



DEPARTMENT OF THE NAVY

COMMANDER TRAINING AIR WING ONE
101 FULLER ROAD SUITE 250
MERIDIAN MS 39309-5403

IN REPLY REFER TO:

COMTRAWINGONEINST 5210.1B
N1
10 Dec 10

COMTRAWING ONE INSTRUCTION 5210.1B

From: Commander, Training Air Wing ONE

Subj: TRAINING AIR WING ONE (TW-1) RECORDS MANAGEMENT PROGRAM

Ref: (a) SECNAVINST 5210.8D
(b) SECNAVINST M-5210.1
(c) SECNAVINST M-5210.2

Encl: (1) TW-1 File Plans and Records Management Procedures
(2) Sample Files
(3) Sample Cabinet/Drawer Label

1. Purpose. To implement the provisions of references (a), (b), and (c) by providing, policies, responsibilities, and standards required for the maintenance, use, and disposition of information as records in all media, including electronic records for TW-1. This instruction includes some minor revisions and should be reviewed in its entirety.

2. Cancellation. COMTRAWINGONEINST 5210.1A.

3. Background

a. Federal statutes and regulations require Navy commands to efficiently and effectively manage a myriad of records to complete their assigned missions. Effective records management fosters effective decision making and task accomplishment.

b. Proper records management starts with creating sufficient records to document the operations, policies, and transactions of the command and provide the necessary information required to protect the legal and financial rights of the DON, Federal Government, and persons directly affected by DON activities.

c. The electronic communication age has spawned an environment by which an ever increasing number of electronic records are created and stored electronically. These records include any information that may be recorded on any medium capable of being read and transferred by a computer. They should be maintained according to all current applicable records management instructions.

4. Applicability and Scope. This directive serves as a guide for command and administrative personnel to use in the administration of TW-1 records management programs. All TW-1, VT-7, and VT-9 personnel will use enclosures (1) through (3) as the standard procedure for implementing this program.

5. Action. Utilizing enclosure (1) administrative personnel within TW-1 will manage records generated in all forms in compliance with references (a), (b), and (c). Security and Privacy Act considerations shall be incorporated into all aspects of the TW-1 records management program. Personnel will adhere to the retention and disposal requirements of DON records per reference (b). Vital records management and safeguarding personal data will be considered in implementing this program.


KEITH T. TAYLOR

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TW-1 FILE PLANS AND RECORDS MANAGEMENT PROCEDURES

1. Introduction. A file plan is the basic unit for organizing and controlling files. It is a group of files or documents kept together (either physically or intellectually) because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.

2. Records Creation

a. Segregate the permanent records from the temporary records and arrange in appropriate files series (correspondence files, card files, case files, accounting registers, Emergency Action Message (EAM) listings, contract files, etc.)

b. Federal records are identified as either temporary or permanent records within the current records disposition manual. Temporary records are those records disposable after a fixed period of time or after an event, as specified in current records disposition instructions. Permanent records are those records that are sufficiently valuable for research or other purposes to warrant permanent preservation. Identify each document in each group utilizing the current edition of Department of the Navy Standard Subject Identification Codes (SSIC) Manual.

c. Once each group (temporary and permanent) has been properly identified per the current edition of Department of the Navy SSIC Manual, make 13 general folders (1000-13000) representing the 13 major numerical groups. For example, file all papers having the identification "1000-1999" inclusive within the folder entitled "1000-1999 MILITARY PERSONNEL (GENERAL);" separate the permanent and temporary records within each folder, and arrange each category in numerical sequence according to the SSIC assigned. When at least 10 pieces of paper, with the same SSIC, in a category accumulate, prepare a folder for that category. This procedure will work for the majority of offices creating records. The exception would be in offices where the daily volume of records on specific subjects is so high that individual, as opposed to general folders must be established initially. A sample of the file folder identification is shown in enclosure (2), Figure 1-1. Insert papers in the folder with the latest date first.

d. The subject, as well as the contents, should be taken into consideration when selecting a SSIC number for files.

3. Preparing Files Outline. Prepare a files outline [see Figure 1-2, Enclosure (2)] and maintain it in an accessible place for the convenience of all users of the files, preferably with the current edition of the Department of the Navy Standard Subject Identification Code Manual, in a file folder preceding the files it describes. The practice of entering the retention standards opposite the file numbers on the files outline is timesaving, assists in final disposition, and serves as a training aid for new personnel. The files outline should be updated as changes occur.

4. File Labels. Each file folder will be labeled. White, pressure-sensitive (sticker type) labels will be used. Each folder must possess three labels. The first label is the "File Identification label," the second is the "Date label," and the third is the "Disposal label."

a. File Identification Label. The file identification label is the first label on the file folder. It consists of the SSIC and Subject title. The SSIC and title are typed in all caps with one space between the SSIC and the title. The label is placed in the top left corner of the file folder.

