

Admin Officer Guide: Records Management

INTRODUCTION

This guide is designed to provide Administrative Officers (AO) with the knowledge and tools necessary to effectively manage records at your command. Records are the foundation of organizational memory, accountability, and legal compliance. Your role as an AO is important in ensuring that records are created, maintained, used, and disposed of properly. This guide will assist AOs with implementing records management procedures aligned with SECNAV M-5210.1 and OPNAVINST 5210.21, ensuring compliance with DON policy for creating, maintaining, and disposing of official records. A robust and well-maintained records management program ensures continuity of operations, facilitates informed decision-making, protects the organization from legal and safety risks, and preserves its history.

OVERVIEW

Records management is the systematic control of records throughout their life cycle, from creation or receipt to final disposition (either permanent preservation or destruction). It is more than just filing; it is about creating, maintaining, and retrieving information efficiently and effectively, while ensuring compliance with legal, regulatory, and organizational requirements. AOs play a crucial role in upholding legal and regulatory obligations related to federal records, including electronic and physical formats.

Key components of records management include:

- **Identification and Classification.** Determining what constitutes a record and assigning appropriate Standard Subject Identification Codes (SSIC) and/or office codes based on its content and function. This may involve using file plans, classification schemes, or other organizational tools.
- **Creation and Capture.** Establishing procedures for creating and capturing records, ensuring they are complete, accurate, and authentic. This includes capturing metadata (data about the data) such as date, author, and subject.
- **Storage and Maintenance.** Storing records securely and organizing them in a logical and accessible manner. This includes implementing security measures to protect records from unauthorized access, alteration, or destruction.
- **Retrieval and Use.** Providing efficient and reliable access to records when needed. This includes establishing procedures for searching, retrieving, and tracking records.
- **Retention and Disposition.** Establishing and implementing retention schedules that specify how long records must be retained before they can be destroyed or transferred to an archive. This requires understanding legal, regulatory, and organizational requirements.
- **Email Management.** Permanently retaining email of DON senior officials that are designated as Capstone officials where DON can categorize and schedule email based on position of the email account owner. Capstone officials include, at a minimum: SECNAV, UNSECNAV, CNO, VCNO, CMC, and APMC.
- **Training, Awareness and Compliance.** Providing training and resources to personnel on records management principles and procedures. Ensuring all records management activities comply with applicable laws, regulations, and organizational policies

This guide is published under the direction of the Administrative Limited Duty Officer/Chief Warrant Officer Board of Directors (BOD) and reflects the BOD's collective recommendations.

ADMIN OFFICER ACTION

As an AO, you are the primary point of contact for records management at your command. Your responsibilities encompass a wide range of tasks, including:

- Appoint or serve as the Command Records Manager (CRM) and ensure subordinate units have designated Records Liaison Officers (RLOs).
- Maintain a records management plan that identifies record types, storage locations, and retention schedules.
- Create an annual self-assessment program for their subordinate commands.
- Create and conduct training geared towards the specific needs of their command and subordinate commands and train staff annually as per the fiscal year requirement to complete “Records Management in the DON: Everyone's Responsibility” on records responsibilities, including identifying record vs. non-record materials and using the SSIC.
- Ensure records are filed using the correct SSIC and retained according to the SECNAV Retention Schedules.
- Conduct annual inventories and reviews of physical and electronic record holdings.
- Coordinate with the Base Records Manager or DON Records Officer when disposing of records.
- Implement procedures to preserve vital records and ensure continuity of operations during emergencies.
- Ensure compliance with electronic records requirements, including shared drive governance and email preservation.
- Support inspections, audits, and records holds (litigation or FOIA) as required.

AOs have complete oversight and responsibility over the creation, maintenance and use, and disposition of the command's records. Regardless of the format and classification, AOs must ensure all command records are protected in a safe and secure environment and disposition is carried out per approved Navy records schedules as detailed in the references below. Ensure you familiarize yourself with the provisions and requirements of these references and ensure your command's Records Management Program is in line with SECNAV and OPNAV regulations.

REFERENCES

SECNAV M-5210-1 RECORDS MANAGEMENT MANUAL

<https://www.secnav.navy.mil/doni/SECNAV%20Manuals1/5210.1.pdf>

OPNAVINST 5210.21 RECORDS MANAGEMENT PROGRAM

<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-200%20Management%20Program%20and%20Techniques%20Services/5210.21.pdf>