



DEPARTMENT OF THE NAVY
NAVAL MEDICAL RESEARCH CENTER DETACHMENT

LIMA, PERU
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IN REPLY REFER TO
NMRCDINST 5210.1B
27 Feb 2004

NMRCD INSTRUCTION 5210.1B

From: Officer-in-Charge, U.S Naval Medical Research Center
Detachment Lima, Peru

Subj: FORMS AND RECORDS MANAGEMENT

Ref: (a) Federal Archives and Records Centers, 1979, General
Services Administration (NOTAL)
(b) SECNAVINST 5210.8C
(c) SECNAVINST 5212.5D
(d) SECNAVINST 5213.10D

Encl: (1) Records Management
(2) Records Disposal Management
(3) Electronic Records Archiving
(4) Forms Management

1. Purpose. To establish procedures concerning the efficient management of NMRCD forms and records as outlined in references (a) through (d).

2. Cancellation. NAMRIDINST 5213.1A

3. Background. NMRCD relies upon networked office equipment and computer systems to create, duplicate, maintain, use, and dispose of forms and records. The result being many records which are the basis for command policy may never appear on paper. Therefore, records management policies and procedures must accommodate the changes which result from automation in order to avoid costly problems or the unauthorized disposition of official records.

4. Responsibilities. The Officer-in-Charge is responsible for assigning specific individuals to ensure accountability for the implementation and administration of forms and records management. The following are general guidelines:

a. Appoint the Administrative Officer as the Forms and Records Management and Archiving Officer with total program responsibility.

NMRCINST 5210.1B

27 Feb 2004

b. Delegate full authority to administer assigned program elements to responsible individuals.

c. Review program requirements and assess compliance to ensure that requirements are being met

5. Action. The Forms and Records Management Officer shall implement enclosures (1) through (4), which prescribe the procedures for administration of the records program.


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RECORDS MANAGEMENT

1 Records Management Program Responsibilities.

a. The forms and records manager at NMRCD shall be responsible for:

(1) Developing an activity records management program to meet the requirements prescribed by this instruction.

(2) Assigning record control symbols and maintaining a master list of all record control symbols assigned, including the symbols of current and cancelled records.

(3) Establishing a separate records file (project folder) for each detachment record. The folders shall be filed in with the record control symbol in order, and shall contain the following

(a) A copy of the local directive or other administrative issuance requiring the record, and other pertinent background information.

(b) A copy of the record form or format.

2. Initiating, Revising, or Canceling Reports (NMRCD)

a. Prior to submission of a proposed or revised record to the records manager, originating offices or departments shall determine and obtain necessary clearances from other interested departments and approval from their directorate.

b. Records reflecting the Detachment's mission, accomplishments, status or condition shall be routed through the Administrative Officer before they are released.

RECORDS DISPOSAL MANAGEMENT

1 Definition.

a. **Records.** Documentary materials that may not be destroyed without Congressional consent and the approval of the Secretary of the Navy, as specified in reference (a). Records consist of books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics. They may be created or received by an agency of the Federal Government in pursuance of Federal Law or in connection with the transaction of public business. Such records may be required by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, operations, or other activities of the Federal Government or because of the informational value of the data contained therein. Some evidence or information concerning these criteria is contained in practically all records. Immediate and future reference needs determine their relative importance for retention and preservation.

b. **Non-record Materials.** Materials that have no documentary or evidential value in themselves and should be destroyed once their purpose is served. Non-record materials are accumulated in the course of daily operations but never acquire the status and characteristics of records as defined in paragraph 1a. These materials include extra copies of documents retained for ready reference, follow up, or convenience; publications; library and museum materials preserved solely for reference or exhibition purposes; copies of reproduced or processed materials when the original materials are retained elsewhere for record purposes; and personal work notes.

c. **Records Disposal.** The removal of record material by destruction, retirement, or transfer from office spaces to local storage areas and General Services Administration (GSA) records centers; or when approved, destruction after scanning of record has been accomplished.

Records Disposal Management Program Responsibilities.

a. **The Administrative Officer.** Shall be responsible for program administration and guidance of the records disposal program at NMRCD. This responsibility encompasses:

(1) Advising the secretary to the OIC on records disposal matters including records retention standards; file management; retirement, transfer, and destruction of inactive records.

b. Secretary to the OIC. Designated as the Records Disposal Manager at NMRCD. He/she is responsible for

(1) Program coordination with detachment personnel to ensure that records disposal policies and objectives, as set forth in reference (c), are followed.

(2) Securing the understanding and cooperation of activity personnel in program execution.

(3) Maintaining NMRCD records disposal program to meet the requirements prescribed by this instruction and reference (c). The records disposal manager shall take responsibility for the performance of the following instructions:

(a) Reviewing inventories of all record materials held by the command and its components and applying records retention standards. Procedures are listed in reference (c).

b) Maintaining and ultimately disposing of all records created, acquired, and sustained by NMRCD, including its components.

(c) Sorting and destroying records eligible for disposition as authorized by reference (c).

(d) Arranging, packing and shipping of records to GSA records center. Additional guidelines for packing and shipping records to GSA records centers are contained in reference (a). Assistance may also be obtained from the records center director.

(e) Annual inspections (semiannual or more frequent inspections, if required) to ensure command compliance with the provisions of reference (c). Addressees are encouraged to hold "records clean out" days periodically to reduce the volume of record and non-record materials on-hand.

Enclosure (2)

(f) Compiling data on command administration of the records disposal program to measure program effectiveness. Program data compiled by the records disposal manager shall include, but not be limited to, the total volume of record and non-record local storage areas, based on an annual inventory; the estimated annual volume of record and non-record materials accumulated; the volume of record material transferred to GSA records centers during the calendar year (CY); the volume of net reduction or increase in holdings at year end. Measure volume in cubic feet (cubic meters) as required by GSA (see also appendix A of reference (c)).

(g) Review existing records series and each new record series established and prepare disposal control instructions based upon retention standards contained in reference (c).

(h) Ensure that only essential records are prepared and maintained.

Dispose of records as required by reference

(c)

ELECTRONIC RECORDS ARCHIVING

1. Definition.

a. **Electronic Records.** Any information created, received, transmitted, maintained, or managed as an organization record that can be read by using a computer or any other electronic device, that satisfies the definition of a Federal Record, shall be considered an electronic record. This includes, but is not limited to, records stored in digital or analog form, regardless of medium. Electronic records shall be treated the same as paper documents and in practice, there is no difference between the management of electronic and paper records.

2. **Creation.** Before a document is created on an electronic records system that will maintain the official file copy, each document must be identified sufficiently to enable authorized personnel to retrieve, protect, and dispose of it. Refer also to the Department of Defense Automated Document Conversion Master Plan (available from the DOD Records Management Task Force) for standards on moving electronic mail from an electronic mail system to an approved record-keeping system.

3. **Naming Files.** Creating names for electronic records resembles labeling paper file folders. When naming subdirectories or "folders," use the SSIC number and any logical combination of alphanumeric characters permitted by the operating system to ensure file names are descriptive of the series.

4 Electronic Mail.

a **Management Standards.**

(1) Include as part of the electronic record, the true identity of the sender and addresses by employee names and/or positions.

(2) Retain email records in a useable format for their required retention period as specified in approved records schedules.

(3) Preserve all pertinent acknowledgements electronic mail receipt data as part of the record.

Enclosure

(4) Electronic records may not be destroyed or otherwise disposed of except under the authority of an approved records schedule. This applies to the original version of the record that is sent or received on the electronic mail system and any copies that have been transferred to the record keeping system.

(5) When eligible for destruction, the electronic version of an electronic mail message shall be destroyed in the same manner prescribed for other electronic records as outlined in reference (c).

5. Disposal of Electronic Records.

a. Transfer to CD-ROM. Permanent records may be transferred and accessioned into the National Archives on CD-ROMs provided that they adhere to the following guidelines

(1) Meet International Standards Organization (ISO) 9660 standard, and are in American Standard Code for Information Interchange (ASCII) as defined in the Federal Information Processing Standard 1-2.

(2) Are not dependant upon control characters or codes that are not defined in the ASCII character set.

(3) Are not compressed unless the software to decompress the files is provided.

(4) Are copied to CD-ROM as individually addressable fielded data files or text files only.

b. Transfer to Magnetic Tape. Magnetic tape is a fragile medium and should be scheduled for disposition by activities personnel as soon as possible after the tapes are written to avoid damage. Data should be recorded onto only new or recertified tape that has been passed over a tape cleaner before writing.

(1) Permanent electronic records should be transferred onto 18 track, 3480 class tape cartridges as specified in reference (c). Data shall be recorded at no larger than 32,760 bytes per block in ASCII or EBCDIC with all extraneous control characters removed from the data.

Enclosure (3)

FORMS MANAGEMENT

1 Definitions.

a. Electronic forms. Forms created, stored, transmitted, filled-in, filed, and destroyed electronically. There is no paper involved in this process.

b. Flatsheet print on demand forms. Forms created transmitted, and stocked electronically, but printed, filled in and stored on paper.

2. Program Responsibilities.

a. The Officer-in-Charge shall ensure that both automated and paper forms created, copied, stored, transmitted, or destroyed are in compliance with established policies and procedures as set forth in this instruction and reference (d).

b. The Administrative Officer shall be responsible for the guidance of the command's form management program. This includes:

(1) Advising the secretary to the OIC on form management standards, including, but not limited to, form creation, distribution, use, and destruction within the command.

c. The secretary to the OIC is designated as the Forms and Records Manager at NMRCD and shall be responsible for:

(1) Ensuring personnel will not purchase forms software without prior approval from the forms and records manager.

(2) Guaranteeing proper distribution of automated forms software to the appropriate users.

(3) All personnel shall notify in writing the command's forms and records manager of the intent to initiate, complete, or destroy forms.

(4) Securing the understanding and cooperation of activity personnel in the program execution.

(5) Maintaining NMRCB form management program standards to meet the requirements prescribed by this instruction and reference (d).

Enclosure (4)