NETCINST 5210.1B
N04
08 May 2023

NETC INSTRUCTION 5210.1B

From: Commander, Naval Education and Training Command

Subj: NAVAL EDUCATION AND TRAINING COMMAND RECORDS MANAGEMENT
       PROGRAM

Ref: (a) DoD 5015.02-STD, Design Criteria Standard for
           Electronic Records Management Software Application,
           of 25 April 2007
       (b) SECNAVINST 5210.8F
       (c) 44 U.S.C.
       (d) 36 CFR 1220-1239
       (e) SECNAV M-5210.1 of 23 September 2019
       (f) SECNAVINST 5211.5F
       (g) NETCINST 5211.2C
       (h) SECNAVINST 5720.42G
       (i) CNO WASHINGTON DC 011216Z Feb 23 (NAVADMIN 021/23)
       (j) SECNAVINST 5510.36B
       (k) SECNAV M-5210.2 of 29 August 2018
       (l) OMB Memorandum M-19-21, Transitioning to Electronic
           Records of 28 June 2019
       (m) OMB Memorandum M-23-07, Update to Transition to
           Electronic Records of 23 December 2022
       (n) SECNAV WASHINGTON DC 071820Z MAY 14 (ALNAV 034/14)
       (o) DoD Directive 5100.03 of 9 February 2011

Encl: (1) Glossary of Terms
       (2) Sample Naval Education and Training Command File Plan
       (3) Command Records Manager Appointment Letter Format

1. Purpose. To issue Naval Education and Training Command
(NETC) records management (RM) program policies to ensure
administrative information created or acquired by activities and
offices is properly managed from creation and receipt through
final disposition according to federal laws and Department of
the Navy (DON) RM program requirements per references (a)
through (o).

2. Cancellation. NETCINST 5210.1A.

3. <u>Policy</u>. NETC activities will establish, maintain, and dispose of records consistent with the guidance in references (a) through (o).

4. <u>Applicability and Scope</u>. This instruction applies to all military, civilian, and contractor personnel assigned to activities within the NETC force development domain.

5. <u>Records Storage</u>. The DON mandated RM application (RMA) is M365 USN Records Management in Sharepoint Online. Activities will use this program for all RMA unless those records are stored in other Navy enterprise-wide programs (i.e., Department of Defense Information Technology Portfolio Repository-Department of the Navy (DITPR-DON)) per reference (a).

6. <u>Definitions</u>. Special terms used in this instruction are explained in enclosure (1).

7. <u>Records Management Requirements</u>. The information in this paragraph reiterates requirements in reference (b). It is recommended personnel review and develop a familiarity with reference (b) to insure compliance with DON RM requirements.

   a. Legal Requirements. As required by federal law, regulation, or policy, the DON will:

      (1) Preserve records documenting the DON's organization, functions, policies, decisions, procedures, and essential transactions per references (c) and (d).

      (2) Establish and maintain an active, continuing program for the economical and efficient management of the records of the agency per reference (c).

      (3) Establish safeguards against the removal or loss of records, including notice to DON officials and employees that records in the custody of the DON are not to be alienated or destroyed except per reference (c).

      (4) Notify the Archivist of the United States of any actual, impending, or threatened unlawful removal, defacing, alteration, corruption, deletion, erasure, or other destruction of records per reference (c).

b. General Requirements

(1) DON records will be managed within the legal framework provided by law, regulation and policy. 32 C.F.R. 700.1127 states that 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.

(2) DON personnel will manage records consistent with the requirements of reference (e).

(3) The maintenance of personal records of individuals, including records containing personally identifiable information (PII), will be per references (f) and (g).

(4) Per reference (h), the release of DON records to private parties will be per the Freedom of Information Act (FOIA) and directives issued by the Secretary of the Navy (SECNAV). Records, including email, that are the subject of a FOIA request may not be destroyed. DON personnel will seek guidance from their servicing FOIA office before disposing of any material that may be subject to FOIA.

c. Requirements for Departing Personnel

(1) DON personnel are required to create, maintain, and properly preserve records that document the Department's transaction of business and mission in wartime and peacetime. DON personnel will ensure that legal and general requirements are met prior to their departure from a DON position, service, or employment.

(2) No records, regardless of format, are to be removed from any office as personal property.

(3) Senior leaders are more likely to create agency records and must ensure that such records are identified and transferred to the custody of an appropriate DON official prior to their departure.

8. <u>Responsibilities</u>

   a. <u>NETC will</u>:

      (1) Oversee and implement a RM program per reference (b).

      (2) Designate an echelon 2 records manager in writing with authority to execute the RM program. Provide a copy of the command appointment letter to DON/Assistant for Administration Directives and Records Management Division (DON and AA DRMD) within 30 days of appointment per reference (b).

      (3) Designate a command content manager (CCM). The CCM can be the same individual as the designated records manager.

      (4) Implement policy to ensure protection of command records in compliance with legal and statutory requirements.

      (5) Ensure personnel receive RM training.

      (6) Per reference (i), NARA will no longer accept transfers of records to any Federal Records Center (FRC) after 30 June 2024. Effective immediately, all commands must cease transfer of permanent and temporary unclassified analog records in all formats to NARA FRCs through the Archives and Records Centers Information System (ARCIS) portal. NETC will coordinate with subordinate commands to begin new transfers of all records to Iron Mountain, Inc., through the use of the Iron Mountain Connect Portal (IMConnect Portal). All commands will continue to transfer their classified records to the FRCs until notified by their command RM. Users can request access to the ARCIS and IMConnect portal using SECNAV 5210/2.

      (7) Ensure completion of the RM program self-assessment (SECNAV 5210/4) within 90 days of appointment of a new echelon 2 records manager and thereafter every 3 years.

   b. <u>NETC Force Judge Advocate (FJA) and NETC Office of General Counsel (OGC)</u>. The NETC FJA and OGC will support the NETC RM program by providing legal assistance to NETC headquarters staff and advice to subordinate commands on the proper response to judicial correspondence and amendments to records, motions for discovery, preservation orders, or other legal actions or issues pertaining to NETC managed records.

c. <u>NETC Command Chief Information Officer</u>

(1) Ensure NETC electronic information systems (EIS) comply with the guidance contained in reference (e).

(2) Document the RM-related requirements of NETC's EIS in DITPR-DON.

(3) Collaborate with NETC records manager to assess the records related determinations cited in reference (e) and ensure correct information is entered in DITPR-DON.

d. <u>NETC Security Manager</u>. Per reference (j), the NETC security manager will provide technical support for issues pertaining to the proper classification and management of classified records.

e. <u>NETC Echelon 2 Records Manager</u>

(1) Provide guidance, leadership, and assistance for the NETC force development domain on matters relating to RM. This includes briefing commands on their legal responsibilities for maintaining records and the status of the RM program under their command.

(2) Notify the commanding officer of any weaknesses or deficiencies in the RM program and any corrective actions needed to bring the program into compliance per reference (b).

(3) Ensure echelon 3 commands have appointed records managers.

(4) Ensure echelon 3 commands have file plans.

(5) Conduct an annual file plan review. NETC file plan will be completed using SECNAV 5210/5 or a format developed by the command to ensure it includes all necessary information in the office file plan form. See enclosure (2) for sample file plan.

(6) Conduct records inspections on echelon 3 commands to ensure compliance with reference (b) and this instruction.

(7) Ensure that the capstone officials list for NETC reflects accurately against the list published on the DON/AA DRMD web site (https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx). If a capstone official changes, notification will be sent to DON/AA DRMD to include incoming capstone official's information.

(8) Brief arriving, departing, and transferring personnel per reference (b).

(9) Ensure that personal data within records are safeguarded per reference (f).

(10) Ensure that personnel are properly trained in the requirements of the DON RM program per reference (b).

