SECNAVINST 5210.8F
DON/AA (DRMD)
26 Mar 2019

SECNAV INSTRUCTION 5210.8F

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY RECORDS MANAGEMENT PROGRAM

Ref: See enclosure (1)

Encl: (1) References
       (2) Definitions
       (3) Records of Departing Personnel
       (4) Responsibilities
       (5) DON's Approved Records Management Application (RMA)

1. Purpose

    a. Per the authority in reference (a), this instruction
establishes policy and assigns responsibilities for the life
cycle management (creation, maintenance, use, and disposition)
of information as records (defined in enclosure (2)) regardless
of media, including electronic. This instruction also
establishes responsibilities for the Department of the Navy
(DON) Records Management (RM) Program per references (b) through
(i).

    b. This instruction substantially revises SECNAVINST
5210.8E and contains significant changes to RM responsibilities.
It should be read in its entirety.

2. Cancellation. SECNAVINST 5210.8E.

3. Definitions. See enclosure (2).

4. Applicability. This instruction applies to the Offices of
the Secretary of the Navy (SECNAV), the Chief of Naval
Operations (CNO), the Commandant of the Marine Corps (CMC), and
all U.S. Navy (USN), U.S. Marine Corps (USMC) installations,
commands, activities, field offices, and all other
organizational entities within the DON.

5. Policy. It is DON policy to:

a. Manage the life cycle of records (creation, maintenance, use, and disposition), regardless of media, that document the transaction of mission and business to provide evidence of DON operational, logistical, and support transactions. Records also document DON organization, functions, policies, procedures, decisions, and other activities as provided in references (b) through (i);

b. Manage records effectively and efficiently in compliance with references (b) through (i), while protecting the legal and financial rights and interests of the DON and of persons directly affected by DON activities;

c. Identify and manage Federal records, regardless of media. This applies to all records including, but not limited to, paper documents, computer files, and records associated with Electronic Information Systems (EIS);

d. Establish disposition schedules for all DON records, including those contained in EIS, that are approved by the National Archives and Records Administration (NARA) per §1236.26 of reference (c);

e. Establish DON RM policies and procedures for the classification, safeguarding, transmission, and destruction of classified information that are consistent with reference (j);

f. Dispose of DON records, regardless of media, per NARA approved records schedules, per reference (h), so that permanent records are preserved and temporary records are correctly disposed of when their required retention periods expire;

g. Maintain standards and procedures for the DON RM Program, including using a standard system throughout the DON for managing records which allows them to be retrieved quickly and reliably per references (h) and (k);

h. In as much as the DON should consider the benefits of digitizing permanent records created in hard-copy format or other analog formats (e.g., microfiche, microfilm, analog video, etc.), the preservation of records to meet other requirements must also be followed. Such additional requirements include but are not limited to discovery requests, litigation holds, court orders, investigations, congressional inquiries, Executive Branch inquiries, and other documentary material tasks or governmental requests for documentary materials from the DON. References (l) and (m) provide policy and guidance regarding

retention of records in the format in which they existed at the time a request for documentary material was issued. Commands, organizations, and activities must be able to locate, preserve, review, and produce documentary material in any and every format as appropriate, including electronic files and paper documents, when required to do so by proper authority;

    i. Manage electronic records in electronic format to the fullest extent possible per references (b) through (i). The DON is required to manage all electronic mail (email) records in an accessible electronic format and all permanent electronic records in an electronic format per reference (e);

    j. Ensure unstructured electronic records are managed and stored in a DON approved RMA specified in enclosure (5), and ensure that the RMA is certified per reference (n). Email records will be managed per part 1 of reference (h);

    k. Incorporate RM functionality into EIS development and redesign to properly manage EIS records per §1236.6(b) of reference (c). This pertains to new, updated, and existing DON EIS;

    l. Train all DON personnel on records management, including annual refresher training, to comply with references (b) through (i). The training must, at a minimum, include the topics listed in NARA Bulletin 2017-01 (https://www.archives.gov/records-mgmt/bulletins) and §1220.34(f) of reference (c);

    m. Improve and simplify management of records and associated processes in the Department and to automate those processes where appropriate;

    n. Promote the safeguarding of all personal data within records, per reference (o);

    o. Identify and protect essential records in support of the Department's Continuity of Operations (COOP) Program;

        (1) Appropriate measures will be taken to ensure the survival of the originals or copies of essential records in case of emergency or disaster so that they remain accessible and immediately usable;

        (2) Essential records implementation guidance and program guidelines will be issued in reference (p);

p. Respond to requests to locate, preserve, review, and produce documentary material in response to subpoenas, document production requests in litigation, Congressional inquiries, requests from U.S. Government agencies, and other similar requests per reference (q);

q. Manage email records electronically and per the procedures specified in part 1 of reference (h);

r. All reporting, departing, and transferring personnel will comply with the procedures in enclosure (3).

6. <u>Responsibilities</u>. See enclosure (4).

7. <u>Records Management</u>

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page: https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local or higher-level Records Manager or the DRMD program office.

8. <u>Forms and Reports</u>

a. For the Navy, the following Navy forms are available electronically from Naval Forms online: https://www.secnav.navy.mil/doni

(1) SECNAV 5210/2 Archives Records Center Information System (ARCIS) Account Request Form (to be used by the Navy).

(2) SECNAV 5210/4 Records Management Program Self-Assessment (to be used by the Navy).
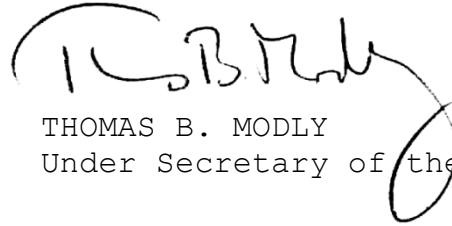
(3) SECNAV 5210/5 Office File Plan. All other forms of this same subject are obsolete (to be used by the Navy).

b. For the Marine Corps, Functional Area Checklist 5210, "Records, Reports, and Directives Management Programs," is available electronically on the Inspector General of the Marine

Corps website at
http://www.hqmc.marines.mil/igmc/Units/Inspections-Division/.

    c. Standard Form (SF) 115 (Rev. 3/91), Request for Records Disposition Authority is available electronically from the NARA website: http://www.archives.gov/records-mgmt/policy/standard-form-115.html.

    d. The reporting requirements contained in enclosure 4, paragraph 5g are exempt from information control, per reference (r), Part IV paragraph 7n.

                  THOMAS B. MODLY
                  Under Secretary of the Navy

Distribution:
Electronic only, via Department of the Navy Issuances website
https://www.secnav.navy.mil/doni/

REFERENCES

(a) SECNAVINST 5430.7R
(b) 44 U.S.C.
(c) 36 CFR 1220-1239
(d) DoD Instruction 5015.02 of 24 February 2015
(e) OMB Memorandum M-12-18, Managing Government Records
    Directive of 24 Aug 2012
(f) 41 CFR 102-193
(g) OMB Circular No. A-130, Management of Federal Information
    Resources of 28 July 2016
(h) SECNAV M-5210.1
(i) SECNAV WASHINGTON DC 071820Z MAY 14 (ALNAV 034/14)
(j) SECNAV M-5510.36
(k) SECNAV M-5210.2
(l) SECNAVINST 5000.37
(m) SECNAV M-5000.3
(n) DoD 5015.02-STD, Electronic Records Management Software
    Applications Design Criteria Standard of 25 April 2007
(o) SECNAVINST 5211.5E
(p) SECNAVINST 3030.4D
(q) SECNAVINST 5000.37
(r) SECNAV M-5214.1
(s) 5 U.S.C.
(t) 32 CFR 700.1127
(u) DoD Directive 5100.03 of 9 February 2011

DEFINITIONS

1. Archives Records Center Information System (ARCIS) is the Information Technology (IT) system for NARA's Federal Records Centers Program and its customers. ARCIS automates and streamlines Federal Records Centers (FRC) workflow processes and is the online portal through which NARA's customer agencies transact business with the FRC.

2. COOP is a DON component's plan for the capability to continue its Mission Essential Functions without unacceptable interruption during a national security emergency (4b of reference (p)).

3. Disposition means those actions taken regarding records no longer needed to conduct the regular current business of the agency (§1220.18 of reference (c)).

4. Documentary Materials is a collective term referring to recorded information, regardless of the medium; or the method or circumstances of recording (§1220.18 of reference (c)).

5. Electronic Information Systems are information systems that contain and provide access to computerized Federal records and other information (§1236.2 of reference (c)). The Defense Travel System is an example of an EIS. A list of all approved Navy EIS will be listed in Department of Defense (DoD) Information Technology Portfolio Repository-Department of the Navy (DITPR DON).

