



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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WASHINGTON DC 20350-1000

SECNAVINST 5210.8E
DUSN (M) (DON CIO)
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SECNAV INSTRUCTION 5210.8E

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY RECORDS MANAGEMENT PROGRAM

Ref: See enclosure (1).

Encl: (1) References
(2) Definitions
(3) Electronic Information System Records Management
Compliance
(4) Electronic Mail Records Management
(5) Records of Departing Personnel
(6) Responsibilities

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 responsibility for the Department of the Navy (DON) Records Management (RM) Program per references (b) through (i).

b. This instruction substantially revises SECNAVINST 5210.8D to conform to current laws and Department of Defense (DoD) guidance. It also reflects reorganized RM responsibilities.

2. Cancellation. SECNAVINST 5210.8D; DON Chief Information Officer (CIO) Memorandum, *DON Electronic RM and Record Electronic Mail (email) Management*, of 15 June 2007; DON CIO Memorandum, *Information System Records Scheduling*, of 12 June 2009; DON CIO Memorandum, *DON Policy for Electronic Recordkeeping in Systems and Applications*, of 21 March 2013.

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 Navy and Marine Corps activities, installations, and commands.

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 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 (EISs).

d. Ensure DON record dispositions are scheduled and approved by the National Archives and Records Administration (NARA) per §1236.26 of reference (c).

e. Ensure policies and procedures for the classification, safeguarding, transmission, and destruction of classified information are followed in every aspect of RM per reference (j).

f. Dispose of DON records, regardless of media, per NARA approved records schedules 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 NARA approved records schedules, in reference (h).

h. Use a standard system throughout the DON for managing records by series that allows them to be retrieved quickly and reliably, and to be disposed of per NARA approved records schedules.

(1) The Standard Subject Identification Code (SSIC) is the standard system of numbers and letters used throughout the DON for categorizing DON records by subject.

(2) Standards and procedures for DON SSICs shall be maintained in reference (k).

i. Designate a Senior Agency Official (SAO) at the Assistant Secretary or equivalent level who is responsible for coordinating with the Agency Records Officer and appropriate agency officials to ensure DON compliance with RM statutes and regulations per reference (e).

j. Manage electronic records in electronic format to the fullest extent possible per references (b) through (i). Per reference (e), the DON is required to manage all electronic mail (email) in an accessible electronic format by 31 December 2016 and all permanent electronic records in an electronic format by 31 December 2019.

k. Acquire and use only records management applications (RMAs) that are certified per reference (l).

l. 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 EISs.

m. Ensure that all Federal records contained in EISs are scheduled with NARA. This applies only to EISs that are owned and operated by the DON.

(1) In many cases, this is simply a matter of applying existing DON disposition schedules in reference (h) or a NARA General Records Schedule (GRS). If no existing schedule applies, the records shall be scheduled using Standard Form 115 (SF 115). After appropriate coordination, SF 115s are submitted through the DON Assistant for Administration, Directives and Records Management Division (DON/AA DRMD) to NARA for approval.

(2) The RM scheduling and functional compliance status for each information system and EIS shall be documented in the DoD Information Technology Portfolio Repository-Department of the Navy (DITPR-DON). RMAs shall be documented in the DON Application and Database Management System (DADMS). For EIS RM compliance and waiver request policy, see enclosure (3).

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

o. Provide adequate training to all DON personnel who create and use records, and to provide RM refresher training at least annually to ensure compliance with references (b) through (i). The training must, at a minimum, include the topics listed in reference (d).

p. Promote the safeguarding of all personal data within records, per reference (m).

q. Support the Department's Continuity of Operations (COOP) Program by identifying and protecting vital records.

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

(2) Vital records implementation guidance and program guidelines shall be issued in reference (n).

r. 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 (o).

s. Manage email records electronically and per the procedures specified in enclosure (4). Emails should be managed per the retention rules for other records of their subject matter.

t. Upon personnel departures, transfer their electronic records from the Navy and Marine Corps enclave networks to the DON's authorized and enterprise-wide tool for RM.

u. Inform departing DON personnel of the restrictions on the removal of documentary materials from government custody. See enclosure (5) guidance.

6. Responsibilities. See enclosure (6).

7. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per reference (h).

8. Forms and Reports

a. The following forms are available electronically from Naval Forms Online:

<https://navalforms.documentservices.dla.mil/web/public/home>

(1) SECNAV 5210/1 (AUG 2015), Records Assistance Checklist.

(2) OPNAV 5210/77 (MAY 2013), Records Management Self-Assessment Checklist.

b. For the Marine Corps, Checklist 061, Marine Corps Records Management Program, is available electronically on the Inspector General of the Marine Corps website at <http://www.hqmc.marines.mil/igmc/Resources/FunctionalAreaChecklists.aspx>.

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

d. The reporting requirements contained in enclosure 6, paragraph 5g are exempt from information control per reference (p), Part IV paragraph 2a(4).


RAY MABUS

Distribution:

Electronic only, via Navy Directives Website

<http://doni.documentservices.dla.mil/default.aspx>

REFERENCES

- (a) SECNAVINST 5430.7Q
- (b) 44 U.S.C., Chapters 29, 31, 33, and 35
- (c) 36 CFR Chapter XII, Subchapter B, Records Management
- (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 November 2000
- (h) SECNAV M-5210.1, Department of the Navy Records Management Manual
- (i) SECNAV WASHINGTON DC 071820Z MAY 14 (ALNAV 034/14)
- (j) SECNAV M-5510.36, Department of the Navy Information Security Program Manual
- (k) SECNAV M-5210.2, Department of the Navy Standard Subject Identification Code (SSIC) Manual
- (l) DoD 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard of 25 April 2007
- (m) SECNAVINST 5211.5E
- (n) SECNAVINST 3030.4C
- (o) SECNAVINST 5000.37
- (p) SECNAV M-5214.1, Department of the Navy Information Requirements (Reports) Manual
- (q) NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records of 29 August 2013
- (r) CJSC Instruction 6510.01F, Information Assurance (IA) and Support to Computer Network Defense (CND) of 9 February 2011
- (s) DoD Manual 5200.01, Volume 3, DoD Information Security Program: Protection of Classified Information of 24 February 2012
- (t) DoD Directive 5100.03, Support of the Headquarters of Combatant and Subordinate Unified Commands of 9 February 2011

DEFINITIONS

1. Continuity of Operations Plan (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 (n)).
2. Disposition means those actions taken regarding records no longer needed to conduct the regular current business of the agency (§1220.18 of reference (c)).
3. 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)).
4. 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 and DITPR-DON are examples of EISs.
5. 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)).
6. 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)).
7. Emergency Operating Records are vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, and related policy or procedural records that assist agency staff in conducting operations under emergency conditions or resuming normal operations after an emergency (§1223.2 of reference (c)).

8. File Plan is a listing of every folder within every record series in an office.

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

10. Metadata is data that provides information about a certain item's content. For example, an image may include metadata that describes how large the picture is, the color depth, the image resolution, when the image was created, and other data. A text document's metadata may contain information about how long the document is, who the author is, when the document was written, and a short summary of the document.

11. Non-Record Materials are Federally owned documentary 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)).

12. 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)).

13. 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)).

14. 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 (m)). Records containing such information are subject to restrictions under the Privacy Act of 1974, as amended (5 U.S.C. 552a).

15. Preserve means to safeguard or protect for future use.

16. 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) PL 113-187).

17. Records include all recorded information, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them; 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), PL 113-187).

18. Records Maintenance and Use 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)).

19. Records Management 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)).

20. Records Management Applications (RMAs) are software used to categorize, locate, store, and retrieve records and identify those that are due for disposition (reference (1)).

21. Retention Period is the length of time that a record must be retained (§1220.18 of reference (c)).

22. Scheduled Records are records with NARA-approved disposition and retention periods.

23. Series, or Records Series, means file units or documents arranged according to a filing 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)).

24. Transitory Email is email with a retention period of 180 days or less (GRS 23, Item 7).

25. Transitory Records are records with retention periods of 180 days or less. See GRS 23, Item 7 for a detailed description and list of typical transitory records.

26. Vital Records are those agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions (emergency operating records) or to protect the legal and financial rights of the government and those affected by government activities (legal and financial rights records) (§1223.2 of reference (c)).

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

ELECTRONIC INFORMATION SYSTEM RECORDS MANAGEMENT COMPLIANCE

1. In addition to complying with Federal statutes and regulations and DoD and DON policies, effective EIS RM facilitates information discovery and visibility, which improves information sharing. Additionally, effective EIS RM facilitates removal of obsolete data, improves security, and helps maintain current, authoritative information sources.

2. DON records associated with an EIS must be approved and scheduled by NARA. In many cases, this is simply a matter of applying existing DON disposition schedules in reference (h) or a NARA GRS.

3. There are two means of properly managing EIS records:

a. The records may be exported to a certified RMA external to the EIS per §1236.20(b) of reference (c).

b. The seven RM functional requirements listed below may be incorporated into the design, development, enhancement, and implementation of the EIS per §1236.20(b) of reference (c). The minimum recordkeeping functional requirements for EISs are:

(1) **Declare records:** Provide unique identifiers to records.

(2) **Capture records:** Collect and properly retain records that were created, imported and/or manually entered into the system or link records to other systems.

(3) **Organize records:** Associate records with approved records schedules and disposition instructions.

(4) **Maintain records security:**

(a) Prevent unauthorized access, modification, or deletion of records.

(b) Ensure that an audit function is in place to track use of and actions on records, e.g., modification, deletion.

(5) **Manage access and retrieval:** Establish appropriate user access rights for record search and retrieval.

(6) **Preserve records:** Ensure that all records in the system are retrievable and usable for as long as needed to conduct agency business and meet NARA approved dispositions. In order to avoid losing records due to media decay or technology obsolescence (including EIS upgrades), the Program Manager (PM) must develop procedures to migrate records and associated metadata to new storage media or formats. Alternatively, the PM might consider pre-accessioning permanent records to NARA. Once pre-accessioned electronic records are accepted by NARA, NARA is responsible for preventing technological obsolescence of the electronic records.

(7) **Execute disposition:** Identify and transfer permanent records to NARA according to approved records schedules. Identify and manage temporary records according to approved records schedules. However, if notified by appropriate authority of a records hold or freeze, identify and retain applicable records regardless of their disposition schedule.

c. System and file backup processes and media normally do not provide the appropriate recordkeeping functional requirements and must not be used for electronic recordkeeping unless they satisfy these criteria.

d. These requirements do not need to be met with automated features such as automated notifications and preset responses. In many cases, systems meet the requirements using existing features and/or manual processes.

4. Resource Considerations. Consideration must be given to where a system is in its life cycle when determining the appropriate resources to expend in complying with this policy. EISs that do not yet comply with the RM functional requirements or whose records are not exported to certified RMAs must submit waiver requests to fulfill DON Enterprise Architecture compliance. The waiver process specific to each stage of the system life cycle is described below.

a. The system is in sustainment or retiring in the near future. In this case, waiving EIS RM requirements may be

appropriate. PMs should contact the DON CIO RM DITPR-DON subject matter expert to determine waiver applicability.

b. The system will be migrating into another system. In this case, the waiver request should identify the system into which the existing system is migrating and state whether the new system meets the RM functional requirements.

c. The system is deployed and RM functionalities are not yet built into the system. In this case, the waiver request must outline the plan to attain compliance or state when a plan will be developed.

d. The system is in pre-deployment and RM functionalities are not yet built into the system. Given their long life expectancy, such systems are the prime focus of this policy. In this case, the waiver request must outline the plan to obtain compliance.

5. Upon retirement of an EIS, any records that it contains with incomplete retention periods must be exported into a certified RMA or, if applicable, migrated to the EIS that is assuming the outgoing system's functions.

6. Waiver requests are submitted through DITPR-DON. Approved waivers are valid for up to 1 year. A waiver request must include justification for the waiver as well as a planned compliance date.

ELECTRONIC MAIL RECORDS MANAGEMENT

1. An email message is a record if it documents the DON mission, provides evidence of a DON business transaction, or otherwise meets the definition of a record as established in reference (b).
2. In general, record emails should be managed electronically per the retention rules for other records of that subject matter, as found in reference (h), except as modified by NARA's GRS 23 Item 7 (transitory files). This policy covers the email message itself, as well as any attachments that meet these criteria.
3. Reference (q) provides a simplified and automated approach to managing email, also known as Capstone.
4. Combining the tenets of paragraphs 2 and 3 of this enclosure, email management shall follow the tiered guidelines below:
 - a. Non-record Email. Delete or remove email that does not meet the definition of a Federal record.
 - b. Transitory Email. Per GRS 23.7, transitory email is record email with a retention period of 180 days or less. Transitory email may be retained in the original email system. Delete transitory email immediately or when no longer needed for reference.
 - c. Email as Part of a Case, Task, or Project File. Retain email that is part of a case, task, or project file in the RMA folder containing the other documents of that file. The folder will be retained per the retention specified in reference (h) (Examples of case, task, and project files include task packages, policy coordination, investigations, litigation and medical cases.).
 - d. General Program Email. Retain general program record email per the dispositions in reference (h).
 - e. DON Senior Official Email. Per reference (q), permanently retain email of DON senior officials that are designated as Capstone officials. Capstone officials include,

at a minimum: SECNAV, Under Secretary of the Navy, CNO, Vice CNO, CMC, and Assistant CMC. In addition, the Services and Secretariat may designate other positions for this category. DON/AA DRMD shall maintain the master list of Capstone officials for the Secretariat and Navy. Headquarters Marine Corps Records, Reports, Directives, and Forms Management Section (HQMC ARDB) shall maintain the master list for the Marine Corps.

(1) Non-record or personal email may be deleted from designated senior official accounts.

(2) Transitory email may be deleted from Capstone Official accounts per guidance in paragraph 2 of this enclosure.

f. Additional Capstone guidance is available from HQMC ARDB for Marine Corps commands and from DON/AA DRMD for Navy and Secretariat commands and organizations.

5. Multiple Email accounts. All email accounts, including organizational accounts assigned to DON staff, shall be managed per this email policy.

6. Email is subject to hold for litigation or other purposes. In the case of a documentary material hold, responsive email shall be preserved according to reference (o).

7. Non-Official Email Accounts

a. In accordance with reference (r), use of personal or commercial e-mail accounts for official business is only allowed in situations in which DoD e-mail accounts cannot be used due to availability or other authorized operational requirement. The Services may provide additional guidance and requirements regarding this situation.

b. The following requirements apply in those cases when non-official accounts are used by necessity. Per §2911 of reference (b), DON personnel that create or send records using non-official electronic messaging accounts, e.g., personal email account, must:

(1) Copy, i.e., "cc", their official electronic messaging account in the original creation or transmission of the record, or

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(2) Forward complete copies to their official electronic messaging account not later than 20 days after the original creation or transmission of the record.

c. In accordance with references (r) and (s):

(1) Use of non-official e-mail accounts to transmit classified information is strictly prohibited.

(2) Neither controlled unclassified information or PII may be sent via non-official e-mail accounts.

RECORDS OF DEPARTING PERSONNEL

1. Legal Requirements:

a. RM is required by Federal law. Among other stipulations, the DON is required to:

(1) Preserve records documenting the DON's functions, policies, decisions, procedures, and essential transactions (44 U.S.C. §3101).

(2) Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency (44 U.S.C. §3102).

(3) Establish safeguards against the removal or loss of records and make requirements and penalties known to agency officials and employees (44 U.S.C. §3105).

(4) Notify the Archivist of the United States of any actual, pending, or threatened unlawful destruction of records and assist in their recovery (44 U.S.C. §3106).

b. DON records including email (particularly those of senior leaders) are subject to the Freedom of Information Act (FOIA) (5 U.S.C. §552).

2. General Requirements:

a. DON records include all recorded information, regardless of physical form or characteristics, made or received by the Department under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the DON or because of the informational value of data in them.

b. Records may be in any media including, but not limited to, paper documents, computer files, email, microfiche, video and audio tape, and data retained in EISs.

c. Reference (h) instructs where to file and when to destroy official records and should be referenced when dealing

with them. All records guidance can be found at <http://doni.daps.dla.mil/SECNAV%20Manuals1/5210.1.pdf>.

d. Records, including email, that are the subject of a FOIA request may not be destroyed.

3. Requirements for Departing Personnel:

a. The general definition of a record is included in paragraph 2a of this enclosure.

b. No records are to be removed from any office as personal property.

c. 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. As stated in paragraph 1b of this enclosure, DON records (including email) are subject to FOIA, which requires release of agency records unless the records fall within one of FOIA's exemptions or exclusions.

(1) Agencies responding to FOIA requests are responsible only for "agency records."

(2) FOIA requires only that the record be:

(a) Created or obtained by an agency, and

(b) Under agency control at the time of the FOIA request.

4. Non-records:

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 shall 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. Personal Papers:

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 (36 CFR §1220.18).

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 (36 CFR §1222.20):

(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. Permission to remove extra copies of Federal records or other government-owned documentary materials 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 (5 U.S.C. §552a).

e. Disclosure of the information removed is not otherwise prohibited by law.

7. Additional guidance on proper removal of DON records is available from DON/AA for U.S. Navy and Secretariat commands and organizations and from HQMC 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. DON CIO. The DON CIO, on behalf of the SECNAV, is responsible for the Information Management and Information Resources Management functions in the Department (per reference (a)). Per §3506 of reference (b), this responsibility includes RM. Accordingly, the DON CIO shall:

a. Act as the SAO for RM in the DON and fulfill the SAO responsibilities contained in reference (e), including reaffirming the DON CIO's role as the DON SAO to NARA by 15 November each year.

b. Act as the coordinating office for RM tasks that require a consolidated DON response before submission to external organizations.

c. Provide strategic direction and oversight of the DON RM Program in conjunction with the DON/AA, and issue DON policy to ensure that Departmental records are:

(1) Created, maintained and used, disposed, 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).

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

d. Initiate annual training that reiterates RM responsibilities to DON personnel. Assign topics to be covered each year, which must always include the topics in reference (d).

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 enclosure (3).

2. DON/AA

a. The DON/AA shall, in coordination with DON CIO, execute and manage the DON RM Program. In this capacity DON/AA shall:

(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 EISs.

(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) Maintain the DON's RM manual (reference (h)) for DON CIO concurrence and SECNAV signature.

(a) Maintain NARA approved disposition schedules (SF 115s) for DON record series in reference (h) per reference (c), reviewing annually and revising the manual as necessary.

(b) Delineate procedures and processes necessary to administer and manage an RM program that complies with pertinent law and regulations.

(c) Monitor DON compliance with references (b) through (d). Implement corrective actions as deemed necessary.

(5) Maintain the DON's SSIC manual (reference (k)) for DON CIO concurrence and SECNAV signature, reviewing annually and revising the manual as necessary.

(6) Develop and acquire general RM training for all personnel who create or use records and promote awareness of the DON RM Program.

(7) Appoint a trained Agency Records Officer per reference (e).

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

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

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

(2) Provide a trained Records Manager to lead the implementation of the DON RM Program within the Secretariat and perform the duties of the Navy Records Manager. The appointed records manager shall:

(a) Act as a direct liaison with and support the Offices of the Secretary of the Navy and the Under Secretary of the Navy 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.

(3) Ensure that each Secretariat organization, Program Office, OPNAV N-code, and Navy Echelon II command appoints in writing a Records Officer with sufficient authority to implement the objectives and policies of the DON RM Program at that command and subordinate activities. The Records Officer shall assist in the inventory and collection of senior leader programmatic emails and records per reference (h).

(4) Ensure Records Officers receive adequate training in RM, filing procedures, and records disposition.

(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, per reference (l), to all RMAs. Ensure that

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 enclosure (3). Assist EIS PMs in complying with RM requirements.

(7) Ensure that personal data within records is safeguarded, per reference (m).

(8) Ensure that personnel who create and use records are properly trained in the requirements of the DON RM Program and references (b) through (i), and (l).

(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 vital records as an integral part of the Navy's COOP Program per reference (n).

(11) Advise the DoD CIO, in conjunction with DON CIO, 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. CNO. The CNO shall ensure U.S. Navy commands manage their records per this instruction and comply with RM guidance provided by DON CIO and DON/AA DRMD.

4. CMC. The CMC shall:

a. Ensure the proper execution and management of the DON RM Program within the U.S. Marine Corps (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. Apply DoD and DON RM functional and system requirements, per reference (l), to all RMAs.

h. Ensure the USMC Records Manager verifies RM compliance of USMC EISS through DITPR-DON per applicable NARA bulletins and guidance in enclosure (3). This includes submitting SF 115s for unscheduled USMC systems to DON/AA (DRMD).

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

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 (l).

k. Per reference (d), support the Combatant Commanders consistent with reference (t). 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 life cycle management of those records per references (b) through (i).

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

5. EACH U.S. NAVY ECHELON II / U.S. MARINE CORPS STAFF AGENCY HEAD AND MARINE CORPS COMMANDING GENERAL shall:

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

b. Designate a Records Manager (Navy) / CDRM (Marine Corps) in writing. For the Navy, provide a copy of the command appointment letter to DON/AA DRMD within 30 days of appointment. For the Marine Corps, provide a copy of the appointment letter of primary CDRMs to HQMC ARDB within 90 days of appointment. Primary CDRMs are appointed at the HQMC department, division, and separate agency levels, and by commanders at the Marine Corps Force, Marine Expeditionary Force, Marine Corps Installations Command, and subordinate base/station levels.

c. Update DITPR-DON as needed to reflect IT system RM requirements per applicable NARA Bulletins and enclosure (3). For Navy Echelon II records managers, this includes submitting SF 115s to the Navy Records Manager 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. 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.

g. Complete the RM self-assessment checklist within 90 days of the signature date of this instruction and then every 3 years thereafter. Navy commands will use OPNAV 5210/77. The Marine Corps will use the Automated Inspection Reporting System checklist.

6. DON ACTIVITIES, INSTALLATIONS, AND COMMANDS shall:

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 (o). Assist the Office of General Council 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 reference (i) and (t).
- i. Ensure PII within records is safeguarded, per reference (m).
- 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 (l).
- k. Ensure that command records officers and records managers participate in the development and implementation of the Vital Records Program. Ensure program implementation, monitoring, and testing at least annually.
- l. Ensure that the Vital Records Program is incorporated into the command COOP plan.

7. DON EIS AND RMA PMs shall:

a. Ensure their EISs and/or RMAs comply with the guidance contained in enclosure (3) of this instruction.

b. Document the RM-related requirements of their EISs in DITPR-DON and RMAs in DADMS. Enclosure (3) provides additional guidance.

c. Collaborate with RM subject matter experts to assess the records related determinations cited in enclosure (3) and ensure correct information is entered in DITPR-DON. Available RM experts include U.S. Navy and USMC Records Managers, command records managers and officers, and Echelon II and USMC CDRMs.