(11) Immediately upon discovery of any unscheduled records, or if there is justification to change the records schedule, complete an SF 115 and submit to DON and AA DRMD.

(12) Manage the NARA assigned record group (RG) number. This includes:

(a) Providing access control to NETC's RG using ARCIS.

(b) Obtaining a copy of NARA's accessions holding report from DON/AA DRMD to conduct monthly reviews of records holdings to ensure that all records are scheduled, destroyed, or transferred to NARA at the required time.

(c) Reviewing RG in electronic records archive for eligible permanent transfer of records to the National Archives of the United States.

f. NETC Echelon 2 CCM

(1) Serve as NETC's command level administrator for the DON's RMA.

(2) Ensure the proper permissions are in place for all users requiring access to the DON's approved RMA.

(3) Ensure business rules are in place that provide an organized and efficient structure to enable ease of locating and filing Navy records per reference (k).

(4) Assist users with any questions of the DON's approved RMA.

g. <u>NETC Headquarters and Commands or Activities</u>

(1) Ensure command records are managed per reference (b) and this instruction.

(2) Preserve records that protect the legal and financial rights of the government, the DON, and its personnel.

(3) Establish a system of supervision to ensure the prompt disposition of non-current records per reference (e).

(4) Regardless of routine disposition instructions contained in reference (e), ensure that records involved in a records hold or those that may reasonably be expected to be included in a hold are not destroyed until final disposition authorization has been provided by the echelon 2 records manager, in coordination with OGC and FJA.

(5) Comply with requests for documentary material per SECNAVINST 5000.37. Assist the OGC and NETC FJA in all DON legal holds and records freezes.

(6) Conduct an inventory or file plan review of all records annually to ensure that they are being properly maintained.

(7) Ensure the command uses electronic filing methods vice paper filing per references (l) and (m).

(8) Ensure records of historical value are preserved and transferred to NARA per references (n) and (o).

(9) Ensure PII within records is safeguarded per reference (f).

(10) Ensure personnel who create and use records are properly trained to ensure compliance with the DON RM program and references (c), (e), and (k).

(11) Ensure that command records managers participate in the development and implementation of the essential records program. Ensure program implementation, monitoring, and testing at least annually.

(12) Ensure that the essential records program is incorporated into the command continuity of operations plan.

(13) Appoint, in writing, a command records manager to ensure records are maintained per this and other relevant instructions, regulations, and laws. Enclosure (3) is a sample command records manager appointment letter.

(14) Provide copies of the command records manager's appointment letter and contact information, and any subsequent changes, to your immediate superior in command (ISIC) records manager and the echelon 2 records manager.

   h. <u>Command Records Manager</u>

(1) Ensure compliance with paragraph 8g of this instruction.

(2) Responsible for all command records.

(3) Notify the NETC records manager, via your ISIC records manager, when unscheduled records are located and ensure that they are not destroyed pending receipt of proper authority from NARA.

(4) Originate or approve all requests to dispose or transfer records.

   i. <u>DON Personnel</u>. DON personnel will create, maintain, properly preserve, and dispose of records that document the commands mission consistent with legal and general requirements in enclosure (3) of reference (b). DON personnel will ensure that legal and general requirements are met prior to their departure. Coordinate all RM matters with the command records manager.

9. Training. Command records managers are required to complete the two courses listed below:

    a. These electronic training courses are available available through Total Workforce Management Service (TWMS).

        (1) Records Management in the DON: Everyone's Responsibility (DOR-RM-010-1.2)

        (2) DON Records Management: Advanced Topics (DOR-RM-020-1.1)

    b. Records management procedures and guidance are available in the following references:

        (1) Authority and Procedures for Records Disposition: Reference (e), Part I

        (2) Applying Records Retention Standards: Reference (e), Part II

        (3) Federal Records Center Transfer Procedures: Reference (e), Appendix A

        (4) Essential Records Program: Reference (e), Appendix E

        (5) Filing Procedures: Reference (k), Chapter 1

10. Records Management

    a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the Department of the Navy Assistant for Administration, Directives and Records Management Division portal page at https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx.

    b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager.

