its mission. Every organization, including Navy commands, must address well-defined objectives that add value, either by achieving the organization's goals or by reducing costs. Since records contain information, a valuable resource, it is essential to take a systematic approach to the management of records. Records management:

a. Contributes to the smooth operation of the Navy's programs by making the information needed for decision making and operations readily available;

- b. Helps deliver services in a consistent and equitable manner;
- c. Facilitates effective performance of activities throughout the Navy;
- d. Protects the rights of the Navy, its employees, and its customers;
- e. Provides continuity in the event of a disaster;
- f. Protects records from inappropriate and unauthorized access;
- g. Meets statutory and regulatory requirements including archival, audit, and oversight activities.;
- h. Provides protection and support in litigation;
- i. Allows quicker retrieval of documents and information from files;
- j. Improves office efficiency and productivity;
- k. Provides better documentation more efficiently;
- l. Supports and documents historical events and research;
- m. Frees up office space and share drive space for other purposes by moving inactive records to storage facilities and TRIM; and
- n. Avoids unnecessary purchases of office equipment.

Q4: What are Federal agency responsibilities?

A4: DON is legally required to manage its records. Records are the evidence of the agency's actions. Therefore, the information must be managed properly for the Navy to function effectively and to comply with Federal laws and regulations. Provide and prove steps taken to safeguard records under litigation hold. DON has specific legal requirements for records management, which include:

a. Making and preserving records that contain adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities (reference (a), section 3101).

b. Establishing and maintaining an active, continuing program for the economical and efficient management of the records of the agency (reference (a), section 3102).

c. Establishing safeguards against the removal or loss of records and making requirements and penalties known to agency officials and employees (reference (a), section 3105).

d. Notifying the Archivist of any actual, impending, or threatened unlawful destruction of records and assisting in their recovery (reference (a), section 3106).

Identifying Information to be Stored as a Record

Q1: What information does DON define as a record?

A1: A record is the view of any Navy data; a physical object (paper), image, photo, electronic form, file, email, or structured content. Status of non-records may change to records status if special circumstances exist. If questionable, seek legal opinion from counsel. Formal Federal and Navy definitions include:

a. Reference (a), section 3301 states, "Records include 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 the data in them."

b. Reference (c) contains guidance specific to identifying content that is a DON record. The manual further defines over 7500 unique examples of what a Navy record is. Reference (c) is the authoritative source of guidance for performing records management within the Department.

Q2: What are my responsibilities?

A2: DoD and DON employees are responsible for making and keeping records of their work. DON employees have three basic obligations regarding Federal records:

a. Create records needed to do the business of their agency, record decisions and actions taken, and document activities for which they are responsible;

b. Take care of records so that information can be found when needed. This means setting up good directories and files, and filing materials (in whatever format) regularly and carefully in a manner that allows them to be safely stored and efficiently retrieved when necessary; and

c. Carry out the disposition of records under their control per DON records schedules and Federal regulations.

Dedicating Records Management Resources

Q1: Who designates records management resources for each echelon or command?

A1: Each command is required to follow the guidance within reference (j) for performing records management. Designation of resources is dependent upon the type of resource requested. Some resources, such as enterprise solution funding, are program-level resources and may come from the Deputy Chief of Naval Operations, Information Dominance (N2/N6), NMCI, etc. Other resources, such as personnel, are unique to the records management program of the command and must be obtained through the applicable echelon 2 or major command.

Using Established Records Management Policy

Q1: What is the records management policy for DON?

A1: Records management policy for DON is found in reference (j). Reference (j) provides policy and assigns responsibilities for the life-cycle management (creation, maintenance, use, and disposition) of information as records in all media, including electronic, and establishing responsibility for the DON Records Management Program.

Total Records and Information Management (TRIM)

Q1: What is TRIM and what can it do for my office?

