



DEPARTMENT OF THE NAVY

CHIEF INFORMATION OFFICER  
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WASHINGTON DC 20350-1000

15 June 2007

MEMORANDUM FOR DISTRIBUTION

Subj: DEPARTMENT OF THE NAVY ELECTRONIC RECORDS MANAGEMENT AND RECORD ELECTRONIC MAIL (E-MAIL) MANAGEMENT

- Ref:
- (a) Title 44 United States Code, Section 3301
  - (b) SECNAVINST 5210.8D, Department of the Navy Records Management Program, of 31 Dec 05
  - (c) SECNAV Manual 5210.1, Department of the Navy, Navy Records Management Program, Records Management Manual, of Dec 05
  - (d) ASD memo, Electronic Mail Records and Electronic Mail Retention Policies for the Department of Defense (DoD), of 22 May 05 (NOTAL)
  - (e) DoD 5015.2-STD, Electronic Records Management Software Applications Design Criteria Standard, of 25 Apr 07
  - (f) National Archives and Records Administration General Records Schedule 20 (NARA GRS 20), Electronic Records
  - (g) Title 36 Code of Federal Regulations, Part 1234
  - (h) NAVMC DIR 5210.11E , Marine Corps Records Management Program, of 15 May 06
  - (i) OPNAVNOTE 5210, Designation of Navy Functional Area Manager (FAM) Approved Records Management Solution For All Chief of Naval Operations (CNO) Commands, of 28 Jul 06

This memorandum provides the Department of the Navy (DON) policy for electronic records management (ERM) and, in particular, for record and non-record electronic mail (e-mail).

Federal records are documentary materials – in any medium – that satisfy the definition of a record as stated in reference (a). **This includes e-mail.** The DON Records Management Program requires that the DON identify and manage all records sufficient to: (1) document the policies and transactions of the Department, (2) secure the information necessary to protect legal and financial rights of the Government and of persons directly affected by DON activities, and (3) provide the historical record of the organization, functions, policies, procedures, operations, decisions and other activities of the Department.

An electronic record is any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in reference (a). Reference (b) delineates the authorities and responsibilities of the DON Records Management Program. Reference (c) is the authoritative source for Departmental records management and disposition procedures. These procedures apply to paper records, electronic records, or to records in any other medium.

**Electronic Mail (e-mail)**

An e-mail may or may not be a record. A record e-mail is an electronic mail message that meets the criteria for being a Federal record in accordance with the definition cited in reference (a).

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With one caveat, record e-mail must be managed in one of two ways (references (c) and (d)). The record e-mail may be printed and the appropriate records retention schedule applied in accordance with existing paper-based records management procedures. Second, record e-mail and its attachments may be transferred and managed by a records management application (RMA) that is compliant with reference (e). In either case, the record must include the following metadata: message text, attachments, sender and recipient names, transmission date, and any receipt data. As discussed further below, use of an RMA is strongly recommended.

Record e-mail and any attachments should be deleted from the e-mail system after they have been copied to a paper-based system or an appropriate RMA. Non-record e-mail should generally be deleted from the e-mail system, when practical, within 180 days of creation or receipt (references (d) and (f)) unless an applicable document hold is in effect.

The caveat cited above involves record e-mail with very short-term retention periods. In March 2006, the National Archives and Records Administration (NARA) revised reference (g). Per this revision, a command may elect to manage record e-mail with retention periods of 180 days or less on the e-mail system itself, provided such messages are not deleted, either manually or automatically, before the expiration of their retention period.

In no event should any e-mail be deleted if it is subject to any type of hold or may be reasonably related to ongoing or potential litigation or investigation. Additionally, it should be noted that non-record e-mail may qualify as agency records if it relates to a request for information under the Freedom of Information Act.

Most importantly, if there are any doubts about whether a specific e-mail is to be retained, err on the side of retention. Records Management training is available online through Navy e-Learning on Navy Knowledge Online (NKO). (Search on the key words "records management.") Among other things, these courses will assist personnel in determining whether specific items constitute a Federal record. Efforts are underway to make these courses available on MarineNET.

**Electronic Records Management (ERM)**

As stated above, the preferred method for managing record e-mail is to use a RMA that is compliant with reference (e). The same is true for other types of electronic records. To expand the guidance of reference (c) (Part I, 17), electronic records may also be managed by printing them and applying the appropriate records retention schedule. Reference (h) addresses ERM for the Marine Corps.

Record management applications provide an opportunity for the DON to significantly improve records management practices by improving business processes, reducing the records management burden on DON personnel, and reducing costs associated with storing and servicing Department records at Federal Records Centers.

The RMA Total Records and Information Management (TRIM) Context is available through NMCI. In fact, by reference (i), all Chief of Naval Operations' commands on NMCI are directed to

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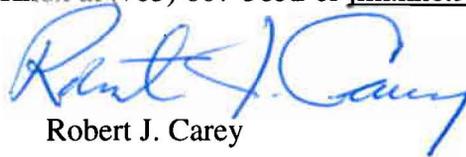
use TRIM Context for electronic records management. Most activities will need assistance with initial implementation from the TRIM Dataset Records Manager at their Echelon II headquarters. Storage for the TRIM application may be obtained through CLIN 16 (Additional File Share Services) of the NMCI contract. Non-CNO DON commands and CNO commands without NMCI may use TRIM Context, available via a Department of Defense enterprise license agreement, or another RMA if it is FAM approved and certified in accordance with reference (e).

Commands using TRIM have a tool that minimizes the effort to properly manage record e-mail. In fact, TRIM provides two easy means of filing these records. First, users may select a record e-mail and use TRIM buttons installed on the Outlook Toolbar to file that e-mail in any TRIM folder to which the user has permission. Second, users can create folders in their Outlook Mail Folders that automatically link to specific TRIM folders. When a record e-mail is dragged to one of these Outlook folders, it automatically moves to the linked TRIM folder. The number of folders depends on user needs. TRIM training is also available through Navy e-Learning on NKO. (Search on the key word "TRIM.") The first course provides an introduction to the application, and the second course discusses advanced TRIM usage.

**Conclusion**

By statute, the DON is required to correctly manage its records. More than a legal responsibility, effective records management protects the rights of the Department, provides continuity in the event of disaster, and provides improved usage of our documents, information, and knowledge. Since a significant and ever-increasing portion of these records are created, used, and/or stored electronically, it is imperative that we effectively manage our electronic records.

My point of contact is Mr. Jim Knox at (703) 607-5652 or [jim.knox@navy.mil](mailto:jim.knox@navy.mil).



Robert J. Carey

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