

ONIINST 5210.1
ONI-OCB
22 March 2000

ONI INSTRUCTION 5210.1

Subj: OFFICE OF NAVAL INTELLIGENCE (ONI) RECORDS
MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 5210.11D, Department of the Navy (DON)
Standard Subject Identification Codes (SSICs)
(b) SECNAVINST 5212.5D, Navy and Marine Corps

Disposal

Manual

- (c) SECNAVINST 5210.8C
- (d) SECNAVINST 5211.5D, Privacy Act Program
- (e) SECNAVINST 5216.5D, DON Correspondence Manual
- (f) SECNAVINST 5720.42, Freedom of Information Act
Program

Encl: (1) Sampling of Some ONI Specific SSICs Currently
Being

Used

- (2) Records Liaison Coordinators Appointment Letter
Sample
- (3) File Inventory Form Sample
- (4) File Plan Form Sample
- (5) Procedural Guidelines for Completing the Records
Transmittal and Receipt Form (SF 135)

1. Purpose. To establish a records management program for ONI as required by the National Archives and Records Administration (NARA). To implement the provisions of the statute and references (a) and (b) which require agencies to establish and maintain active, continuing programs for the management of agency records; to prescribe policy, standards, and procedures for program administration; to promote agency records management awareness; and to assign

responsibilities. Total command involvement is critical to program success.

2. Background. ONI is required by law to maintain an active records management program that allows for the accurate and efficient tracking and retrieval of command files. This program, which regulates the handling of all ONI files, is designed to ensure that records are maintained and disposed of in accordance with references (a) through (f). Additional revisions to this instruction will be published in the near future to address ONI's record-keeping requirements and the use of centralized electronic records software. Functional requirements, vendors, and resources are being defined and assessed for this effort.

3. Definitions

a. Records Management. Includes planning, controlling, directing, organizing, training, promoting, and managing activities involving the creation, maintenance, use, preservation, and disposition of all Federal agency records.

b. Record. Defined at 44 U.S.C. 3301. Documentary materials, regardless of physical form or classification, that are made or received by a Federal agency in connection with the transaction of government business and that are or should be maintained due to their inherent information value or to document agency organization, operations, procedures, or external relations

c. Non-Record Materials. Library and museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and processed documents. Additionally, correspondence about activities or events NOT related to policy, official business, or of historical value, as well as accompanying files of simple forwarding endorsements annotating ONI concurrence/non-concurrence.

d. Documentary Materials. A collective term that includes Federal records, non-records, and personal papers.

e. Personal Records. Material that pertains solely to an individual's private affairs (i.e., the material is neither prepared nor received in the process of transacting official Government business). Correspondence designated "personal," or "private," but relevant to the conduct of public business is an official record.

f. Permanent Record. Any record with enduring value of a historical, research, legal, scientific, or cultural nature, and that documents primary missions, functions, responsibilities, or significant experiences and accomplishments.

g. Temporary Record. Any record that does not qualify as permanent. Most command files fall under this category. Examples include leave applications, Equal Employment Opportunity Program files, personnel files, briefing requests, and security logs.

h. SSIC Codes. A method for categorizing and subject classifying Navy and Marine Corps information 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. SSICs are required on all Navy and Marine Corps letters, messages, directives, forms, reports, and e-mail.

4. Policy. ONI will prepare, maintain, and dispose of files consistent with guidance in references (a), (b), and (e).

a. ONI records, regardless of format (i.e. paper, electronic, or other), will be included in the records management process.

b. ONI reference materials considered non-records may be maintained either in a paper record-keeping system or

electronically, provided the electronically stored materials can be retrieved until no longer required for reference.

c. ONI records will be properly identified by SSIC. See enclosure (1). SSICs are critical to determining disposition authority and, in accordance with reference (b), shall be used on all records created by ONI including e-mail, letters, messages, directives, forms, and reports. Use SSICs on file folders, memos, memorandums for, and memos to file. ONI directorates may determine and select a filing system (hard-copy or electronic) which allows them to account for all agency records created by their offices. However, the method must be reported to the ONI Records Manager.

d. Reference (b) provides detailed guidance on retention requirements for each type of record used within the Navy. Records are broken into two categories.

(1) Permanent Records. All permanent records must be transferred to the National Archives when no longer needed for administrative, legal, or fiscal purposes. At the time of acceptance by NARA, they are no longer the responsibility of ONI. The National Archives can accept permanent records in paper form or on ½" 7-track or 9-track magnetic tape, written in ASCII or EBCDIC. Permanent records must not be destroyed.

(2) Temporary Records. Must be retained for the regulatory period specified in reference (b), and then destroyed. The time these records must be maintained varies from a few months to as long as 50 years. Federal records centers can store temporary records with retention periods of 3 years or longer. Effective FY 2000 all Federal agencies are required to pay for records storage.

e. Sections C and D of reference (e) provide information and DON policy for electronic records, electronic mail, and facsimile (fax) media. When using e-mail or fax media in place of formal correspondence to correspond between ONI and other naval or Department of

Defense activities, the drafter must follow the procedures outlined in reference (e).

f. ONI e-mail backup files are maintained strictly for disaster recovery purposes, and are not to be used to store permanent records. If an electronic record constitutes a permanent Federal record, a hard-copy version must be maintained in an appropriately marked filing system. Electronic records management requirements must be included in the design and implementation of each software application.

g. Personal records should not be intermingled with official record copies and each file plan should contain a separate listing for personal papers where appropriate.

h. ONI employees may accumulate, for convenience of reference, extra copies of papers and other material that he/she has drafted, reviewed, or otherwise acted upon while employed, as long as such accumulation does not violate records retention, or privacy or security regulations.