A1: TRIM, developed by Hewlett Packard (HP), is a commercial off the shelf (COTS) application that provides NMCI users with document and records management, e-mail management, Web content management, imaging, workflow and enterprise collaboration. Leveraging embedded records management functions, TRIM enables enterprise users to manage all information, physical and electronic, for every stage of its life, and enables compliance with legislative and regulatory requirements. On NMCI, TRIM is client server based and is available on all 400,000 seats across the network.

TRIM enables DON agencies to proactively capture, classify and manage evidence of their decision making and business activities in an enterprise scalable records management system. Agencies benefit from productivity gains realized through process automation and on-line collaboration. Further, embedding your office's business rules within the application reduces operator learning curves and ensures uniformity of operations through personnel turnover.

Q2: Why TRIM?

A2: TRIM is one of the enterprise software solutions the Navy acquired through NMCI (gold disk or core build) and is the only approved electronic records management tool in OPNAV. Commands have ready access to TRIM from any NMCI workstation.

Q3: Can TRIM integrate with Microsoft (MS) applications?

A3: Yes. Out of the box, TRIM integrates with MS office suites, including Outlook. Additional integration options are readily available with MS SharePoint through Web parts.

Assigning Dataset Administration Roles

Q1: What are the roles required for TRIM administration within the records management program?

A1: The dataset administration tier provides for individual management and customization of the DON dataset baseline to serve the records management processes in the specific Navy echelon or command. There are 42 unique TRIM datasets within the NMCI architecture. Each dataset will have a DRM, who will own and manage the dataset for the Navy command. DNS-5's DON TRIM Context Dataset Records Manager Guide (NOTAL), section 3.4, Dataset Administration Roles, prescribes and defines the required roles of: DRM, TRIM system specialist, dataset security coordinator, implementer, and trainer.

Training End Users

Q1: What training is required for TRIM end-users?

A1: Appropriate training is critical to ensure records management programs are properly structured, records managers are qualified and knowledgeable in regards to record-keeping, and records management application users are capable of utilizing the tools at hand.

Training for end-users is available to all echelons and commands that utilize TRIM via the NKO Web site. Training is under the "E-Learning" tab, search on key word "TRIM." This Web-based training (WBT) allows individuals filling the records management roles to excel in the records management missions of the Department. The Department will also provide a limited amount of classroom training during initial implementations as well as some side seat training to help facilitate a train-the-trainer methodology.

Setting Aside Storage Space for TRIM

Q1: What requires me to establish storage space?

A1: If a DON command creates an electronic record that will not be sent to NARA and or the FRCs, the DON command is responsible for the storage and disposition of that electronic record.

Certain electronic formats are not acceptable to the archives or the FRCs. Therefore, many DON commands must currently save and dispose of these temporary electronic records themselves.

Q2: How do I establish storage space?

A2: Each echelon 2 and major command must provide its own TRIM storage space. Each echelon 2 and major command is responsible for its own TRIM storage on NMCI. NMCI storage is made available via a purchase of dedicated CLIN 0016AA space which will be dedicated for TRIM use only. NMCI offerings range from 10 gigabytes (GBs) to 10 terabytes "trays".

Q3: How much storage space do I need?

A3: It is recommended that at least 100 GB be set aside. This amount is envisioned to allow room for growth. If you assume 100 kilobyte average size for each record or document stored, 100 GB would provide initial storage for 1 million documents. For a claimancy of 10,000 users, this is an average of 10 documents per user.

Q4: How much does NMCI TRIM storage cost?

A4: For a CLIN 0016AA, each 10 GB costs \$31 per month, and 100 GB equals 10 CLIN 0016s for a total of about \$310 per month (or \$3700 a year).

Establishing an Executive Sponsor

Q1: Who is the executive sponsor?

