

DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
WASHINGTON

SECNAV P5212.5B
NMO:MAD
21 June 1961

SECNAV INSTRUCTION P5212.5B

From: Secretary of the Navy
To: All Ships and Stations

Subj: Disposal of Navy and Marine Corps records

Ref: (a) Records Disposal Act of 1943, as amended (57 Stat. 382; 44 USC 366-380)
(b) Federal Records Act of 1950 (44 USC 391-401) and related regulations of the General Services Administration
(c) Navy Regulations, Articles 1250, 1519, and 1614
(d) The United States Criminal Code (62 Stat. 795; 18 USC 2071)
(e) Department of the Navy Security Manual for Classified Information (OPNAVINST 5510.1B)

1. Purpose. This Instruction prescribes policies and procedures for the Department of the Navy's records disposal program and promulgates Navy-wide authorized retention standards for naval records.

2. Cancellation. This Instruction supersedes:

SECNAV Instruction 5212.5A of 29 May 1958, Subj: Disposal of Navy and Marine Corps records.

SECNAV Instruction 5210.10 of 7 May 1957, Subj: Annual Report of Volume of Records Held and Destroyed.

NMO Instruction 5212.2A of 30 March 1959, Subj: Effective Records Disposal Instructions for Navy and Marine Corps Records, listing of. (NOTAL)

NMO Instruction 5212.6 of 3 June 1958, Subj: Guide to Preparing Records Schedules. (NOTAL)

All other departmental instructions, including letter-type and manual instructions, issued to the field establishment and listed in Appendix H, except as follows:

a. Records disposal Instructions for vessels of the United States Navy and for United States Naval Ships in Service contained in OPNAVINST 5212.6A and 5212.20A, respectively, and pertinent portions of other disposal instructions applicable to records aboard individual USN and USNS vessels shall remain in effect until publication of Part III of this Instruction.

b. Retention standards and administrative instructions contained in Marine Corps Order P5212.1B and in other Marine Corps directives shall remain in effect for Marine Corps records until cancelled by the Commandant of the Marine Corps. All provisions of this Instruction not in conflict with Marine Corps directives or administrative procedures apply to Marine Corps records.

3. Background. Although Navy's records disposal program has been in operation since the Records Disposal Act was passed in 1943, past procedures did not in all instances provide broad, general standards to be applied throughout the Department of the Navy. Disposal instructions (or schedules) generally were developed on an individual organizational basis. Once approved by the Secretary, they were issued by individual bureaus and by activities and offices. This resulted in duplicate efforts and in duplicate or overlapping instructions. In addition, it was difficult to locate quickly and easily all authorities pertinent to an activity's records. This Instruction now contains in a single document all records disposal Instructions, consolidating more than 200 individual disposal Instructions. It also eliminates the need for preparation of individual organizational schedules and their submission to the Department for approval. Future submissions to the Navy Management Office will consist only of recommendations for new or revised general standards for the retention of records.

4. Scope and Applicability. This Instruction is issued in accordance with statutory and regulatory authority contained in references (a) through (c). It provides authority and direction for the establishment of a continuing records disposal program at every activity. It is applicable throughout the Department of the Navy to all Navy and Marine Corps activities except as specifically noted herein regarding Marine Corps; and Part III, to be published at a later date, and to be applicable and distributed only to individual USN and USNS vessels.

5. Responsibilities

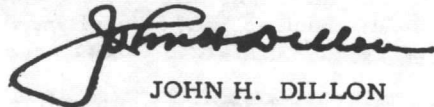
a. Addressees shall be responsible for (1) properly applying retention standards and for the establishment of a continuing and effective records disposal program and the monitoring of its effectiveness within their organization, and (2) recommending needed changes, additions, and improvements to this Instruction to the Chief, Navy Management Office.

b. The Navy Management Office shall be responsible for (1) maintaining this Instruction on a current basis, and (2) conducting all liaison activities with the National Archives and Records Service of the General Services Administration, except that District Commandants (District Management Assistance Offices) shall be responsible for conducting local liaison activities with Federal Records Centers and regional directors of the National Archives and Records Service regarding the disposal of naval records.

6. Assistance. Advice and assistance in establishing local records disposal programs and in properly applying retention standards to activities' records may be obtained from the Navy Management Office, cognizant bureaus or offices, and in the field from the District Commandants (District Management Assistance Offices).

7. Reports Required. A biennial report showing the volume of records held in office space and local storage areas will be submitted to the Navy Management Office prior to 15 June of each even calendar year. A notice containing procedures for submitting this report will be issued by Navy Management Office in advance of each due date. The report is required by regulations of the General Services Administration as an over-all check on the effectiveness of agencies disposal programs.

8. Action. Addressees shall take steps to carry out the provisions of this Instruction within their internal organization. Upon its receipt, each shall conduct an initial inventory of its records and review its disposal instructions to determine compliance with the procedures and standards this Instruction prescribes and the systematic and proper application of these standards to the records each accumulates. Guidance for making this initial review is contained in Part I of this Instruction. For the Marine Corps, current Marine Corps records management procedures and directives remain in effect. Periodic reviews and inspections shall be made thereafter on an annual basis.



JOHN H. DILLON
Administrative Assistant to
the Secretary of the Navy

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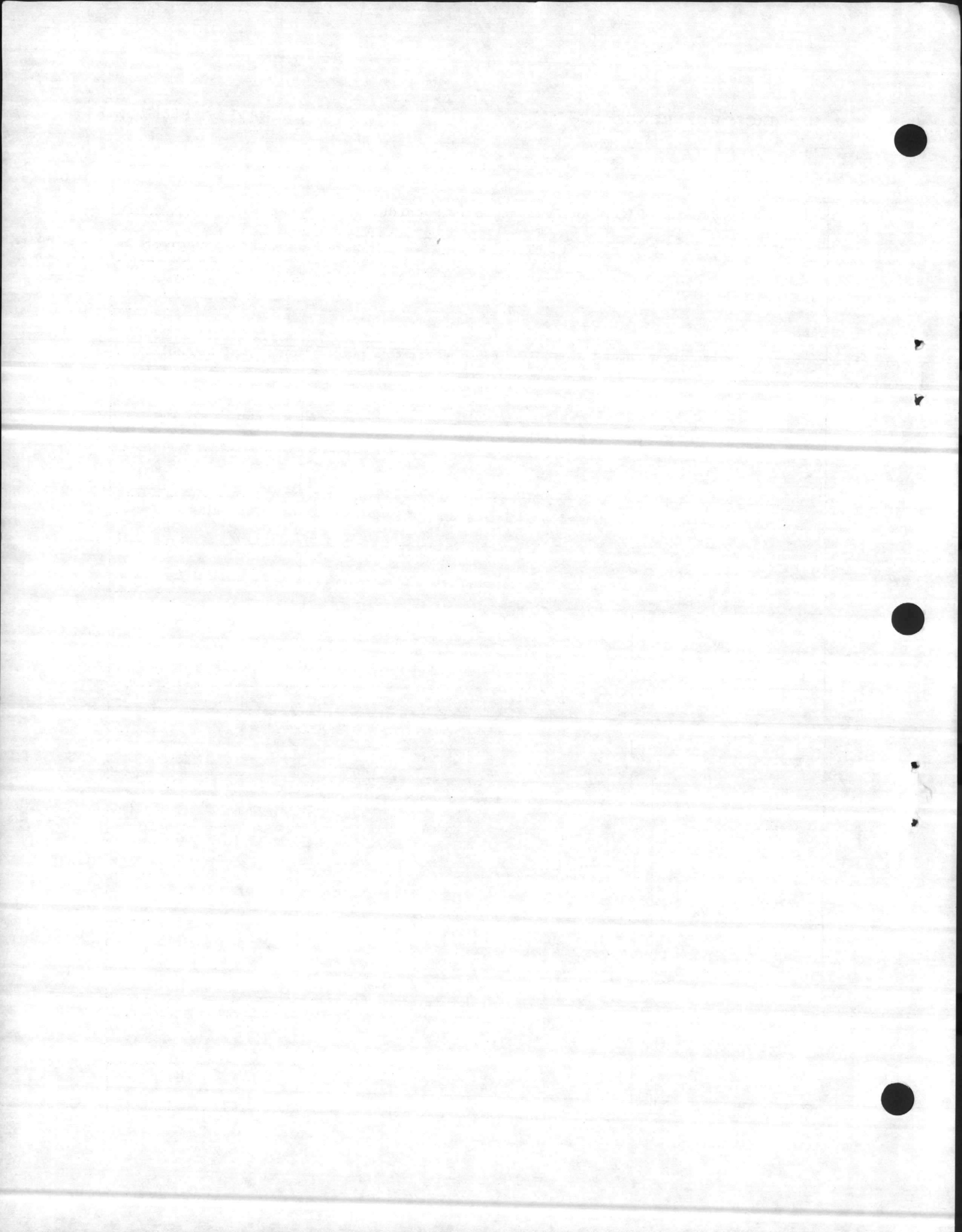
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SECNAVINST P5212.5B

Subj: Disposal of Navy and Marine Corps records

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RECORD OF CHANGES			
CORRECTION OR CHANGE NO.	DATE OF CHANGE	DATE ENTERED	BY WHOM ENTERED
CHANGE 1	27 August 1964	Incorporated in the	March 1967 reprint
		of the basic instruction.	

