

NAVY RECORDS MANAGEMENT PROGRAM COMMAND PROGRAM GUIDE

- Ref: (a) SECNAVINST 5210.8D, *Department of the Navy Records Management Program*, 31 December 2005
- (b) SECNAV Manual M-5210.1, *Department of the Navy, Navy Records Management Program, Records Management Manual*, 16 November 2007
- (c) SECNAV Manual M-5201.2, *Department of the Navy, Standard Subject Identification Codes (SSIC) Manual*, 25 July 2008
- (d) DON CIO Memorandum, *Department of the Navy Electronic Records Management and Record Electronic Mail (E-Mail) Management*, 15 June 2007
- (e) DoD 5015.2-STD, *Electronic Records Management Software Applications Design Criteria Standard*, April 25, 2007

Encl: (1) Records Management Self-Evaluation Checklist

Purpose. The purpose of this document is to provide U.S. Navy commands, activities, and offices, and SECNAV Secretariat offices with a means to evaluate compliance of their Records Management (RM) Programs. The Automated Inspection Reporting System (AIRS) checklist 61, *Marine Corps Records Management Program*, is a similar document applicable to the U.S. Marine Corps.

Records Management (RM). Department of Navy (DON) records are documentary materials, regardless of physical form or characteristics, made or received by a DON command, activity, or office (DON organizations) that provide evidence of an organization's organization, functions, policies, procedures, decisions, operations, and other activities. (44 USC 3301)

Every DON organization creates and uses records. In fact, if we didn't create records, we would be in violation of law and Department of Defense (DoD) direction that requires us to create, maintain, and preserve records that document the DON's transaction of business and mission in wartime and peacetime. Records also provide information necessary to protect the legal and financial rights of the Government and of persons directly affected by DON activities. (USC 44 3101 and DoDD 5015.2)

DON organizations are also required by statute, federal regulations, and directives to manage records in accordance with prescribed procedures and processes. For the DON, references (a) through (e) provide the source documentation for these processes and procedures. Reference (a) provides DON RM Program policy and delineates authorities and responsibilities of that program. Reference (b) describes RM procedures and is the authoritative source for DON records disposition schedules. These procedures apply to paper records, electronic records, and to records in any other medium. Reference (c) is the source for DON filing procedures and the standard subject identification codes (SSIC). Reference (d) provides policy regarding electronic records and record e-mail. Reference (e) is the standard by which electronic record management applications (RMA) must be certified to be used within DoD.

Electronic Records Management. Special mention must be made of electronic records because a significant and ever increasing portion of the Department's records are created, used, and/or stored electronically. An electronic record is information that is recorded in a form that only a computer can process and that satisfies the definition of a federal record. References (b) and (d) provide more detail on electronic records in general and record e-mail in particular. Electronic Mail (e-mail) comprises a significant subset of electronic records. A record e-mail is an electronic mail message that meets the criteria for being a federal record and therefore, must be managed as a record.

Part I – Records Management Program Administration

1. (a) For Echelon II commands, has a Records Officer been appointed in writing? (SECNAVINST 5210.8D, paragraph 7b(2)(d))

YES NO NA **Remarks:**

- (b) For Non-Echelon II USN commands, has a Records Manager/Officer been appointed?

YES NO NA **Remarks:**

- (c) Within the DON Secretariat, has a records liaison been appointed, in writing, for each Civilian Executive Assistant and Staff Assistant? (SECNAVINST 5210.8D, paragraph 7d(3))

YES NO NA **Remarks:**

2. Are the following references on hand?
- a. SECNAVINST 5210.8D, *Department of the Navy Records Management Program*, 31 December 2005
 - b. SECNAV Manual M-5210.1, *Department of the Navy, Navy Records Management Program, Records Management Manual*, 16 November 2007
 - c. SECNAV Manual M-5201.2, *Department of the Navy, Standard Subject Identification Codes (SSIC) Manual*, 25 July 2008
 - d. DON CIO Memorandum, *Department of the Navy Electronic Records Management and Record Electronic Mail (E-Mail) Management*, 15 June 2007

YES NO NA **Remarks:**

NOTE: SECNAV instructions and manuals are available at www.doni.daps.dla.mil; the DON CIO Memo is available on at www.doncio.navy.mil.

3. (a) Have personnel that create and use records been trained to ensure compliance with the DON Records Management Program? (SECNAVINST 5210.8D, paragraph 7b(2)(i))

YES NO NA **Remarks:**

- (b) Is the training documented?

YES NO NA **Remarks:**

NOTE: Four web-based training courses are available at Navy Knowledge Online (NKO): *Records Management in the DON: Everyone's Responsibility*; *DON Records Management: Advanced Topics*; *TRIM Context via the NMCI (Entry)*, and *TRIM Context via the NMCI (Advanced)*. To access these courses, log on to NKO (<http://www.nko.navy.mil/>), under "Learning", select "Navy e-Learning", select "Browse Categories", select "Department of the Navy (DON) Training", and select the DON Records Management training subcategory.