11. <u>Review and Effective Date.</u> Per OPNAVINST 5215.17A, NETC will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 (Review of Instruction). This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

12. <u>Forms</u>

    a. The following forms are available for download from the Department of the Navy Issuances website (https://www.secnav.navy.mil/doni/default.aspx):

        (1) SECNAV 5210/2 (Department of the Navy Records Storage Account Access Request Form)

        (2) SECNAV 5210/4 (Records Management Program Self-Assessment)

        (3) SECNAV 5210/5 (Naval Organizational Records File Plan)

    b. The following form is available for download from the GSA Forms Library (https://www.gsa.gov): SF 115 (Request for Records Disposition Authority)

P. A. GARVIN

Releasability and distribution:
This instruction is cleared for public release and is available electronically on the NETC public web site (www.netc.navy.mil) or by email at netc-directives@us.navy.mil.

<u>GLOSSARY OF TERMS</u>

1. ARCIS. ARCIS is a web-based IT system of the FRCs for the NARA. The system is the online portal through which your agency can do business with the FRCs.

2. Continuity of Operations Plan. A DON component's plan for the capability to continue its mission essential functions without unacceptable interruption during a national security emergency.

3. Disposition. Those actions taken regarding records no longer needed to conduct the regular current business of the agency.

4. Documentary Materials. A collective term referring to recorded information, regardless of the medium; or the method or circumstances of recording.

5. EIS. Information systems that contain and provide access to computerized federal records and other information. The Defense Travel System is an example of an EIS. A list of all approved Navy EISs will be listed in DITPR-DON.

6. Electronic Record. Any information that is recorded in a form that only a computer can process and that satisfies the definition of a federal record in section 3301 of reference (c).

7. 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.

8. Essential Records Program. The policies, plans, and procedures developed and implemented and the resources needed to identify, use, and protect essential records.

9. File Plan. A plan designating the physical location(s) at which an office's files, regardless of media, are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. It includes a document containing the standard

subject identification code (SSIC), title or description, and disposition authority of files held in an office.

10. Non-Record Materials. Federally owned informational materials that do not meet the criteria of federal records found in section 3301 of reference (c). 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.

11. 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.

12. Personal Papers. 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.

13. PII. Any information or characteristic that may be used to distinguish or trace an individual's identity, such as name, Social Security Number, or biometric records.

14. Preserve. To safeguard or protect for future use. Personnel must retain records in an accessible manner for the time required by either NARA or the DON retention schedule.

15. Recorded Information. All traditional forms of records, regardless of physical form or characteristics; including information created, manipulated, communicated, or stored in digital or electronic form.

16. Records. 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.

17. Records Maintenance and Use. Any activity involving location of records of a federal agency; storage, retrieval, and handling of records kept at office file locations by or for a federal agency; processing of mail by a federal agency; or selection and utilization of equipment and supplies associated with records and copying.

18. 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.

19. RMA. Software used to categorize, locate, store, and retrieve records and identify those that are due for disposition. M365 USN Records Management in Sharepoint Online is the approved RMA.

20. Retention Period. The length of time that a record must be kept.

21. Scheduled Records. Records with NARA-approved disposition and retention periods.

22. Unscheduled Records. Federal records whose final disposition has not been approved by NARA on a SF 115. Such records must be treated as permanent until a final disposition is approved.

