NSTCINST 5210.1
N001
20 Dec 2019

NSTC INSTRUCTION 5210.1

From: Commander, Naval Serve Training Command

Subj: RECORDS MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 5210.8E
       (b) SECNAV M-5210.1
       (c) SECNAV M-5210.2
       (d) SECNAV M-5216.5
       (e) SECNAVINST 5510.36A
       (f) SECNAVINST 5720.42F
       (g) NETCINST 5211.2C
       (h) NETCINST 5210.1

Encl: (1) Glossary
        (2) Records Management Self-Assessment Checklist

1. Purpose

    a. To issue Naval Service Training Command (NSTC) Records Management Program policies to ensure administrative information created or acquired by activities and offices is properly managed from creation/receipt through final disposition according to Federal laws and Department of the Navy (DON) Records Management Program requirements per references (a) through (h).

    b. This revision provides updated administrative and policy changes affecting NSTC Records Management Program, primarily the command's transition to the Hewlett Packard Enterprise Records Manager (HPE RM) system and requirement for all staff personnel to have either Administrator or End User accounts for accessibility to command correspondence and records management.

2. Policy. NSTC will manage the life cycle of records (creation, maintenance, use, and disposition), regardless of media, that document the organization's functions, policies, procedures, decisions, and other activities consistent with the guidance in references (a) through (h).

3. Applicability and Scope. This instruction applies to all military, civilian, and contractor personnel assigned to NSTC.

4. Definitions. Special terms used in this instruction are explained in enclosure (1).

5. Records Management Program. Commands are required by law to maintain an active records management program that provides for the accurate and efficient tracking and retrieval of "federal records". Federal records must adequately document the organization, operations, functions, policies, procedures, decisions, and transactions of the command and provide information necessary to protect the legal and financial rights of the command and the government. The Records Management Program is designed to ensure records are maintained and disposed of per references (a) through (h).

6. Records Creation

   a. All personnel are responsible for creating, maintaining, and preserving information as records, from any type of media, sufficient to provide evidence of organization, functions, policies, procedures, or decisions; or records that document the transactions necessary to protect legal and financial rights of the command and its personnel.

   b. Per reference (c), records will be properly identified by their Standard Subject Identification Code (SSIC). SSICs are critical in determining disposition authority and shall be used on all official records created including, but not limited to, letters, messages, memorandums, messages, directives, forms, and reports.

   c. In order to minimize the recordkeeping burden on recipients and to avoid unnecessary burden on the electronic communications system, both the creator and recipient of an e-mail message must decide whether it is a record. Therefore, a document may be a record in more than one office or activity.

7. Records Retention and Disposal. Records management is not complete without a system in place for the proper retention and disposal of records. The disposition guidance contained in reference (b) is mandatory and will be followed. Requests for exceptions to disposal guidance must be forwarded to the Naval Education Training Command (NETC) Records Manager for appropriate review and approval. Disposition is divided into two categories:

   a. Permanent Records. All records identified in reference (b) as permanent must be transferred to the National Archives and Records Administration (NARA) when no longer needed for administrative, legal, or fiscal purposes. The specific retention period before transfer is normally specified in the record's disposition. NARA can accept permanent records in paper or electronic media that meets the provisions of reference (b) or standards applicable at the time of the transfer.

   b. Temporary Records. Temporary records must be retained for the period specified in reference (b) and then destroyed/deleted. Federal Records Centers (FRC) can store temporary records with retention periods of three years or longer.

8. Records Freezes and Holds. Regardless of the retention standards established by reference (b), records pertaining to unsettled claims for or against the Federal Government, current or pending litigation, preservation orders, Freedom of Information and/or Privacy Act requests, exceptions taken by the General Accounting Office or internal auditors, or incomplete investigations will not be destroyed. The records must be retained until the litigation or action is settled, the investigation is completed, the preservation order is lifted, or the exception is cleared. Records identified as frozen or held may not be destroyed without written notification of their release from the Command Records Manager or Command Staff Judge Advocate (SJA)/Counsel. Segregate and retain records directly pertinent to the litigation, investigation, preservation orders, or exception until all actions are completed. Before implementing such procedures, coordinate with the Command Records Manager or the Command SJA/Counsel to establish the legitimacy of the action and your proposed implementing actions.

9. Electronic Records. A significant and ever increasing portion of command records are created, used, and stored electronically. These records must be managed as stringently as records in any other medium. Electronic records include information that may be recorded on any medium capable of being read by a computer and which satisfies the definition of a record. E-mail records comprise a significant subset of electronic records that need to be appropriately created, maintained, used, and disposed. Reference (b), Part I, paragraph 17, and reference (d), Chapters 3 and 4, provide general recordkeeping procedures for electronic records and e-mail and are supplemented by the specific guidance contained in this instruction. Not all e-mail messages and other electronically generated information are considered records.

10. Records Filing. Filing procedures constitute an integral part of any Records Management Program. Reference (c), Chapter 1, provides guidance for establishing filing procedures for records created and maintained in offices and activities. Use of these procedures establishes a systematic way that is consistent throughout the command and meets the legal and procedural requirements of references (b) and (c). Procedures in reference (c), along with amplifying guidance in this instruction, are to be used by personnel responsible for maintaining command records.

   a. Filing Procedures for Hardcopy Records. It is recommended that command files be centralized and maintained by the Command Records Manager, but they may be decentralized and maintained by individual departments and Special Assistants (SA). NSTC encompasses several sites amongst several installations and buildings; therefore, the command will utilize a decentralized filing plan.

   b. Filing Procedures for Electronic Records. HPE RM is the Navy's current Electronic Records Management (ERM) system residing as a Navy and Marine Corps Intranet (NMCI) program. HPE RM is accessible by every workstation on an NMCI network and may also be accessed via its web-based application at https://trimweb/default.html. Though the software and server platforms are provided for under NMCI, the contents and management of those contents, however, are the responsibility of the individual content owners.

(1) NSTC activities with access to the NMCI network will use the HPE RM program for storage of electronic records including e-mail. HPE RM is required to properly categorize records by records series (SSIC) and to file and manage them until final disposition is mandatory.

(2) A file plan is required for records stored in HPE RM. Enclosure (2) is a sample file plan and is to be used as a guide to create all file plans. Electronic records stored in other Navy enterprise-wide programs, i.e., the Electronic Military Personnel Record System (EMPRS), are exempt from the requirement to use HPE RM.

(3) The releasability and distribution block used in command correspondence (directives, notices, etc.,) will identify HPE Records Manager as the command's official electronic repository.

(4) Current records, those that are necessary for conducting current business and regularly referenced, may also be printed and filed in the activity's hardcopy filing system pending their final disposition per reference (b), Part III, and this instruction. In all cases the permanent deletion of electronic records when not printed and filed must meet the disposition guidance contained in reference (b), Part III.

11. <u>Facsimile (Fax) Transmission Records</u>. Section E of reference (d) provides information on the use of facsimiles and their use as official records. As with other records, the retention, filing, and disposal of official government facsimile records must conform to the guidance contained in reference (b) and this instruction.

12. <u>Personal Data</u>. All persons having records containing Personally Identifying Information (PII) data must exercise reasonable caution to ensure that this information is protected. PII is defined as any information about an individual maintained by an agency including, but not limited to, education, financial transactions, medical history, and criminal or employment history, and information which can be used to distinguish or trace an individual's identity, such as their name, SSN, date and place of birth, mother's maiden name, biometric records, and any other personal information which is linked or linkable to an individual. PII is subject to protection and must be marked "FOR OFFICIAL USE ONLY – Privacy Sensitive: any misuse or unauthorized disclosure may result in both civil and criminal penalties." References (f) and (g) contain additional information concerning protection and destruction of PII.

13. <u>E-Mail Records</u>. Within NSTC, e-mail is authorized to convey official correspondence, to include information meeting the definition of a "Federal record," and informal information subject to the limitations discussed in reference (d). E-mail users are:

   a. Required to preserve e-mail messages and any attachments that document NSTC organization, functions, policies, decisions, procedures, and operations meeting the standards as a Federal record. They may be retained in an electronic format or printed out for filing. Regardless of medium, file and dispose of them as required per references (b) and (c) and this instruction.

b.   Required to file e-mail messages (with the transmission data and, when determined necessary to document the actual receipt by addressee(s), receipt data) and attachments determined to qualify as Federal records. If printed out and not saved electronically, they must be filed in the activity hardcopy filing system so that they can be found when needed by those persons authorized to access the activity's records.

c.   Authorized to use the e-mail system to transmit as an attachment formal correspondence within DoD. When using e-mail in place of formal correspondence, the drafter must follow the procedures outlined in reference (d). In place of the signature, type in your letterhead information and use "/s/". Transmit only from your authorized e-mail address and retain a copy of the e-mail transmittal and attached correspondence as your activity's record copy. Refer to reference (d) for additional information on electronic and e-mail records.