6. Electronic Records Archives (ERA). NARA's system that allows Federal agencies to perform critical records management transactions with NARA online for the first time. Agency records management staff use ERA to draft online ERA Records Schedules and Transfer Requests for records in any format, officially submit those schedules for approval by NARA, request the transfer of records in any format to the National Archives for accessioning or pre-accessioning, and submit electronic records for storage.

7. Electronic Mail System is a computer application used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities (software that transmits files between users but does not retain

any transmission data), data systems used to collect and process data that have been organized into data files or data bases on either personal computers or mainframe computers, and word processing documents not transmitted on an email system (§1236.2 of reference (c)).

8. Electronic Record means any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in §3301 of reference (b) (§1220.18 of reference (c)).

9. Essential Records (formerly vital records) are records the DON needs to meet operational responsibilities during national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the DON and those affected by DON activities.

10. Essential Records Program means the policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect essential records. This is an element of an agency's emergency management function (§1223.2 of reference (c)).

11. File Plan is a plan designating the physical location(s) at which an office's files, regardless of media, are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. It includes a document containing the Standard Subject Identification Code (SSIC), title or description, and disposition authority of files held in an office.

12. Freedom of Information Act (FOIA) 5 U.S.C. §552. An access statue that pertains to agency records of the Executive Branch of the federal government, including the Executive Office of the President and independent regulatory agencies.

13. Information System means the organized collection, processing, transmission, and dissemination of information per defined procedures, whether automated or manual (§1220.18 of reference (c)).

14. Metadata are elements of information that answer the questions 'who, what, where, when, and why' regarding electronic records. Metadata elements provide administrative, descriptive,

and technical information that describe the structure and content of electronic records. Metadata elements also provide contextual information that explains how electronic records were created, used, managed, and maintained prior to their transfer to NARA, and how they are related to other records. This information enables NARA to appropriately manage, preserve, and provide access to electronic records for as long as they are needed.

15. Non-Record Materials are Federally owned informational materials that do not meet the criteria of Federal records found in §3301 of reference (b). Such documents include extra or convenience copies of Federal records, government publications originating in other agencies, non-government periodicals and other materials, and stocks of forms (§1220.18 of reference (c)).

16. Permanent Record means any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody (§1220.18 of reference (c)).

17. Personal Papers are documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the government (§1220.18 of reference (c)).

18. Personally Identifiable Information (PII) is any information or characteristic that may be used to distinguish or trace an individual's identity, such as name, Social Security Number, or biometric records (reference (o)). Records containing such information are subject to restrictions under the Privacy Act (§552a of reference (s)).

19. Preserve means to safeguard or protect for future use. Personnel must retain records in an accessible manner for the time required by either NARA or the DON retention schedule.

20. Recorded Information includes all traditional forms of records, regardless of physical form or characteristics; including information created, manipulated, communicated, or stored in digital or electronic form (§3301 of reference (b)).

21. <u>Records</u> include all recorded information, regardless of form or characteristics, made or received by a Federal agency 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 United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved only for convenience (§3301 of reference (b)).

22. <u>Records Maintenance and Use</u> means any activity involving location of records of a Federal agency; storage, retrieval, and handling of records kept at office file locations by or for a Federal agency; processing of mail by a Federal agency; or selection and utilization of equipment and supplies associated with records and copying (§2901 of reference (b)).

23. <u>Records Management</u> means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records 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 (§2901 of reference (b)).

24. <u>Records Management Applications (RMA)</u> are software used to categorize, locate, store, and retrieve records and identify those that are due for disposition (see enclosure (5)).

25. <u>Retention Period</u> is the length of time that a record must be kept (§1220.18 of reference (c)).

26. <u>Scheduled Records</u> are records with NARA-approved disposition and retention periods.

27. <u>Series, or Records Series</u> means file units or documents arranged according to a filing or classification system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have

some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use (§1220.18 of reference (c)).

28. <u>Transitory Email Records</u> are required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. (General Records Schedule (GRS) 5.2, Item 10).

29. <u>Transitory Records</u> are records required only for a short time (generally less than 180 days) and that are not required to meet legal or fiscal obligations, or to initiate, sustain, evaluate, or provide evidence of decision-making. See GRS 5.2, Item 10 for a detailed description and list of typical transitory records.