SAMPLE NAVAL EDUCATION AND TRAINING COMMAND FILE PLAN
NAVAL ORGANIZATION RECORDS FILE PLAN

Command: Naval Education and Training Command (NETC)		UIC:00076		Date: MAR 2021

Item 1

a) SSIC: 4000-29	b) Schedule No.:	c) File Title: Inventory Control - Discrepancies	d) Disposition Instructions: Cutoff when discrepancy resolved. Destroy 4 years after cutoff.	e) Essential Record: No f) Identification of Media:

| g) Location: | h) Final Disposition: Temporary | i)Classification: Unclassified | j) Special Markings: N/A | k) Physical Media Electronic Records | l)Volume: | m) Container |

n) 25Year Declassification N/A Completed o) Date Span: (yyyy-yyyy) p) Comments:

Item 2

a) SSIC: 4000-31	b) Schedule No.:	c) File Title: General Operations of Logistics Programs	d) Disposition Instructions: Cutoff at end of CY. Destroy 3 years after cutoff.	e) Essential Record: No f) Identification of Media:

| g) Location: | h) Final Disposition: Temporary | i) Classification: Unclassified | j) Special Markings: N/A | k) Physical Media Electronic Records | l)Volume: | m) Container |

n) 25 Year Declassification N/A Completed o) Date Span: (yyyy-yyyy) p) Comments:

Item3

a) SSIC: 4000-36	b) Schedule No.:	c) File Title: Inventory Control	d) Disposition Instructions: Destroy when 6 months old.	e) Essential Record: No f) Identification of Media:

| g) Location: | h) Final Disposition: Temporary | i) Classification: Unclassified | j) Special Markings: N/A | k) Physical Media Electronic Records | l) Volume: | m) Container |

n) 25 Year Declassification N/A Completed o) Date Span: (yyyy-yyyy) p) Comments:

Item4

a) SSIC: 4000-39	b) Schedule No.:	c) File Title: Contract Files - Indemnification	d) Disposition Instructions: Cutoff file at the end of the FY and retire to nearest FRC. Destroy at the end of the period of indemnification. Retiring activities must specify destruction date on SF-135 used to retire records.	e) Essential Record: No f) Identification of Media:

| g) Location: | h) Final Disposition: Temporary | i) Classification: Unclassified | j) Special Markings: N/A | k) Physical Media Electronic Records | l)Volume: | m) Container |

n) 25 Year Declassification N/A Completed o) Date Span: (yyyy-yyyy) p) Comments:

COMMAND RECORDS MANAGER APPOINTMENT LETTER FORMAT

Command Letterhead

5210
(Date)

From: Commanding Officer, [Command Name]
To: Name of designated person

Subj: APPOINTMENT AS COMMAND RECORDS MANAGER

Ref: (a) NETCINST 5210.1B
       (b) SECNAVINST 5210.8F
       (c) SECNAV M-5210.1 of 23 September 2019
       (d) SECNAV M-5210.2 of 29 August 2018

1. Per reference (a), you are hereby appointed as the (name of command) records manager. As the records manager, you will become familiar with the contents of references (a) through (d) and other pertinent records management instructions. You are responsible as the commander's designated records manager with ensuring records management tasks and responsibilities are completed and that applicable legal and regulatory requirements of the Department of the Navy (DON) records management program are fulfilled at this command. You will proactively manage the command records management program and identify and communicate challenges, shortcoming and changing requirements to me so I may take action to support your efforts and ensure applicable legal and regulatory requirements of DON records management program are met at this command.

2. As the (name of command) records manager, your duties are, but are not limited to, the following:

    a. Overall administration of the command's records management program to include the planning, controlling, directing, organizing, training, promoting, and other managerial activities involving records creation, records maintenance and use, records preservation, and records disposition of all command records.

    b. Maintaining references on various aspects of the program for the purpose of reporting to higher authority.

Enclosure (3)

Subj: APPOINTMENT AS COMMAND RECORDS MANAGER

    c. Providing technical assistance to requesting offices and subordinate activities.

    d. Performing such management studies as are necessary.

    e. Coordinating any general reviews of specific aspects of records management.

3. This appointment is effective until rescinded in writing or your departure from this command.

                    COMMANDING OFFICER SIGNATURE

Copy to:
NETC Echelon 2 Records Manager
(Your ISIC) Records Manager