14. <u>Personal Records or Papers</u>. When retaining records that are personal and not Federal records, they must be clearly marked "Personal Papers" and kept separate from the activity's official records. Additional guidance is contained in reference (b), Part I, paragraph 14.

15. <u>Removal of Files upon Transfer or Retirement</u>. Individuals who are transferring or retiring may not remove official records from their offices. They may remove personal files at their discretion without agency permission. Extra copies of official records may be removed upon approval by the activity's Records Manager. Approval may be granted only if all of the following conditions are met:

a.   Removal will not diminish official records.

b.   Removal will not exceed normal administrative economies.

c.   The materials do not contain national security classified information. An exception may be granted when moving
to another activity that is authorized to store classified defense information.

d.   The information removed is not subject to the Privacy Act of 1974, as amended.

e.   Disclosure of the information removed is not otherwise prohibited by law.

16. <u>Vital Records</u>. Each department and SA must incorporate a Vital Records Program per reference (b), Appendix H. Each department and SA must also develop a file plan (enclosure (2)) that identifies records necessary for the activity to accomplish mission essential functions without unacceptable interruption during a national security emergency, or other emergency or disaster, and also protects the legal and financial rights of NSTC employees and individuals directly affected by its activities. Electronic filing in HPE RM is the recommended method of maintaining Vital Records.

17. <u>Responsibilities</u>

  a. <u>NSTC Security Manager (N004)</u>

     (1) Provides technical support for issues pertaining to the proper classification and management of classified records.

     (2) Serves as the NSTC Records Manager and provides primary oversight responsibility for the NSTC Records Management Program.

       (a) Function as liaison with NETC Records Manager.

       (b) Ensure implementation of the Records Management Program at all levels within the command and oversees inventory of all organization records as set forth in references (a) through (h) and this instruction.

       (c) Ensure department representatives and SAs are trained in areas such as the creation, maintenance, use, and disposal of files; storage/archiving policies and procedures; and HPE RM.

       (d) Complete an annual review and inspection of local disposal procedures for the activity's records to ensure records disposal and retention procedures are current, adequate, and applied per reference (b).

       (e) Notify the NETC Records Manager when unscheduled records are located and ensure that they are not destroyed pending receipt of proper authority from NARA.

       (f) Originate all requests for the command to dispose or transfer records, and forward them to the NETC Records Manager.

       (g) Maintain the command's Vital Records Program and reviewing procedures annually.

       (h) Inform NETC Records Manager of requests to store electronic records in any system other than HPE RM or other Navy enterprise-wide program.

     (3) Functions as the Dataset Records Manager (DRM) and maintains final authority over the NSTC-SD HPE RM dataset for electronic management of records. In addition:

       (a) Customize the generic core configuration in HPE RM to effectively reflect the organization's structure.

       (b) Set HPE RM usage policy and maintain final authority over the organization's HPE RM dataset.

       (c) Control access to and use of records in the NSTC HPE RM dataset.

       (d) Monitor and troubleshoot NSTC HPE RM dataset.

(e) Develop and maintain business rules for use of NSTC HPE RM dataset.

g. Command Local HPE RM Administrators. Local HPE RM Administrators are responsible for controlling all aspects of HPE RM within their respective departments or, in the case of Special Assistants, respective areas. Local Administrators will implement policies as directed by the NSTC Records Manager and will:

(1) Serve as first line of support to end users within their respective areas.

(2) Create workflows for sections as needed.

(3) Provide access to HPE RM for new employees assigned.

(4) Remove HPE RM access to employees who transfer, retire, etc.

h. End Users. End users will use enclosure (6) to add, retrieve, search, and view records in HPE RM. It is the responsibility of end users to understand the definition of a record and appropriately add records to the command dataset when required.

