NAVY RECORDS MANAGEMENT PROGRAM
COMMAND PROGRAM GUIDE

Ref: (a) SECNAVINST 5210.8D, Department of the Navy Records Management Program, 31 December 2005
(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
   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 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.
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 its 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:
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 I, 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:
(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: