



DEPARTMENT OF THE NAVY

NAVAL AIR STATION OCEANA
VIRGINIA BEACH, VIRGINIA 23460-5120

IN REPLY REFER TO:

NASOCEANAINST 5212.1K
11
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NAS OCEANA INSTRUCTION 5212.1K

Subj: RECORDS MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 5212.5C
(b) SECNAVINST 5210.8C

Encl: (1) Sample Disposal Guide

1. Purpose. To outline and prescribe procedures for records management for Naval Air Station (NAS) Oceana departments and Special Assistants.

2. Cancellation. NASOCEANAINST 5212.1J. Because of numerous revisions, paragraph markings have been omitted.

3. Responsibility. The Administrative Officer shall appoint a Command Records Management Coordinator to assume overall responsibility of the program and assist departmental Records Management Coordinators in implementing and carrying out program requirements.

4. Action

a. Command Records Management Coordinator shall

- (1) Be thoroughly familiar with reference (a).
- (2) Provide advice and assistance to departmental Records Management Coordinators in establishing procedures for application of the program per reference (a).
- (3) Conduct inspections of records in the custody of departments and Special Assistants to ensure they are covered by and related to proper retention standards, and disposal action is being taken regularly and effectively.

b. Departments and Special Assistants shall

(1) Designate an individual to serve as departmental Records Management Coordinator in disposal matters and for the application of procedures outlined below. Notify the command Records Management Coordinator by memorandum of the name and telephone number of designated individuals.

(2) Program records for retention and disposal per standards set forth in reference (a) and procedures outlined in this directive.

c. Departmental Records Management Coordinators shall

(1) Be thoroughly familiar with references (a) and (b).

(2) Prepare a Records Disposal Schedule in a format similar to enclosure (1) for all records held within the department. A copy of this schedule shall be forwarded to the Command Records Management Coordinator in the Administrative Department.

(3) Prepare local disposal instructions for each record series recorded on the Records Disposal Schedule. The following definitions apply in composing the Disposal Guide:

(a) A cutoff period is the time that a file is terminated to facilitate quick reference to current files and initiate eventual disposal action. The following periods will normally apply: correspondence, general and numerical files of documents - annually at the end of the calendar year; fiscal and accounting records - annually at the end of the fiscal year; case files - when action has been completed or upon occurrence of the event or action.

(b) A retirement or inactive period is the time records are to be held after reference requirements have diminished to the extent they may be placed in lower file drawers or local, unattended storage areas until eligible for destruction. In case of long term or permanent retention, adequately store documents until eligible for transfer to a Federal Records Center.

(c) A transfer period is the time which long term or permanent records are to be retained before shipment to a Federal Record Center.

(4) Continually destroy non-record material (refer to Appendix F, paragraph 69 of reference (a)).

(5) Destroy records eligible for destruction annually on either 1 January or 1 October, whichever is applicable.

(6) Retire inactive cutoff records, eligible for destruction in less than four years, to a less desirable file space or an unattended storage area within the department.

(7) Transfer long term records, not eligible for local destruction within the next four years and permanent records no longer required, to the appropriate Federal Records Center.

(a) Transfer of records shall be accomplished per Part I, Chapter 1, paragraph 7 of reference (a), using Standard Form 135 (Records Transmittal and Receipt) and standard size shipment cartons.

(b) Ensure copies of all Standard Form 135s are forwarded to the command Records Management Coordinator.

(c) Ensure cartons are appropriately packed for shipment, marked, sealed and forwarded to the Supply Department, Traffic Branch, Building 720. A memorandum request for shipment indicating quantity, nomenclature (inactive records) and address shall accompany cartons.

(d) Records shall be transferred to the Federal Record Center as indicated below unless specific authority is contained in Part II of reference (a) for shipment elsewhere. In either case, the address of the appropriate center shall be clearly marked on the carton.

U.S. Mail

Washington National Records Center GSA
Washington, DC 20409

Shipped Under Bill of Lading

Washington National Records Center GSA
4205 Suiteland Road
Suiteland, MD 20746

5. Filing Cabinets. Procurement of new cabinets shall be initiated only after exhausting all practicable means of obtaining necessary equipment through rehabilitation, redistribution or more efficient use of presently owned cabinets. The following action shall be considered a prerequisite to procurement action and must be certified by the command Records Management Coordinator as having been taken:

a. Records retention standards have been determined for all records held by the department.

b. Records are filed per reference (b).

c. Records not required for daily business and eligible for disposal have been retired to inactive local storage, destroyed or transferred to a Federal Records Center as applicable.

d. Materials improperly stored in file cabinets or filing equipment, such as office supplies, publication stocks, coffee messes, clothing, etc. have been removed.

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e. Excess filing cabinets, when available from Plant Account, have been reassigned within the activity to meet essential needs.

6. Procedures for Obtaining Cabinets. When the need for additional correspondence type filing cabinets is anticipated, the following procedures shall apply:

a. The Requiring Department shall

(1) Review the contents of currently held filing equipment and take action to reduce record holdings per paragraphs 5.a. through 5.e. above.

(2) If this does not produce the required space, submit a memorandum via the Administrative Officer to the Comptroller (Plant Account) indicating quantity and description of equipment needs and records to be housed.

b. The Administrative Officer shall

(1) Review records remaining after departmental disposal action to ensure technical accuracy of the filing system per reference (a).

(2) After determining a valid need exists, approve the issue of cabinets.

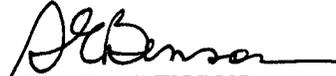
c. Comptroller (Plant Account) shall issue filing cabinets to requesting departments only upon receipt of authority from the Administrative Officer.

d. The Supply Department, when requested by the Administrative Officer, shall screen excess property lists and contact nearby activities for availability of filing cabinets.

e. If the foregoing actions fail to produce the required cabinets, the Supply Department shall submit a letter to the appropriate Government Services Administration (GSA) Regional Administrator specifying stock numbers, quantity, justification and certification that the prerequisite actions of paragraph 5.a. through 5.e. above have been taken with negative results. Approved requests will be filled by GSA from excess items or serviceable substitutes, as available. Otherwise, a clearance document will be returned with GSA Form 2084 authorizing submission of a requisition to the GSA Regional Office. Requisitions must include, and be accompanied by a copy of, the clearance document number.

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7. Review. The Administrative Officer shall review this instruction annually and make recommendations.


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Distribution:
NASOCEANAINST 5216.1Q
List I (Case A)

SAMPLE DISPOSAL SCHEDULE

1. Reference (a), Disposal of Navy and Marine Corps Records, contains guidelines and constitutes authority to destroy official correspondence, logs and other records. Before instituting disposal schedules for material under their cognizance, Department Heads and Special Assistants shall research this publication to verify that disposal per their schedule is permitted. Departments shall implement disposal schedules as needed to ensure the volume of material in their custody is kept to a minimum.

2. The cut off period for general correspondence files is normally 1 January. Files are then moved to retirement or made inactive for one year prior to disposal action.

3. The following retention periods have been extracted from reference (a) and should cover the majority of situations that require vigorous disposal action:

| <u>SSIC</u> | <u>Subject or Description</u> | <u>Pending Period</u> |
|-------------|--|---|
| 1000 | Military Personnel (General correspondence files) | 2 years |
| 1070 | Military Personnel Records | Permanent |
| 1070 | Temporary (Local) Personnel Files (Officers) | Until personnel are transferred or until no longer needed |
| 1080 | Personnel Accounting Records Distribution | 2 years |
| 1500 | Training and Education Records (General correspondence files) | 2 years |
| 1650 | Decorations, Medals and Awards Records (Correspondence regarding recommendations for personal awards) | 5 years |
| 1700 | Morale and Personal Affairs Records (General correspondence relating to the operation and administration of morale and personal affairs) | 2 years |
| 1746 | Messes and Clubs Records (General correspondence) | 2 years or 2 years after superseded or canceled |

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| <u>SSIC</u> | <u>Subject or Description</u> | <u>Pending Period</u> |
|-------------|---|--------------------------------------|
| 2100 | Message Traffic on Magnetic Film | 60 days |
| 2700 | Mail and Correspondence Logs (Serial logs) | 6 years |
| 3000 | Operation and Readiness Files (General correspondence) | 6 years |
| 4235 | Requisitions Files | 2 years |
| 4400 | Supply Management Records (General correspondence) | 2 years |
| 5000 | General Correspondence Files (Including files maintained for log purposes) | 2 years |
| 5040 | Activities General (Correspondence files relating to administrative and management on-site surveys) | 3 years |
| 5110 | Mail and Postal Affairs (General correspondence) | 2 years |
| 5500 | Security Violation Reports | 2 years |
| 5511 | Classified Document Receipt Logs, Indexes | 2 years |
| 5511 | Classified Document Destruction Certificates | 2 years |
| 5521 | Certificates of Clearance for Handling Classified Matters | 2 years after transfer or separation |
| 5603 | Printing logs, registers or other control records of incoming jobs | 1 year |
| 5605 | Publications and Forms Requisition and Shipping Order Files | 6 months |
| 5700 | External Relations Records (General correspondence) | 2 years |
| 5730 | Congressional (General correspondence) | 2 years |