18. Training. Command Records Manager and local HPE RM Administrators are required to complete the four courses listed in subparagraph 18a below and make a recommendation to the local chain of command as to who in the command should take these courses.

a. These electronic training courses are available on Navy E-learning:

- Records Management in the DON: Everyone's Responsibility (DOR-RM-010)
- DON Records Management: Advanced Topics (DOR-RM-020)
- TRIM Context via the NMCI (Entry) (DOR-TRIM-101)
- TRIM Context via the NMCI (Advanced) (DOR-TRIM-201)

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

- Records Management and Procedures for Disposition: Reference (b), Part I
- Applying Records Retention Standards: Reference (b), Part II
- Federal Records Center Transfer Procedures: Reference (b), Appendix A
- Vital Records Program: Reference (b), Appendix H
- Filing Procedures: Reference (c), Chapter 1
- NETC TRIM Best Practices: Reference (k)

c. HPE RM Help Documents. Several HPE RM help documents are located in the NETC HPE RM dataset. These documents are listed in the folder named HPRM Training Manuals, in the box labeled TRIM Help, which is under the command box NETC HQ. A title word search in HPE RM for the words "TRIM" or "help" will also display the HPRM Training Manual folder.

19. <u>Records Management</u>. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.

20. <u>Review and Effective Date</u>. Per OPNAVINST 5215.17A, N1 will review this instruction annually on the anniversary of its effective date to ensure applicability, currency, and consistency with Federal, DoD, SECNAV, and Navy policy and statutory authority using OPNAV 5215/40 Review of Instruction. This instruction will automatically expire five years after effective date unless reissued or canceled prior to the five-year anniversary date, or an extension has been granted.

MILTON J. SANDS III

Releasability and distribution:
This instruction is cleared for public release and is available electronically only via the Naval Service Training Command issuance website,
http://www.netc.navy.mil/nstc/NSTC_Directives/instructions.html.

GLOSSARY

1. <u>Author, Originator, or Creator</u>. The person, office, or designated position responsible for creation or issuance of a document. The author, originator, or creator is usually indicated on the letterhead or by signature, and may be designated as a person, official title, office symbol, or code.

2. <u>Business Rules</u>. The descriptions of operations, definitions and constraints that apply to an organization in achieving its goals. These rules would then be used to help the organization to better achieve goals, communicate among principals and agents, communicate with interested third parties, demonstrate fulfillment of legal obligations, operate more efficiently, automate operations, and perform analysis on current practices.

3. <u>Current Records</u>. Records that are necessary for conducting current business and must be maintained in office space and equipment.

4. <u>Disposition</u>. The destruction, retirement, transfer, or microfilming of records, or their donation to another Federal agency or to non-Federal recipients. It may include two or more of these actions, such as transfer when three years old and destroy when six years old.

5. <u>Document</u>. Recorded information regardless of medium or characteristics. Frequently used interchangeably with record.

6. <u>File</u>. An accumulation of records maintained in a predetermined physical arrangement, or documents placed in a predetermined location according to an overall plan of classification. Some examples of files:

   a. 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.)

   b. 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).

   c. 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.)

7. <u>File Break/Cutoff</u>. Termination of a file at regular intervals to allow continuous disposal or transfer of file series. File cutoff periods are normally by calendar (CY) or fiscal year (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.

    a. For records with retention periods of less than 1 year, the cutoff is at an interval equal to the retention period. For example, if a record series has a 1-month retention period, cut the file off at the end of each month and then apply the retention period (that is, hold the file 1 more month before destroying it).

    b. For records with retention periods of 1 year or more, the cutoff is at the end of each fiscal (or calendar) year. For example, if the disposition instruction for a correspondence file is "Destroy after 3 years," then destroy it 3 years after the annual cutoff date has been reached.

    c. For records with retention periods based on an event or action, cutoff on the date the event occurs or when the action is completed, and then apply the retention period. For example, if the disposition for case working papers is "Destroy when related case file is closed," then cut off and destroy the working papers when closing the related file.

    d. For records with retention periods based on a specified time period after an event or action occurs, apply the retention period after the placement in an inactive file on the date the event occurs or when the action is completed and the inactive file is cutoff at the end of each fiscal (or calendar) year. For example, if the disposition for a case file is "Destroy 6 years after case is closed," then destroy 6 years after the annual cutoff along with all other case files closed during that year.

8. <u>Frozen Records</u>. 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.

9. <u>General Correspondence Files</u>. 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 reference (c) 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.

10. <u>General Records Schedule</u>. 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 reference (b).

