



DEPARTMENT OF THE NAVY
UNITED STATES NAVAL ACADEMY
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ANNAPOLIS MARYLAND 21402-1300

USNAINST 5210
Ser 28/COS
22 Nov 2016

USNA INSTRUCTION 5210

From: Superintendent, U.S. Naval Academy

Subj: U.S. NAVAL ACADEMY RECORDS MANAGEMENT PROGRAM

Ref: (a) SECNAV-M 5210.1
(b) SECNAV 5210.8D

Encl: (1) Definitions
(2) Records Liaison Designation Letter
(3) Records Custodian Designation Letter

1. Purpose. To provide guidelines and procedures to properly administer the Records Management Program at the U.S. Naval Academy (USNA) and Naval Academy Preparatory School (NAPS). This instruction implements the policy set forth in reference (a).

2. Scope and Applicability. This directive applies to the entirety of USNA and NAPS.

3. Background. Proper records management begins with creating records sufficient to document USNA's operations, policies, and transactions and provide information necessary to protect the legal and financial rights of the U.S. Government and of persons directly affected by USNA activities. Records also document the facts supporting USNA's history.

4. Policy

a. Create, maintain, and preserve information as records, in any media, that documents business and mission transactions to provide evidence of organization, functions, policies, procedures, decisions, and operations.

b. Manage records effectively and efficiently in compliance with references (a) and (b), while protecting the legal and financial rights and interests of persons directly affected by USNA and NAPS.

c. Dispose of records, regardless of format or medium, per approved records schedules so that permanent records are preserved and temporary records are correctly disposed of when their required retention period expires.

d. Use a standard system throughout USNA to efficiently and effectively index and file records by series that allows them to be retrieved quickly and reliably, and to be disposed of per approved records schedules.

e. Provide adequate training to all USNA and NAPS personnel who create and use records to ensure compliance with the DON Records Management Program and references (a) and (b).

f. Identify and adequately protect those records that specify how USNA will operate in case of emergency or disaster; records vital to the continued operations of USNA and NAPS during and after an emergency or disaster; and records needed to protect the legal and financial rights of USNA, NAPS, and associated personnel.

5. Responsibilities.

a. Command Records Manager (CRM).

(1) Serve as the official responsible for overseeing the USNA and NAPS Records Management Programs.

(2) Maintain a database for records on hold or freeze, records transferred, and records destroyed.

(3) Ensure USNA and NAPS are compliant with records disposition schedules.

(4) Ensure the Vital Records Plan is current and relevant.

(5) Ensure USNA and NAPS records management directives are reviewed, updated, and disseminated throughout the commands.

(6) Conduct periodic compliance evaluations of each department to measure effectiveness and ensure compliance with federal statutes and regulations.

(7) Provide leadership and guidance to ensure uniformity in files management.

(8) Designate both Division and Department Records Liaisons to oversee respective files organization and records management.

(9) Provide assistance and training, as needed, to Department Records Liaisons and Custodians.

(10) Ensure all USNA and NAPS personnel complete initial and annual records management training.

b. Records Liaison (RL).

(1) Conduct periodic evaluations with the CRM to ensure compliance with records management directives.

- (2) Coordinate with the CRM when records are eligible for transfer or destruction.
- (3) Ensure Records Custodians are completing proper request for records disposition.
- (4) Disseminate instructions, notices, and guidance to departmental employees.
- (5) Cooperate with the CRM to keep the Vital Records Plan current and relevant.
- (6) Provide assistance to employees to determine file creation and maintain official record, non-record, and personal files.
- (7) Complete basic and advanced records management training through the DON learning program.

c. Records Custodian (RC).

- (1) Ensure files and records, regardless of media, are organized and maintained in a way that facilitates efficient storage and retrieval of needed information.
- (2) Submit records disposition request forms to the CRM via the Division Records Liaison.
- (3) Develop and maintain the Activity File Plan.
- (4) Ensure all personnel within the department complete initial and annual records management training.
- (5) Ensure staff and faculty within the department adhere to proper records disposition authority per reference (b).
- (6) Cooperate with the RL and CRM in periodic evaluations of the departments records.
- (7) Enforce procedures to prevent departing employees from destroying ineligible records or removing records from the department.

d. Staff and Faculty

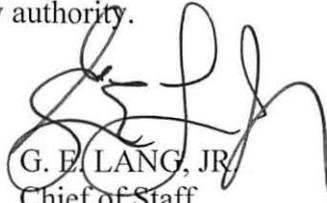
- (1) Maintain files in a safe storage area that promotes efficient retrieval.
- (2) Avoid storing duplicate files.
- (3) Maintain personal paper and non-record materials separate from official records.

(4) Complete basic records management training on an annual basis.

(5) Cooperate with Records Custodian in destroying or transferring records as authorized in the records schedule.

6. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of January 2012.

7. Review and Effective Date. The CRM 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.



G. E. LANG, JR.
Chief of Staff

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via USNA's Intranet Web site, <https://www.usna.edu/AdminSupport/Inst/>.

DEFINITIONS

1. **Disposition.** The actions taken regarding records no longer needed for conducting USNA regular business.
2. **Records.** As defined in statute, records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the U.S. Government or because of the informational value of data in them.
3. **Electronic mail (e-mail) messages** are considered Federal records and as such, may not be destroyed or otherwise disposed of except under the authority of an approved records schedule.
4. **Non-Record.** Copies of documents maintained in more than one location or materials available from public sources, which can be disposed of at the discretion of the user. These are to be distinguished and kept separate from official records.
5. **Personal papers** are excluded from the definition of Federal records and are not owned by the U.S. Government. These are materials relating solely to an individual's private affairs; these papers shall be clearly designated as such and shall be maintained separately from the office's records.
6. **Vital Records.** Essential 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 U.S. Government and those affected by U.S. Government activities.

5210
Ser xx/xxx
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From: Superintendent, U.S. Naval Academy
To: Lead Education Tech, Department

Subj: DESIGNATION AS DEPARTMENT RECORDS LIAISON

Ref: (a) USNAINST 5210

1. You are hereby designated as the Records Liaison (RL) for the (*specified department*) at the U.S. Naval Academy. Thoroughly familiarize yourself with and carry out the requirements outlined in reference (a).
2. This assignment will remain in effect until you transfer or are otherwise removed from this position by official notification.

G. E. LANG, JR.
Chief of Staff

Copy to:
Member's Record

Enclosure (2)

5210
Ser xx/xxx
DD Mmm YY

From: Superintendent, U.S. Naval Academy
To: Education Tech, Department

Subj: DESIGNATION AS DIVISION RECORDS CUSTODIAN

Ref: (a) USNAINST 5210

1. You are hereby designated as the Records Custodian (RC) for the (*specified division*) at the U.S. Naval Academy. Thoroughly familiarize yourself with and carry out the requirements outlined in reference (a).
2. This assignment will remain in effect until you transfer or are otherwise removed from this position by official notification.

G. E. LANG, JR.
Chief of Staff

Copy to:
Member's Record

Enclosure (3)