5. Responsibility and Action

a. Directorate Heads and Officer in Charge, Newport Detachment. Directorate Heads and Officer in Charge, Newport Detachment shall appoint Records Liaison Coordinators in writing (enclosure (2) is a sample) and ensure that records are maintained in accordance with this and other relevant instructions, regulations, and laws.

b. Staff Judge Advocate. The ONI Staff Judge Advocate has primary oversight responsibility for the ONI records management program. He/She shall ensure that all ONI personnel and tenant commands are fully aware of all laws and regulations pertaining to the maintenance of command files and shall ensure command adherence.

c. ONI Records Manager Shall

(1) Implement the ONI Records Management Program by coordinating with the chain of command and Records Liaison Coordinators as necessary.

(2) Ensure that Records Liaison Coordinators are fully trained in areas such as file creation, maintenance, use, disposal, SSIC file inventories, file plans, and archiving policies and procedures (enclosures (3), (4), and (5) are provided as guidance).

(3) Maintain an up-to-date and useful records manager web site on Northstar, the electronic records management system and electronic records repository. This web site should contain all necessary references as well as helpful tips and other information to assist personnel with questions regarding records management law.

(4) Liaison with the National Archives and Federal records centers for the purpose of document transfers and processing records destruction notices.

(5) Develop and maintain a command-wide SSIC guide and assist directorate-level Records Liaison Coordinators with developing file-type inventories.

(6) Coordinate with the Information Technology Directorate to identify a vendor with approved software to establish an electronic records management system and electronic records repository for ONI.

d. Records Liaison Coordinators Shall

(1) Ensure program implementation at the directorate, division, and branch level.

(2) Coordinate with the ONI Records Manager to ensure that records are properly handled and maintained. All questionable determinations must be forwarded to the ONI Records Manager for a final decision.

(3) Develop inventories of all file types maintained in their area of responsibility and provide feedback to the ONI Records Manager on the practical aspects of system maintenance.

(4) Prepare files for transfer to Federal records centers and submit to the Records Manager for review, accession designation, and approval prior to transfer to Federal records centers.

(5) Assist the Records Manager in preparing changes to the DON disposal guidance (reference (b)).

e. Information Technology Directorate Shall

(1) Coordinate with the ONI Records Manager to acquire a vendor with approved software to establish a centralized electronic records management system and repository for ONI.

(2) Ensure that application developers and system administrators are including records management plans and procedures which comply with NARA in all configuration management. Echelon records should be migrated in full to a new system or converted to an appropriate software or hardware format when their current electronic information system is assessed for termination.

(3) Provide technical assistance to the ONI Records Manager as required to ensure ONI's compliance with the electronic Freedom of Information Act requirements.

f. ONI Employees. Every ONI employee must familiarize themselves with the provisions of this instruction and ensure that the above guidance is followed. Without employee participation, the ONI Records Management Program cannot succeed.

6. Applicability. The provisions of this instruction apply to records management for ONI and ONI Detachment, Newport, Rhode Island.

J. E. DARRAH
Deputy and Chief of Staff

ONINST 5210.1
22 March 2000

RECORDS LIAISON COORDINATORS APPOINTMENT LETTER
SAMPLE

5210

Ser OCB/

From: Directorate Head/Officer in Charge
To: Name or Billet Designation

Subj: APPOINTMENT AS RECORDS LIAISON COORDINATOR

Ref: (a) ONIINST 5210.1, ONI Records Management Program
(b) SECNAVINST 5212.5D, Navy and Marine Corps
Disposal
Manual

1. In accordance with reference (a), you are appointed as Records Liaison Coordinator (RLC) for ONI- (Directorate Code). You will assist the ONI Records Manager (RM) in developing and executing the ONI Records Management Program. As RLC, your duties include, but are not limited to the following.

a. Supporting the RM in creating, maintaining, using, and disposing records;

b. Advising directorate/division/branch personnel on file creation, maintenance, use, and disposition;

c. Developing directorate/division/branch file inventories; file plans (disposition guidance); archiving policy and procedures, with the assistance of the RM and submitting each item to the RM for approval;

d. Preparing files for transfer to federal records centers and submitting to the RM for review, accession designation and approval prior to transfer to federal records center; and

e. Assisting the RM in preparing changes to the Navy Department disposal guidance (reference (d)).

2. You will receive training and guidance from the RM and the National Archives and Records Administration.

3. The letter of appointment will remain in effect until your transfer from (director code) or until relieved by this appointing authority.

SIGNATURE

Copy to:
ONI Records Manager
Official Personnel File

Enclosure (2)