Command/Activity/Office: _____

Date: _____

4. (a) Have all personnel received an annual reminder of their records responsibilities to include, at a minimum, the five specific topics delineated in SECNAVINST 5210.8D paragraph 7a(3)?

YES NO NA **Remarks:**

- (b) Is the training documented?

YES NO NA **Remarks:**

NOTE: Completing the NKO web-based course, *Records Management in the DON: Everyone's Responsibility*, fulfills this requirement.

5. Vital Records Plan:

- (a) Does the activity have a Vital Records Plan incorporated into their Continuity of Operations (COOP) plan? (SECNAVINST 5210.8D, paragraph 6k and SECNAV Manual M-5210.2, Chapter 1, paragraph 2d)

YES NO NA **Remarks:**

- (b) Does the plan contain the requisite provisions? (SECNAV Manual M-5210.1, Appendix H, paragraph 5)

YES NO NA **Remarks:**

- (c) Is the plan reviewed annually? (SECNAV Manual M-5210.2, Chapter 1, paragraph 2d)

YES NO NA **Remarks:**

Part II – Records Keeping Requirements

1. Does the organization maintain records sufficient to provide evidence of it's functions, policies, procedures, decisions, organization, and operational, logistical, and support transactions? (SECNAV Instruction 5210.8D, paragraph 6a)

YES NO NA **Remarks:**

2. Are records created, received, or maintained for the government by contractors managed in accordance with SECNAV Manual M-5210.1? (SECNAV Manual M-5210.1, Part I, paragraph 16)

YES NO NA **Remarks:**

3. Are electronic records, including record e-mails (i.e. e-mail that meets the definition of being a record), saved in one of the following manners?

- (a) Electronic records, including record e-mail, may be printed and the appropriate records retention schedule applied in accordance with existing paper-based records management procedures.

YES NO NA **Remarks:**

(b) Electronic records, including record e-mail, with attachments, may be transferred and managed by a records management application (RMA) that is compliant with DoD 5015.2 STD. (e.g. TRIM)

YES NO NA **Remarks:**

(c) In the case of record e-mail, is the following metadata, at a minimum, included: message text, attachments, sender and recipient names, transmission date, and any receipt data? (SECNAV Manual M-5210.1, Part I, paragraph 17d and DON CIO Memo, *DON Electronic Records Management and Record E-Mail Management*, 15 June 2007)

YES NO NA **Remarks:**

4. Is the records management application (RMA) used to store electronic records, including record e-mails, certified in accordance with DoD 5015.2 STD Electronic Records management *Software Application Design Criteria Standard*, April 25, 2007 (e.g. TRIM)? (SECNAV Manual M-5210.1, Part I, paragraph 17 and DON CIO Memo, *DON Electronic records Management and record E-Mail Management*, 15 June 2007)

YES NO NA **Remarks:**

NOTE: Share drives, hard drives, and other forms of computer memory are NOT compliant records storage solutions.

5. Are records that contain personally identifying information (PII) appropriately filed and safeguarded? (SECNAVINST 5210.8D, paragraph 6j)

YES NO NA **Remarks:**

6. Are classified records appropriately stored and destroyed? Is access to classified records appropriately controlled? (SECNAV Manual M-5210.1, Part 1, paragraph 4)

YES NO NA **Remarks:**

7. Have vital records been identified? (SECNAV Manual M-5210.2, Chapter 1, paragraph 2d)

YES NO NA **Remarks:**

8. Are incidents in which records are accidentally destroyed reported to the CNO (DNS-5)? (SECNAV Manual M-5210.1, Part I, paragraph 6)

YES NO NA **Remarks:**

Part III – Records Filing Procedures

1. Are SSICs assigned to all records? (SECNAV Manual M-5210.2, Introduction, paragraph 1 and Chapter 2, paragraph 1)

YES NO NA **Remarks:**

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Command/Activity/Office: _____

Date: _____

2. Are record files centrally managed within the activity: (SECNAV Manual M-5210.2, Chapter 1, paragraph 2a)

YES NO NA **Remarks:**

3. Are personnel assigned the responsibility to coordinate all activity files? (SECNAV Manual M-5210.2, Chapter 1, paragraph 2a(1))

YES NO NA **Remarks:**

4. Are the file procedures periodically reviewed? (SECNAV Manual M-5210.2, Chapter 1, paragraph 2a(5))

YES NO NA **Remarks:**

5. Does the activity file plan contain a list of record categories, as well as disposition dates for each record file, record type and/or group? (SECNAV Manual M-5210.2, Chapter 1, paragraph 2c)

