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**RECORDS
MANAGEMENT
PROGRAM**



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FOREWORD

The Department of the Navy (DON) Records Management (RM) Program establishes policies and procedures for life cycle management (creation, maintenance, use, and disposition) of DON records. This manual implements the policy set forth in reference (a) and provides guidelines and procedures for the proper administration of an RM program in accordance with references (b) through (n). It also contains all DON records disposition schedules approved by the National Archives and Records Administration (NARA).

This version of the manual contains new disposition schedules approved by NARA as well as changes to record descriptions, corrections to names of activities, and updates to NARA guidance.

The disposition schedules are listed by schedule number. These schedules incorporate updates to temporary and permanent records. All NARA records disposition policies and guidelines have been approved by the Archivist of the United States, as required by §1220.12 of reference (b). This manual is the single records disposition authority for all DON records.

This manual is effective immediately; it is mandatory and applicable to the offices of the Secretary of the Navy, Chief of Naval Operations (CNO), Commandant of the Marine Corps (CMC), and all Navy and Marine Corps activities, installations, and commands.

Reports. The reporting requirement contained in Part I, paragraph 5 of this manual is exempt from information collection control in accordance with reference (c), Part IV, paragraph 7n.

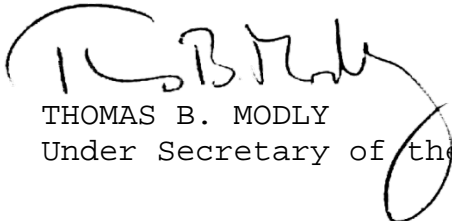
The statutory definition of records. §3301 of reference (d) defines records as "all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them and does not include library and museum material made or acquired or

preserved solely for reference or exhibition purposes, or duplicate copies of records preserved only for convenience." This manual may be accessed through the DON Issuances website: <https://secnav.navy.mil/doni/>.

Comments and recommendations regarding this manual are welcome. For further assistance or to offer comments and recommendations, contact the appropriate office below:

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THOMAS B. MODLY
Under Secretary of the Navy

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REFERENCES

- (a) SECNAVINST 5210.8F
- (b) 36 CFR 1220-1239
- (c) SECNAV M-5214.1
- (d) 44 U.S.C.
- (e) U.S. Navy Regulations
- (f) SECNAVINST 5510.36A
- (g) SECNAV M-5510.36
- (h) 5 U.S.C. §552
- (i) NARA Bulletin 2013-02, Guidance on a New Approach to Managing Email Records of 29 August 2013
- (j) CJCS Instruction 6510.01F of 9 February 2011
- (k) DoDM 5200.01 Volume 3, DoD Information Security Program: Protection of Classified Information of 24 February 2012
- (l) SECNAV M-5210.2
- (m) SECNAVINST 5000.37
- (n) OPNAVINST 3100.7C
- (o) E.O. 12656
- (p) DoD Directive 3020.26 of 14 February 2018

**PART I: AUTHORITY AND PROCEDURES FOR RECORDS DISPOSITION
PROGRAM**

1. The Director of DRMD and the DON Records Officer, Department of the Navy/Assistant for Administration (DON/AA) are designated as the Navy liaison with NARA regarding naval records disposition. DON/AA DRMD is designated as the single approval authority for request for records dispositions to the National Archives.

2. Statutory and Regulatory Authority. The disposition of Government records is given legal status by §1224.10 of reference (b).

a. The Federal Records Act of 1950 provides that, as part of the responsibility for the establishment of a continuing agency-wide records program, the Secretary of the Navy should propose retention and disposal instructions for all major series of Navy records and, once approved by the Archivist of the United States, ensure the proper application of these mandatory instructions.

b. Article 1127 of reference (e) states, "No person, without proper authority, will withdraw official records or correspondence from the files, or destroy them, or withhold them from those persons authorized to have access to them."

c. Mistreatment of Government Records. Provisions of law prescribing the mistreatment of Government records are most stringent. §3106 of reference (d) delineates a wide range of impermissible conduct, illustrating the rigorous care required in the handling of such records.

3. Goals of Records Management Program

a. Within the legal framework provided by law and reference (e), the DON's RM program has as its principal goals:

(1) Creation of records that adequately document the organization, functions, policies, procedures, decisions and essential transactions of the DON;

(2) Preservation of records having long-term permanent worth because of their continuing administrative, legal, scientific, or historical values;

(3) Destruction of temporary records as they outlive their usefulness;

(4) Retirement and transfer of those records no longer required in the conduct of daily business to more economical storage; and

(5) Conduct of periodic review of stored records to ensure timely destruction of eligible records.

b. Accomplishment of these goals will reduce maintenance costs and, at the same time, provide management with more efficient records to conduct its daily business. In meeting these goals, the immediate objectives are:

(1) To decrease the volume of records in high-cost office spaces by destroying non-record/reference material and increasing the volume of short-term records transferred to authorized local storage space and the transfer of long-term and permanent records to Federal Records Centers (FRC);

(2) To reduce the number and volume of long-term or permanent DON records, but also increase the significance of those to be preserved; and

(3) To ensure that all records are programmed for retention or periodic destruction and that every activity and office properly applies the retention standards specified in this manual.

4. Information Security. The DON Information Security Program Regulation, references (f) and (g), provides for the destruction of classified information. This and other regulations for safeguarding security information will be followed at all times in applying the provisions of this manual.

5. Accidental Destruction of Records. The accidental removal, defacing, alteration, or destruction of records will be reported to the DON/AA DRMD. The accidental removal, defacing,

alteration, or destruction of Marine Corps records will be reported to Headquarters Marine Corps (HQMC) Records, Reports, Directives, and Forms Section (ARDB). This report will include:

a. A complete description of the records, including dates of records if known, classification of records and applicable retention schedule number;

b. Volume destroyed in cubic feet; if electronic site the number in electronic volume terms (i.e., Kilobytes/KB, Megabytes/MB, Gigabytes/GB, Terabytes/TB, etc.);

c. The office maintaining the records;

d. A statement of the exact circumstances surrounding the removal, defacing, alteration, or destruction;

e. A statement of the safeguards and planned procedures to be instituted to prevent further instances of loss of Federal records; and

f. When appropriate, details of the actions taken to salvage, retrieve, or reconstruct the records.

6. Provisions for Transferring Records to Other Custody. DON records may be moved and assigned to other custody within the Navy/Marine Corps establishment, to FRCs, to NARA, or to other government agencies. When moving the records involves a change in custody, the move is referred to as a records transfer. Changes in location within the activity, usually by removal to local storage areas, are referred to as records retirement. The subparagraph immediately following prescribes policies and procedures for transfer involving changes in custody of records.

a. Transfer to FRCs. FRCs store records in cardboard cartons on steel shelving in warehouse-type space (see Appendix A for proper transfer procedures).

(1) DON activities are authorized to transfer records to FRCs without departmental approval when:

(a) Records are specifically designated in this manual for periodic transfer; or

(b) Records are designated in this manual for permanent retention.

(2) DON activities should not transfer records to FRCs when:

(a) The quantity of a particular record series is less than 1 cubic foot (retain small accumulations on board until the retention period expires or until quantity accumulated is sufficient to justify transfer); or

(b) Cost of transfer and storage at FRC outweighs cost of local storage or department network storage.

(3) Except when categories of DON records are designated specifically in Parts III, IV, and V of this manual for transfer to a single FRC for convenience of administration and reference, activities will transfer eligible records to the appropriate FRC servicing the area. Records can be requested to be transferred earlier than scheduled only if prior approval is obtained from the FRC, local storage or network space is not available and reference requirements are such that transfer will not hinder the activity's operations. The DON will use ARCIS when transferring records according to instructions outlined in Appendix A of this manual.

b. Transfer to NARA. NARA accessions records that have sufficient research, legal, scientific, historical, or other values to warrant their permanent preservation by the Government. Records that the DON has appraised as having these values are listed in Parts III, IV, and V of this manual as "permanent" records. Records transferred to NARA may be referenced or withdrawn in accordance with procedures outlined in paragraph 9.

c. Transfer to Other Government Agencies or to Non-Federal Institutions. When the public interest will be served, records authorized for disposal may be offered to an eligible person, organization, institution, corporation, or government (including a foreign government) that has made application for them. Records will not be transferred without prior written approval of NARA. Request such approval via DON/AA DRMD, or HQMC ARDB

for Marine Corps records, and include the following:

- (1) Name of the command having custody of the records;
 - (2) Name and address of the proposed recipient of the records; and
 - (3) A list containing:
 - (a) Records series description, including retention schedule number;
 - (b) Inclusive dates of each series;
 - (c) The authorized disposal citation; and
 - (d) Accession number provided by the FRC.
 - (4) A statement providing evidence:
 - (a) That the proposed transfer is in the best interests of the Government;
 - (b) That the proposed recipient agrees not to sell the records; and
 - (c) That the transfer will be made without cost to the U.S. Government.
 - (5) A certification that:
 - (a) The records contain no information the disclosure of which is prohibited by law or contrary to the public interest; and/or
 - (b) The records proposed for transfer to a person or commercial business are directly pertinent to the custody or operations of properties acquired from the Government; and/or
 - (c) The foreign government desiring the records has official interest in them.
- d. Transfers within the Department of Defense (DoD). Transfers of records within DoD usually involve the transfer of

functions. In such instances, the transfer of records is needed to assure the continuity of functions. Negotiate such transfers between the activities and offices concerned. Prior approval is not required, but a copy of the agreement or report accomplishing the transfer will be submitted to DON/AA DRMD or HQMC ARDB for Marine Corps activities.

e. Transfers within the DON. Transfers within DON are negotiated between the organizational components concerned. Approval for such transfers is not required but notify DON/AA DRMD, or HQMC ARDB for Marine Corps activities, of the organizational components and records involved in the transfer.

f. Transfer of Records of Decommissioned Ships and Disestablished Shore Activities and Aviation Squadrons

(1) Host commands of disestablished tenant shore activities.

(a) Publish guidance to be followed by disestablished tenant shore activities.

(b) Provide local storage areas or network space for records with a retention period of less than one year. Maintain a record of storage box location (i.e., box list, floor plan, etc.), which permits easy access to stored records for reference and allows systematic disposal of records at the end of the 1-year retention period.

(c) Conduct periodic review of stored records to ensure timely destruction of eligible records.

(2) Disestablished shore activities.

(a) Follow guidance of host command in preparing and transferring records.

(b) Transfer records with less than one year retention period to the host command following their guidance. Mark both ends of all records storage boxes with the disposal month and year. Provide a detailed list of the material to the host command and to the Immediate Superior in Command (ISIC).

(c) Transfer records with more than one year retention period to the appropriate FRC using ARCIS following transfer procedures outlined in Appendix A of this manual.

(d) Provide copies of SF-135 with a detailed list of records transferred (i.e., box list) to the host command's ISIC. For Marine Corps activities, upload SF-135 and detailed box list(s) to HQMC ARDB's SharePoint Portal for approval prior to transferring records to FRCs in accordance with Appendix A of this manual. The HQMC ARDB SharePoint Portal is located at <https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx>. Choose email certification. Click on the "Records Management" link under "Navigate ARDB" on right side of the page. Click on the "SF 135" tab and follow directions for the "Submission Process." NOTE: You must have an eHQMC account to access the SharePoint Portal and to submit SF-135s for approval.

(3) Decommissioned ships. Transfer records following Part IV of this manual. Provide copies of SF-135s with a detailed list of records transferred, to the host command, ISIC, and DON/AA DRMD. Type commanders of decommissioned ships will maintain the record copy of the SF-135s.

7. Procedures for Transferring Records to a Federal Records Center. When transferring Navy/Marine Corps records to FRCs, the detailed procedures contained in Appendix A must be followed. Problems arise when these procedures are not followed. No DON command or activity is exempt. If correct transfer procedures are not followed or proper records transfer documents not provided, the entire records shipment will be returned to the transferring command or the ISIC for correction.

8. Destruction of Records in the Custody of Federal Records Centers. The FRC will forward records destruction request to DON/AA DRMD in accordance with Appendix D.

9. Access and Reference to Records Transferred. NARA and FRCs provide prompt reference service on or access to records in their custody under the conditions outlined in subparagraphs 9a. and 9b. below.

a. NARA. The Archivist of the United States is authorized to grant access to or release information from the permanent Navy and Marine Corps unclassified records in NARA's legal

custody in accordance with the Freedom of Information Act (FOIA).

b. FRCs. FRCs will furnish information or documents only by authority of the record group manager. Requests for access or information from other than authorized personnel will not be honored. If the activity has been disestablished, obtain approval from the cognizant records manager. If the record group manager is unavailable, contact DON/AA DRMD.

c. Reference Services Provided. The NARA and the FRCs normally provide:

- (1) Information over the telephone (in emergencies only);
- (2) Authenticated copies of documents (for a fee);
- (3) Original documents on a loan basis; and
- (4) Information extracted from the records (provided prior arrangements are made and personnel are available).

d. How to Obtain Reference Service from NARA or FRCs. Requests for FRC reference services will be made through ARCIS (see Appendix B). Requests for reference service from NARA will be made only through Echelon II Records Manager or Command Designated Records Managers for the Marine Corps.

e. Withdrawal of Records from NARA or the FRCs. Records transferred to the custody of the FRCs may be withdrawn for reference on a 30-day loan basis as outlined in subparagraphs 9c. and 9d.

f. Return of Loaned Records to the FRCs. See procedures in Appendix B.

10. Cutting off Records/Files. To cut off or break files, terminate a record series on a given date or after a specified event or action. Files should be cut off or broken periodically in order to facilitate disposal actions and reference to current records.

a. Establishing Cutoff Periods. Establish specific cutoff

periods for each record series accumulated. This allows disposal or transfer to occur in uniform chronological blocks.

(1) Terminate correspondence files and most other general files, as well as numerical files or documents, annually at the end of the calendar year. Break fiscal and accounting records annually at the end of the fiscal year.

(2) Terminate case files when action has been completed or upon the occurrence of a particular event or action. For example, certain contract files are removed from the current file and placed in the completed file when all shipments have arrived or final payment under the contract has been made. Some personnel records are removed from the current file on the occurrence of a particular event (e.g., when an individual is separated from the service).

(3) If files are eligible for destruction when less than one year old, they should be cut off at shorter intervals. For example, cut off files eligible for destruction when six months old at the end of six months; those eligible for destruction when three months old at the end of three months, etc. Consider continuity, use, and volume, as well as the retention period, as factors. A good general rule to follow is to set cutoff periods according to the volume and retention period.

b. Retiring Cutoff Files. Move cutoff or terminated files to lower file drawers or to other less convenient office spaces.

c. Restrictions on Transferred Records

(1) FOIA. Restrictions may be necessary or desirable on the use or examination of specific records. These restrictions must be justified and the statute or FOIA exemption (see reference (h)) must be cited that authorizes placing restrictions on the use or examination of records being considered for transfer. If NARA agrees, restrictions will be placed on the records.

(2) Records less than 30 years old. Unless required by law, NARA will not remove or relax restrictions placed upon records less than 30 years old without the concurrence in writing of DON/AA DRMD, or HQMC ARDB for Marine Corps activities.

(3) Records 30 or more years old. After records have been in existence for 30 years or more, statutory or other restrictions will expire unless NARA determines, after consulting with DON/AA DRMD or HQMC ARDB for Marine Corps activities, that the restrictions will remain in effect for a longer period. NARA has identified specific categories of records, including classified information and information that would invade the privacy of an individual, which may require extended protection beyond 30 years.

(4) Privacy Act. For records constituting systems of records subject to the Privacy Act of 1974 (reference (h)), DON/AA DRMD, or HQMC ARDB for Marine Corps activities, will attach the most recent Navy Privacy Act system notice covering the records and upload to the Electronic Records Archives (ERA).

11. Retiring Records to Local Storage Areas. Most Navy/Marine Corps records are short-term temporary records eligible for destruction in less than two years, and the bulk of these have retention periods of one year or less. These short-term records (retention periods of less than one year) should be cut off at regular intervals, retired locally, and destroyed by the accumulating activity as soon as their retention periods have expired. Generally, it is not economical to transfer them to FRCs.

a. Establishing Local Storage Areas. Some activities have found it advisable and economical to establish local records storage facilities for short-term temporary records. Reference (b) establishes facility standards for record storage centers. For details, see <https://www.archives.gov/frc/regulations>. Contact DON/AA DRMD, or HQMC ARDB for the Marine Corps, if your command is contemplating establishing a Records Center to determine if these standards apply.

b. Records Eligible for Local Retirement. The following records may be retired to local storage areas:

(1) Short-term records eligible for destruction in less than one year; and

(2) Long-term records that must be retained close at hand until frequency of reference to the records will permit their transfer to an FRC. Establish specific retirement periods

for records eligible for local storage, taking into consideration the volume, use, and frequency of reference to the records.

12. Temporary Records Interfiled with Other Records. Dispose of records series as a "block" wherever possible. Documents that must be maintained for substantially longer or shorter periods of time than other portions of the file should be physically separated and filed as individual records series. While physical separation of these records is preferable, some file series, such as general correspondence files, may contain material having different retention values. When the file volume is small and the difference between retention periods is not substantial, the entire file may be retained as a "block" and disposed of upon expiration of the longest retention period applicable. When the differences are substantial, identify each file category and mark appropriately for disposal as a separate records series. Moreover, identify and clearly mark any temporary records interfiled with permanent records. Any temporary records interfiled with permanent records must be removed before storage in an FRC.

13. Personal Papers

a. "Personal Papers" are documentary materials, or any reasonably segregated portion thereof, in any media including hard copy or electronic, of a private or nonpublic character that do not relate to, or have an effect upon, the conduct of agency business. "Personal papers" can include email as well as other electronic formats. "Personal papers" are excluded from the definition of Federal records and are not owned by the Government: Examples of personal documents include:

(1) Materials accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business;

(2) Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business; and

(3) Diaries, journals, personal correspondence, or other personal notes that are not prepared or used for, or circulated

or communicated in the course of, transacting Government business.

b. "Personal papers" will be clearly designated as such and will at all times be maintained separately from the office's records.

c. If information about private matters and agency business appears in the same document, the document will be copied at the time of receipt, with the personal information deleted, and treated as a Federal record.

d. Materials labeled "personal," "confidential," or "private," or similarly designated, and used in the transaction of public business, are Federal records subject to the provisions of pertinent laws and regulations. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a Federal office.

e. "Personal papers" category does not apply to calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity, if they are prepared or used for, or circulated or communicated in the course of, transacting Government business.

14. Preservation of Facsimile Transmissions as Federal Records. Facsimile transmissions have the same potential to be Federal records as any other documentary materials received in Federal offices. They are Federal records when:

- a. They are received in connection with agency business;
- b. They are appropriate for preservation as evidence of agency organization and activities or because of the value of the information they contain. Facsimiles that are Federal records should be filed in accordance with the guidelines set forth in this manual; and
- c. All thermal paper facsimiles that are Federal records should be copied on plain paper at the time of receipt.

(1) This guidance does not apply to advance copies of materials on which no documented administrative action is taken. Such advance copies are non-record materials and may be destroyed immediately upon receipt of the original document.

(2) This guidance does apply to advance copies if the receiving office intends to circulate the advance copy for official purposes such as approval, comment, action, recommendation, or follow-up. In such instances, the advance copy is a Federal record and should be treated accordingly.

d. Plain paper copies of facsimiles that are Federal records should be filed in accordance with the guidelines set forth in this manual;

e. Commands that anticipate receiving large volumes of facsimile transmissions that are Federal records should consider purchasing a facsimile machine that produces plain paper copies by a xerographic process; and

f. Facsimile message leaders, such as cover sheets, headers, and boxed notes, should advise the recipient to replace thermal paper facsimiles that are records with a plain paper copy. A recommended advisory is: "NOTE: Most Fax machines produce copies on thermal paper. The image produced is highly unstable and will deteriorate significantly in a few years. It should be copied on a plain paper copier prior to filing as a record."

g. The guidance in this manual should be incorporated into appropriate command directives and distributed to all offices that receive facsimile transmissions.

15. Data Created or Received and Maintained for the Government by Contractors

a. Contractors performing Congressionally-mandated program functions are likely to create or receive data necessary to provide adequate and proper documentation of these programs and to manage them effectively. Commands will specify the delivery to the Government of all data needed for the adequate and proper documentation of contractor-operated programs in accordance with recordkeeping requirements of this manual and with requirements of the Federal Acquisition Regulation and the Defense Federal

Acquisition Regulation Supplement.

b. When contracts involve the creation of data for the Government's use, in addition to specifying a final product, command officials may need to specify the delivery of background data that may have reuse value to the Government. Before specifying the background data that contractors must deliver to the agency, program and contracting officials will consult with appropriate Government officials to ensure that all command and Government needs are met, especially when the data deliverables support a new command mission or a new Government program.

c. Deferred ordering and delivery-of-data clauses and rights-in-data clauses will be included in contracts whenever necessary to ensure adequate and proper documentation or because the data have reuse value to the Government.

d. When data deliverables include electronic records, the command will require the contractor to deliver sufficient technical documentation to permit the command or other Government agencies to use the data.

e. All data created for Government use and delivered to, or falling under the legal control of the Government are Federal records and will be managed in accordance with records management legislation as codified in chapters 21, 29, 31, and 33 of reference (d), and will be scheduled for disposition in accordance with this manual.

16. Electronic Records

a. EIS Records Management Compliance

(1) In addition to complying with Federal statutes and regulations and DoD and DON policies, EIS records management facilitates information discovery and visibility, which improves information sharing. Additionally, effective electronic information system records management facilitates the removal of obsolete data, improves security, and helps maintain current, authoritative information sources. Furthermore, all EISs will be listed in the Department of Defense Information Technology Portfolio Repository - Department of the Navy (DITPR-DON) and the "RM" tab will be reviewed annually by Echelon I and II

records managers and appropriate program managers for the Marine Corps.

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

(3) There are two means of properly managing EIS records:

(a) The records may be exported to the DON's approved records management application (RMA) (see enclosure 5 of reference (a) for the DON's approved RMA).

(b) The seven records management functional requirements listed in §1236.10 of reference (b) must be incorporated into the design, development, enhancement, and implementation of the EIS. Additionally, the following recordkeeping functionalities may be built into EISs in accordance with §1236.20 of reference (b):

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 manual. EISs that do not yet comply with the records management functional requirements or whose records are not exported to the DON's approved RMA, 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 records management requirements may be appropriate. PMs should contact the DON Chief Information Officer records management 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 records management functional requirements.

(c) The system is deployed and records management 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 records management functionalities are not yet built into the system. Given their long life expectancy, such systems are the prime focus of this manual. In this case, the waiver request must outline the plan to obtain compliance.

(5) Upon retirement of an EIS, any records with incomplete retention periods must be exported into the DON's certified RMA (see enclosure 5 of reference (a)) 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 one year. A waiver request must include justification for the waiver as well as a planned compliance date. During the waiver period no records may be destroyed until the EIS is certified to be in compliance with the above list criteria.

(7) Transfer of Permanent Records Contained in EISs. PMs will work with Echelon I and Echelon II Records Managers to ensure transfer of permanent electronic records contained in DON EISs occurs in accordance with §1235.44 of reference (b). Including acceptable forms of media and file formats specified in §1235.46 of reference (b).

b. 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 (d).

(2) In general, record emails should be managed electronically in accordance with the retention rules for other records of that subject matter, as found in this manual, except as modified by NARA's GRS 5.2 item 10 (transitory files) and 6.1 Email Management Under Capstone Approach. This manual covers the email message itself, as well as any attachments that meet these criteria.

(3) Reference (i) provides a simplified and automated approach to managing email, also known as Capstone.

(4) Combining the tenets of paragraphs 17b(2) through (3) of this Part, email management will 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. In accordance with GRS 5.2 item 10, 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 in accordance with the retention specified in this manual (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 in accordance with the dispositions in this manual;

(e) DON Senior Officials Email. In accordance with reference (i), permanently retain email of DON senior officials that are designated as Capstone officials. Capstone officials include, at a minimum: Secretary of the Navy (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 if approval is gained by DON/AA DRMD, or HQMC ARDB for the Marine Corps. The offices of the Secretariat and the CNO, along with Echelon I and Echelon II

Records Managers will provide DON/AA DRMD and HQMC ARDB with an accurate and up-to-date listing of Capstone Officials in their command quarterly and anytime a change occurs. DON/AA DRMD will compile the information and maintain the master list on their website: (<https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Sitepages/Home.aspx>). HQMC ARDB will maintain the master list for the Marine Corps; and

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

(5) Multiple email accounts. All email accounts, including organizational accounts assigned to DON staff, will be managed in accordance with this manual.

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

(7) Non-official email accounts

(a) In accordance with reference (j), use of personal or commercial email accounts for official business is only allowed in situations in which DoD email 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. In accordance with §2911 of reference (d), DON personnel who 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

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 (j) and (k):

1. Use of non-official email accounts to transmit classified information is strictly prohibited; and

2. Neither controlled unclassified information nor Personally Identifiable Information may be sent via non-official email accounts.

PART II: APPLYING RECORDS RETENTION STANDARDS

1. Applying Records Retention Standards. Records retention standards prescribed for naval records are contained in Parts III, IV, and V of this manual. The authorities they contain are applicable to the records they describe and are accumulated by Navy and Marine Corps activities ashore and afloat throughout the naval establishment and to individual United States Navy and United States Naval Ships. Limitations on the use of individual standards are indicated in the description of the records. The records retention standards are the basis for the establishment of activities' records disposal programs. They prescribe how long records are to be kept, whether short-term or long-term, and provide authority for:

a. The Preservation of Records Described in Parts III, IV, and V of this manual as Permanent. Identify and mark these records for preservation and transfer to the appropriate FRC. Eventually the records will be offered to NARA.

b. The Periodic Destruction of Temporarily Valuable Records. Retention periods for these records are expressed either in terms of time or the occurrence of a particular event or action. Temporary records are to be held by the naval activity or an FRC for the prescribed retention period and then destroyed.

c. Appraising Records to Determine Retention Standards. Liaison for appraisal of records to determine retention standards is DON/AA DRMD for Navy records and HQMC ARDB for Marine Corps records. In appraising records to determine their current retention standards, first determine which records have research, legal, historical, or scientific values that are worthy of preservation. The remaining records then are temporary records. Appraise these to determine how long they will be needed in the conduct of the DON's business before they can be destroyed. Navy/Marine Corps records appraised as "permanent" are few in volume, but these records are essential. They protect Navy and Marine Corps interests and document significant experiences. While there are some exceptions, most "permanent" records are at the departmental or fleet command level (i.e., departmental offices, systems commands, flag commands of the operating forces, and research activities). This is logical since these activities formulate and prescribe

policies and procedures to be carried out by other organizations. Included among records designated for permanent retention are the primary program files of unique-type activities that may be valuable for historical or research purposes. Also included are primary program records of one of several similar activities retained as a sample of the functions performed. Permanent files are designated in this manual under the retention schedule number subject heading pertaining to the activity or organization's primary function or mission.

d. Local Historical Records. Records briefly summarizing the history of an activity sometimes may have continuing value to the local activity, but may not have permanent value to the DON as a whole. Whether or not an activity's program file is designated specifically as permanent in Parts III, IV, and V of this manual, these few historical documents may be appropriate for long-term retention on site by the individual activity provided the commanding officer approves. Furthermore, if such records are designated as permanent in Parts III, IV, and V of this manual and are over 30 years old, they must be transferred to NARA.

e. Establishing Retention Standards. Standards are developed based on:

(1) recommendations of headquarters activities that sponsor the records or files are identified; and

(2) general government-wide standards pertinent to Navy/Marine Corps records. DON/AA DRMD or HQMC ARDB who then obtain the comments and/or concurrences of cognizant activities and other commands concerned may also initiate them. The concurrence of other government agencies is obtained where appropriate or required. DON/AA DRMD submits proposed retention standards to the Archivist of the United States for final approval. The Secretary of the Navy in Parts III, IV, and V of this manual then issues the approved retention standards.

f. How Standards are Coded. Records retention standards are numbered according to the retention schedule numbers approved by NARA. They are divided into 13 chapters, arranged under major subject headings. A Standard Subject Identification Code (SSIC) is a four or five-digit number that is assigned to a certain subject. SSICs are used for labeling documents and for

numbering instructions, notices, messages, reports, and forms. The use of a crosswalk is necessary to determine the disposition of records labeled with SSICs in accordance with reference (1).

g. How Records are Described. In most instances, records are described in general terms. This general grouping allows for minor differences in terminology or for the local character of the records. It also makes disposal instructions fit most naval activity records.

h. How Standards are Used. Many retention standards are broad and local file series will not exactly match the general retention standards specified in Parts III, IV, and V of this manual; (i.e., records need not always be identical to those described in the general retention standards prescribed in this manual), but the records must:

(1) Be similar in nature;

(2) Document the same or essentially the same information; or

(3) Perform the same or similar purpose.

i. Moreover, the retention periods contained in Parts III, IV, and V of this manual will not be exceeded. They should not be stretched to cover other significant records. While most standards for naval records are broad, some are narrower in scope and more specific. Be careful not to apply the broader standards to several individual records when separate and more specific standards are prescribed. Supporting documents and other closely related papers may be disposed of on the basis of disposal authority selected for the basic documents when specific disposition authorities are not provided.

2. Deviations from Retention Standards. If unforeseen circumstances make it necessary to retain records longer than prescribed in this manual, advise DON/AA DRMD, or HQMC/ARDB for Marine Corps activities, via the administrative chain-of-command, giving the reasons and requesting an extension of the retention period. If it appears the extension should be applied Navy/Marine Corps-wide, recommend a change in retention standards for those particular records. It is unlawful to dispose of records before expiration of the retention period.

3. Exceptions to Standards when Litigation, Investigations, Preservation Orders, and Exceptions Pending. Regardless of the retention standards established by this manual, records pertaining to:

- a. Unsettled claims for or against the Government;
- b. Current or pending litigation;
- c. Incomplete investigations; or

d. Preservation orders; or exceptions taken by the General Accounting Office or internal auditors will not be destroyed, but retained, until the claims are settled, the litigation is settled, the investigation is completed, the preservation order is lifted; or the exception is cleared. Segregate and retain records directly pertinent to the claims, litigation, investigation, preservation order, or exception until all actions are completed. The remainder of the file may be disposed of as scheduled. For additional guidance, refer to reference (m).

4. Establishing New or Revised Standards. All groups of naval records should be covered by the retention standards in this manual; however, any records not covered cannot be destroyed and must be treated as "unscheduled records." If a category of records is found for which a retention standard is not provided, or if a change to a present standard is needed, recommend the new or revised retention standard to DON/AA DRMD, or to HQMC ARDB for Marine Corps activities, via the administrative chain-of-command. Recommendations should not be submitted for non-record material; this material is disposable at the discretion of the commanding officer after its non-record status has been determined. (See Appendix C, paragraph 79, for definition of non-record material.) As a rule, recommendations for slight reductions in retention standards, such as from one year to six months, should not be made. The benefits do not justify the paperwork. Retention periods of less than one year should be recommended only for bulky, rapidly accumulating file series. When recommendations for retention periods of less than one year are made, they should be fully justified. Include the file volume, annual growth rate and assurance that the short period is realistic and actually will be applied.

a. Submission of Disposal Standards. Recommendations for new or revised standards should be submitted on an SF-115 and contain the following information:

(1) The name of the activity, types of activities, or other organizational units accumulating the records.

(2) A brief description of the records series. This should include information regarding the use and purpose of the records, any requiring instructions, and type of records (i.e., reports, correspondence, charts, magnetic tapes, computer listings, punched cards, etc.).

(3) A retention paragraph stating how long the records should be kept. (For example: Destroy when two years old.)

(4) A standard transfer period:

(a) When the proposed retention period is more than one year, include an FRC transfer date after the records have served their reference value.

(b) When the proposed retention period is permanent, include a transfer date to an FRC and an offer date when the records can be transferred to NARA legal custody. Normally, NARA accessions permanent records when 20-25 years old. However, permanent machine-readable records should be transferred as soon as possible.

(c) When the proposed retention period is one year or less, transfer to an FRC is not necessary. Records should undergo periodic file breaks and be retired to local, in-house storage areas.

(5) Justification for proposed retention period. This is particularly important when the records are recommended for permanent retention or if it appears those recommended for early destruction may have continuing or permanent administrative, legal, research, or historical value. Indicate local administrative needs for the records, as well as known requirements of others. List the uses made of the records, by whom, and how often. Where relevant, cite any governing statute or regulation (i.e., Office of Personnel Management or Occupational Safety and Health Administration regulation or

Comptroller General decision).

(6) Known duplication, including the location of other copies and the existence of related records or information and their use.

(7) A representative sample when establishment of a new retention period for temporary records is recommended. Any samples of forms must be filled in.

(8) Volume and inclusive time periods of nonrecurring, discontinued records.

(9) Annual cubic foot accumulation and accumulation to date for records recommended for permanent retention. If machine readable records, give the number of reels.

(10) Description and retention period for each medium used to create records (i.e., paper, microfilm, computer tape, etc.).

5. Responsibility for Applying Standards. Each DON activity will program its records, regardless of media, for orderly retention and disposal following the standards and procedures prescribed in this manual. Effective programming requires:

a. Designation of specific or general authority for administering and applying records disposal standards within the activity. The overall centralized control of each activity's disposal program is desirable even though file maintenance may be decentralized. In a large activity, however, responsibility may be delegated to specific organizational units of the activity, provided an individual within that organizational unit is made responsible for file maintenance and disposal.

b. Determination of the disposal instructions applied to each record series the activity accumulates, based on the standards contained in Parts III, IV, and V of this manual and on a local records inventory.

c. Local posting of disposal control instructions by placing pertinent disposal instructions on file folders, disk folder, reel canister, file drawers, or cabinets, as appropriate (see paragraph 6, step 4). Publication of local schedules or

records listings is not required or necessary.

d. An annual inspection and review of local disposal procedures and of the activity's records to ensure that:

(1) Records disposal and retention procedures are current, adequate, understood, and applied regularly and effectively; and

(2) Proper retention standards have been applied to all records accumulated.

6. Applying Standards Initially. The following steps are recommended for initially establishing disposal programs or applying this manual:

a. Step 1. Inventory all records, including machine readable, accumulated by each organizational unit to be covered. From this inventory you will be able to prepare a concise description of each series; determine file arrangement, use, volume, and location; and match each record series with the appropriate retention standard in this manual.

b. Step 2. Analyze inventory data and records series to determine:

(1) The proper retention standard applicable to each;

(2) Material is properly categorized as non-record (see Appendix C, item 79) and designated for destruction when its purpose has been served; and

(3) Any records that are not covered by the retention standards.

(a) Use the paragraph 4a of this Part for the appraisal process, but also consider carefully the purpose and function of each record series and the scope of the disposal authority contained in this manual.

(b) Give special attention to general correspondence files; they frequently consist of more than one record series. Each schedule number in the general correspondence files should be reviewed to determine any schedule numbers that may comprise

distinct record series. Housekeeping and administrative operations records, for example, should be identified, retired, and destroyed as a separate series; they should not be treated the same as more important policy and program files.

c. Step 3. Establish specific cutoff and retirement periods for each record series. Offers of permanent records to NARA on a SF-258 will be made via the administrative chain-of-command to DON/AA DRMD and HQMC/ARDB.

d. Step 4. Prepare disposal control guidance for each record series (based on information gathered in previous steps) and post on file cabinets, drawers, guides, or folders, as appropriate. Include the following information in abbreviated form:

(1) Schedule number and title;

(2) Specific cutoff dates, and, if applicable, transfer dates;

(3) Retention period or disposal date; and

(4) Schedule number from Part III, and paragraph numbers from Parts IV and V containing authority for the retention period being applied. Accomplishment of this step notifies file personnel and others of disposal actions to be applied to each records series. It eliminates the need for preparation and issuance of local records disposal schedules or instructions containing detailed disposal information for individual record series.

e. Step 5. Take action immediately to apply disposal instructions to eligible records.

(1) Destroy records which have expired retention periods. Consult the local representative of the NARA to verify if the volume to be destroyed is sufficient to justify recycling.

(2) Retire inactive records to be destroyed locally to local storage area. Include short-term temporary records eligible for destruction in the near future.

(3) Transfer long-term records not eligible for destruction in the near future to the appropriate FRC if authorized to do so in Parts III, IV, and V of this manual.

f. Step 6. Appraise any records that are not covered by authorized disposal instructions. Develop a disposition schedule on an SF-115 and submit it through the administrative chain of command to DON/AA DRMD, or to the HQMC ARDB for Marine Corps activities on an SF-115. Procedures for submitting proposed changes to record retention standards are contained in paragraph 4a, of this Part.

g. Step 7. Schedule Disposal Actions. Once you establish a local records disposal program is established, plan for future records disposal on a regular, periodic basis—preferably annually at the end of the calendar year. Within one month from the file break date, destroy, retain, or transfer all eligible files (less Fiscal Year files). Records can be eligible for destruction every day; however, it is not practical to destroy or transfer records too frequently or in very small quantities. Maintain fiscal files on a fiscal year basis and dispose of at the end of the fiscal rather than the calendar year. They may also be held for an additional three months and disposed of with other eligible records at the end of the calendar year.

h. Step 8. Keep Local Guidance Current. Determine retention standards for new files as soon as they are established. Create new file labels and revise local records disposal guidance promptly as changes occur.

i. Step 9. Make annual reviews of disposal procedures. Take follow-up action as necessary.

j. Step 10. Keep Statistics on Volume of Records Held, including gigabytes or space used, for electronic records and maintenance of statistics on volume (cubic feet) of records held in both office space and local storage areas serves as a check on the effectiveness of the local records disposal programs. Whenever there is an increase in the volume of a records series on board, immediately determine the reason for the increase. If the increase is due to non-compliance with disposal instructions, take remedial action.

PART III: RETENTION SCHEDULES FOR NAVAL RECORDS

1. Retention Schedules for Naval Records. DON retention schedules can change for a number of reasons, which include, but are not limited to:

- a. Changes in the GRS.
- b. New records being created, not covered in a current retention schedule.
- c. Changes in policy requiring different retention.

2. Current Retention Schedules

a. In order to provide the most current retention schedules, DRMD will maintain all of the DON retention schedules on the website list in paragraph 2b below.

b. <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

PART IV DECOMMISSIONED VESSELS' RECORDS

Records of the vessels placed out of commission for scrapping/disposal as ships (sales, transfer, etc.). Upon decommissioning, records will be disposed of as follows:

1. Technical Equipment or Instruction Manuals. Material Records needed to Operate Ship or Equipment.

a. Unclassified Records. Transfer with ship or equipment. Destroy when no longer needed. (NC1-NU-84-4)

b. Classified Records. Destroy upon decommissioning. (NC1-NU-84-4)

2. Personnel Files. Files pertaining to officer and enlisted field service records and personnel actions.

a. Residual files pertaining to members retired, transferred to the Fleet Reserve, released from active duty, or discharged prior to or at time of decommissioning. Forward to the appropriate Type Commander (TYCOM) or designated representative. Destroy when one year old. (NC1-NU-84-4)

b. Residual files pertaining to members transferred on Permanent Change of Station Orders prior to or at time of decommissioning. Forward to the appropriate TYCOM or designated representative. Destroy when one year old. (NC1-NU-84-4)

c. Identification Card Logs and related records, Diary Message Report Files, Advancement-in-Rate Examination Transfer/Destruction Letter Report File. Forward to the appropriate TYCOM or designated representative. Destroy when one year old. (NC1-NU-84-4)

d. Day-to-Day Routine Personnel Administration Records containing no substantive information. Destroy upon decommissioning. (NC1-NU-84-4)

3. Medical and Dental Files. Files pertaining to officer and enlisted health record jackets and medical and dental care.

a. Sick Call Logs. (See also part III, chapter 6, SSIC 6320.2). Transfer to National Personnel Records Center

Military Personnel Records, St. Louis, MO. Destroy when 25 years old. (NC1-NU-84-4)

b. Day-to-Day Routine Medical and Dental Administration Records containing no substantive information. Destroy upon decommissioning. (NC1-NU-84-4)

4. Ship's Deck Log. Official daily record of a ship, usually by watches, in which are recorded matter pertaining to the personnel, navigation, and operation of a ship as prescribed by OPNAVINST 3100.7 (Series). Forward to the Naval History and Heritage Command (NHHC). NHHC dispose of in accordance with SSIC 3100.5a. (N1-38-92-1)

5. Fleet or Flag Command Files. Files of Fleet or Flag commands maintained onboard a flagship by the Flag Secretary and physically separated from other files of the ship. PERMANENT. The Flag Secretary will forward to the Flag shore office or to the new flagship. Transfer to Washington National Records Center (WNRC) when three years old. Offer to the National Archives when 20 years old. (NC1-NU-84-4)

6. Financial Records. These records are accumulated by disbursing officers, disbursing agents, retail sales officers, food service officers, or other departments/officers assigned comptroller-type responsibilities. These records document the unit's fiscal, accounting, disbursing retail sales, and food service functions.

a. Disbursing Officer Files. Forward to the assigned (Atlantic or Pacific) Defense Finance and Accounting Service (Operating Locations) (OPLOC). OPLOC (Atlantic) will transfer to WNRC when three years old. OPLOC (Pacific) will transfer to the FRC, 24000 Avila Road, Laguna Niguel, CA 92607-6719, when three years old. Destroy when six years and three months old. (GRS 6.1a)

b. Ship Operating Accounting Records. Forward to the appropriate TYCOM. Destroy one year after close of fiscal year. (NC1-NU-84-4)

7. Legal Records

a. Unit Punishment Books citing minor infraction for which no Judicial Punishment is imposed. Destroy when three years old. (NC1-NU-84-4)

b. Courts of Inquiry and Investigation Records. Reports of investigation into accidents involving government craft or vehicles, naval personnel, or claims for personal damage.

(1) Files in process or pending. Forward to ISIC. Destroy when investigation is closed. (NC1-NU-84-4)

(2) Closed investigations. Destroy upon decommissioning. (NC1-NU-84-4)

c. Court-Martial Records. Copies of records of proceedings of summary, special, and general courts-martial maintained by ships. (Original records are held by fleet authorities or are forwarded by them to the Office of the Judge Advocate General.). Destroy upon decommissioning. (NC1-NU-84-4)

d. Legal records pertaining to members of Marine Corps Detachments for ships whose complements include them. Forward to the CMC (Code JA), Washington, DC 20380. CMC (Code JA), the central records screening agency for legal records pertaining to ships' Marine Corps Detachments will destroy when two years old or purpose is served. (NC1-NU- 84-4)

8. Flight Records

a. Master Flight Logs. Destroy when seven years old. (NC1-NU-84-4)

b. All other short-term Flight Records such as daily flight logs, operations logs, check lists, etc. Destroy upon decommissioning. (NC1-NU-84-4)

9. Engineering Logs and Bell Books. Forward to the appropriate TYCOM or designated representative. Destroy when three years old. (NC1-NU-84-4)

10. Logs and Other Records maintained for Internal Control Purposes. Destroy when four years old. (NC1-NU-84-4)

11. Radiation Dissemination. Radiation exposure records providing a description of the exposure to personnel to external radiation, exposure dose to the individual due to alpha, beta, gamma, neutron, etc. Files include, but are not limited to, exposure histories, worksheets, charts, calibration results, statistical summaries, and treatment records. (See also Part III, Chapter 6, SSIC 6470.5). Destroy when 75 years old. (NC1-NU-84-4)

PART V - RECORDS OF CRISIS, CONTINGENCY AND ARMED CONFLICT

The provisions of this section will be executed only upon the authority of the Secretary of Defense, Joint Staff, a combatant command, SECNAV, CNO, CMC, or other proper authority and may be modified at the time of execution. In situations involving joint operations, joint records are created, or received by, the Joint Forces Command and joint organizations that are operating within an area of responsibility under joint authorities. If they are operating under a Joint Authority, then it is a joint record. If not, then it is a service level record. Service records are records created outside of joint authorities. North Atlantic Treaty Organization records are records created under authorities other than joint, or service, authorities and will adhere to the alliance/coalition policies as agreed to by national authorities.

1. Scope. This Part pertains to records created by participating units during periods of crisis, contingency and/or armed conflict. When ordered by the proper authority, the provisions of this section will modify the disposition instructions provided in Part III of this manual for records created by participating naval component commanders, subordinate commanders, and individual units in the designated area of operations. For the purpose of this Part the terms "crisis," "contingency" and "armed conflict" are defined as:

a. Crisis refers to an incident or situation involving a threat to U.S. interests that develops rapidly and creates a condition of such diplomatic, political, or military importance that commitment of military force is contemplated to achieve national objectives.

b. Contingency is a situation requiring military operations in response to natural disasters, terrorists, subversives or as otherwise directed by appropriate authority to protect U.S. interests.

c. Armed conflict is intended to mean actions in which U.S. forces are engaged in wars, hostile actions against U.S. Forces, and other combat situations against hostile nations or entities.

2. Analysis of Records. At the conclusion of periods of crisis, contingency, or armed conflict, it is necessary to

analyze fully the actions and reactions of both friendly and hostile forces across the full spectrum of the operation. In order to accomplish this rigorous operations analysis, full and complete documentation of all phases of the operation, including all intelligence, climatic, and other external information available to a command, must be preserved and transferred to the activity designated to perform this analysis. The purpose of this analysis is to assess the effectiveness of weapons and tactics, suggest methods of improvement that have been tested in actual combat situations, determine adjustments required to force composition and systems design, justify future budget decisions, or other purposes as may be specified by proper authority. At the conclusion of the operations analysis phase, it is equally important that relevant Navy documentation be sent to the NHHC and Marine Corps documentation be sent to the Director of Marine Corps History so that the official histories and historical analysis can be prepared and made available to the public.

3. Cutoff Point for Records. Records should be managed using the schedule number contained in Part III and SSICs contained in Part V of this manual (SSICs will have to be cross-walked to schedule numbers in accordance with reference (1)). The cutoff point for records is normally at the end of hostilities, crises, or contingency operations; however, interim cutoff periods may be established for periods of extended operations. Modifications to the general provisions of this Part will be contained in the Executing Order.

4. List of Commonly Named Records. The following list of commonly named records is provided as a guide to ensure historically significant documents generated during crisis, contingency or armed conflict operations are collected and retained. This list is not all inclusive. Commanders/Commanding Officers should ensure that the records are kept and preserved based upon their historical value regardless of whether or not an SSIC can be identified. If after a thorough review of Part III of this manual an appropriate SSIC cannot be identified for a record type, refer to schedule number 5000-7, Historical Matters Records, which may be used when collecting records that are of significant historical value. If in doubt as to whether the records are of historical value, contact DON/AA DRMD for Navy and HQMC ARDB for Marine Corps for assistance.

- a. Briefings.
- b. Messages.
- c. Intelligence/Counterintelligence (CI)/Counterterrorism (CT).
- d. Operational Plans/Contingency Plans.
- e. Background Papers including emails.
- f. Reports.
- g. Lessons Learned.
- h. Summaries.
- i. Exercises (Evaluation Reports and Policy/Directives).
- j. Orders (admin, general, operational, movement, FRAGOs).
- k. Audio/visual materials.

NOTE:

* Record copy of CI/CT investigations and operations records created by Naval Criminal Investigative Service (NCIS) will be retained by NCIS and stored in their Record Center.

5. Other SSICs that may Contain Historically Significant Records. In addition to the above list of record types, the below list of SSICs may contain historically significant records in times of armed conflict, contingency and/or crisis. This list is not all inclusive of the type of records that may be required to be collected. Some SSICs may not be relevant to all situations. Additional SSICs may be identified prior to, during and at the end of the crisis, contingency or armed conflict.

- a. 1650 Decorations, Medals, and Awards Records.
- b. 1771 Casualties Records.
- c. 2014 Contingency Communications Records.
- d. 2281 Policies, Plans, and Procedures Records.

- e. 3006 Natural Disaster Control Records.
- f. 3010 Operating Plans Records.
- g. 3040 Casualties and Casualty Reporting Records.
- h. 3047 Personnel Casualties (Shortages).
- i. 3050 Naval Strategy Records.
- j. 3051 Missions Records.
- k. 3052 Functions Records.
- l. 3053 Warfare Tasks Records.
- m. 3054 Force Employment Records.
- n. 3055 Force Characteristic Records.
- o. 3057 Threat Assessment Records.
- p. 3092 Navy Operations Support System, Navy Command and Control System.
- q. 3100 General Operations Records.
- r. 3101 Electronic/Digital Shipboard Operations Monitoring Records.
- s. 3104 Combat Camera Operations Records.
- t. 3121 Operation Plans and Orders Records.
- u. 3170 General Port Operations Records, including Audiovisual Activities.
- v. 3225 SIGINT Systems Support.
- w. 3302 Navy Special Warfare Operations Records.
- x. 3305 Evasion and Escape Records.
- y. 3401 Nuclear Records.

- z. 3402 Biological Records.
- aa. 3403 Chemical Records.
- ab. 3440 Disaster Control Records.
- ac. 3460 Captured Personnel, Material, and Documents Records.
- ad. 3461 Prisoners of War Records.
- ae. 3462 Civilian Detainee Records.
- af. 3480 Combat and Action Reports Records.
- ag. 3503 Navy Status of Forces/Consolidated History Files.
- ah. 3006 Natural Disaster Control Records.
- ai. 3750 Flight Safety and Accident Analysis Records.
- aj. 3760 Flight Records and Reports.
- ak. 3800 General Intelligence Records.
- al. 3850 CI/CT Records.*
- am. 4620 Sea Transportation Records (MSC Records)
- an. 4900 Records of Security Assistance Offices, Foreign Military Assistance, and Mutual Security Programs.
- ao. 5280 Operations Analysis/Operations Research Records.
- ap. 5291 VI Productions, Products, and Services Records.
- aq. 5710 International Agreements Records. International Relations.
- ar. 5750 Historical Matters Records.
- as. 5757 Command Histories Records.
- at. 5780 Internal Public Affairs Records.

- au. 5830 Courts of Inquiry and Investigations Records.
- av. 6010 Health Care Administration Records, Medicine, and Dentistry (Administration).
- aw. 8027 Explosive Ordnance Disposal (EOD) Records.
- ax. 13090 Logs and Records (Aeronautical).

NOTE:

* Record copy of CI/CT investigations and operations records created by NCIS will be retained by NCIS and stored in their Record Center.

6. Records Accumulated by Naval Component Commander, Subordinate Navy and Marine Corps Commanders, and Individual Navy and Marine Corps Units. Target records include operations plans/orders, messages sent and received, voice communications logs, watch logs, reports of engagement, commanding officer narrative reports, strike briefings and debriefings, electronic records of the operation and performance of weapons and surveillance systems, intelligence reports and assessments, situation reports, after actions reports, command chronologies, weather observations, annotated charts and maps, records of enemy engagements, battle damage assessments, target lists, casualty reports, commander logs, and combat camera negatives and video tape. Exclude Marine Corps command chronologies, including attachments thereto, which will be provided to the designated Operational Analysis Activity by the Director of Marine Corps History or by other means. In addition to the above, include the following records:

a. Ships. Ships deck logs, position logs and Aviation Warfare dispositions, enemy force alert messages, engagement logs, anti-submarine warfare dispositions, contact tracking and strike data including DRTs, environmental prediction messages, emission control logs, active Electromagnetic Compatibility logs, tactical intelligence monitor rolls, communications center watch logs, aviation strike packages, ordnance expenditure reports by mission, air wing mission debriefs, Mission Reports (MISREP), Carrier Air Traffic Control Center (CATCC) logs, corrected flight schedules, detailed aircraft damage reports, missile strike packages, and data related to naval gunfire support.

b. Commanders. Standing and daily Operational Instructions/Operational Taskings for each warfare and mission area, warfare commander's daily intentions, commander's daily briefs including support material and coordination with Joint forces; ship and other unit assignments, command chat, rules of engagement, and command net logs.

c. Amphibious Operations. Composition of breaching team, landing plan, supporting force assets and methods including fire support and deception operations, summary of advanced force operations, and information related to SEABEE operations.

d. Mine Countermeasures (MCM). Details of MCM operations, including types of mines found, systems used in locating mines, techniques for countering the mine, and underwater obstacle threat.

e. Logistics Operations. Battle Force Logistics Coordinator Logs, Amphibious Task Force Logistics Coordinator Logs, Material Control Officer's Logs, Logistics Units situation reports, ordnance data including inventories, load outs, expenditures, and resupply, and merchant ship delivery information.

f. Aviation. All non-ship based aviation, to include Intelligence, Surveillance and Reconnaissance, Suppression of Enemy Air Defenses, Combat Search and Rescue and Medevac. This includes but is not limited to anti-submarine warfare disposition, contact tracking and strike data; strike packages and ordnance expended; intelligence collection missions and reports, rescue and evacuation reports and statistics; MISREPS, CATCC logs, corrected flight schedules, and detailed aircraft damage reports.

g. Expeditionary Warfare. Information related to special warfare operations, EOD, special boat operations, and riverine warfare.

h. Network Warfare. Information related to net based operations. NOTE: Transfer the above records types to the activity designated to conduct the operations analysis in accordance with instructions provided with execution of this Part.

7. Studies, Reports, and Formal Recommendations Produced by the Designated Operations Analysis Activity. Printed studies, reports, formal recommendations, and compilations of lessons learned covering the period.

a. One printed copy and one electronic copy. Transfer to NHHC. NHHC dispose in accordance with existing NARA approved schedules.

b. One printed copy and one electronic copy of studies based on Marine Corps operations. Transfer to the Director of Marine Corps History. Dispose in accordance with existing NARA approved schedules.

8. Paper and Photo Records Used in the Production of Reports by the Designated Operations Analysis Activity. Paper and photographic records, regardless of media, from operating units used in the production of studies and reports.

a. Records that are designated as PERMANENT records in this manual. Execute the disposition instructions contained in Part III of this manual or other authoritative guidance.

b. Records that are designated as temporary records in Part III of this manual, duplicate copies, and non-record material. Execute the disposition instructions contained in Part III of this manual or other authoritative guidance. NOTE: Selected records may be transferred to NHHC or the Director of Marine Corps History.

9. Paper Records Not Used in the Production of Reports. Execute the disposition instructions contained in Part III of this manual or other authoritative guidance.

10. Motion Pictures and Still Images. Motion picture footage, gun camera, and video, regardless of media used, of combat actions received from operating units. These records are PERMANENT. Execute the disposition instructions contained in Part III of this manual or other authoritative guidance.

11. Databases and Other Electronic Records. Data in electronic or optical format received from operating units. Execute the disposition instructions contained in Part III of this manual or other authoritative guidance. For systems not scheduled that

contain records of crisis, contingency, and/or armed conflict that are thought to be historical, use schedule number 5000-7, Historical Matters Records, which are permanent records. If unsure if the records have historical value, contact DON/AA DRMD for Navy and HQMC ARDB for Marine Corps for assistance and guidance.

12. Transferring Crisis, Contingency, or Armed Conflict Records to a Federal Records Center. When transferring crisis, contingency, or armed conflict records to a Federal Records Center, clearly mark all SF-135's in block (f), "CRISIS," "CONTINGENCY," or "RECORDS OF ARMED CONFLICT," as appropriate. This will ensure proper handling by Federal Records Center and National Archives personnel.

13. How to Preserve Theater Records. This informational housekeeping guide applies to every action officer and supervisor at every level throughout a headquarters. It is to be used as a guide only. If this checklist contradicts authoritative guidance in a particular area of expertise, follow that guidance. The steps outlined here are critical to reduce electronic clutter and prevent "junk" from eventually being transferred to the National Archives. Much, but not all of what is created in theater is important and will be preserved "for the life of the Republic." A great deal of information stored in electronic systems are copies, non-records, working drafts or products that have come from outside organizations, as well as draft content that eventually led to a finished product. These copies should be disposed of in accordance with the appropriate disposition instruction contained in Part III of this manual. FIVE STEPS ARE REQUIRED TO ENSURE OUR SERVICE'S AND NATION'S HISTORY IS PROPERLY PRESERVED.

a. Step One - Identify and Organize the Finished Products Your Activity Produces. Many of the finished products are records. Typical examples are reports, orders, briefings, memos, etc. Persons from the activity that created the records should work with their designated Records Manager or person with records responsibilities to make that determination. Do not limit your efforts to today's fight/operations; past final versions also must be kept. Within the work area, ensure finished products are organized to the extent practical by schedule number, format (paper, electronic) and then by origination date. Delete or dispose pre-decisional versions and

associated action-officer support material that is no longer needed. NOTE: Working files, pre-decisional versions and similar materials must be retained with the final/approved version if they were circulated or made for purposes such as approval, comment, action, recommendations, follow-up or to communicate with activity staff about activity's business; or they contain unique information such as substantive annotations or comments that add to a proper understanding of the activity's formulation and execution of basic policies, decisions, actions or responsibilities.

b. Step Two - Clean Out Reference Material. During the engagement of a long contingency or armed conflict, action officers tend to collect copies of briefings, publications, spreadsheets, emails, etc., from outside organizations. Such copies greatly facilitate work. Avoid downloading the same file repeatedly each time it is needed. The organization where the file originated has the responsibility for its maintenance and preservation. Therefore, when opportunity presents itself, regularly delete these file types; however, if the file is part of an electronic information system, it is a Federal record and must be managed according to the NARA approved disposition for that electronic information system. If these file types are current and referenced frequently, post them to a clearly marked area as reference materials. Delete them if and when they are not needed.

c. Step Three - Organize Emails. Emails of senior leadership, officers O-5 and enlisted personnel E-9 and above, can be crucial and frequently reflect the operations and decisions of the organization. Support staff and executive officers are often the experts at properly organizing official emails that may contain records of our key leaders. Personnel at lower levels should simply exercise common sense and avoid retaining large emails and their attachments that are pre-decisional or non-record material. If email is used to issue orders or publish finished products that are significant, treat them as records and retain and dispose of them according to Part III, Chapter 2 of this manual.

d. Step Four - Delete "Morale/Personal Files" Files. It is not uncommon to have files on share drives or within emails that are personal documents and do not pertain to government business. These are good candidates to move onto a removable

storage device such as CD/DVD-R. They should be moved to a removable storage device, marked "Personal Papers" and placed in personal work files.

e. Step Five - Clean Up Systems Specific to Your Area. Many activities have systems that are unique to their functional area. Some of these systems have data in them that will become part of headquarters' operational archive and/or lessons learned. If the system or database is owned by an outside agency, and that agency will be retaining the data created for whatever period is appropriate, no action beyond normal housekeeping is necessary. If the system was developed by, or strictly for the DON, Navy, or Marine Corps, the agency must consider cleaning up that data and how it will be preserved for the long term in accordance with the guidance contained in this Part.

APPENDIX A - FEDERAL RECORDS CENTERS TRANSFER PROCEDURES

1. FRCs. NARA operates a system of FRCs authorized by §2903, 2907, and 3102 of reference (d) for the economical storage of noncurrent records of Federal agencies, pending their deposit in the National Archives of the United States or other disposition authorized by law. Non-current or inactive records are defined as records that are no longer required to conduct current business. The NARA FRC website (<https://www.archives.gov/frc/locations>) provides the most up to date information for the locations and contact numbers for FRCs.

2. FRCs Records Transfer Requirements. The FRCs screen all incoming records boxes. If correct transfer procedures are not followed or proper records transfer paperwork is not uploaded correctly into ARCIS, the entire records shipment will be returned to the transferring office for correction. Adhere to the following requirements when preparing records for a records transfer to an FRC:

a. Records must be covered by an authorized records retention standard of this manual and have a minimum of one year retention period at the FRC. FRCs can accept "unscheduled records" series that have an approval request in ERA. Select "Unscheduled" in ARCIS (reference figure 1 and paragraph 4f). Include the item number, and the date it was submitted in ERA in the comments box.

b. When submitting records to be transferred, all Navy and Marine Corps activities will use ARCIS to transmit that request.

c. Records must be received by the FRC within 90 days of their approval in ARCIS.

d. The approved records transfer (SF-135) copy can be printed out from ARCIS and placed in box 1 of the accession before the records are sent to the FRC. If boxes or other containers are tightly sealed, place the shipment copy in an envelope taped to the outside of the first container.

e. Shipment of records must be in standard records center cartons marked with approved accession and agency box numbers.

f. Records of a given accession number must be covered by the same disposal authority and have the same disposal year.

3. Evaluating Records. Prior to packing boxes for transfer to an FRC, conduct a thorough evaluation of the records using the following guidelines:

a. Remove all duplicate copies and unnecessary material, i.e., notes, drafts, and working papers, or reference material such as instructions, notices, publications, etc.

b. Separate records into series. A series is defined as a block of records having the same disposition authority and the same retention period.

c. Before packing classified records, make every effort to declassify or downgrade them under the provisions of references (f) and (g). Those records that cannot be declassified should be carefully inventoried and shipped in accordance with security regulations contained in references (f) and (g).

4. When preparing records for shipment to FRCs. You must first submit the transmittal for approval through ARCIS (reference (a) prescribes the ARCIS request form necessary to gain access to the system). Refer to Figures 1 and 2 while reading these instructions on creating a transfer.

About the Transfer		About the Records	
Transfer #:		Disposition:	-Select- <input type="button" value="v"/>
★ Status:	Initiated	Vital Records:	<input type="checkbox"/>
Customer Reference # (optional):	<input type="text"/>	Disposition Authority:	<input type="text"/>
★ Record Group:	019 <input type="button" value="v"/>	Disposition Date (MM/DD/YYYY):	<input type="text"/> <input type="button" value="v"/>
★ Charge Account:	<input type="text"/> <input type="button" value="v"/>	Comments:	<input type="text"/>
Branch:			
Agency Defined:			
★ Records Center:	FRC - Atlanta <input type="button" value="v"/>		
Security Classification:	<input type="text"/> <input type="button" value="v"/>		
Security Level:			
Privacy Act:	<input type="checkbox"/>		
Shipment From Address			
Address Line 1:	<input type="text"/>	State:	VA <input type="button" value="v"/>
Address Line 2:	<input type="text"/>	Country:	USA <input type="button" value="v"/>
City:	ARLINGTON	Zip Code:	22202
<input type="button" value="Save and Finish Later"/> <input type="button" value="Attachments"/> <input type="button" value="Go Back"/> <input type="button" value="Continue"/>			

Figure 1

a. Beginning at the top left corner, "Customer Reference Number," or Customer Reference Number (CRN). This field is optional, but commands are encouraged to develop their own system for assigning CRNs to ease in the process of determining ownership of the records.

b. "Record Group." Select the record group associated with the records being transferred; refer to table 1 for a list of records groups.

c. "Charge Account" will automatically populate and should not be changed.

d. "Record Center." Choose the records center closest to your location for temporary records transfers. For permanent records transfers choose the WNRC.

e. "Security Classification." Select security classification of records.

f. "Disposition." Select Temporary, Permanent, or Unscheduled.

g. "Disposition Authority." Cite the disposition authority listed in Part III of this manual.

h. "Essential Records." Check if these are Essential Records (formally known as Vital Records).

i. "Disposition Authority." Cite the disposition authority found in Part III of this manual.

j. "Disposition Date." Use Figure 3 to aid in determining disposition date.

k. "Comments." These include SSIC or the records series, Fiscal Year (FY) or Calendar Year (CY) of the records series (a records series is a group of one or more boxes that have the same disposition and same FY or CY) and disposition instructions.

l. "Ship from Address." Fill in your complete mailing address citing: Department of the Navy Major Subdivision Minor Subdivision Mailing Address City, State Zip Code.

The screenshot shows a web form with two main sections: "About the Records" and "About the Agency Personnel".

About the Records:

- *Type of Records:** A dropdown menu with "TEXTUAL" selected.
- Mixed Media:** An unchecked checkbox.
- Container Type:** A dropdown menu with "Standard" selected.
- Container Description:** A text field with "Standard Container" entered.
- Number of Containers:** A text field with a small icon to its right.
- Inclusive Start Date (MM/DD/YYYY):** A date picker field.
- Inclusive End Date (MM/DD/YYYY):** A date picker field.
- *Description of Records:** A large text area with up and down arrow icons on the right side.

About the Agency Personnel:

- Created By:** A text field with a blacked-out name.
- *Agency Contact Last Name:** A text field with a blacked-out name.
- Agency Contact First Name:** A text field with a blacked-out name.
- Agency Approver Last Name:** A text field with a blacked-out name.
- Agency Approver First Name:** A text field with a blacked-out name.
- *Agency Official Last Name:** A text field with a blacked-out name.
- Agency Official First Name:** A text field with a blacked-out name.

Below these sections, there is a checkbox for "Retiring Office same as Shipment From Address:" which is unchecked. Below that is a text field for "Retiring Office:" which is currently empty.

Figure 2

m. "Type of Records." Select the media of the records being transferred.

n. "Container Type." Select if it is a standard container. If you choose "Other" you will be prompted to specify the dimensions.

o. "Number of Container." Type the total number of boxes in the records series being transferred.

p. "Inclusive Start Date" and "Inclusive End Date." Select the start and end date for the records series. This will only encompass one FY or one CY.

q. "Description of Records." Describe the records in sufficient detail to allow FRC personnel to verify compliance with the record schedule. The description should also include FY or CY and months of the records. A good rule of thumb is to include any information that would be necessary if you would need to recall those boxes to search for a particular record. A detailed box list will also be uploaded into ARCIS as an attachment. The box list must include a detailed description of the items in each box in the records series.

r. "Retiring Office." If it is different than the shipping address, then specify.

(1) For decommissioned ships, list the ship's mailing address first and the type commander's address second:

(a) USS Decommissioned (XY 33) (Decommissioned-(Date)) FPO NY 12345-6789.

(b) Type Commander Mailing Address City, State Zip Code.

(2) For disestablished shore activities and aviation squadrons, list the activity's mailing address first and the host command's address second:

(a) Department of the Navy (Disestablished-(Date)) Major Subdivision Minor Subdivision Mailing Address City, State Zip Code.

(b) Host Command Mailing Address City, State Zip Code.

s. "Agency Contact." Select the member that is most knowledgeable about the records series.

t. "Agency Approver." Select the appropriate Echelon I/II records manager.

u. "Agency Official." The Navy's Records Officer must be selected for this field.

Cut Off Date	1	2	3	4	5	6	6/3	7	8	10	15	20	25
CY01												1/22	1/27
FY01												10/21	10/26
CY02											1/18	1/23	1/28
FY02												10/22	10/27
CY03											1/19	1/24	1/29
FY03											10/18	10/23	10/28
CY04											1/20	1/25	1/30
FY04											10/19	10/24	10/29
CY05											1/21	1/26	1/31
FY05											10/20	10/25	10/30
CY06											1/22	1/27	1/32
FY06											10/21	10/26	10/31
CY07										1/18	1/23	1/28	1/33
FY07											10/22	10/27	10/32
CY08										1/19	1/24	1/29	1/34
FY08										10/18	10/23	10/28	10/33
CY09									1/18	1/20	1/25	1/30	1/35
FY09										10/19	10/24	10/29	10/34
CY10								1/18	1/19	1/21	1/26	1/31	1/36
FY10									10/18	10/20	10/25	10/30	10/35
CY11						1/18		1/19	1/20	1/22	1/27	1/32	1/37
FY11							1/18	10/18	10/19	10/21	10/26	10/31	10/36
CY12					1/18	1/19		1/20	1/21	1/23	1/28	1/33	1/38
FY12						10/18	1/19	10/19	10/20	10/22	10/27	10/32	10/37
CY13				1/18	1/19	1/20		1/21	1/22	1/24	1/29	1/34	1/39
FY13					10/18	10/19	1/20	10/20	10/21	10/23	10/28	10/33	10/38
CY14			1/18	1/19	1/20	1/21		1/22	1/23	1/25	1/30	1/35	1/40
FY14				10/18	10/19	10/20	1/21	10/21	10/22	10/24	10/29	10/34	10/39
CY15		1/18	1/19	1/20	1/21	1/22		1/23	1/24	1/26	1/31	1/36	1/41
FY15			10/18	10/19	10/20	10/21	1/22	10/22	10/23	10/25	10/30	10/35	10/40
CY16	1/18	1/19	1/20	1/21	1/22	1/23		1/24	1/25	1/27	1/32	1/37	1/42
FY16		10/18	10/19	10/20	10/21	10/22	1/23	10/23	10/24	10/26	10/31	10/36	10/41
CY17	1/19	1/20	1/21	1/22	1/23	1/24		1/25	1/26	1/28	1/33	1/38	1/43
FY17	10/18	10/19	10/20	10/21	10/22	10/23	1/24	10/24	10/25	10/27	10/32	10/37	10/42
CY18	1/20	1/21	1/22	1/23	1/24	1/25		1/26	1/27	1/29	1/34	1/39	1/44
FY18	10/19	10/20	10/21	10/22	10/23	10/24	1/25	10/25	10/26	10/28	10/33	10/38	10/43
CY19	1/21	1/22	1/23	1/24	1/25	1/26		1/27	1/28	1/30	1/35	1/40	1/45
FY19	10/20	10/21	10/22	10/23	10/24	10/25	1/26	10/26	10/27	10/29	10/34	10/39	10/44
CY20	1/22	1/23	1/24	1/25	1/26	1/27		1/28	1/29	1/31	1/36	1/41	1/46
FY20	10/21	10/22	10/23	10/24	10/25	10/26	1/27	10/27	10/28	10/30	10/35	10/40	10/45
CY21	1/23	1/24	1/25	1/26	1/27	1/28		1/29	1/30	1/32	1/37	1/42	1/47
FY21	10/22	10/23	10/24	10/25	10/26	10/27	1/28	10/28	10/29	10/31	10/36	10/41	10/46
CY22	1/24	1/25	1/26	1/27	1/28	1/29		1/30	1/31	1/33	1/38	1/43	1/48
FY22	10/23	10/24	10/25	10/26	10/27	10/28	1/29	10/29	10/30	10/32	10/37	10/42	10/47
CY23	1/25	1/26	1/27	1/28	1/29	1/30		1/31	1/32	1/34	1/39	1/44	1/49
FY23	10/24	10/25	10/26	10/27	10/28	10/29	1/30	10/30	10/31	10/33	10/38	10/43	10/48
CY24	1/26	1/27	1/28	1/29	1/30	1/31		1/32	1/33	1/35	1/40	1/45	1/50
FY24	10/25	10/26	10/27	10/28	10/29	10/30	1/31	10/31	10/32	10/34	10/39	10/44	10/49
CY25	1/27	1/28	1/29	1/30	1/31	1/32		1/33	1/34	1/36	1/41	1/46	1/51
FY25	10/26	10/27	10/28	10/29	10/30	10/31	1/32	10/32	10/33	10/35	10/40	10/45	10/50
CY26	1/28	1/29	1/30	1/31	1/32	1/33		1/34	1/35	1/37	1/42	1/47	1/52
FY26	10/27	10/28	10/29	10/30	10/31	10/32	1/33	10/33	10/34	10/36	10/41	10/46	10/51
CY27	1/29	1/30	1/31	1/32	1/33	1/34		1/35	1/36	1/38	1/43	1/48	1/53
FY27	10/28	10/29	10/30	10/31	10/32	10/33	1/34	10/34	10/35	10/37	10/42	10/47	10/52
CY28	1/30	1/31	1/32	1/33	1/34	1/35		1/36	1/37	1/39	1/44	1/49	1/54
FY28	10/29	10/30	10/31	10/32	10/33	10/34	1/35	10/35	10/36	10/38	10/43	10/48	10/53
CY29	1/31	1/32	1/33	1/34	1/35	1/36		1/37	1/38	1/40	1/45	1/50	1/55
FY29	10/30	10/31	10/32	10/33	10/34	10/35	1/36	10/36	10/37	10/39	10/44	10/49	10/54
CY30	1/32	1/33	1/34	1/35	1/36	1/37		1/38	1/39	1/41	1/46	1/51	1/56
FY30	10/31	10/32	10/33	10/34	10/35	10/36	1/37	10/37	10/38	10/40	10/45	10/50	10/55

Figure 3

5. Packing Non-Electronic Records

a. Use the proper size records center carton when packing records. For legal- and letter-size material, use standard-size records center cartons. Use half-size or designated specialty boxes only for microfilm, index cards, or other odd-size material. Contact the FRC regarding shipments of odd-sized material (bound volumes, ledgers, maps and charts) that will not fit standard FRC cartons or for fragile items (glass plate negatives) that require special handling. Discuss with the FRC the packing requirements dictated by the size or nature of the records. NOTE: Use only standard records center cartons available through General Services Administration. FRCs will reject any shipment of legal- and letter-sized records not in authorized records center-cartons.

b. Pack records in standard FRC cartons preserving the original file arrangement. Leave one inch of space per carton to permit easy withdrawal of folders for reference. Pack letter size folders upright facing the numbered end, legal-size folders facing the "left" side of the carton. NOTE: Do not over pack your boxes. Never add additional material on bottom, sides, or on top of the records. Never stack files on top of each other. Do not combine odd-sized and standard-sized records in the same shipment. Electronic records should only be packed in the special cartons available for them. They need to be packed vertically on their edges, never flat or horizontally, in standard FRC cartons.

c. Marking cartons. Using a permanent black felt-tip marker, write the full accession number, assigned through ARCIS, in the front upper left corner of each carton. Also, number the cartons sequentially (i.e., 1-10, 2-10, 3-10, etc.) in the front upper right corner of each carton. NOTE: Do not use labels to mark cartons. No standard method of affixing labels is effective in long-term FRC storage. Write the accession number and box number directly on the box.

6. Shipping Records

a. Ship the records to the FRC as soon as possible after approval in ARCIS. NOTE: ARCIS does not currently have an automated email system in place to notify user of status

changes, therefore members must log into to ARCIS regularly, to check for status changes. Records must be received by the FRC within 90 days after the approval in ARCIS. Delays of more than 90 days will result in the FRC canceling the accession number and rejecting any shipments received after 90 days. In this case, the transferring activity will be required to resubmit the request in ARCIS, and renumber the cartons with the new accession number.

b. Accessions of more than 100 cubic feet require advance space and manpower planning. In such instances, notify the FRC two weeks prior to the planned shipment. Refer to Figure 4 when stacking boxes for proper configuration on a skid.

c. After the records have been shelved at the center, the status in ARCIS will change to "shelved."

7. ARCIS will allow you to save a copy of a digitally produced SF 135. Use this approved copy as a record of material transferred. Retain this copy as prescribed in Part III of this manual. This eliminates preparation of separate inventory lists of records stored at the FRC, simplifies getting reference service to the stored records and eases answering various FRC notices. (See Appendix E for sample of notices you may receive from FRCs regarding retired records.) NOTE: When transferring Secret and Top Secret records, reference (g) requires that "cradle to grave" accountability be maintained for Secret and Top Secret information and that it be transmitted under a continuous chain of receipts. Top Secret information transferred with improper receipts must be reconciled with the sending command. WARNING: Classified Records are only accepted at the following FRC: East Coast: WNRC; West Coast: FRCs at San Bruno and Seattle.

8. Box Stock Numbers

a. Standard Size:
14 3/4" X 12" X 9 1/2" NSN 8115-00-117-8249
14 3/4" X 12" X 9 1/2" NSN 8115-00-117-8344
15" X 12" X 10 NSN 8115-00-290-3379

b. Special purpose: Half-size box
14 3/4" X 9 1/2" X 4 7/8" NSN 8115-00-117-8338
Magnetic tape box

14 3/4" X 11 3/4" X 11 3/4" NSN 8115-00-117-8347

c. Microfiche:

14 3/4" X 6 1/2" X 4 1/2" NSN 8115-01-025-3254

Microfiche (Archival)

14 3/4" X 6 1/2" X 5" NSN 8115-01-132-1923

d. X-ray:

18" X 15" X 5 1/2" NSN 8115-00-290-3386

e. Other materials:

Filament Tape NSN 7510-00-159-4450

Felt-tip Marker NSN 7520-00-973-1059



Figure 4

9. DON Record Groups

1. Refer to table 1 for a list of records groups.

RG#	RG NAME	Active/Disestablished
24	Naval Personnel, Bureau of	Active
38	Naval Operations, Office of the Chief of	Active
52	Medicine and Surgery, Bureau of	Active
78	Naval Observatory	Active
125	Judge Advocate General (Navy), Office of the	Active
127	Marine Corps, U.S.	Active
181	Naval Districts and Shore Establishments	Active
289	Naval Intelligence Command	Active
298	Naval Research, Office of	Active
313	Naval Operating Forces	Active
343	Naval Air Systems Command	Active
344	Naval Ships Systems Command	Active
345	Naval Electronics System Command	Active
347	Naval Supply Systems Command	Active
385	Naval Facilities Engineering Command	Active
405	Naval Academy, U.S.	Active
428	Navy, General Records of the Department of the, 1947-	Active
518	U.S. Central Command	Active
526	Naval Criminal Investigative Service	Active
528	U.S. Atlantic Command	Active
529	U.S. Pacific Command	Active
530	U.S. Southern Command	Active
531	U.S. European Command	Active
532	U.S. Space Command	Active
533	U.S. Special Operations Command	Active
534	U.S. Transportation Command	Active
535	U.S. Strategic Command	Active
593	Strategic Systems Program	Active
594	Naval Nuclear Propulsion Program	Active
19	Ships, Bureau of	Disestablished
37	Hydrographic Office	Disestablished
45	Naval Records college, Office of Naval Records and Library	Disestablished
71	Yards and Docks, Bureau of	Disestablished
72	Aeronautics, Bureau of	Disestablished
74	Ordnance, Bureau of	Disestablished
80	Navy, General Records of the Department of the, 1798-1947	Disestablished
143	Supplies and Accounts, Bureau of	Disestablished
225	Joint Army & Navy Boards & Committees	Disestablished
346	Naval Ordnance Systems Command	Disestablished
384	Chief of Naval Material	Disestablished
402	Naval Weapons, Bureau of	Disestablished

Table 1

APPENDIX B - REFERENCE SERVICE

1. Requests for reference services may be accomplished by using ARCIS. ARCIS is a web-based IT system used by the National Archives and Records Administration's FRCs. The system is the online portal through which activities can do business with the FRCs. For additional details see <http://www.archives.gov/frc/>. For access to ARCIS refer to reference (a) which prescribes the ARCIS request form and contact your Echelon II Records Manager or DON/AA DRMD. For Marine Corps personnel access, contact HQMC ARDB.
2. Refer to Figures 1 and 2 when creating reference requests in ARCIS.

The screenshot displays a web form for creating a reference request. It is divided into two main sections: 'About the Request' on the left and 'About the Records' on the right. The 'About the Request' section includes fields for 'Reference Request #' (ARR1-2958974791), 'Record Group' (019), 'Agency' (Department of the Navy), 'Last Name' (redacted), 'First Name' (redacted), 'Nature of Service' (Temporary Loan of Record), and 'Service Level' (Standard). The 'About the Records' section includes fields for 'Request Category' (General Reference), 'Records Transfer #' (empty), 'Container #' (empty), 'Case/File Information' (empty), 'Whole Container' (checkbox), '# of Units' (1), 'Security Classification' (empty), 'Security Level' (empty), 'Charge Account' (empty), and 'Stored At' (FRC - Atlanta).

Figure 1

- a. "Reference Request #" will automatically populate.
"Record Group" is the records group assigned to your profile.

b. "Nature of Service." Select Temporary Loan of Records or On-Site Review. For Smart Scan and Permanent Withdrawal, approval from DON/AA DRMD is required--document in the "Comments" who granted the approval and the date.

c. "Service Level." Select Standard or Emergency. NOTE: Emergency does not incur an additional fee.

d. "Record Transfer Number." This is the number the FRC assigned to your transfer.

e. "Container Number." Input which container you would like to request. If you are unsure review the box list affiliated with the transfer.

f. "Case/File Information." If you would like a particular folder from the box, input the exact name as written on the box list. If you would like the entire box, select "Whole Container."



About the Recipient	About Status and Shipping
★ Recipient Name [Redacted]	★ Status: Reference Initiated
★ Address Line 1 [Redacted] 	★ Shipping Method: Standard (billed) 
Address Line 2 [Redacted]	Shipping Carrier:
City ARLINGTON	Shipping Account #:
State VA	
Zip Code 22202	
Country USA	
Phone # [Redacted]	
Fax # [Redacted]	
E-mail [Redacted]	

Figure 2

g. "Recipient Name" and "Address" will be automatically filled in based on your profile information.

h. "Shipping Method." Select "Standard (billed)." For any other options, contact DON/AA DRMD for approval.

3. All DON personnel visiting an FRC to examine records, including messengers picking up DON records, should carry appropriate credentials (a letter of authorization whose reference requests are honored at the specific FRC where the records are being requested). In the case of classified documents, the individual must have written authorization (e.g., DD Form 2501, Courier Authorization Card) to examine the records. Provide the security clearance of the visitor, messenger, or DON personnel to the FRC prior to arrival. See reference (g) for additional details for hand carrying classified information.

4. When capability exists (i.e., equipment, personnel, etc.), certain records centers will provide reproductions of records unless it is contrary to DON restrictions, security requirements, or statutory limitations. FRC may bill you for requests for reproductions. There is also a charge for certified copies. Requests for reimbursable scanning services and other requests involving extensive use of technical facilities and personnel will be charged to the requesting activity based on a schedule of fees. Contact DON/AA DRMD for approval when inquiring about these options.

5. To enable the National Archives or FRC to restore returned records which were withdrawn on a temporary loan basis ensure all records remain intact when a box is withdrawn. Return the entire box. If records must be re-boxed, mark the outside of the box with the original accession number, location and box number (See Appendix A). Note, in pencil, accession number, location and box number on record(s) or file folder(s) when separate record(s) or file folder(s) are withdrawn.

6. Temporary records should not be removed from a FRC for longer than 60 days. Retention needed for periods longer than 60 days requires written permission from DON/AA DRMD (for Navy) or HQMC ARDB (for Marine Corps). Requests must be in writing (letter, memorandum, or email) and must contain sufficient justification to warrant longer retention.

APPENDIX C - GLOSSARY OF TERMS

The definitions and explanations contained in this Appendix apply to terminology or names as used in this manual.

1. Access

a. The availability of or the permission to consult records, archives, or manuscripts.

b. The ability and opportunity to obtain classified or CUI or records.

2. Accessions. The act and procedures involved in a transfer of legal title and the taking of records or papers into the physical custody of the National Archives. In records center operations, transfer of legal title may not be involved. The definitions also include the materials involved in such a transfer of custody.

3. Accountable Officers Accounts. Specific documents prepared by accountable officers, required by the Government Accountability Office to be maintained for audit. Also known as site audit records.

4. Accretion. An accession that is an additional segment of an already accessioned series.

5. Action Copy. That copy of a communication directed to a particular agency, office, or individual responsible for action as opposed to an information copy.

6. Active Records. See Current Records.

7. Administrative Records. See Housekeeping Records.

8. Administrative Value. In terms of appraisal, the usefulness of records to the originating or succeeding agency in the conduct of current business. See also Information Value.

9. Appraisal. The process of determining the value and disposition of records based upon their administrative and other uses, their evidential and informational or research value,

their arrangement, and their relationship to other records.

10. Architectural Drawings. Graphic and engineering drawings that depict conceptual as well as precise measured information essential for the planning and construction of static structures.

11. Archival Agency. See Archives.

12. Archival Value. The determination by appraisal that records are worthy of permanent preservation by an archival agency. See also Historical Value.

13. Archives

a. The noncurrent records of an organization or institution preserved because of their permanent value; also referred to, in this sense, as archival materials or archival holdings.

b. The agency responsible for selecting, preserving, and making available archival materials; also referred to as an archival agency.

c. The building or a part of a building where such materials are located; also referred to as an archival repository or depository.

14. Archives Administration. The management or direction of the program of an archival agency, including the following basic functions: appraisal, disposition, accessioning, preservation, arrangement, description, reference service, exhibition, and publication.

15. Archivist. A person responsible for or engaged in one or more of the following activities in an archival repository: appraisal and disposition, accessioning, preservation, arrangement, description, reference service, exhibition, and publication. See also Records Manager.

16. Arrangement. The process and results of organizing archives, records, and manuscripts following accepted archival principles.

17. Audiovisual Records. Program and information motion pictures, still pictures, sound recordings, video recordings, and related documentation.
18. Automated Data Processing. System for recording and processing data on magnetic media.
19. Break Files. See File Break.
20. Block. A chronological grouping of records consisting of one or more segments of records that belong to the same series and are dealt with as a unit for the purposes of their efficient transfer, especially the transfer of permanent records to NARA. For example, a transfer of records in 5-year blocks.
21. Cartographic Records/Archives. Records and archival material containing aerial photographs, maps, and related textual documentation.
22. Case Files. A folder or other file unit containing material relating to a specific action, event, person, place, project, or other subject. Sometimes referred to as a project file or a transaction file. Also a collection of such folders or other file units.
23. Central Files. The file of a command or several offices of organizational units physically and/or functionally centralized and supervised in one location.
24. Chronological File. See Reading File.
25. Classified Information. Records or information requiring, in the interests of national security or for the protection of individuals, safeguards against unauthorized disclosure. Also see CUI, Closed File.
26. Closed File
 - a. A file unit or series containing documents on which action has been completed and to which additional documents are not likely to be added.
 - b. A file unit or series to which access is limited or denied. Also see CUI, Classified Information.

27. Comprehensive Records Control Schedule. A document describing all records of a command or organizational unit and authorizing, on a continuing basis, the specific disposition of recurring series or records.
28. Contingent Disposal. Destruction of temporary records at a fixed period after a predictable event. Disposal may be based on the likelihood that two or more events in the future affect a series or records.
29. Controlled Unclassified Information (CUI). Unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations, and Government-wide policies. CUI sometimes bears designations such as 'For Official Use Only,' 'Law Enforcement Sensitive,' 'Limited Distribution,' etc. See also, Classified Information, Closed File.
30. Convenience File. Extra copies of records, personal papers, or publications maintained for ease of access and reference. Sometimes known as personal file.
31. Copy. A reproduction of an original document, usually identified by function or method of creation. Copies identified by function may include action copy, comeback copy, file or record copy, information or reference copy, official copy, and tickler copy. Copies identified by method of creation include carbon copy, mimeograph copy, ribbon copy, and electrostatic copy.
32. Correspondence. Letters, postcards, memoranda, notes, telecommunications, and any other form of addressed, written communications sent or received.
33. Cubic Feet of Record. Records measuring one foot long, one foot wide, and one foot high; used as a yardstick to indicate volume or records on hand, transferred, or destroyed. See Appendix A for table for calculating cubic footage for various physical types of records.
34. Current Records. Records that are necessary for conducting current business and must be maintained in office space and equipment.

35. Custody. The guardianship of records, archives, and manuscripts that, in a strict sense, includes both physical possession (protective responsibility) and legal title (legal responsibility). For example, DON records transferred to a FRC are in the physical possession of that facility, but legal title to them remains with the DON and access may be granted only with the approval of the originating DON activity. When accessioned by NARA, legal title, and physical possession then passes to the Archivist of the United States, who may grant access without reference to the DON.

36. Cutoff. See File Break.

37. Departmental Bureaus and Offices. All headquarters activities and offices at the Seat of Government, including offices of the Secretary of the Navy, Under Secretary and Assistant Secretaries, offices of the Chief of Naval Operations and the Commandant of the Marine Corps, all independent Departmental Boards and Committees, and Systems Commands, Bureaus, and Offices.

38. Disposal. The physical destruction of records by burning, macerating, or other appropriate means such as salvage.

39. Disposal Authority. The legal authorization for records destruction obtained from the Archivist of the United States.

40. Disposal Schedule. Instructions for disposition of DON records. See Disposal Authority.

41. Disposition. Those actions taken regarding records no longer needed to conduct the regular current business of the agency (§1220.18 of reference (b)).

42. Document. Recorded information regardless of medium or characteristics. Frequently used interchangeably with record.

43. EIS. Information systems that contain and provide access to computerized Federal records and other information (§1236.2 of reference (b)). The Defense Travel System (DTS) is an example of an EIS. A list of all approved Navy EISs will be listed in DIPTR DON.

44. Email System. 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 (b)).

45. Essential Records (formerly vital records). Records the DON needs to meet operational responsibilities during national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the DON and those affected by DON activities.

46. Evidential Value. The usefulness of records in documenting the organization, functions, and activities of the agency creating or receiving them. See Historical Value.

47. Emergency Destruction. Eliminating records under abnormal circumstances, as provided by law or regulations.

48. Federal Records Center. A records storage facility operated by the NARA, for housing and servicing noncurrent records of the Federal Government.

49. File

a. An accumulation of records maintained in a predetermined physical arrangement.

b. Documents placed in a predetermined location according to an overall plan of classification. Some examples of what a file can consist of are: Any entire voucher file, arranged numerically by voucher number and consisting of copies of paid vouchers together with attached supporting papers such as purchase orders, receiving reports, invoices, bills of lading, and correspondence. (Each individual voucher together with its supporting papers is a file unit.) A complete official personnel file, arranged alphabetically by name of employee, and consisting of separate personnel folders, each containing records pertaining to an individual employee. (Each separate folder with its contents is a file unit). A purchase order file, arranged numerically by purchase order number or

alphabetically by name of vendor, and consisting of copies of all the purchase orders issued or received by the organization. (Each separate purchase order and its supporting paper is a file unit.)

50. File Break/Cutoff. Termination of a file at regular intervals to allow continuous disposal or transfer of file series. File cutoff periods are normally by CY or FY. CY cutoffs = December 31 and FY cutoffs = September 30. Generally, FY cutoffs are applied to records involving fiscal matters while CY cutoffs are applied to all others.

51. File Inventory. A survey of activity records to gain information needed to develop a disposition schedule. Includes a descriptive listing of each record series of a system, together with an indication of where it is located and other pertinent data.

52. File Unit. A case file or a series of papers documenting a single transaction and comprising part of a file series, such as a voucher with attached supporting papers, a personal history folder with included papers relating to an employee, or an incoming letter with internal comments and official reply attached. See also File.

53. Finding Aids. The descriptive media or terms, published and unpublished, created by an originating office, an archival agency, or manuscript repository to establish physical or administrative control over records and other holdings. Basic finding aids include guides (general or repository and subject or topical), inventories or registers, location registers, card catalogs, special lists, shelf and box lists, indexes, calendars, and, for machine-readable records, software documentation.

54. Fiscal Value. The usefulness of records for information about the financial transactions and obligations of agencies and organizations. See also Administrative Value.

55. Frozen Records. Those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period. Records that are frozen cannot be destroyed until the freeze order is lifted by the appropriate authority.

56. General Correspondence Files. A group of related records accumulated by most activities consisting of correspondence, memoranda, messages, reports, and other records. These files are created in connection with the principal functions the activity performs. Since a variety of material is involved, it is best filed by subject so that relationships may be perceived readily. The use of the Navy- Marine Corps SSICs is prescribed for these files. Under this system, numerical subject classification codes are designated for primary subject to fit the need of the individual activity or office. These are subdivided into secondary and tertiary codes, as necessary.

57. GRS. A schedule, issued by the National Archives, governing the disposition of specified recurring record series common to several or all Federal agencies. These schedules as they apply to DON records have been incorporated into Parts III and IV of this manual.

58. Historical Value. The usefulness of records for historical research concerning the DON or for information about persons, places, events, or things.

59. Holding Area. DON space used for the temporary storage of active or semi active records and for records with relatively short retention periods. Also known as a staging area.

60. Housekeeping and Administrative Files. Records that relate to budget, fiscal, personnel, supply, and similar administrative operation, as distinguished from actual program records which document the activity's/command's primary function.

61. Inactive Records. See Noncurrent Records.

62. Informational Value. The value of records that derive from the information they contain on matters with which public agencies deal.

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

64. Legal Value. The value of records that contain evidence of legally enforceable rights or obligations of governments and/or

private persons.

65. Life Cycle of Records. The concept that records pass through three stages: creation, maintenance and use, and disposition. Records should be managed properly during all three phases of the lifecycle.

66. Machine-Readable Records. Records whose informational content is usually in code and has been recorded on media, such as magnetic disks, drums, tapes, punched paper cards, or punched paper tapes, accompanied by finding aids known as software documentation. The coded information is retrievable only by machine.

67. Manuscript. A handwritten or typed document including a copy. A mechanically produced form completed in handwriting or typescript is also considered a manuscript.

68. Maps and Charts. Graphic representation at a reduced scale of selected physical and cultural features of the surface of the earth and other planetary bodies. These may include topographical quadrangles, cadastral plans, charts (hydrographic, nautical, weather, and aeronautical), photomaps, cartograms, globes, and relief models.

69. Metadata. Elements of information that answer the questions 'who, what, where, when, and why' regarding electronic records. Metadata elements provide administrative, descriptive, and technical information that describe the structure and content of electronic records. Metadata elements also provide contextual information that explains how electronic records were created, used, managed, and maintained prior to their transfer to NARA, and how they are related to other records. This information enables NARA to appropriately manage, preserve, and provide access to electronic records for as long as they are needed.

70. Microcard. An opaque card containing miniaturized pages photographically reproduced in a grid pattern by rows (like the numbers of a calendar). Microcards can be printed on one or two sides. They are used primarily for direct reading or when only a few permanent enlargements are needed.

71. Microfiche. Miniaturized images arranged in rows that form

a grid pattern on card size transparent sheet film.

72. Microfilm. A negative or a positive microphotograph on film. The term is usually applied to a sheet of film or to a long strip or roll of film that is 16mm, 35mm, 70mm, or 105mm in width and on which there is a series of microphotographs. NOTE: Federal Records Centers no longer offer services to microfilm paper records. The FRCs may offer limited services to provide microfilm copies of existing microfilm. If this support is needed contact your servicing FRC to determine if they offer this service.

73. Microform. Any miniaturized form containing micro images, such as microcards, microfiche, microfilm, and aperture cards.

74. Microphotograph. A photographic reproduction so much smaller than the object photographed that optical aid is necessary to read or view the image. The usual range of reduction is from eight to the 25 diameters. Also called microcopy.

75. Naval Activities. Navy and Marine Corps activities.

76. Naval Records. Navy and Marine Corps records; in some instances, retention and disposal standards specifically designate Navy and/or Marine Corps records, but where "naval" or DON is used, it is intended to include both.

77. Navy Records Centers. See Records Center.

78. Noncurrent or Inactive Records. Those records not needed in the conduct of current business and which may be removed from office space and equipment without impairing current operation.

79. Non-Record Materials. Federally owned informational materials that do not meet the criteria of Federal records found in §3301 of reference (d), or have been excluded from coverage by its definition. 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 (b)).

80. Permanent Record. 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 (b)).

81. Personal Papers (also called Personal Files). 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 (b)).

82. Preservation Order. Actions taken to designate temporary records that may not be destroyed in accordance with NARA approved disposition schedules and also to designate other documentary material that may not be destroyed.

83. Primary Program Files. Files of an activity or office having primary responsibility for the establishment and development of general policies, plans, programs, and procedures in designated functional areas. Activities creating or accumulating these records are formulating and prescribing procedures to be followed by other activities and offices. Most primary program records are accumulated by departmental activities; but Operating Force (Flag/General) commands, and some other major field commands also accumulate primary program files. Primary program files generally are permanent records.

84. Programming Records. The process of developing instructions spanning the complete life cycle of a records series from its creation to eventual destruction or preservation.

85. Reading File. A file containing copies of documents, usually outgoing correspondence, arranged in chronological order. Sometimes referred to as a "chron file," or "chronological reading file."

86. Record Copy. The official, or file, or coordination copy created by an action officer, complete with coordination, enclosures, or related background papers that form a complete file or history of that action.

87. Record Group. A body of organizationally related records established by NARA to keep track of Agency records during and after the scheduling process, including those transferred to FRCs and or the National Archives. The list of DON Records

Groups is contained in Appendix A, pages A-12.

88. Record Freeze. A situation in which temporary records cannot be destroyed pursuant to an approved retention schedule because special circumstances, such as a court order or a congressional inquiry, require a temporary extension of the approved retention period.

89. Record Hold. See record freeze.

90. Records. Records include all recorded information, regardless of form or characteristics, made or received by a Federal agency 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 United States 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 (d)).

91. Records Center. A facility equipped for the concentrated economical storage of noncurrent or inactive records and staffed to perform required reference, processing, disposal, and related services.

92. Records Center Container. A corrugated cardboard box designated to hold one cubic foot of records, either legal or letter size, and used chiefly in records centers. These are the only containers authorized for shipment of DON records to a FRC. See Appendix A for further guidance.

93. Records Disposal Schedules. The administrative media used by the DON to obtain legal disposal authority for categories of naval records. When authorized by the archivist of the United States, these schedules grant continuing authority to dispose of identifiable categories of naval records that already have accumulated and that will accumulate in the future. This authority is issued to naval activities by this manual.

94. Records Disposition. See Disposition.
95. Records Management. 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 (d)).
96. Records Manager. The person responsible for or engaged in a records management program. Sometimes known as a records officer or records administrator. In the Marine Corps, this person is referred to as the "Command Designated Records Manager." See also ARCHIVIST.
97. Records Storage Area. Space set aside, without specialized equipment or personnel for the economical local storage of relatively inactive noncurrent records that must be retained for an additional period before destruction or transfer to a records center. See also Holding Area.
98. Reference Copies. A collection of extra copies of official records on a specific action used for ready reference.
99. Repository. A place where archives, records, or manuscripts are kept. The word "depository" is sometimes used as a synonym for repository.
100. Research Value. The usefulness of records for research by the Government, business, and other private organizations, and by scholars in the humanities, social and physical sciences, administration, and other disciplines. See also Historical Value.
101. Retention Period. The length of time that a record must be kept (§1220.18 of reference (b)).
102. Retention Standard. A description of a series of records and their retention period approved by the Secretary of the Navy following current law or regulation. The retention period may be of a temporary or permanent duration.

103. Retirement of Records. Removal of records from usable office-type space and equipment to local records storage area.

104. Retirement Period. The period of time which records are to be retained before being removed from a current files area to a designated local storage area. A retirement period is to be distinguished from a retention period (see Retention Period).

105. Scratching. Process of permanently removing, erasing, or obliterating recorded information from a medium, especially a magnetic tape or disk, which then may be reused. (Sometimes called deleting or erasing.)

106. Screening. The examination of records to determine the presence of documents eligible for destruction and the removal of such documents from the files prior to disposition of the remaining records.

107. Security Classified Records. See Classified Information. NOTE: destruction of electronic records. Electronic records may be destroyed only in accordance with a records disposition schedule approved by the Archivist of the United States, including General Records Schedules and this manual. At a minimum each command shall ensure that: Electronic records scheduled for destruction are disposed of in a manner that ensures protection of any sensitive, proprietary, or national security information. Magnetic recording media previously used for electronic records containing sensitive, proprietary, or national security information are not reused if the previously recorded information can be compromised by reuse in any way.

108. Semi-Current Records. Records required so infrequently in the conduct of current business that they should be moved to a holding area or directly to a records center. See also Current Records, Noncurrent Records.

109. Series, or Records Series. File units or documents arranged according to a filing or classification 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 (b)).

110. Structured Records. Any data that resides in fixed fields within a record or file within an EIS. Examples of structured data are relational databases.

111. Temporary Records. Records that need be retained for a specific period of time or until the occurrence of an action or event but that may then be destroyed, provided the destruction is accomplished under the provisions of this manual. See also Contingent Disposal.

112. Tickler File. A file arranged by date to facilitate selection of records for disposal when they become due.

113. Textual Records/Archives. The term usually applied to manuscript materials, as distinct from cartographic, audiovisual, and machine-readable record.

114. Transaction File. See Case File.

115. Transfer Number. The control number given to any DON functional element transferring records to a FRC. This number consists of the Record Group number, fiscal year in which the number was issued, and a four-digit sequential control number. The transfer number is the basic reference for any records shipment and must be used when retrieving papers from any FRC. See Appendix A for additional information.

116. Transfer of Records. Change of custodial responsibility for records by removal and assignment to another activity or office, or to a Federal Records Center, the National Archives, another Federal agency, a non-Government institution, or other non-DON recipient.

117. Unscheduled Records. Federal records whose final disposition has not been approved by NARA on a SF 115, Request for Records Disposition Authority. Such records must be treated as permanent until a final disposition is approved.

118. Unstructured Records. Records created using office automation applications, such as word processing, or presentation software, that are not contained in an approved EIS.

119. WAN. A system for linking together computers, terminals, printers, and other equipment that is located in extensively separated offices and buildings.

120. WP. A computer application used for the production (including composition, editing, formatting, and possibly printing) of any sort of printable material.

121. Work Files. Temporary files in auxiliary computer storage. Sometimes called processing files. An accumulation of work files may also include non-record material and technical reference files. Also referred to as "working files."

122. Working Papers. Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents.

123. WORM. Of or relating to a type of optical disk on which information can be recorded only once but from which it can be retrieved and read many times.

**APPENDIX D - RECORDS DISPOSITION NOTICES ISSUED BY FEDERAL
RECORDS CENTERS**

1. Relocation of Records

a. Occasionally, it becomes necessary to move records within the Federal Records Center system. When this happens, activities will be notified of the relocation. NA Form 13016, Notice of Accession Location Change, is mailed the month following the relocation. It is imperative that agency copies of SF-135 be annotated to show new location numbers for use in securing reference service. If the original transfer request was completed in ARCIS, the system will automatically update the new location and no action is needed on the part of the customer.

b. For further information concerning the relocation of records, contact the Appraisal and Disposition Branch of the appropriate records center.

2. Records Disposal

a. NARA will forward records destruction requests to the DON/AA DRMD through a spreadsheet representing the NA Form 13001, "Notice of Intent to Destroy Records." This will be done 90 days prior to the date that the records disposition allows the records to be destroyed.

b. The spreadsheet must be completed and returned to the FRC before the records will be destroyed. Prior to DON/AA DRMD signing the spreadsheet, DON/AA DRMD will contact the command owning the records as stated on the SF-135. If the records belong to the Marine Corps, DON/AA DRMD will contact HQMC ARDB who will contact the command owning the records. The command will ensure that there are no actual or pending litigation freeze/holds on the records about to be destroyed and will notify DON/AA DRMD. Marine Corps activities will notify HQMC ARDB who will respond to DON/AA DRMD.

(1) If there is an actual or pending litigation freeze or hold on the records, they cannot be destroyed. The command will get concurrence with its legal department/counsel before destroying any records.

(2) If there is a question on the legal status of records Navy commands should contact DON/AA DRMD and Marine Corps commands should contact HQMC ARDB.

c. DON/AA DRMD will keep a copy of the spreadsheet as an audit trail and dispose of the spreadsheet accordance with the disposition guidance contained in this manual.

APPENDIX E - ESSENTIAL RECORDS PROGRAM

1. Introduction. This Appendix sets forth the objectives and program guidelines of the DON Essential Records Program. The DON must be able to accomplish mission essential functions (MEFs) without unacceptable interruption during a national security emergency, or other emergency or disaster; and also protect the legal and financial rights of the DON and of individuals directly affected by its activities. The DON Essential Records Program is the means by which records needed to support the above are identified, stored, and protected. Management of essential records is an integral part of the Department's Continuity of Operations Program (COOP).

2. Definitions. The definitions in this section are taken from §1223.2 of reference (b).

a. Cycle means the periodic removal of obsolete copies of essential records and their replacement with copies of current essential records. This may occur daily, weekly, quarterly, annually or at other designated intervals.

b. Disaster means an unexpected occurrence inflicting widespread destruction and distress and having long-term adverse effects on agency operations. Each agency defines what a long-term adverse effect is in relation to its most critical program activities.

c. Emergency means a situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. This is generally of short duration, for example, an interruption of normal agency operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes.

d. Emergency operating records are that type of essential records important 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.

e. Legal and financial rights records are types of essential records important to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records. These records were formerly defined as "rights-and-interests" records.

f. National security emergency means any occurrence, including natural disaster, military attack, technological emergency, or other emergency, that seriously degrades or threatens the national security of the United States, as defined in reference (o).

g. Off-site storage means a facility other than an agency's normal place of business where essential records are stored for protection. This is to ensure that the essential records are not subject to damage or destruction from an emergency or disaster affecting an agency's normal place of business.

h. Essential records are important 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).

i. Essential 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.

3. Program Objectives. The objectives of the DON Essential Records Program are to:

a. Create and maintain current duplicative records at DON relocation sites adequate to support DON emergency actions and MEFs in national security emergencies, in accordance with §1236 of reference (b) and reference (p).

b. Safeguard records essential to the reconstitution of DON organizations and the re-establishment of DON operations once the situation has stabilized.

c. Provide for the preservation of legal and financial rights records of the DON and individuals directly affected by its activities.

d. Standardize essential records selection, labeling, and storage procedures.

e. Ensure all equipment needed to read essential records or copies of essential records will be available in case of emergency or disaster; and for electronic information systems, that system documentation adequate to operate the system and access the records will be available.

f. Encourage the use of information technology solutions to ease the accounting, inventory review, and retrieval of essential records or copies of essential records.

4. Responsibilities

a. The CNO and the CMC are responsible for establishing and maintaining a robust Essential Records Program in the Navy and Marine Corps respectively, as an integral part of the COOP. DON/AA is responsible for ensuring that provisions for the identification and protection of essential records are included in COOP plans and guidance for all organizations within the Office of the Secretary.

b. DON activities need to identify, inventory, protect, store, make accessible, and cycle (update as needed) the copies of essential records required in an emergency, including records that document legal and financial rights. Records Management personnel play a crucial role in providing guidance and assistance in inventorying records and determining appropriate maintenance practices for copies of essential records. Based on this manual, contingency planning analysis and identification of both emergency-operating records and those needed to protect legal and financial rights, program managers must determine which records within their physical or legal custody are essential.

c. Program Managers, in consultation with Records Management personnel, should then take steps to ensure that copies of those essential records are properly managed throughout their life, as they are updated, stored, and cycled. In addition, original essential records must be properly maintained until their authorized disposition in accordance with approved disposition schedules contained in Part III, Chapters 1 through 13 of this manual.

5. Essential Records Plan

a. DON activities should develop an essential records plan. The first part of the plan is a description of records that are essential to continued operations or for the protection of legal and financial rights. The plan also includes specific measures for storing and periodically cycling (updating) copies of those records. The Essential Records Plan should also address recovery of records (regardless of medium) that are damaged in an emergency or disaster.

b. The description of essential records is based on identification and inventorying. The following steps are involved in identifying essential records and records disaster mitigation, and should be performed in conjunction with COOP planning efforts:

(1) Review normal command/organization functions. Identify the categories of records relating to each of these functions. Review existing COOP plans and determine which functions are necessary during a national security emergency. After those functions are identified, earmark specific essential records for safeguarding.

(2) Review emergency functions assigned to command/organization and treat in same manner as outlined in 3a. above.

(3) Review documentation created for contingency planning and risk assessment phase of emergency preparedness (COOP documents). Such documentation will produce essential records material requiring proper safeguards.

(4) Review current file plans of offices that are responsible for performing mission essential functions.

(5) Review the records manual or records schedule to determine which records series potentially qualify as essential.

(6) Identify which records series or electronic information systems contain information needed to protect the legal and financial rights of the DON and persons directly affected by the organizations.

c. Caution must be exercised in designating records as essential and in conducting the essential records inventory. A review by the National Archives and Records Administration found that from one to seven percent of Federal agency's records might be essential records. Only those records series or electronic information systems (or portions of them) most critical to emergency operations or the preservation of legal or financial rights should be so designated.

d. Records likely to be selected as essential include:

(1) Emergency-Operating records. NOTE: This list is not all inclusive.

(a) Statements of mission in an emergency, and plans and programs for carrying out that mission.

(b) Delegations of authority.

(c) Orders of succession.

(d) Organization and manning documents.

(e) Pre-drafted directives or announcements to be issued immediately at the beginning of an emergency.

(f) Emergency action programs that may have been drafted in skeleton form.

(g) Essential records inventories.

(h) Information about DON personnel, property, and activities sufficient to provide basis for damage assessments.

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(i) System documentation for any electronic information systems designated as emergency operating records.

(j) Copies of basic regulations and procedures.

(k) Lists of personnel assigned emergency duties, as well as lists of employees' skills that might be useful during and following an emergency.

(l) Industrial records such as engineering drawings, explanation of complex industrial processes, list of suppliers for items and materials not readily available and similar items

(2) Legal and Financial Rights Records. NOTE: This list is not all inclusive.

(a) If DON is the statutory office of record for legal rights, it has primary responsibility for records protection.

(b) Fiscal records such as periodic summary of financial status of organization, records of significant amounts of money owed to DON, and records of debt owed by DON.

e. The inventory of essential records should include:

(1) The name of the office responsible for the records series or electronic information system containing essential information.

(2) The title of each records series or information system containing essential information.

(3) Identification of each series or system that contains emergency-operating essential records or essential records relating to rights.

(4) The medium on which the records are recorded.

(5) The physical location for offsite storage of copies of the records series or system. If some or all of the records are in an electronic format, specify the location of the alternate work site where the records can be accessed and use this manual to continue those functions deemed essential for continuity of operations.

(6) Classified documents should be labeled correctly. The command security manager must approve special space or equipment before storage of classified records begins.

f. Protection and storage of essential records

(1) After completion of the inventory, protection methods and storage sites must be chosen for essential records. The former may include using existing duplicates of the records designated as essential or duplicated for this purpose. If performing duplication, it is generally most economical to duplicate the original medium onto the same medium; that is, duplicate microfiche onto microfiche or magnetic tape onto magnetic tape.

(2) Appropriate equipment should be selected to ensure the continued preservation of copies of the essential records until they are cycled. In addition, organizations should ensure proper environmental conditions for storage of copies of essential records, particularly for those recorded on fragile media such as microfilm, magnetic tape, disks, or electronic records until they are replaced.

(3) Given the importance of essential records, if possible, organizations should arrange for offsite storage of copies in a facility not subject to the same emergency or disaster but still reasonably accessible to personnel. Current duplicative records necessary to support DON MEFs in national security emergencies will be stored at DON relocation sites. Periodic cycling (updating) of copies of essential records is critical.

6. Training

a. Personnel assigned responsibilities in the Essential Records Program should receive appropriate training. Periodic briefings should be given to senior managers, especially those new to the organization, about the essential records program and its relationship to their records.

b. Appropriate personnel such as records managers or administrative officers should ensure that all personnel within the organization receive training appropriate to their assigned duties. Such training generally focuses on the identification,

inventorying, protection, storage, and cycling of copies of the activities' essential records. Wherever possible it should be integrated with existing training initiatives, particularly in such areas as records management and COOP planning and operations.

7. Reviews and Testing

a. The essential records program should be reviewed at least annually to determine whether essential records are adequately protected, current, and accessible to personnel who would use them.

b. In addition, valuable information for improving the program can be obtained by testing it under simulated emergency or disaster conditions.