11. <u>Metadata</u>. Data describing the structure, data elements, interrelationships and other characteristics of an electronic record. Usually described as data about the data.

12. <u>National Archives and Records Administration (NARA)</u>. The organization/agency responsible for appraising, accessioning, preserving, and making available permanent records.

NARA is responsible for implementing records management laws within the Federal Government.

13. Non-Record (Files) Materials. Materials not usually included within the definition or records. These are accumulated in the process of producing records, but they never acquire a "record" character and include:

  a. Not created or received under Federal law or in connection with government business.

  b. Not preserved or considered appropriate for preservation because they lack evidence of agency or component activities or information of value.

  c. Extra copies of documents kept only for convenience or reference, e.g., reading files, and "follow-up" or "tickler" files.

14. Permanent Records. Records that have been appraised as having enduring values--historical, research, legal, scientific, cultural, or other values. Permanent records are those that will protect the DON's interests and that document its primary missions, functions, responsibilities, and significant experiences and accomplishments.

15. Personal Papers. Papers of a private or nonofficial character that pertain only to an individual's personal affairs that are kept in the office of a Federal official and clearly designated by that official as nonofficial. Personal papers are required to be filed separately from official records of the office.

16. Record. All recorded information, regardless of medium, that details business transactions. Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics. Records are made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business. Records are preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the value of data in the record.

17. Records Management. That area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and disposition of records. This includes fulfilling archival requirements and ensuring effective documentation.

18. Retention Period. The period of time that records must be kept before they may be destroyed. The period usually is stated in terms of years or months, but is sometimes expressed as contingent upon the occurrence of an action or event. When the retention period is expressed in terms of years or months this period is calculated commencing with the cut-off date. A retention period is to be distinguished from a retirement period.

19. <u>Retirement Period</u>. 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.

20. <u>Standard Subject Identification Code (SSIC)</u>. A method for categorizing and subject classifying Navy and Marine Corps information, as per reference (c), that ensures documents are filed consistently and can be retrieved quickly. An SSIC is a four or five-digit number that categorizes the subject of a document.

21. <u>Temporary Record</u>. 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 reference (b).

22. <u>Unscheduled Records</u>. The records that do not have a NARA-approved final disposition.

23. <u>Vital Records</u>. Documents essential to the continued functioning or reconstitution of an organization during and after an emergency and also those documents essential to protecting the rights and interest of that organization and the individuals directly affected by its activities. Sometimes called "vital files" or "essential records." These records include both emergency-operating and rights and interests records that are duplicates or extra copies of original records stored offsite. See appendix H of reference (b) for further information.

24. <u>Work Files</u>. Temporary files in auxiliary computer storage. Sometimes called processing files. An accumulation of work files may also include nonrecord material and technical reference files. Also referred to as "working files."

RECORDS MANAGEMENT REVIEW CHECKLIST
SELF-EVALUATION CHECKLIST

Organization:	
Location:	
Date Initiated:	Date Completed:
Action Officer:	
Telephone Number:	
Reviewer:	

PART I - REQUIRED REFERENCES

	YES	NO
1. SECNAVINST 5210.8E, DON Records Management Program, of 31 December 2015. **ON HAND**	☐	☐
2. SECNAV M-5216.5 CH-1, DON Correspondence Manual, of 16 May 2018. **ON HAND**	☐	☐
3. SECNAV M-5210.1 CH-1, DON Records Management Manual, of 21 August 2017. **ON HAND**	☐	☐
4. SECNAV M-5210.2, DON Standard Subject Identification Codes, of 3 July 2012. **ON HAND**	☐	☐
5. HPE RM Administrator and End User Instructions **ON HAND**	☐	☐

PART II - RECORDKEEPING REQUIREMENTS AND DISPOSITION STANDARDS

Ensuring adequacy of documentation in any information system depends on the clear articulation of recordkeeping requirements. Recordkeeping requirements specify the creation and maintenance of specific records to document DON operations and activities, facilitate action by DON officials and their successors, permit continuity and consistency in administration, make possible a proper scrutiny by Congress and other duly authorized agencies, protect the rights of the Government and those affected by its actions, and document important meetings and the formulation and implementation of basic policy and decisions.