YES NO NA **Remarks:**

6. Have cut off dates (e.g. general correspondence files at the end of each calendar year and budget and accounting files at the end of each fiscal year) been established? (SECNAV Manual M-5210.2, Chapter 1, paragraph 5 and SECNAV Manual M-5210.1, Part I, paragraph 11a(1))

YES NO NA **Remarks:**

7. Are case files closed when action has been completed or upon the occurrence of a particular event or action? (SECNAV Manual M-5210.2, Chapter 1, paragraph 5 and SECNAV Manual M-5210.1, Part 1, paragraph 11a(2))

YES NO NA **Remarks:**

8. Are records (in any media including paper and electronic files) organized in such a way as to facilitate their management throughout their lifecycle? (SECNAV Manual M-5210.2, Introduction, paragraph 3)

YES NO NA **Remarks:**

9. Is there a procedure in place for keeping track of documents removed from the files? (SECNAV Manual M-5210.2, Chapter 1, paragraph 4)

YES NO NA **Remarks:**

10. For non-electronic media, is disposal control guidance for each record series posted on file cabinets, drawers, guides, or file folders, as appropriate? (SECNAV Manual M-5210.1, Part II, paragraph 6d)

YES NO NA **Remarks:**

11. For non-electronic media, are non-current (cut off) or terminated files moved to a lower file drawer or to other less convenient office space? (SECNAV Manual M-5210.1, Part I, paragraph 11b)

YES NO NA **Remarks:**

12. Are personal papers clearly marked as such and filed separately from the official records of the office? (SECNAV Manual M-5210.1, Part I, paragraph 14b)

YES NO NA **Remarks:**

Part IV – Records Disposition Program

Note: Changing the location of records within an activity is generally referred to as records retirement. Changing custody responsibility of records to a different activity or government organization is the transfer of records. (SECNAV Manual M-5210.1, Part I, paragraph 7)

1. Is an annual inspection and review of local disposal procedures conducted to ensure that:

(a) Record disposal and retention procedures are current, adequate, understood, and applied regularly and effectively. (SECNAV Manual M-5210.1, Part II, paragraph 5d(1))

YES NO NA **Remarks:**

(b) Proper retention standards have been applied to all accumulated records. (SECNAV Manual M-5210.1, Part II, paragraph 5d(2))

YES NO NA **Remarks:**

2. Are appropriate disposal actions applied promptly to eligible records? (SECNAV Manual M-5210.1, Part II, paragraph 6e)

YES NO NA **Remarks:**

(a) Are records with expired retention periods destroyed? (SECNAV Manual M-5210.1, Part I, paragraphs 12 and 12b and Part II, paragraph 6e(1))

YES NO NA **Remarks:**

(b) Are inactive records that will be destroyed locally retired to a local storage area? (SECNAV Manual M-5210.1, Part II, paragraph 6e(2))

YES NO NA **Remarks:**

(c) Are long-term records not eligible for destruction in the near future transferred to the appropriate Federal Records Center (FRC)? (SECNAV Manual M-5210.1, Part II, paragraph 6e(3))

YES NO NA **Remarks:**

Records Management Self Evaluation Checklist (Ver 1/09)

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(d) Are command records held by an FRC destroyed when eligible (subject litigation and other freezes and holds)? Does the command properly review and return NA Form 13001, "Notice of Intent to Destroy Records"? (SECNAV Manual M-5210.1, Part I, paragraph 9)

YES NO NA **Remarks:**

(e) Are permanent records identified, marked, and transferred to the FRC? (SECNAV Manual M-5210.1, Part II, paragraph 1a)

YES NO NA **Remarks:**

3. Are records transferred to NARA, other government agencies including DoD and DON components, and non-government agencies, processed in accordance with appropriate procedures? (SECNAV Manual M-5210.1, Part I, paragraph 7b, c, d, and e)

YES NO NA **Remarks:**

4. Are the appropriate provisions and procedures followed to transfer records to the FRC? (SECNAV Manual M-5210.1, Part I, paragraphs 7a and 8, and Appendix A)

YES NO NA **Remarks:**

5. Does the local storage area, utilized for storing retired (cut-off/terminated/closed) records, comply with the requirements per SECNAV Manual M-5210.1, Appendix F? (SECNAV Manual M-5210.1, Part I, paragraph 12a)

YES NO NA **Remarks:**

6. Are electronic records, including record e-mails, which are saved in an RMA linked to a disposition authority? (SECNAV Manual M-5210.2, Introduction, paragraph 3)

YES NO NA **Remarks:**

7. Are records not covered by the retention standards in Part III of SECNAV Manual M-5210.1 retained and reported to the Records Manager and, via chain of command to CNO (DNS-5)? (SECNAV Manual M-5210.1, Part II, paragraph 4)

YES NO NA **Remarks:**

8. Are records management requirements incorporated into automated information systems development and redesign, in coordination with acquisition and requirements organizations? (SECNAVINST 5210.8D, paragraph 7a(6))

YES NO NA **Remarks:**