30. <u>Unscheduled Records</u> are Federal records whose final disposition has not been approved by NARA on a SF 115, Request for Records Disposition Authority. Such records must be treated as permanent until a final disposition is approved.

31. <u>Unstructured Records</u> are records created using office automation applications, such as word processing, or presentation software, that are not contained in an approved EIS.

RECORDS OF DEPARTING PERSONNEL

1. <u>Legal Requirements</u>

    a. As required by Federal law, regulation or policy, the DON will:

        (1) Preserve records documenting the DON's organization, functions, policies, decisions, procedures, and essential transactions per §3101 of reference (b);

        (2) Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency per §3102 of reference (b);

        (3) Establish safeguards against the removal or loss of records, including notice to DON officials and employees that records in the custody of the DON are not to be alienated or destroyed except in accordance §3301-3314 of reference (b) and the penalties provided by law for unauthorized removal or destruction of records per §3105 of reference (b);

        (4) Notify the Archivist of the United States, of any actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, erasure, or other destruction of records and assist in their recovery per §3106 of reference (b). DON notifications will be made by the relevant Agency Records Officer.

    b. DON records, including email, are subject to the FOIA (§552 of reference (s)).

2. <u>General Requirements</u>

    a. DON records will be managed within the legal framework provided by law, regulation and policy, including this instruction. Per reference (t), no person, without proper authority, will withdraw official records or correspondence from the files, or destroy them, or withhold them from those persons authorized to have access to them.

    b. Per reference (t), no person, without proper authority, will withdraw official records or correspondence from the files, or destroy them, or withhold them from those persons authorized to have access to them.

    c. DON personnel will manage records consistent with the requirements of reference (h), and should refer to this manual for information on where to file and when to destroy DON records. Reference (h) is contained on the DONI website at this web address: (https://www.secnav.navy.mil/default.aspx).

    d. The maintenance of personal records of individuals, including records containing PII, will be in accordance with the Privacy Act and reference (o).

    e. The release of DON records to private parties, will be in accordance with FOIA and directives issued by SECNAV. Records, including email, that are the subject of a FOIA request may not be destroyed.

3. Requirements for Departing Personnel

    a. DON personnel are required to create, maintain, and properly preserve records that document the Department's transaction of business and mission in wartime and peacetime. DON personnel will ensure that legal and general requirements are met prior to their departure from a DON position, service, or employment. The general definition of a record is included in enclosure 2, paragraph 21 of this instruction.

    b. No records, regardless of format, are to be removed from any office as personal property.

    c. Senior leaders are more likely to create agency records and must ensure that such records are identified and transferred to the custody of an appropriate DON official prior to their departure. In the specific case of senior leaders, likely records include those that:

        (1) Document the formulation and execution of basic policies and decisions and the taking of necessary actions;

        (2) Document important meetings;

(3) Facilitate action by DON officials and their successors in office;

(4) Make possible a proper scrutiny by the Congress or other duly authorized agencies of the Government;

(5) Protect the financial, legal, and other rights of the government and of persons directly affected by the government's actions.

d. DON personnel will seek guidance from their servicing FOIA office before disposing of any material that may be subject to FOIA.

e. In some circumstances, DON personnel may remove or dispose of non-records, including personal papers, prior to their departure from a DON position, service, or employment. The following sections contain amplifying information. DON personnel should seek guidance from their servicing records officer prior to destroying such material.

4. <u>Non-records</u>

a. Non-records are any informational material excluded from the definition of records or not meeting the requirements of that definition.

b. Non-record materials are still government-owned and must be protected from unlawful removal. Copies of official records will not be made for the purpose of removal or donation. Non-record materials such as copies of training slides received at a conference, copies of stock publications, and any personal meeting notes may be removed by the departing official without the approval of the command records manager unless the non-records are subject to a litigation hold.

c. Examples include, but are not limited to:

(1) Library and museum material;

(2) Stocks of publications, blank forms, vendor catalogues;

(3) Drafts and/or worksheets, professional journals, copies of directives.

5. <u>Personal Papers (also known as Personal Files)</u>

a. NARA defines "personal papers" as documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the government (§1220.18 of reference (c)).

b. Examples of personal papers include:

(1) Documents created before entering government service;

(2) Private materials brought into, created, or received in the office that were not created or received in the course of transacting government business, e.g., personal correspondence;

(3) Work-related personal documents that are not used in the transaction of government business, e.g., personal medical insurance or trade association membership papers.

c. Management of Personal Papers (§1222.20 of reference (c)):

(1) Information about private (non-agency) matters and agency business must not be mixed in outgoing agency documents, such as correspondence and messages.

(2) If information about private matters and agency business appears in a received document, the document is a Federal record. Agencies may make copies of such documents, delete or redact the personal information, and treat the copies as Federal records.

6. <u>Permission to remove extra copies of Federal records or other government-owned documentary materials</u> must be granted by the appropriate records manager. Approval should be granted only if all of the following conditions are met:

a. Removal would not diminish the official records of the agency.

   b.   The personnel and other resource costs are not
excessive.

   c.   The materials do not contain classified information.

   d.   The information removed is not subject to the Privacy
Act of 1974, as amended (§552a of reference (s)).

   e.   Disclosure of the information removed is not otherwise
prohibited by law or regulation (e.g., proprietary information
or trade secrets).

7.   Additional guidance on proper removal of DON records is
available from DON/AA DRMD for USN and Secretariat activities and
organizations and from Headquarters Marine Corps (HQMC) Records,
Reports, and Directives Management Branch (ARDB) for Marine Corps
commands.   NARA has also provided a guide, Documenting Your
Public Service
(http://www.archives.gov/records-mgmt/publications/documenting-
your-public-service.html).

RESPONSIBILITIES

1. <u>Director, Office of the Chief Information Officer (OCIO)</u>. Per reference (a) and Section 3506 of reference (b), the Director, OCIO, on behalf of the SECNAV, performs the Information Management (IM) and Information Resources Management (IRM) functions of the Department. Under the supervision of the Director, OCIO is responsible for DON records management policy and oversight not otherwise delegated by this instruction. Accordingly, the OCIO will:

    a. Provide strategic direction and oversight of DON RM to ensure consistency with DON IM and IRM functions and compliance with legal and regulatory requirements;

    b. Review and endorse DON RM policies applicable to the DON enterprise or public;

    c. Coordinate with DON/AA for RM tasks that require a consolidated DON response before submission to external organizations.

    d. Initiate annual training notifications that reiterate RM responsibilities to DON personnel.

    e. Advise the DoD CIO, in conjunction with DON/AA, of RM issues within the DON, or issues that could have broad implications across the DoD or between DoD and other government agencies. Cooperate with the DoD CIO in resolving these issues.

    f. Serve as liaison, in conjunction with DON/AA, with Congress, Office of Management and Budget (OMB), Office of the Secretary of Defense (OSD), and NARA on DON RM matters.

    g. As part of the annual investment reviews, ascertain the compliance of each system registered in DITPR-DON with the RM functional requirements detailed in section §1236.20 of reference (c) and reference (h).

2. <u>DON/AA</u>

    a. Act as the Senior Agency Official (SAO) for RM in the DON and fulfill the SAO responsibilities contained in reference

(e). These responsibilities are not intended to infringe in any way upon, or interfere with, the responsibilities of the DON CIO and OCIO to perform the DON's IM and IRM functions. The DON/AA will, in coordination with OCIO, execute and manage the DON RM Program. In this capacity DON/AA will:

  (1) Develop and coordinate standards, procedures, and techniques designed to improve the RM;

  (2) Coordinate with NARA to develop and maintain approved records disposition schedules. This includes scheduling records contained in EIS;

  (3) Ensure periodic evaluations of the DON RM Program are conducted as required by references (c) and (d). The NARA RM Self-Assessment Form, required by NARA to be completed by all Federal agencies annually, is one means of conducting evaluations;

  (4) In coordination with OCIO, establish DON RM policy and guidance to ensure that Departmental records are:

   (a) Created, maintained and used, disposed of, and preserved to adequately document the organization, functions, policies, decisions, procedures, and essential operational, logistical, and support transactions of the DON per references (b) through (i);

   (b) Preserved in order to protect the legal and financial rights of the government and of persons directly affected by DON activities.

  (5) In coordination with OCIO, maintain the DON's RM manual (reference (h)) to ensure DON:

   (a) Maintains NARA approved disposition schedules for DON record series in reference (h) per reference (c), reviewing annually and revising the manual as necessary;

   (b) Delineates procedures and processes necessary to administer and manage an RM program that complies with applicable law, regulation, and policies;

   (c) Monitors compliance with references (b) through

(d), and implements corrective actions as necessary.

(6) In coordination with OCIO, maintain the DON's SSIC manual (reference (k)), reviewing annually and revising as necessary;

(7) Develop and acquire general RM training for all Navy personnel to promote awareness of the DON RM Program, and assign topics to be covered each year, which must always include the topics in §1220.34(f) of reference (c);

(8) Appoint a trained Agency Records Officer per §1220.34 of reference (c) to administer the implementation, maintenance, and evaluation of the Navy Records Management Program;

(9) Serve as liaison, in conjunction with OCIO, with Congress, OMB, OSD, and NARA on DON RM matters.

b. Manage and execute the DON RM Program within the Secretariat and the Office of the CNO (OPNAV) to ensure compliance with this instruction and references (b) through (i). For the Secretariat and the OPNAV, DON/AA will also:

(1) Identify the life cycle management requirements for Secretariat and Navy records;

(2) Ensure trained Records Managers are appointed to lead the implementation of the RM Program Navy wide. The appointed Records Managers will:

(a) Act as a direct liaison with and support the Secretariat for RM execution;

(b) Act as a direct liaison with and support the Offices of the Chief of Naval Operations and the Vice Chief of Naval Operations for RM execution per this instruction.

(3) Ensure that each Secretariat organization, Program Office, OPNAV N-code, and Navy Echelon II command appoints in writing a Records Manager with sufficient authority to implement the objectives and policies of the DON RM Program at that command and subordinate activities. This appointment is inherently governmental in nature and will be filled by a

military or civil service member. The Records Manager will assist in the inventory and collection of senior leader programmatic emails and records per reference (h);

(4) Ensure Records Managers receive adequate training in RM, filing procedures, and records disposition per references (h) and (k);

(5) Ensure prompt retirement or disposal of Secretariat and Navy temporary records and the timely transfer of permanently valuable records per approved disposition schedules;

(6) Apply DoD and DON RM functional and system requirements to the DON's approved RMA (see enclosure (5)), per reference (n);

(7) Ensure that each Secretariat organization, Program Office, OPNAV N-code, and Echelon II Records Managers verify RM compliance of their EISs through DITPR-DON per applicable NARA bulletins and guidance in reference (h) annually and instruct Records Managers to update DITPR-DON with the correct schedule number for any new EIS that is created or already registered under their command that is in need of update. If assignment of a new schedule is required, complete a Records Recommendation change on a SF 115 and submit to the Navy Records Officer. Assist EIS Program Managers (PM) in complying with RM requirements;

(8) Ensure that personal data within records is safeguarded, per reference (o);

(9) Per reference (d), support the Combatant Commanders consistent with reference (i). Manage in-theater, contingency operation, and temporary institution, e.g., joint task force, records throughout their lifecycles, including determination of ownership for each organizational level and unit, so that DON commands own or manage internal records and records they require from lower level organizations (reports, plans, memorandums, etc.) and conduct life cycle management of those records per references (b) through (i);

(10) Support a program to identify and protect essential records as an integral part of the Navy's COOP Program per reference (p);

(11) Advise the Department of Defense Chief Information Officer (DoD CIO), in conjunction with Director, OCIO, of RM issues within the DON, or issues that could have broad implications across the DoD or between DoD and other Government Agencies. Cooperate with the DoD CIO in resolving these issues.

3. <u>CNO</u>. The CNO will ensure USN commands manage their records per this instruction and comply with RM guidance provided by OCIO and DON/AA DRMD.

4. <u>CMC</u>. The CMC will:

    a. Ensure the proper execution and management of the DON RM Program within the USMC;

    b. Identify the life cycle management requirements for USMC records;

    c. Appoint a Records Manager to lead the implementation of the DON RM Program within the USMC;

    d. Ensure each USMC Major Subordinate Command appoints, in writing, a Command Designated Records Manager (CDRM) with sufficient authority to implement the objectives and policies of the DON RM Program at that command and subordinate activities;

    e. Ensure that CDRMs receive adequate training in RM, filing procedures, and records disposition;

    f. Ensure prompt retirement or disposal of USMC temporary records and the timely transfer of permanently valuable records per approved disposition schedules;

    g. Instruct personnel to only use the DON's approved RMA to store unstructured records (see enclosure (5));

    h. Ensure the USMC Records Manager verifies RM compliance of USMC EIS through DITPR-DON per applicable NARA bulletins and guidance in reference (h). This includes submitting SF 115s for unscheduled USMC systems to DON/AA (DRMD) for submission to NARA;

    i. Ensure personal data within records is safeguarded, per reference (o);

j. Ensure all personnel are properly trained to ensure compliance with the DON RM Program and references (b) through (i), and (k);

k. Per reference (d), support the Combatant Commanders consistent with reference (u). Manage in-theater, contingency operation, and temporary institution, e.g., joint task force, records throughout their life cycle, including determination of ownership for each organizational level and unit, so that USMC commands own or manage internal records and records they require from lower level organizations (reports, plans, memorandums, etc.) and conduct lifecycle management of those records per references (b) through (i);

l. Support a program to identify and protect essential records as an integral part of the Marine Corps' COOP Program per reference (p). Ensure that CDRMs participate in the development and implementation of the essential records program.

5. <u>Each USN Echelon II/USMC Staff Agency Head and Marine Corps Commanding General</u> will:

a. Oversee and implement a RM program per this instruction and Service guidance;

b. Will designate;

(1) A Records Manager (Navy)/CDRM (Marine Corps) in writing with authority to execute the Records Management program. For the Navy Echelon II commands, provide a copy of the command appointment letter to DON/AA DRMD within 30 days of appointment. This appointment is inherently governmental in nature and should be filled by a military or civil service member. For the Marine Corps, provide a copy of the appointment letter of primary CDRMs to HQMC ARDB within 90 days of appointment via the Records Management Knowledge Site https://eis.usmc.mil/sites/rmks/SitePages/homepage.aspx. Primary CDRMs are appointed at the HQMC department, division, and separate activity levels, and by commanders at the Marine Corps Force, Marine Expeditionary Force, Marine Corps Installations Command, and subordinate base/station levels. Subordinate CDRMs are appointed at all other subordinate Marine Corps units and managed by the Primary CDRMs.

(2) Command Content Manager (CCM). This can be the same individual as the designated Records Manager.

c. Ensure that Echelon II Records Managers (Navy) and equivalent Marine Corps activities maintain a list of EIS used by their command and include which schedule numbers relate to them and ensure that updates to DITPR-DON are made as needed and annually to reflect the EIS RM requirements per applicable NARA Bulletins and reference (h). For Navy Echelon II records managers, this includes submitting SF 115s to the Navy Records Officer for unscheduled systems. For Marine Corps electronic information system owners, this includes submitting EIS records schedules for unscheduled records through the Marine Corps automated SF 115 process at https://ehqmc.usmc.mil/sites/ard/recman/SF115/SitePages/Home.aspx. Contact HQMC ARDB for further details;

d. Implement policy to ensure protection of command records in compliance with legal and statutory requirements;

e. Ensure personnel receive RM training;

f. Promote timely transfer of records to Federal Records Centers. Ensure Records Managers at all levels use the ARCIS portal to transfer records. Ensure members that require access to ARCIS submit the ARCIS request form to the appropriate Records Manager;

g. Ensure completion of the RM program self-assessment form within 90 days of appointment of a new Echelon II Records Manager and thereafter every three years. Navy commands will use SECNAV 5210/4 form and submit to DON/AA DRMD upon completion. The Marine Corps will use the Functional Area Checklist 5210.

6. USN Echelon II Records Managers will:

a. Provide guidance, leadership, and assistance for their command and subordinate activities or units on matters relating to Records Management. This includes briefing commanding officials on their legal responsibilities for maintaining records and the status of the Records Program under their command;

b. Notify the commanding officer of any weaknesses or deficiencies in the RM program and any corrective actions needed to bring the program into compliance per this instruction;

c. Ensure Echelon III commands have appointed Records Managers;

d. Ensure Echelons have file plans;

e. Conduct an annual file plan review. File plans will be completed on the Office File Plan form prescribed by this instruction or commands may develop their own format if they ensure they include all necessary information in the Office File Plan form;

f. Conduct Records Inspections on Echelon III commands to ensure compliance with this instruction;

g. Ensure that the Capstone Officials list for their command reflects accurately against the list published on the DON/AA DRMD website: (https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx). If a Capstone Official changes, notification will be sent to DON/AA DRMD to include incoming Capstone Official's information;

h. Brief arriving, departing, and transferring personnel per enclosure (3) of this instruction;

i. Ensure that personal data within records are safeguarded, per reference (o);

j. Ensure that personnel are properly trained in the requirements of the DON RM Program per references (b) through (i) and (k);

k. Immediately upon discovery of any unscheduled records, or if there is justification to change the records schedule will complete a SF 115 and submit to DON/AA DRMD;

l. Will manage the NARA assigned record group (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.
Responsibilities of managing the RG include:

        (1) Providing access control to their RG using ARCIS.
Track all records removed from the FRC under their RG, through
ARCIS, and ensure that they are returned to the FRC within 90
days. Maintain a list of personnel who have access to pull
records from FRC within their RG;

        (2) 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. Contact DON/AA DRMD to receive this report;

        (3) Review RG in Electronic Records Archive for eligible
permanent transfer of records to the National Archives of the
United States.

     m. Comply with the requirements of paragraph (9) of this
enclosure.

7. <u>Echelon II or USMC CCM</u> will:

     a. Serve as the Command level administrator for the DON's
approved RMA (see enclosure (5));

     b. Ensure the proper permissions are in place for all users
requiring access to the DON's approved RMA;

     c. Ensure business rules are in place that provide an
organized and efficient structure to enable ease of locating and
filing Navy records in accordance with reference (k);

     d. Assist users of the DON's approved RMA with any
questions. For further training details on the DON's approved
RMA see enclosure (5).

8. <u>DON Activities, Installations, and Commands</u> will:

     a. Ensure that command records are managed per this
instruction and applicable DON and Service specific directives,
regardless of where they are maintained or physically located;

b.   Preserve records that protect the legal and financial rights of the government, the DON, and its personnel;

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

d.   Regardless of routine disposition instructions contained in reference (h), ensure that records involved in a records hold or those that may reasonably be expected to be included in a hold are not destroyed until final disposition authorization has been provided by the Echelon II records officer, HQMC (ARDB), the command legal officer, or other competent authority;

e.   Comply with requests for documentary material per reference (q). Assist the Office of General Counsel and command legal counsel in all DON legal holds and records freezes;

f.   Conduct an inventory or file plan review of all records annually to ensure that they are being properly maintained;

g.   Ensure the command uses electronic filing methods vice paper filing whenever possible per reference (e);

h.   Ensure records of historical value and records of armed conflicts are preserved and transferred to NARA per references (i) and (u);

i.   Ensure PII within records is safeguarded, per reference (o);

j.   Ensure personnel who create and use records are properly trained to ensure compliance with the DON RM Program, and references (b) through (i), and (k);

k.   Ensure that command records managers participate in the development and implementation of the Essential Records Program. Ensure program implementation, monitoring, and testing at least annually.

l.   Ensure that the Essential Records Program is incorporated into the command COOP plan.

9. <u>DON EIS PM</u> will:

    a. Ensure their EIS comply with the guidance contained in reference (h) of this instruction;

    b. Document the RM-related requirements of their EIS in DITPR-DON. See reference (h) for additional guidance;

    c. Collaborate with RM subject matter experts to assess the records related determinations cited in reference (h) and ensure correct information is entered in DITPR-DON. Available RM experts include USN and USMC Records Managers, command Records Managers, and Echelon I and II Records Managers and USMC CDRMs.

10. <u>DON Personnel</u>. DON personnel will create, maintain, properly preserve, and dispose of records that document the Department's transaction of business and mission in wartime and peacetime consistent with the legal and general requirements of enclosure (3). DON personnel will ensure that legal and general requirements are met prior to their departure from a DON position, service, or employment.

DON's APPROVED RECORDS MANAGEMENT APPLICATION (RMA)

1. This enclosure provides information about the most current and approved RMA in use by the DON.

2. The DON's approved RMA will be used to store all Naval unstructured electronic records.

3. This enclosure will be updated anytime there is a change to the DON's RMA.

4. The approved DON RMA is Hewlett Packard Enterprise Records Management (HPE RM). For commands that are remote and/or not on the Navy/Marine Corps Intranet network, the use of the Department of the Navy Tasking, Records and Consolidated Knowledge Enterprise Repository (DON TRACKER) will be used as an alternative to HPE RM to manage electronic records.

5. Training for HPE RM is available on the DON/AA DRMD site: https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx. Training on DON TRACKER is available on the DON TRACKER information site: https://dontracker.navy.mil/share/page/site/help/dashboard.

6. Contact DON/AA DRMD for further questions or information about HPE RM or DON TRACKER.