A1: The executive sponsor is a senior employee, usually a flag or Senior Executive Service. The executive sponsor should be assigned by the echelon or command. The individual selected for this position must be capable of helping the organization live up to its commitment to perform records management utilizing the TRIM tool. This organizational champion must have the authority to establish agency priorities and allocate resources needed to develop and grow the records management program. The executive sponsor serves as the executive role model and when necessary, by taking action to institutionalize best practices and implementing programs course correction when necessary.

Designating and Training a TRIM DRM

Q1: Why do I need to designate a TRIM dataset administrator?

A1: The TRIM DRM (TRIM systems specialist) customizes the DON dataset to accurately reflect the structure and records management policies of the organization. Working with the TRIM application, the dataset administrator performs various tasks, such as:

- a. Dataset implementation and administration tasks;
- b. Implementation of TRIM usage policy;
- c. Application usage monitoring and troubleshooting;
- d. Report templates development;
- e. Key configuration elements maintenance including locations, record types, and file plans;
- f. User access registry administration (via TRIM Locations); and
- g. General user support tasks as needed.

Q2: What training is required for TRIM DRMs?

A2: OPNAV/DNS-5 requires each TRIM system administrator to take both of the TRIM online courses provided by NKO (under the "E-Learning" tab). In addition, OPNAV/DNS-5 will pay to have multiple people receive this training during your command's initial implementation. Another good resource is the 4-day TRIM Dataset System Administrator training provided by HP or HP software certified trainer.

Identifying Records Management Business Processes

Q1: What are records management business processes?

A1: Simply stated, these are the internal processes an organization employs to manage (e.g., capture, retain, and disseminate) information that is considered a record.

Q2: How are records management business processes identified?

A2: A qualified individual familiar with the operating processes and records inventory of the agency must lead the effort to prioritize the activities to assess. The assessment begins with a description of the current state of the organization and mapping the processes used in creating and managing records. This represents the "as is" state of a particular process. The organization's stakeholders then convene to define the desired end-state process, also known as the "to be" process. This end-state process is then incorporated into day-to-day operations leveraging TRIM where appropriate for content and records management.

Availability of TRIM within the Command

Q1: Is TRIM available to all DON personnel who generate and save records?

A1: TRIM is currently available to all NMCI seats. DON personnel who do not currently operate in the NMCI environment are not required to use TRIM, but encouraged to do so if no other records management application is in place. Forthcoming policy from the DON CIO will require compliancy with reference (e) for any DON personnel who generate and save records in the NMCI environment, and a functional area manager (FAM) approved records management application be utilized for DON personnel who generate and save records outside of the NMCI environment. Currently, TRIM is the only FAM-approved records management application.

Q2: How do I use TRIM?

A2: Contact your command DRM or OPNAV/DNS-5.

TRIM Sponsorship and Support within DON

Q1: Who is providing funding for TRIM implementation?

A1: OPNAV/DNS-5 has provided financial support to assist in the initial implementation and training initiatives associated with TRIM. A limited amount of funding was provided by CNO, DNS, and the DON Assistant for Administration to help implement TRIM

across SECNAV and OPNAV. Each echelon 2 and major command must fund their implementation, system administrator training, and end-user training for TRIM to their subordinate commands.

System administrator training is a two-day "classroom environment" training session that is provided by OPNAV/DNS-5. OPNAV/DNS-5 also established WBT for end-user and administrators. The WBT is available on the NKO portal under the "E-Learning" tab.

Q2: What is the role of DON CIO and N2/N6?

A2: N2/N6 is considered the "resource center and provider" for Department-wide IT initiatives (programs and projects). OPNAV/DNS-5 is working with N2/N6 to ensure the ERMS (i.e., TRIM) implementation and training issues are considered essential by the Navy and, therefore, receive proper support once N2/N6 has the ability to provide such support. OPNAV/DNS-5 also continues to work with the DON CIO to ensure OPNAV/DNS-5 maintains the proper alignment with all related Department IT and information management initiatives. DON CIO owns the policy piece of records management within DON, and the OPNAV/DNS-5 owns the execution piece within SECNAV and OPNAV.