(1) The SSIC is recorded on the file identification label to identify the general or specific pieces of correspondence that are filed inside.

(2) The subject title is the corresponding title of the SSIC.

(3) When deviating from the exact title for a specific SSIC, the SSIC must be followed by a slash (/), then the Arabic number, and the subparagraph title:

Example

1650 DECORATIONS, MEDALS AND AWARDS
1650/1 CORRESPONDENCE AND RELATED RECORDS

b. Date Label. The second label on the folder is the date label. It records the dates a file folder was opened and closed. The dates are centered on the label with the open date on top and the close date on the bottom. (You will not be able to record the close date until you actually close the file.) The dates are listed in the format DD MMM YYYY, all caps. The label is placed in the top center of the file folder.

(1) Open Date

(a) The opening date for file folders established on calendar year files is 01 JAN 2002; 01 OCT 2002 for fiscal year files (like those in the 7000 series).

(b) If a "GENERAL" file folder has accumulated 10 pieces of correspondence with the same SSIC, the opening date would reflect the earliest dated record. If on the 15th of April 2002 you had 10 documents with the SSIC 1650 in the 1000 MILITARY PERSONNEL (GENERAL) file, you will open a new file for 1650 DECORATIONS, MEDALS, AND AWARDS; the earliest dated document in the new file is dated 5 Jan 02, the open date for the new file date label will be 05 JAN 2002.

(c) If a file folder has been filled to its 3/4" capacity, the open date on the new folder will be the "next" day. If on the 14th of April 2002 your folder reached its 3/4" capacity, you would close that folder on 14th April and create a new folder with an open date of 15 APR 2002.

c. Disposal Label. The third label on the folder is the disposal label. It provides the records retention period, disposal action, and the authority. The information is typed in all caps. The label is placed in the top right corner of the file folder. There are three items of information required on the disposal label: retention period, disposal action, and the authority.

Enclosure (1)

(1) Retention period is typed in the following format, all caps: 2 YRS

(2) Disposal action is typed after the space-dash-space and is all caps. For example:

(a) Temporary files have the words TEMP – DATE followed by the date destroy. i.e., TEMP - JAN 2005 – DESTROY.

(b) Permanent files have PERM - TRANSFER in all caps - DATE eligible for transfer – i.e. JAN 2008. The next available line is for the instructions - i.e., TRANSFER TO WASHINGTON NATIONAL RECORDS CENTER (WNRC) WHEN 2 YEARS OLD.

(c) Internal records retention starts the first day of the year after all files are closed. This means files closed should not be transferred or destroyed until their full retention has been fulfilled. For example SSIC 1650.3b requires records to be sent to the WRNC when 2 years old. This begins 2 years from the date the file is closed. If the file is closed 31 DEC 2005, it is not eligible for transfer or destruction until JAN 2008, 2 full calendar years after date the file is closed.

(3) Authority. On the next available line after the “Disposal Action” type the authority that established the retention period and disposal action. i.e., SECNAV M-5210.1, PART III, CHAP. 1, PAR. 1000.2. Ensure all text is capitalized when typing this information, and includes three commas.

(a) Temporary files have the number and the abbreviation for months or years required for retention typed one space after the paragraph number and in all caps. For example:

TEMP - JAN 2005– DESTROY
SECNAV M-5210.1, PART III
CHAP. 1, PARA 1010.1 - 2 YRS

(b) Permanent files have “PERM,” followed by the disposal action and date of disposal in all caps. For example:

PERM – TRANSFER - JAN 2008
TRANSFER TO WRNC WHEN 2 YRS OLD
SECNAV M-5210.1, PART III,
CHAP. 1, PARA 1000.1C - 20 YRS

5. File Drawers and Cabinets Labels. The DON Records Management Program requires the proper labeling of file drawers to indicate the type of files, inclusive file numbers, and calendar or fiscal years of the files contained in the drawer(s). The label is placed on the front of each filing cabinet drawer. See Enclosure (3), Figure 1-3.

Enclosure (1)

6. Privacy Act

PRIVACY ACT OF 1974 STATEMENT

a. Official Correspondence. A command's official correspondence files may contain "personal information" protected by the Privacy Act of 1974 including but not limited to social security numbers, home addresses, and financial data on current or former command personnel. Guidance concerning the management of these types records and the safeguarding of personal information contained within is set forth in Secretary of the Navy Instruction SECNAVINST 5211.5E.

b. It is recommended that file cabinets containing official correspondence files display a "statement pertaining to the safeguarding of personal information" in a conspicuous area where your files are stored. In this way it becomes a "public notice" that management of the files are governed by provisions established by the Privacy Act of 1974. The statement is placed on the outside of all file drawers containing correspondence files.

The following statement will satisfy this recommendation:

THESE CORRESPONDENCE FILES are indexed and retrieved by individual personal identifiers and contain protected personal information. THE PRIVACY ACT OF 1974[5 USC 552a] and implementing regulation (SECNAVINST 5211.5D), provide that no information from these files may be disclosed without consent of the record subject except when such disclosure meets the criteria of one or more of the 12 exceptions set forth in the Act [5 USC 552a(b)(1) through notice governing this file collection. Any unauthorized disclosure may result in civil and/or criminal penalties to the individual in his/her personal capacity and/or the Government.

c. A copy of the Privacy Act Systems of Records Notice that governs the correspondence files collection (i.e., NM05000-1 GENERAL CORRESPONDENCE FILES; NM05211-1 PRIVACY ACT REQUEST FILES AND TRACKING SYSTEM; NM-5720-1 FOIA REQUEST/APPEAL FILES AND TRACKING SYSTEM, etc.) should be filed with the files collection and should be readily accessible to office personnel. A listing of all DON and USMC Privacy Act Systems of Records Notices may be found on the DON Privacy Act On-Line website at <http://www.privacy.navy.mil>. Assistance in identifying the applicable Privacy Act System of Records Notice may be obtained from your organization's Privacy Act Coordinator.

d. The TW1 official that has responsibility for the creation and/or maintenance of the file collection is the Privacy Act System of Records Manager for the collection. It is his/her responsibility to ensure that proper safeguards are put into place to protect personal information contained within the files and to ensure that all office personnel with access to such information are properly trained on the proper handling and safeguarding of the files and data contained within the files.

e. Questions concerning Privacy Act statements, forms, reports, and/or violations should be directed to your organization's Privacy Act Coordinator.

Enclosure (1)

7. Records Maintenance. Proper management of records ensures that complete records are maintained; records can be located when needed; records, non-record materials, and personal papers are maintained separately; and the identification and retention of permanent records are facilitated. Command designated records managers, administrative officers and administrative clerks are responsible for ensuring that:

a. Official files contain the basic incoming document and appendixes, if any, and the official file copy of outgoing correspondence, together with any essential supporting documents.

b. The official files of an office are located in close proximity to the users so as to discourage the creation of duplicate files by those with ready access to the official files. Duplicate files only serve to "split" the official files, causing incomplete documentation and waste of space, equipment, supplies, and personnel.

c. Files are closed on an annual (calendar or fiscal) year basis depending on the functional area. Offices may establish their financial records on a calendar year basis provided they are not the office of record for the fiscal functions of their activity and their financial records are small in volume and are general in nature. Close files at the end of the calendar or fiscal year in which the case is completed.

d. Loose filing is established as the preferred method of filing general correspondence in file folders. The use of prong fasteners or binders to secure papers in a file folder is accepted for certain applications. Examples are contract, case or project files, or files containing civilian or military records, which because of their nature, require constant handling and are frequently removed from the office of record.

e. A determination is made as to whether records are of permanent or temporary value is made prior to filing. The letters "P" or "T" should be written on the document along with the file number, prior to filing.

f. Records of permanent value are filed separate from records of temporary value. The file folder containing permanent record material should be placed in front of the related folder containing temporary material. When utilizing one folder for both categories, separate them by use of a divider, this provides for systematic disposition without review at the time of transfer or destruction.

g. All papers contained within each file are filed in chronological order from newest to oldest.

8. Records Retention and Disposition. Records disposition serves to preserve records that reflect the organization, functions, policies, decisions, procedures, and essential transactions of the Navy. The disposition serves to:

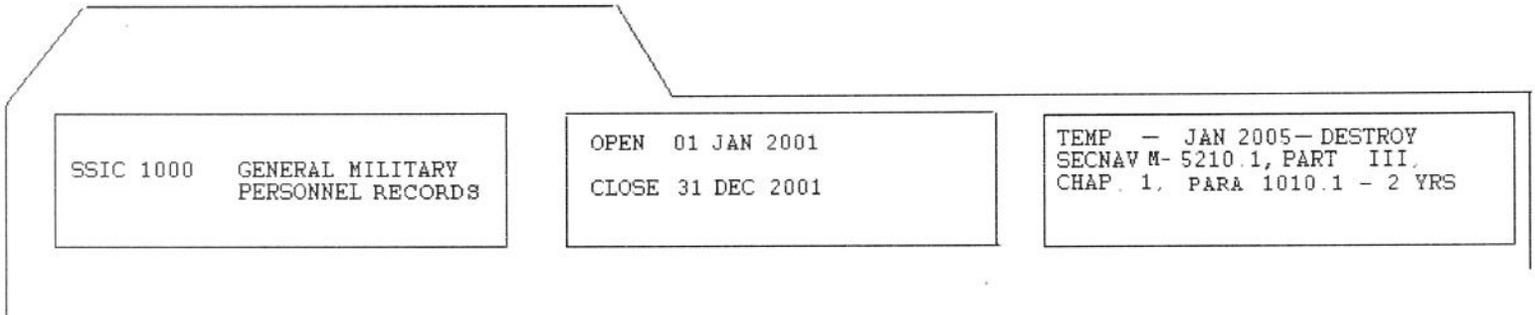
a. Preserve records that are created to protect the legal and financial rights of the Government and of persons directly affected by DON action.

Enclosure (1)

- b. Ensure prompt disposition of non-current records through transfer to records centers, destruction, or other authorized disposition.
- c. Establish safeguards against illegal removal, loss, or destruction of records.

SAMPLE FILES

SAMPLE TEMPORARY FILE FOLDER



SAMPLE PERMANENT FILE FOLDER

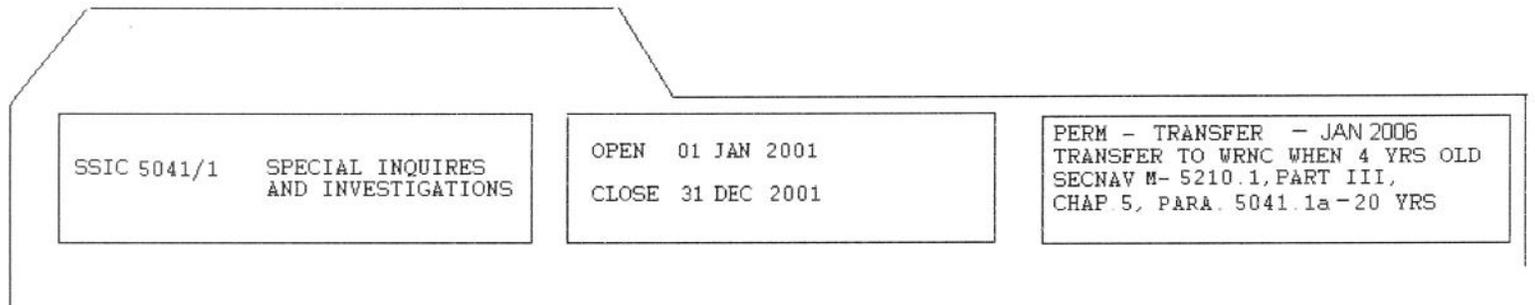


Figure 1-1—FILE FOLDER

SAMPLE FILES OUTLINE

CY 2002

FILE NUMBER	SUBJECT	RETENTION STANDARDS
1000	GENERAL MILITARY PERSONNEL RECORDS	PERM – TRANSFER — JAN 2007 TRANSFER TO WRNC WHEN 4 YRS OLD SECNAV M-5210.1, PART III, CHAP. 1, PAR. 1000.1C — 4 YRS
1010	INSPECTIONS	TEMP – DESTROY — JAN 2005 SECNAV M-5210.1, PART III, CHAP. 1, PAR. 1010.1 — 2 YRS
5120/1	BOND DRIVE	TEMP – DESTROY — JAN 2005 SECNAV M-5210.1, PART III, CHAP. 5, PAR. 5120.1 — 2 YRS
5320/1	BILLETS AND CEILINGS	TEMP – DESTROY — JAN 2005 SECNAV M-5210.1, PART III, CHAP. 5, PAR. 5320.1 — 2 YRS
5521/1	NAME CHANGES AND PERSONNEL CLEARANCE	TEMP – DESTROY — JAN 2005 SECNAV M-5210.1, PART III, CHAP. 5, PAR. 5521.1 — 2 YRS
6100	PHYSICAL FITNESS	TEMP – DESTROY — JAN 2005 SECNAV M-5210.1,PART III, CHAP. 6, PAR. 6100 — 2 YRS
7100	BUDGETING	TEMP – DESTROY — JAN 2005 SECNAV M-5210.1,PART III, CHAP. 7, PAR. 7100.1 — 2 YRS

Figure 1-2—FILES OUTLINE

Enclosure (2)

SAMPLE CABINET/DRAWER LABEL

CORRESPONDENCE FILES
1000 – Military Personnel (General)
To
7230 – Civilian Pay
Calendar Year – 2002
Fiscal Year – 2001

Figure 1-3—FILES DRAWER LABEL