FILING PROCEDURES

	YES	NO

1. Are files centrally managed within the command/department?
(SECNAV M-5210.2, Chapter 1, paragraph 2a)

□ □

Remarks:

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2. Is a person assigned the responsibility to coordinate all command/department files? (SECNAV M-5210.2, Chapter 1, paragraph 2a(1))

□ □

Remarks:

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3. Is there a file plan listing the file numbers, titles, and disposition for each record series maintained in the section? (SECNAV M-5210.2, Chapter 1, paragraph 2c)

□ □

Remarks:

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4. Does the command/department have a Vital Records Plan, and have vital records been identified? If so, is the plan reviewed annually?
(SECNAV M-5210.2, Chapter 1, paragraph 3)

□ □

Remarks:

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5. Is there a procedure for keeping track of documents removed from the files?
(SECNAV M-5210.2, Chapter 1, paragraph 4)

□ □

Remarks:

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6. Have cut-off dates (general correspondence files at the end of each calendar year, and budget and accounting files at the end of each fiscal year) been established? (SECNAV M-5210.1, Chapter 1, paragraph 5, and
SECNAV M-5210.1, Part 1, paragraph 11a(1))

□ □

Remarks:

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7. Are case files closed when action has been completed or upon the occurrence of a particular event or action? (SECNAV M-5210.2, Chapter 1, paragraph 5, and
SECNAV M-5210.1, Part 1, paragraph 11a(2))

□ □

Remarks:

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8. Is disposal control guidance for each record series posted on file cabinets, drawers, guides, or file folders as appropriate?
(SECNAV M-5210.1, Part II, paragraph 6d)

□ □

Remarks:

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9. Are non-current (cut off) or terminated files moved to a lower file drawer or to other less convenient office space? (SECNAV M-5210.1, Part I, paragraph 11b)

Remarks:

☐ ☐

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10. Are personal papers clearly marked and filed separately from the official records of the office? (SECNAV M-5210.1, Part I, paragraph 14b)
Remarks:

☐ ☐

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11. Are electronic records saved in the DON approved electronic recordkeeping system (i.e., HPE RM)? (SECNAV M-5210.1, Part I, paragraph 17)
Remarks:

☐ ☐

RECORDS DISPOSAL PROGRAM

	YES	NO

12. Are inactive records retired to a local records center or the Federal Records Center per policies prescribed in SECNAV M-5210.1, Part I, paragraph 7a?

Remarks:

☐ ☐

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13. Are records disposed of annually per the disposal guidance contained in Part III of SECNAV M-5210.1? (SECNAV M-5210.1, Part I, paragraphs 1h and 2)
Remarks:

☐ ☐

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14. Are the records not covered by the retention standards in Part III of SECNAV M-5210.1 retained and reported to the Command Records Manager and CNO (DNS-5) via NETC Records Manager? (SECNAV M-5210.1, Part II, paragraph 4)
Remarks:

☐ ☐

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15. Are incidents where records are accidentally destroyed reported to NETC Records Manager
(SECNAV M-5210.1, Chapter 1, paragraph 6)
Remarks:

☐ ☐

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16. Is an annual inspection and review of local disposal procedures conducted to ensure that records disposal and retention procedures are current, adequate, understood, and applied regularly and effectively; and proper retention standards have been applied to all records accumulated? (SECNAV M-5210.1, Part II, paragraph 5d)
Remarks:

☐ ☐

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17. Are the procedures described SECNAV M-5210.1, Part 1, paragraph 1a and Appendix A used to retire records to the Federal Records Center?
Remarks:

☐ ☐

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18. Are records that the National Archives appraised as "Permanent" in parts III, IV and V of SECNAV M-5210.1 transferred to the National Archives and Records Administration as prescribed in the records' disposition guidance? (SECNAV M-5210.1, Part 1, paragraph 7b) ☐ ☐
Remarks:

PART III – HPE RM IMPLEMENTATION

<u>YES</u> <u>NO</u>

19. Is there a command/departmental HPE RM Local Administrator assigned and aware of their responsibilities and duties? ☐ ☐
Remarks:

20. Are all members of the command/department able to log into the NETC dataset? ☐ ☐
Remarks:

21. Is the command/department using HPE RM for Electronic Records Management? ☐ ☐
Remarks:

22. Are sufficient folders created for document filing and disposition? ☐ ☐
Remarks:

23. Are disposition File Plans attached to the lowest level of folders? ☐ ☐
Remarks: