



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, D.C. 20350-2000

IN REPLY REFER TO

SECNAVINST 5210.8D
DONCIO
31 Dec 2005

SECNAV INSTRUCTION 5210.8D

From: Secretary of the Navy

Subj: **DEPARTMENT OF THE NAVY RECORDS MANAGEMENT PROGRAM**

Ref: (a) DOD Directive 5015.2 of 6 Mar 00
(b) Title 36, Code of Federal Regulations, Chapter XII, Subchapter B, Records Management
(c) Title 44 United States Code, Chapters 29, 31, 33, and 35
(d) Title 41, Code of Federal Regulations, Part 102-193
(e) OMB Circular No. A-130
(f) DOD 5015.2-STD, Design Criteria Standard for Electronic Records Management Software Applications, of 19 Jun 2002
(g) DOD Directive 5400.11 of 13 Dec 99
(h) SECNAVINST 5211.5D
(i) SECNAVINST 5430.7N
(j) DOD Directive 5100.3 of 15 Nov 99

Encl: (1) Definitions

1. Purpose. To implement the provisions of references (a) through (e) by providing revised policy and assigning responsibilities for the life-cycle management (creation, maintenance, use, and disposition) of information as records in all media, including electronic, and establishing responsibility for the Department of the Navy (DON) Records Management Program. Additionally, to provide policy for the identification and protection of vital records. This instruction has been revised substantially and should be reviewed in its entirety.

2. Cancellation. SECNAVINST 5210.8C, SECNAVINST 5210.11D, SECNAVINST 5210.15A, and SECNAVINST 5212.5D.

3. Applicability and Scope. This directive 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.

4. Definitions. Definitions used in this instruction are located in enclosure (1).

5. Background

a. The Department of the Navy (DON) creates and uses myriad records of many different types, formats, and media to execute its mission. By statute and regulation, the Department is required to efficiently and effectively manage these records. Effective records management provides the facts and information required to support effective decision-making and task accomplishment. Records also document the facts supporting the history of the Department.

b. Proper records management begins with ensuring the creation of records sufficient to document the operations, policies and transactions of the Department and to provide information necessary to protect the legal and financial rights of the Government and of persons directly affected by DON activities. The DON Records Management Program also provides for records maintenance, use, and disposition.

c. A significant and ever increasing portion of the Department's records are created, used, and/or stored electronically. These records must be managed as stringently as records in any other medium. Electronic records include information that may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. Electronic Mail (Email) records comprise a significant subset of electronic records that need to be appropriately created, maintained, used, and disposed of.

d. An important subset of records management is the management of vital records. The DON Vital Records Program is conducted to identify and protect those records that specify how the Department will operate in case of emergency or disaster, those records vital to the continued operations of the DON during and after an emergency or disaster, and records needed to protect the legal and financial rights of the DON and of persons affected by its actions. Vital records are identified in the course of contingency planning activities.

6. Policy. It is DON policy to:

a. Create, maintain, and preserve information as records, in any media, that document the transaction of business and mission to provide evidence of DON organization, functions, policies, procedures, decisions, and operational, logistical, and support transactions and other activities as provided in references (a) through (f).

b. Manage records effectively and efficiently in compliance with references (a) through (f), while protecting the legal and financial rights and interests of the DON and of persons directly affected by DON activities. Economical, efficient, and reliable means shall be used for creation, retrieval, maintenance, preservation, and disposition of records in any media. Security considerations shall be incorporated in every aspect of records management.

c. Dispose of DON records, regardless of format or medium, in accordance with approved records schedules so that permanent records are preserved and temporary records are correctly disposed of when their required retention period expires. DON implementing and procedural guidance regarding the DON Records Disposition Program, including approved records schedules, shall be issued in a SECNAV Manual.

d. Use a standard system throughout the DON for efficiently and effectively indexing, and filing of records by records series that allows them to be retrieved quickly and reliably, and to be disposed of in accordance with approved records schedules. The single standard system currently used throughout the DON for categorizing DON records by subject is the Standard Subject Identification Codes (SSICs). Implementing standards and procedures for DON SSICs shall be issued in a SECNAV Manual.

e. Incorporate records management requirements into automated information systems development and redesign.

f. Use only approved Electronic Records Management applications in accordance with reference (f).

g. Provide adequate training to all DON personnel that create and use records to ensure compliance with the DON Records Management Program, and references (a) through (f).

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i. Improve and simplify management of records and associated processes in the Department.

j. Safeguard all personal data within records, in accordance with references (g) and (h).

k. Identify and adequately protect those records that specify how the Department will operate in case of emergency or disaster, records vital to the continued operations of the DON during and after an emergency or disaster, and records needed to protect the legal and financial rights of the DON and of persons affected by its actions, as an integral part of the Department's Continuity of Operations (COOP) Program. DON personnel shall be appropriately informed about vital records. The designation of vital records shall be current and complete. Appropriate measures shall be taken to ensure the survival of vital records or copies of vital records in case of emergency or disaster so that they are protected, accessible, and immediately usable. Vital records implementation guidance and program guidelines shall be issued in a SECNAV Manual.

7. Responsibilities

a. Department of the Navy Chief Information Officer (DON CIO). The DON CIO, in accordance with 44 U.S.C. §3506 (reference (c)) and reference (i), on behalf of the Secretary of the Navy, is responsible for the Information Management and Information Resources Management function in the Department, including records management. Accordingly, the DON CIO shall:

(1) Provide strategic direction and oversight of DON records management and issue DON records management policy to ensure that records are:

(a) Created, maintained, and preserved to document the organization, functions, policies, decisions, procedures, and essential operational, logistical, and support transactions of the DON in accordance with references (a) through (f).

(b) Created, maintained, and preserved to provide the information necessary to protect the legal and financial rights of the Government and of persons directly affected by DON activities.

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(2) Ensure periodic evaluations are conducted of the DON Records Management Program as required by references (a) and (b).

(3) Issue a reminder, as required by references (a) and (b), to all DON personnel annually:

(a) Of their responsibility to create and maintain records.

(b) How to identify records and distinguish them from non-record materials.

(c) Not to remove records from Government custody or destroy them, except as required or allowed under authorized record schedules.

(d) To inform appropriate officials of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records; and the sanctions provided for the unlawful removal or destruction of Federal records.

(e) To identify personal papers and maintain them separately from organizational records, in compliance with reference (b).

(4) Advise the Assistant Secretary of Defense, Networks & Information Integration (ASD (NII)) of records management issues that could have broad implications across the Department of Defense or between the Department of Defense and other Government Agencies, and fully cooperates with the ASD (NII) in resolving these issues.

(5) Serve as the primary liaison with the Office of the Secretary of Defense (OSD), the Office of Management and Budget (OMB), the Government Accountability Office (GAO), the National Archives and Records Administration (NARA), and Congress on DON records management matters.

(6) Ensure records management requirements are incorporated into automated information systems development and redesign, in coordination with acquisition and requirements organizations.

(7) Ensure records management is integrated into the Department's information resources management function.

b. Chief of Naval Operations (CNO)

(1) The Chief Of Naval Operations (CNO) shall provide support to the DON CIO in discharge of the DON Records Management Program by developing a coordinated and comprehensive program and providing staff assistance to the DON CIO in carrying out his responsibilities under this program. In this capacity CNO shall:

(a) Develop and coordinate standards, procedures, and techniques necessary for an efficient and effective DON Records Management Program to include development of records management self assessment tools, general records management computer based training for all personnel that create or use records, and publicize awareness of the DON Records Management Program.

(b) Provide staff assistance and technical assistance for records management for the Office of the Secretary of the Navy.

(c) In coordination with the DON CIO, develop and coordinate standards, procedures, and techniques designed to improve the management of records.

(d) Manage and execute the Department of the Navy Records Disposition Program.

(i) Coordinate with NARA to develop and maintain approved records disposition schedules.

(ii) Maintain disposition schedules for Department of the Navy record series in a SECNAV manual and in accordance with reference (b), annually review the records schedules and revise and update as necessary. This manual shall also delineate procedures and processes necessary to administer and manage a compliant records management program.

(e) Maintain the DON Standard Subject Identification Codes (SSIC) and filing procedures in a SECNAV manual. Annually review this manual and revise and update as necessary.

(f) Develop and maintain instructional guide for the DON vital records program.

(g) Develop coordinated implementation guidance and a core configuration plan for the rollout of an electronic records management system throughout the Department.

(2) The CNO shall also:

(a) Implement the DON Records Management Program within the Navy.

(b) Identify the records keeping requirements for Navy organizations, functions, policies, decisions procedures, operations, and transactions and for records in all media.

(c) Appoint a Records Manager to lead the implementation of the DON Records Management Program within the Navy.

(d) Ensure each Navy Echelon II Command appoints in writing a Records Officer at an organizational level of sufficient authority to efficiently and effectively implement the objectives and policies of the DON Records Management Program at their command and subordinate activities. Additionally, ensure that Records Officers receive adequate training in records maintenance and filing procedures, and records disposition.

(e) Ensure prompt retirement or disposal of temporary records and the timely transfer of permanently valuable records in accordance with approved records disposition schedules.

(f) Apply DOD and DON records management functional and system requirements, in accordance with reference (f), to all electronic records management systems.

(g) Ensure all personal data within records are safeguarded, in accordance with references (g) and (h).

(h) In accordance with reference (a), support the Combatant Commanders consistent with reference (j).

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(i) Ensure all personnel that create and use records are properly trained to ensure compliance with the DON Records Management Program, and references (a) through (f).

(j) Establish and maintain a robust Vital Records Program to identify and protect vital records as an integral part of the Navy's Continuity of Operations Program. Ensure that command Records Officers maintain a role in the development and implementation of the vital records program.

c. Commandant of the Marine Corps (CMC) shall:

(1) Implement the DON Records Management Program within the Marine Corps.

(2) Identify the records keeping requirements for Marine Corps organizations, functions, policies, decisions procedures, operations, and transactions and for records in all media.

(3) Appoint a Records Manager to lead the implementation of the DON Records Management Program within the Marine Corps.

(4) Ensure each Marine Corps Major Subordinate Command appoints in writing a Records Officer at an organizational level of sufficient authority to efficiently and effectively implement the objectives and policies of the DON Records Management Program at their command and subordinate activities. In addition, ensure that Records Officers receive adequate training in records maintenance and filing procedures, and records disposition.

(5) Ensure prompt retirement or disposal of temporary records and the timely transfer of permanently valuable records in accordance with approved records disposition schedules.

(6) Apply DOD and DON records management functional and system requirements, in accordance with reference (f), to all electronic records management systems.

(7) Ensure all personal data within records are safeguarded, in accordance with references (g) and (h).

(8) In accordance with reference (a), support the Combatant Commanders consistent with reference (j).

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(9) Ensure all personnel that create and use records are properly trained to ensure compliance with the DON Records Management Program, and references (a) through (f).

(10) Establish and maintain a robust Vital Records Program to identify and protect vital records as an integral part of the Marine Corps' Continuity of Operations Program. Ensure that command records officers maintain a role in the development and implementation of the vital records program.

d. Assistant for Administration to Under Secretary of the Navy (AAUSN) shall:

(1) Ensure provisions for the identification and protection of vital records are included in the Continuity of Operations (COOP) plans and guidance for all organizations within the Office of the Secretary.

(2) Ensure all personnel that create and use records in the Office of the Secretary are properly trained to ensure compliance with the DON Records Management Program and references (a) through (f).

(3) Ensure a records liaison is designated in writing for each Civilian Executive Assistant and Staff Assistant within the Office of the Secretary.

8. Action. This instruction is effective immediately.



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Chief Information Officer

Distribution:

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DEFINITIONS

1. Disposition means those actions taken regarding records no longer needed for the conduct of the regular current business of the agency. (36 CFR §1220.14)
2. Electronic mail message is a document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments, such as word processing and other electronic documents, which may be transmitted with the message. (36 CFR §1234.2)
3. 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 44 U.S.C. 3301. (36 CFR §1234.2)
4. Electronic record keeping system is an electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. (36 CFR §1234.2)
5. Emergency operating records are that type of vital record essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directive(s), orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical agency operations, as well as related policy or procedural records that assist agency staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. (36 CFR §1236.14)
6. Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, 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. Library and museum material made or acquired and

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preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included. (44 USC §3301)

7. 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. (44 USC §2901)

8. 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. (44 USC §2901)

9. 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. Also called a records series. (36 CFR §1220.14)

10. Vital records mean essential 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). (36 CFR §1220.14)

11. Vital records program means the policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions or to protect the Government's rights or those of its citizens. This is a program element of an agency's emergency management function. (36 CFR §1220.14)