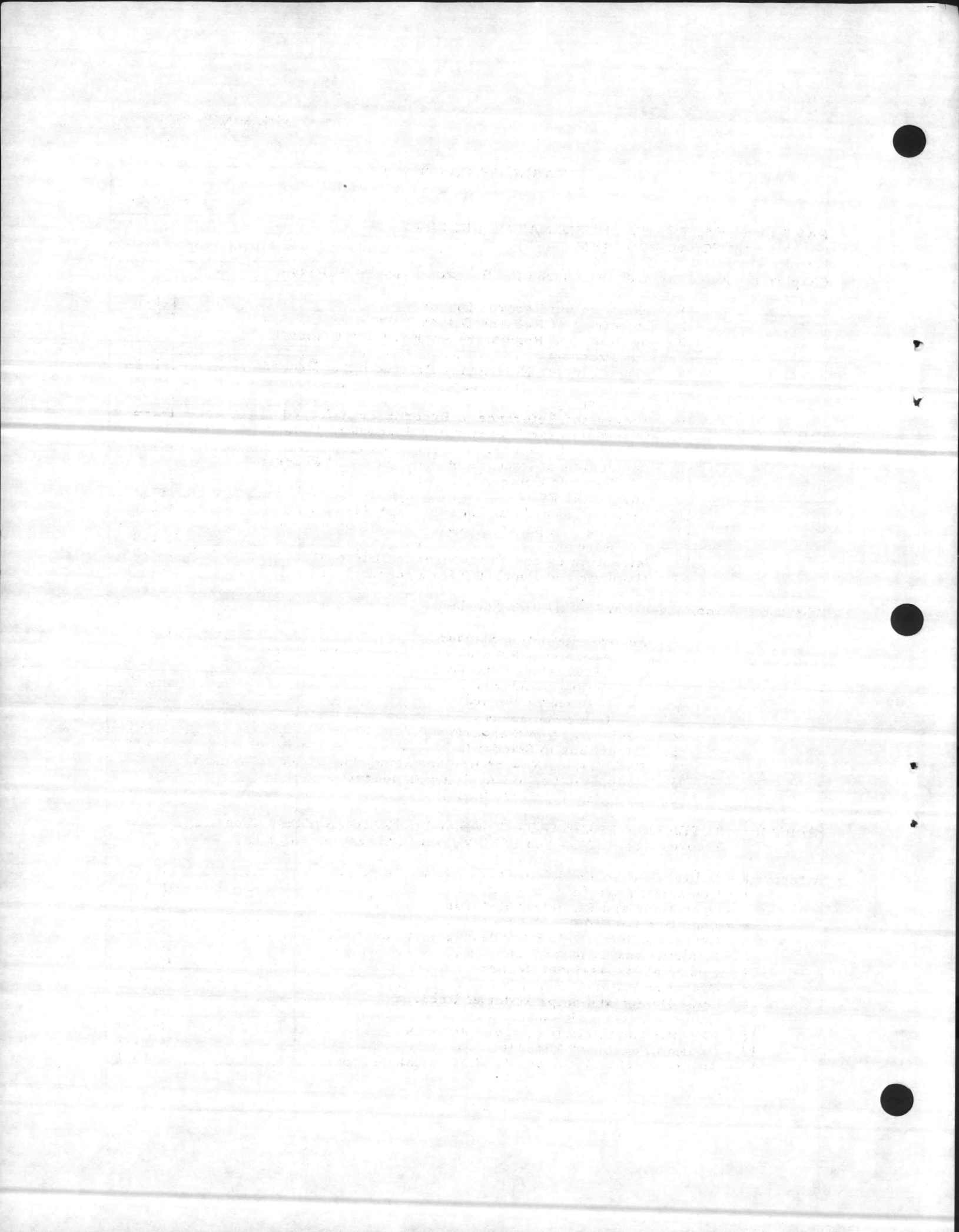


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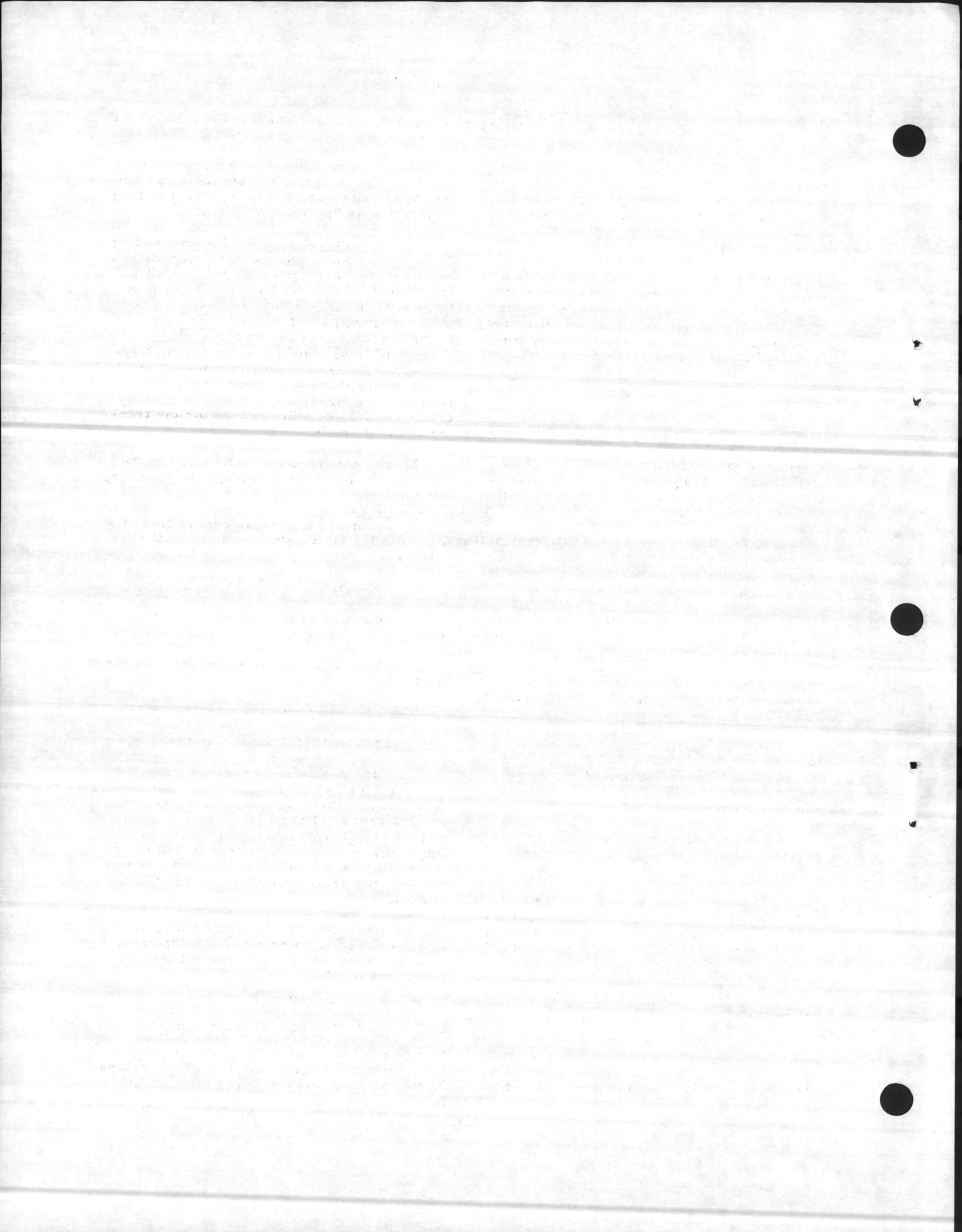
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* Distributed only to SNDL Part 1, 28 through 36, 41F and 41G.

PART I

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RECORDS DISPOSAL PROGRAM



prescribed, these should be transferred as soon as they have served the activity's immediate reference needs and reference to them has become relatively infrequent, e. g., less than one reference per file drawer per month.

- the retention period of records of a disestablished activity has not expired and the records are not required either by the cognizant departmental bureau or office or by an activity assuming responsibility for functions of the disestablished activity.

- records have a retention period of more than four years.

- records are inactive and are not required for local operating purposes, provided it is determined that savings can be effected by the transfer, e. g., transportation to the Center and Center storage costs will not outweigh local storage costs.

(2) When Transfers to Federal Records Centers Are Not Authorized. Activities should not transfer records to Federal Records Centers when:

- inactive files are eligible for destruction within a year. Handling and transportation costs generally will not justify such a transfer. An exception may be made when the volume is large and the records are utilizing urgently needed file equipment and office space.

- the quantity is less than one cubic foot of records. Retain small accumulations on board until retention period expires or until quantity accumulated is sufficient to justify transfer.

- retention periods for the file, or for parts of the file, already have expired.

(3) Transfer of Records to Nearest Center. Except when categories of naval records are designated specifically in Part II or III of this manual for centralization at a single Records Center for convenience of administration and reference, activities shall transfer eligible records to the nearest Center servicing the area. (See Appendix C.)

b. Transfers to National Archives. The National Archives accessions records that have sufficient research, legal, scientific, historical, or other values to warrant their

permanent preservation by the Government. Records that the Navy has appraised as having these values are listed in Part II of this Instruction as "permanent" records.

(1) Procedures for Recommending Transfers. When "permanent" records become inactive and are no longer needed in the conduct of current business, they may be offered to the National Archives for further preservation. Proposals for such transfers shall be submitted in writing through official channels to the Chief, Navy Management Office. He will review and coordinate the proposal. If the proposed transfer is appropriate and agreed upon by all concerned, he will arrange for the transfer of the records.

Recommendations for transfers to the National Archives shall contain the following information:

- a brief but precise description of the records, their nature and physical characteristics;

- security classification (if any);

- quantity of the records (in cubic feet);

- how often and by whom records are used;

- name of person in charge;

- physical location of the records;

- any restrictions desired to be placed on the use of the records. (However, restrictions placed on unclassified records over 10 years old must fall within the provisions of SECNAV Instruction 5570.2A, Subj: Policy regarding access to and the release of unclassified Department of Defense records requiring protection in the public's interest.)

Records transferred to the National Archives may be referenced or withdrawn in accordance with procedures outlined in paragraph 6 below.

c. Transfers to Other Government Agencies or to Non-Federal Institutions. It is sometimes necessary or desirable to transfer naval records to other agencies of the Government other than General Services Administration and the Department of Defense:

(1) Under Legislative or Executive Direction. Records sometimes are transferred to another agency of the Executive Branch in connection with the transfer of a function. Such transfers usually are required by statute or Executive Order. Approval of the Secretary is not required for transfers of records under these conditions; but a Report of Records Transferred (EXOS Report Symbol 5210-4) shall be submitted to the Chief, Navy Management Office through official channels. The report shall give the name and location of the agency to which the transfer was made, the authority for the transfer, a brief description of the records transferred, and the volume (in cubic feet) and inclusive dates of the records.

(2) Without Legislative or Executive Direction. Transfers to Government agencies without legislative or executive direction or to non-Federal institutions require the approval of the Chief, Navy Management Office. If such transfers become necessary or desirable, a request containing the following information should be submitted:

- a concise description of the records to be transferred and their volume;
- reason why the proposed transfer is in the best interests of the Government;
- the current and proposed physical and organizational location of the records;
- copies of concurrences by the head of the agency or institution to which the records are to be transferred;
- information as to agencies and persons referencing the records, and the purpose and frequency of such references;
- any restrictions to be placed on the use of the records.

d. Transfers Within the Department of Defense. Transfers of records within the Department of Defense usually involve the transfer of functions. In such instances, the transfer of records is needed to assure the continuity of functions. Such transfers are negotiated between the activities and offices concerned. Prior approval is not required, but a copy of the agreement or report accomplishing the transfer shall be submitted to the Chief, Navy Management Office. The Army and the Air Force will apply Department of the Navy's retention and

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disposal standards to accumulations of naval records transferred to their custody.

e. Transfers Within the Department of the Navy. Approval is not required for transfers within the Department of the Navy. Such transfers are negotiated between the organizational components concerned.

6. Access and Reference to Records Transferred. The National Archives and Federal Records Centers are required to provide prompt reference service on or access to records in their custody under the conditions outlined in subparagraphs (a) and (b) below.

a. When Records Are Less Than Ten Years Old. When records are less than ten years old, the National Archives and Federal Records Centers will furnish information or documents only to authorized personnel of the activity that transferred the records. Requests for access or information from other than authorized personnel of the transferring activity shall be honored only with the specific approval of the activity transferring the records. This approval shall be obtained from the cognizant management bureau or office if the activity has been disestablished.

An exception to the above rule shall apply if at the time of transfer the transferring activity grants blanket approval to the General Services Administration to release information to those properly and rightfully concerned. Activities are encouraged to grant such blanket authority on unclassified files of a routine nature. The authority should be indicated on the transfer document.

b. When Records Are Ten or More Years Old. The Archivist of the United States is authorized to grant access to or release information from Navy and Marine Corps unclassified records in the custody of the National Archives or Federal Records Centers that are ten or more years old, provided the Archivist determines that the release of the information will not be:

- contrary to law; or
- adverse to the public's interest in accordance with provisions of SECNAV Instruction 5570.2A of 6 June 1957, Subj: Policy governing the custody, use, and preservation of official Department of Defense information requiring protection in the public's interest.

c. Reference Services Provided. Federal Records Centers and the National Archives normally provide the following services:

- furnish information over the telephone;
- furnish copies of documents;
- furnish the documents themselves on a loan basis;
- compile or extract information from the records when authorized to do so;
- reply to routine requests or take other final action based on contents of the records, provided they are specifically authorized to do so and provided the replies are in connection with routine matters.

d. How to Obtain Reference Service from Federal Records Centers or the National Archives. Requests for reference services from Federal Records Centers shall be made direct to the Records Centers by the activity involved. The requests may be made in writing or over the telephone. Centers also will grant authorized personnel access to the records at the Centers. Requests for reference service from the National Archives shall be made only through departmental bureau and office liaison representatives.

e. Designating Archival Representatives. Bureaus and offices shall designate liaison representatives to handle requests for access to and reference service from records at the National Archives and advise the Chief, Navy Management Office of the names of the designees. The Chief, Navy Management Office shall apprise the Archivist of the United States of such representatives.

f. Withdrawal of Records from the National Archives or Federal Records Centers. Records transferred to the custody of the General Services Administration—either to the National Archives or to Federal Records Centers—may be withdrawn for reference on a 30-day loan basis as outlined in subparagraphs c and d above. However, requests for the indefinite or permanent withdrawal of records from the National Archives shall be made to the Chief, Navy Management Office. The request should include justification for the withdrawal.

7. Procedures for Transferring Records to Federal Records Centers

When transferring naval records to Federal Records Centers, these procedures shall be followed:

a. Prepare Transmittal Document. Complete Records Transmittal and Receipt Form (Standard Form 135) in triplicate.

Prepare a separate form for each records series to be shipped. Place one copy of the completed form in the front of the first box of the records series being readied for shipment. Forward the other two copies under separate cover to the Federal Records Center to which the records are to be sent. Upon receipt of the shipment, the Center will return an acknowledged copy of the transmittal form to the transferring activity.

Activities may prepare the form in quadruplicate and keep the fourth copy as a suspense record of the shipment. When this is done, the suspense copy will be pulled and destroyed as soon as the acknowledged copy is received.

Properly complete the form so that it provides the Center with adequate information for servicing and disposing of the records. (See Appendix D.) Folder by folder listings or other elaborate descriptions as a rule should not be necessary. But if additional space is needed, use plain paper for continuation sheets.

(1) Include Retention Period and Authority Applicable. Indicate the retention period applicable to each records series on the transfer form; and, if the series is temporary, indicate the date it will be eligible for destruction. This may be included as part of the description. For example:

Subject or Description: 7300, General allotment ledgers reflecting the status of obligations and allotments under authorized appropriations. (FY 1962)

Retention period: 10 years after close of fiscal year. Destroy 1 July 1972.

Authority: Paragraph 7300(4) of SECNAVINST 5212.5B

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Or the SECNAV authority for the retention period may be included under "Disposal Authority," Block 14 of Standard Form 135:

"Paragraph 7300(4) of SECNAVINST 5212.5B."

If records are to be retained permanently or indefinitely, indicate this. For example:

Subject: 5520, Reports of Investigations pertaining to felonies. (Jan 1961-Dec 1963)

Retention period: Permanent

Authority: Paragraph 5520(1), SECNAVINST 5212.5B.

b. Pack Records for Shipment. Place records in file order in standard-size cardboard cartons (15x10x12 inches). These cartons may be obtained from the nearest Federal Records Center at no cost to naval activities. The standard cartons hold one cubic foot of letter or legal-size material. Pack letter-size material on the 12-inch side of the carton, legal-size on the 15-inch side. Ship odd-size records in the most practical container available. Be careful to place files in the containers so that their original file sequence is not disturbed. Avoid making shipments of less than one cubic foot, and avoid transferring small quantities. Wait until several boxes are ready for transfer. Activities sometimes may find it necessary, however, to transfer small quantities of classified material.

c. Mark Cartons. In addition to the addressee, clearly stencil or otherwise mark the name and address of the transferring activity and the sequential box number (box 1 of 10, etc.) on the narrow end of each container. Standard gummed labels (Container Label, Standard Form 398) are permissible, but crayon or stenciled labels are preferred. They are more readily visible and are easily prepared.

d. Maintain Local Record. Use the Center-acknowledged copy of the Records Transmittal and Receipt Form as a record of material transferred. This eliminates preparation of a separate inventory list and simplifies reference to the transferred records. Moreover, reference to the Center job number indicated on the Center-acknowledged copy of the transmittal form may facilitate reference service.

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e. Review Records Prior to Transfer. Records should be reviewed prior to transfer to eliminate (a) bulky duplicate and other non-record material, (b) temporary record categories or units on which retention periods have expired or will expire in the near future. (These should be retired to local storage until eligible for destruction.) This review is particularly important when large general files--and particularly "permanent" files--are being transferred. But the review should be limited to complete folders or subject classification breaks and not to individual papers.

A review also should be made prior to actual shipment of the records to ascertain that retention periods have been properly indicated on the transmittal document, and on folders or cartons if appropriate, i. e., when retention periods for portions of the file differ substantially from that of other portions.

Before classified records are shipped every effort should be made to declassify or downgrade them under the provisions of OPNAVINST 5500.40A, Subj: Downgrading and Declassification of Classified Defense Information. Those that cannot be declassified should be carefully inventoried and shipped in accordance with security regulations contained in OPNAVINST 5510.1B, Subj: Department of the Navy Security Manual for Classified Information .

8. Destruction of Records in the Custody of Federal Records Centers

Federal Records Centers automatically will destroy temporary records in their custody upon the expiration of their retention periods. If in special instances an exception to this general provision is necessary, activities should place a restriction on the document transmitting the records. State the retention period applicable to the records and the date they normally would become eligible for destruction, but state also that these provisions are not to be applied without specific prior approval of your activity. This restriction appropriately may be placed on records being transferred when:

• actions are pending or contemplated which may require the use of the records beyond the standard retention period;

• procedural changes or actions or events have made application of the standard

questionable or inadequate from the activity's viewpoint, and the activity has determined that the standard should not be applied until it has been reviewed and possibly revised;

- the records relate to incomplete investigations, claims, GAO exceptions, or to fraudulent, suspect, or other actions that are subject to possible investigation.

When the need for the records beyond the required retention period is occasioned after the records have been transferred, Centers should be informed immediately. They then will withhold the records from destruction until specific written approval for their destruction has been obtained.

9. Cutting Off Files

To cut off or break files, a file series is terminated on a given date or after a specified event or action. A new file series is then begun. Files should be cut off or broken periodically in order to facilitate disposal actions and reference to current records.

a. Establishing Cut-Off Periods. Specific cut-off periods should be established for each file series accumulated. Disposal then can be accomplished easily in uniform chronological blocks.

Correspondence files and most other general files, as well as numerical files or documents, should be broken annually at the end of the calendar year. Fiscal and accounting records should be broken annually at the end of the fiscal year.

Case files should be cut off when action has been completed or upon the occurrence of a particular event or action. For example, certain contract files are to be removed from the current file and placed in the completed file when all shipments under the contract have been made. Some personnel records are removed from the current file on the occurrence of a particular event, e.g., when an individual is separated.

If files are eligible for destruction when less than one year old, they should be cut off at shorter intervals. For example, cut off files eligible for destruction when six months old at the end of six months; those eligible for destruction when three months old at the end of three months. Continuity, use, and volume, as well as the retention period, are factors to be considered. But volume and retention period should be the

principal criteria. A good general rule to follow is to establish cut-off periods commensurate with the retention period.

b. Retiring Cut-Off Files. Cut-off or terminated files should be moved to lower file drawers or to other less convenient office space until reference has diminished sufficiently to permit their retirement. Regular retirement periods then should be established accordingly.

10. Retiring Records to Local Storage Areas

Most naval records are short-term temporary records, eligible for destruction in less than five years, and the bulk of these have retention periods of two years or less. These short-term records should be cut off at regular intervals, retired locally, and destroyed by the accumulating activity as soon as their retention periods have expired. It generally is not economical to transfer them to Federal Records Centers. (See paragraph 5 (a) above.)

a. Establishing Local Storage Areas. Some activities have found it advisable and economical to establish local records storage facilities for these records. Establishment of such local facilities are permissive under the following conditions:

(1) The records storage area is unattended; necessary references to the records are provided by the file unit or other organization retiring the records.

(2) Records are stored without the use of specialized center-type storage equipment. If specialized storage equipment is required, storage can be more economically provided by Federal Records Centers.

(3) Unused storage-type space is locally available, e.g., in basements, vacated warehouses, or other unoccupied space that is not suitable for normal office use. Usable office space should not be utilized.

b. Records Eligible for Local Retirement. The following records may be retired to local storage areas:

- short-term records—records eligible for destruction in less than five years;

- long-term records that must be retained close at hand until frequency of

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reference to the records will permit their transfer to a Federal Records Center.

Specific retirement periods for records eligible for local storage should be established, taking into consideration the volume, use, and frequency of reference to the records.

11. Marking Temporary Records Interfiled With Other Records

Records series should be disposed as a "block" wherever possible. Documents that must be maintained for substantially longer or shorter periods of time than other portions of the file should be physically separated and filed as individual records series.

But while physical separation of these records is preferable, some file series--such as general correspondence files--may contain material having different retention values. When the file volume is small and when the difference in retention periods is not substantial, the entire file may be retained as a "block" and disposed of upon expiration of the longest retention period applicable. But when the differences are substantial, each file category should be identified and marked appropriately for disposal as a separate records series. Moreover, any temporary records interfiled with permanent records should be identified and clearly marked.

a. Position Folders and Label Guides. Position folders and label guides and folders so that records that are temporary can be readily removed. For example, file permanent and long-term temporary records behind appropriately labeled first and second position guides and folders. File temporary material eligible for early destruction behind third position guides and folders.

Distinctive color labels also may be used to identify records having retention periods differing from other portions of the file.

12. Microfilming and Procedures for Disposal

Microfilming is used within the Department of the Navy for two basic purposes:

- to facilitate administrative or operating processes; and
- to replace original documentation when it has been determined that space and

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equipment savings or other benefits will outweigh microfilm costs.

a. Microfilming Versus Low-Cost Storage. To determine whether or not microfilming is economical, compute space and equipment savings on an annual basis for the period of time the records must be maintained. Microfilm costs should be computed at from \$7.00 to \$20.00 per thousand documents. Storage costs in low-cost center-type storage space average from seventy-five to eighty-five cents per square foot per year, and storage costs in field office space average \$1.85 to \$2.50 per square foot per year and in the Navy Department from \$2.50 to \$3.95 per square foot per year.

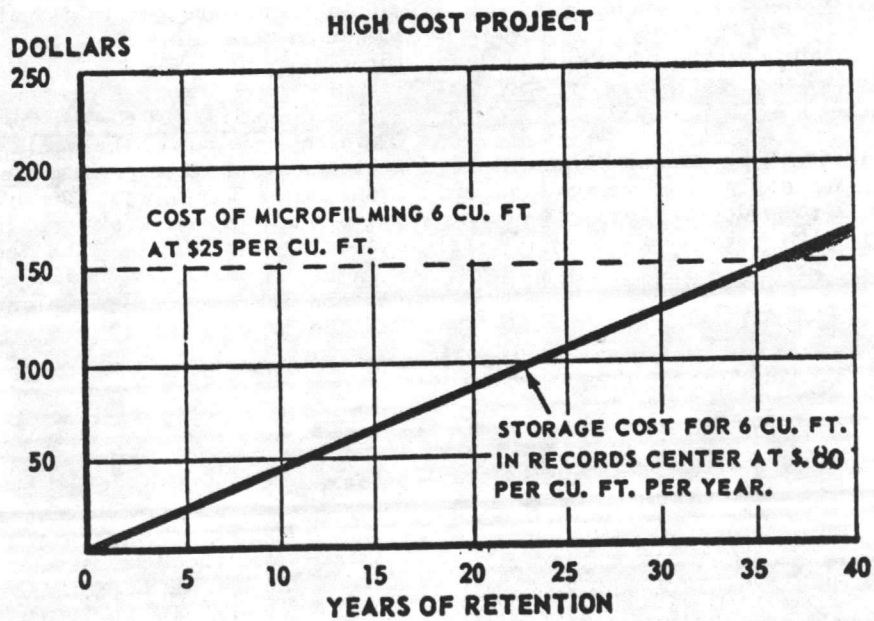
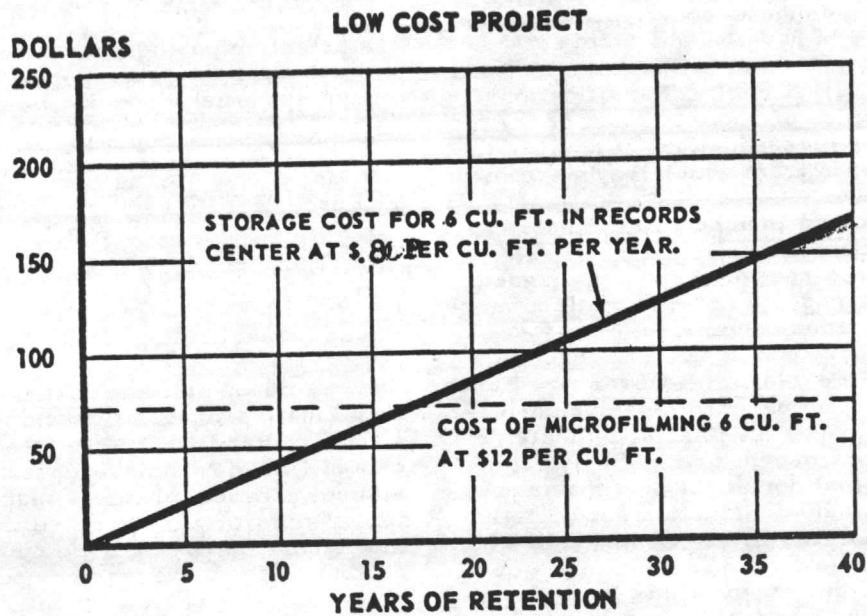
A general comparison of microfilming and Center storage indicates that records that are disposable within fifteen years or less usually can be stored for the entire period of their lifetime for less than the cost of the microfilming operations. Consequently, microfilming as a means of reducing records bulk is not always an economic solution. (See the Cost Comparison Table on page I-1-9.)

b. Disposing of Microfilmed Records. When permanent records are microfilmed and the original documents are to be replaced by the film, the original documents themselves may not be destroyed without Congressional authority. When this authority has been obtained, it is included in the standards contained in this Instruction. These standards will authorize the destruction of the original documents after microfilm copies have been prepared and determined to be adequate substitutes for the original documentation, or within a specified time after microfilming. Requests for new disposal authorities when microfilm is to replace "permanent" documentation should be submitted in accordance with paragraph 4 of chapter 2, Part I.

(1) When temporary records are microfilmed, the film copies are eligible for destruction when the retention period established and authorized for the original documents has expired. The temporary documents replaced by the film may be destroyed when filming is completed.

c. Nonrecord Microfilm Documentation. When records are microfilmed for the purpose of obtaining extra or security copies, the film copies are nonrecord in character.

COST COMPARISON - MICROFILM vs. STORAGE (Average Costs)



d. Characteristics of Microfilm Records.

(1) Acceptability as Evidence.
Microfilm copies of records made in accordance with required standards usually are acceptable as evidence in court, provided the original records have been destroyed.

(2) Security Classifications.
Microfilm copies of records must carry the same security classification, if any, as the original records from which they were made.

13. Magnetic and Punched Tape Records

Mechanized records, such as magnetic and punched tapes, sometimes replace more conventional paper documents.

a. When Permanent Records Are Taped.
When magnetic or punched tape documentation replaces paper or other documents designated for permanent or indefinite retention, the original documentation may not be destroyed until its destruction specifically has been authorized by the Congress. When legal authority for their destruction is obtained, it will be issued in this Instruction and will provide for destruction of the original documents:

(1) after the tapes have been prepared and verified, or

(2) within a specified period of time after tapes have been prepared and verified.

Requests to destroy "permanent" documentation to be replaced by taped records should be submitted as provided paragraph 4 of chapter 2, Part I.

b. When Temporary Records Are Taped. Temporary retention standards are applicable to records accumulated for the same or a similar purpose regardless of the physical format of the record. Consequently, when temporary data are accumulated in tape format, the tapes shall be retained for the retention period prescribed in this Instruction for other temporary records serving an essentially similar purpose.

c. When Records Are Used As Working Media For Taping Data. When records are used merely as working media or aids for immediately transmitting (recording) data information to tape, they generally are disposable as "nonrecord" material as soon as the data have been converted to tape and the tapes verified.

(1) Verifying EDPM Tapes. Electronic data processing machine tapes (EDPM) should be verified in accordance with accepted EDPM techniques. In some instances, these techniques may require retention of the working data or aids until the tape has been updated—or in some cases until the second or third successive updating of the tape. EDPM procedures will determine which.

d. Extra or Security Copies of Tapes. Extra or security copies of tapes are disposable as nonrecord material as soon as it has been determined that they have served their purpose.

e. Disposal of Classified Tape Records. Tape records carry the same security classification, if any, as the original or related paper documents; therefore security regulations must be followed in stowing and disposing of classified tape records.

CHAPTER 2

APPLYING RECORDS RETENTION STANDARDS

1. Records Retention Standards

Records retention standards prescribed for naval records are contained in Parts II and III of this Instruction. The authorities they contain are applicable to the records they describe accumulated by Navy and Marine Corps activities ashore and afloat throughout the Naval Establishment, except that Part III is applicable and distributed only to individual USN and USNS ships. Limitations on the use of individual standards are indicated in the descriptions of the records.

The records retention standards are the basis for the establishment of activities' records disposal programs. They prescribe how long records are to be kept, whether temporarily or permanently, and provide authority for:

- The preservation of records appraised by the Secretary as being indefinitely or permanently valuable. Retention periods for these records are expressed in Parts II and III as "indefinite" or "permanent." (Permanent records should be identified and earmarked by activities for preservation and eventual transfer to a Federal Records Center or to the National Archives.)

- The periodic destruction of temporarily valuable records. Retention periods for these records are expressed either in terms of time or the occurrence of a particular event or action. (Temporary records are to be held for the prescribed retention period and then destroyed.)

Unless records are covered by the authorities contained in the retention standards issued by this Instruction, they may not be destroyed.

a. Appraising Records to Determine Retention Standards. In appraising records to determine their retention standards, it is first determined which records have research, legal, historical, or scientific values that are worthy of preservation. The remaining records then are temporary records. These are appraised to determine how long they will be needed in the conduct of the Department of the Navy's business before they can be destroyed.

Naval records appraised as "permanent" are few in volume. But these are vital records. They are necessary to protect Navy's interests and ensure proper documentation of its significant experiences.

While there are some exceptions, most "permanent" records, and particularly primary program correspondence files appraised as having permanent values, are at the departmental or field command level, e.g., departmental bureaus and offices, Operating Force (Flag) commands, district commandants, systems commands and other major field commands, and research activities. This is logical since these activities normally are the ones that formulate and prescribe policies and procedures to be carried out by other organizations. But included among records designated for permanent retention are the general correspondence (primary program) files of unique-type activities that may be valuable for historical or research purposes, and the general correspondence files of one of several similar activities (retained as a sample of the type of operations performed by it and other similar activities). Permanent files are so designated in this Instruction under the subject heading pertaining to the activity or organization's primary function or mission.

(1) Local Historical Records. Records very briefly summarizing the history of an activity sometimes may have continuing value to the local activity regardless of the fact that they do not have permanent values to the Department of the Navy as a whole. Regardless of whether or not an activity's program file is designated specifically as permanent in Parts II and III of this Instruction, these few historical documents may be retained by the individual activity provided the commanding officer determines they have local historical values worthy of further preservation.

b. Establishing Retention Standards. Standards are developed by the Navy Management Office based on recommendations of bureaus and offices or on general Government-wide standards pertinent to naval records; or they are initiated by the Navy Management Office who then obtains the comments and/or concurrences of

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bureaus and offices and other agencies concerned. In all cases the recommendations are coordinated with management and technical bureaus and offices and with others interested or concerned with the records. The concurrences of other Government agencies are obtained where appropriate or required. The General Accounting Office, for example, has concurred in our standards for disposing of disbursing and accounting records.

Proposed retention standards are forwarded for final action via the Archivist of the United States to the Congress. Congress declares its action in the form of a House Report. The authorized retention standards are then issued by the Secretary of the Navy in Part II of this Instruction.

c. How Standards Are Coded. Records retention standards are classified and arranged according to the Navy-Marine Corps Standard Subject Classification System. (See SECNAVINST P5210.11.) They are divided into thirteen chapters and arranged under the same thirteen major subject headings provided by the Standard Subject Classification System. Each chapter is further broken down within the thirteen major classification series; primary and secondary breakdowns are used as needed. In only rare instances are tertiary breakdowns used.

The appropriate retention authority for records, therefore, normally will be found under the same subject classification number used for filing documents and for numbering reports and sometimes forms. This interlinking of file maintenance and disposal codes makes it easier to locate and apply the applicable retention standards properly.

All disposal authorities for military personnel records, for example, are coded under the 1000-1999 series of the Standard Subject Classification System. These disposal authorities are found under the 1000-1999 series in Chapter 1, Part II of this Instruction. All authorities for logistical records are found under the 4000 series and in Chapter 4, Part II of this Instruction.

For a more specific example: Naval air activities prepare monthly reports and other aircraft accounting records pertaining to the status of aircraft. OPNAV Instruction 5442 is the directive that requires preparation of these records, among which

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are Status of Aircraft Reports (Report Symbol OPNAV 5442), aircraft record cards (such as OPNAV Form 5442-9), and aircraft flight work sheets (such as OPNAV Form 5442-10). The standard subject classification number for "aircraft status records" is 5442. Disposal authority for "aircraft status records" is found in paragraph 5442, Chapter 5, Part II of this Instruction.

d. How Records Are Described. The records to which retention and disposal instructions are to be applied are described in most instances in broad, general terms. This general grouping of records allows for minor differences in terminology or the local character of the records. It also makes the instructions more adaptable by each activity to its individual records series.

e. How Standards Are Used. Since many retention standards are broad, local file series will not always match exactly the general standards. Hence, records need not always be identical to those described in the general standards for their authority to apply. But they must be:

- similar in nature;
- document the same or essentially the same function; or
- perform the same or a similar purpose.

Moreover, the authority contained in the standards should not be exceeded. It should not be "stretched" to provide authority for other "significant" records when careful analysis would indicate that it was never intended that other "significant" documents be covered by the authority.

While, as already indicated, most standards for naval records are broad, some are narrower in scope and more specific. Activities should be careful, therefore, not to apply the broader standards to several individual records when separate and more specific standards actually are prescribed. It is permissible, however, to apply two or more standards to a single records series, provided (a) the standards are the same, or (b) the records are held until the expiration of the longest retention standard applicable to the records in the series.

If a file series is comprised of several significant types of documents and the standard provides authority for only two or three of the significant documents, the standard cannot be used as the disposal authority for the file as a whole. Its authority would be exceeded. On the other hand, the authority may be applied to pertinent file units or segments of the series if the units to which it is applicable can readily be identified and marked.

Supporting documents and other closely related papers generally may be disposed of on the basis of disposal authority selected for the basic documents. Sometimes, however, more specific authorities are provided for supporting papers having lesser values.

2. Deviations from Retention Standards

Records are to be destroyed in accordance with the standards contained in this Instruction. If unforeseen circumstances make it necessary to retain records substantially longer than prescribed, advise the Chief, Navy Management Office via official channels to that effect, giving the reasons and asking for an extension of the retention period. If it appears the extension should be a general one, recommend a change in retention standards. Requests should not be submitted unless the records are to be held substantially beyond the standard retention requirement, i. e., for more than one year. Disposal of records before the retention period has expired is unlawful.

3. Exceptions to Standards

a. When Litigation, Investigations, and Exceptions Are Pending. Regardless of the retention standards established by this Instruction, records pertaining to unsettled claims for or against the Government or to other current or pending litigation, to incomplete investigations, or to exceptions taken by the General Accounting Office or internal auditors shall be retained and not destroyed until the litigation is settled, the investigation is completed, or the exception is cleared. However, the entire record series need not be withheld from destruction. Remove promptly those records directly pertinent to the litigation, investigation, or exception from the file series and hold them until all actions are completed. The remainder of the file then may be disposed of on schedule as soon as its retention period expires.

4. Establishing New or Revised Standards

All groups of naval records should be covered by the retention standards in this Instruction. If in applying these standards a category of records is found for which a retention standard is not provided, or if a change to a present standard becomes desirable, a recommendation for a new or revised retention standard should be prepared and submitted to the Chief, Navy Management Office, via official channels for their recommendations or concurrence.

Recommendations will be reviewed and coordinated. If new legal authority is required, requests for Congressional authority will be so written that they cover similar records wherever located—unless the records are unique to the submitting activity.

Recommendations should not be submitted for nonrecord material; this material is disposable at the discretion of the commanding officer or other appropriate official after its nonrecord status has been determined. (See Appendix G, para. 20, for definition of nonrecord material.) As a rule, recommendations for slight reductions in retention standards, such as from one year to six months, should not be made. Benefits generally do not justify the paperwork. Instead, cut off files earlier and take disposal action more frequently. Retention periods of less than one year should be recommended only for bulky, rapidly accumulating file series, such as EDPM cards. When recommendations for retention periods of less than a year are made they should be fully justified by data concerning the volume of the file and its rate of growth; they also should give assurance that the short period is realistic and actually will be applied.

a. How to submit Recommendations Regarding Standards. Recommendations for new or revised standards should contain the following information:

(1) the name of the activity and/or types of activities or other organizational units accumulating the records.

(2) a brief description of the records series. This should include information regarding the use and purpose for which the records are accumulated, a reference to (or a copy of) any requiring instructions, and an indication of the character of the

records i. e., reports, correspondence, charts, magnetic tapes, punched cards, etc.

(3) a retention period—how long the records should be kept and how they should be disposed of at the expiration of that time.

(4) a standard transfer period, when the proposed retention period is for five or more years or for permanent retention. For Example:

Retention period: permanent.
(Transfer in annual blocks to nearest Federal Records Center when 5 years old.)

(When the retention period proposed is for less than five years, do not recommend a standard transfer period. Local activities should provide for periodic file breaks and retirement to local storage areas.)

(5) justification for proposed retention period. This is particularly important when recommendation is for permanent retention or when it may appear from the description that records recommended for early destruction may have continuing or permanent administrative, legal, research or historical values. Local administrative needs for the records as well as known requirements of others should be indicated. Indicate the use made of the records (by whom and how often), if pertinent.

(6) known duplication, including the location of other known copies of the records and the existence of related records or information and their use.

(7) inclusion of a representative sample when establishment of a new retention period for temporary records is recommended. Any samples of forms submitted must be completed (filled-in) forms.

(8) if the records are nonrecurring, that is, if file is discontinued, the volume of the records and the inclusive period of time (dates) covered should be indicated.

5. Responsibility for Applying Standards

Each activity throughout the Department of the Navy shall be responsible for programming its records for orderly retention and disposal in accordance with the

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standards and procedures prescribed in this Instruction. Effective programming requires:

a. Designation of specific or general authority for administering and applying records disposal instructions within the activity. An overall centralized control of each activity's disposal program generally is desirable even though file maintenance may be decentralized. In a large activity, however, responsibility may be delegated to appropriate organizational segments of the activity provided someone within that organizational unit is made responsible for file maintenance and disposal.

b. The determination of the disposal instructions to be applied to each records series the activity accumulates, based on the standards contained in Parts II and III of this Instruction and on a local records inventory. Cut-off, retirement, and—for long-term records—transfer periods for each records series, as well as retention periods, should be determined.

c. Local issuance of disposal control instructions, as defined in paragraph 5 of Appendix G, by posting pertinent disposal instructions on file folders, drawers, or cabinets, as appropriate. (See paragraph 6, Step 5.) Publication of local "schedules" or records listings is not required or necessary.

d. An annual inspection and review of local disposal control instructions and of the activity's records to insure that:

- all records accumulated are covered by retention standards;

- records have been related to the proper standard; and

- instructions are current, adequate, and clearly understood and are being applied regularly and effectively.

e. Establishment of a centralized disposal control card or list, when needed. (See paragraph 6, Step 8.)

6. Applying Standards Initially

The following steps are recommended for initially establishing disposal programs or initially applying this Instruction:

Step 1. Inventory all records series accumulated by each organizational unit to be covered. Prepare a concise but identifying description of each series. Determine file arrangement, use, volume, and location when pertinent. Obtain any other information needed to match each records series with the appropriate retention standard in this Instruction.

Step 2. Analyze inventory data and appraise each records series to determine:

- the proper retention standard applicable to each;
- material that may be categorized as nonrecord and designated by the commanding officer for destruction when its purpose has been served, regardless of whether or not it is specifically covered by a general standard;
- any records that are not covered by the retention standards.

Use the index to this Instruction for this matching process, but also consider carefully the purpose and function of each records series and the scope of the authority contained in the standard. Give special attention to general subject files. Since these files consist of a variety of material filed under many subjects, they generally consist of more than one records series. Each subject classification code in the general files should be reviewed, therefore, to determine any segments (subject codes) that may comprise distinct records series. Housekeeping and administrative operations records, for example, always should be identified, retired, and destroyed as separate series; they should not be treated the same as more important policy and program files.

Step 3. Establish specific cut-off and retirement periods for each records series. Establish transfer periods for long-term or permanent records to be transferred to Federal Records Centers or to the National Archives.

Step 4. Obtain any necessary local approvals for application of selected standards. (Departmental approval is not required.)

Step 5. Prepare local disposal control instructions for each records series (based

on information gathered in previous steps) and post them on file cabinets, drawers, file guides, or folders, as appropriate. (The size of the records series will determine which is appropriate.) Include the following information in abbreviated form:

- subject title, and file classification number when used;
- specific cut-off, retirement, and transfer periods or dates;
- retention period (or disposal date); and
- paragraph reference in this Instruction containing authority for retention period being applied.

Accomplishment of this step notifies files personnel and others directly concerned of disposal actions to be applied to each records series. It eliminates the need for preparation and issuance of local records disposal schedules or instructions containing detailed disposal information for individual records series. (See Appendix E for sample labels.)

Step 6. Take disposal action. Take action immediately to apply the provisions of your local disposal instructions to eligible records:

- Destroy immediately records on which retention periods have expired. When quantities to be destroyed are large, special procedures should be followed. Consult the local representative of the General Services Administration if volume to be destroyed is sufficient to justify sale as waste paper.
- Retire inactive cut-off records to be destroyed locally to local storage area. Include short-term temporary records and longer-term records eligible for destruction in the near future.
- Transfer long-term records not eligible for destruction in the near future to appropriate Federal Records Center.

Step 7. Appraise any records that are not covered by authorized disposal instructions; develop a recommended retention period and submit the recommendation through proper channels to the Chief, Navy Management Office. Obtain necessary local advice and concurrences prior to submission.

Procedures for submitting proposed changes or additions to retention standards are contained in paragraph 4.

Step 8. Establish centralized control.

The maintenance of a centralized disposal control record by the organizational unit assigned records disposal responsibility is recommended-- particularly if the activity is large. A small organizational unit may not require it; disposal control labels and periodic inspections may provide adequate control. Card records or brief listings may be used for this control purpose. Control cards or listing should contain the following information in brief:

- inventory data collected (description or title of records series, location, and--when needed--other identifying data);
- instructions to be applied;
- a reference to the authority in this Instruction for retention standard selected;

• file volume stated in cubic feet. This is optional, but if obtained this figure may be used as a disposal check. (Note any changes in the volume figure annually after scheduled disposal action has been taken. If volume has increased, chances are disposal has not been properly carried out. In any event, the increase should be investigated.)

Prepare a control card for a new file series as soon as the series is established, or add the series to your control listing.

Step 9. Schedule Disposal Actions.

Once your local records disposal program has been established, plan for future disposal actions to be taken on a regular, periodic basis--preferably annually at the end of the calendar year. At this time, and within a given period, all eligible files

should be destroyed, retired, or transferred. For while technically records become eligible for destruction every day, it is not practical to destroy, or even transfer, records too frequently or in too small quantities.

Fiscal files, for example, are maintained on a fiscal year basis; they are eligible for disposal at the end of the fiscal rather than the calendar year. They may, however, be held for an extra six months and disposed of with other eligible records at the end of the calendar year.

Step 10. Keep local instructions current. Determine retention periods for new files as soon as they are established. Revise file labels and other local disposal control instructions promptly as changes occur so that instructions being applied will be current at all times.

Step 11. Make annual inspections. Periodically inspect files and review disposal procedures (at least once annually). Take other follow-up action as necessary.

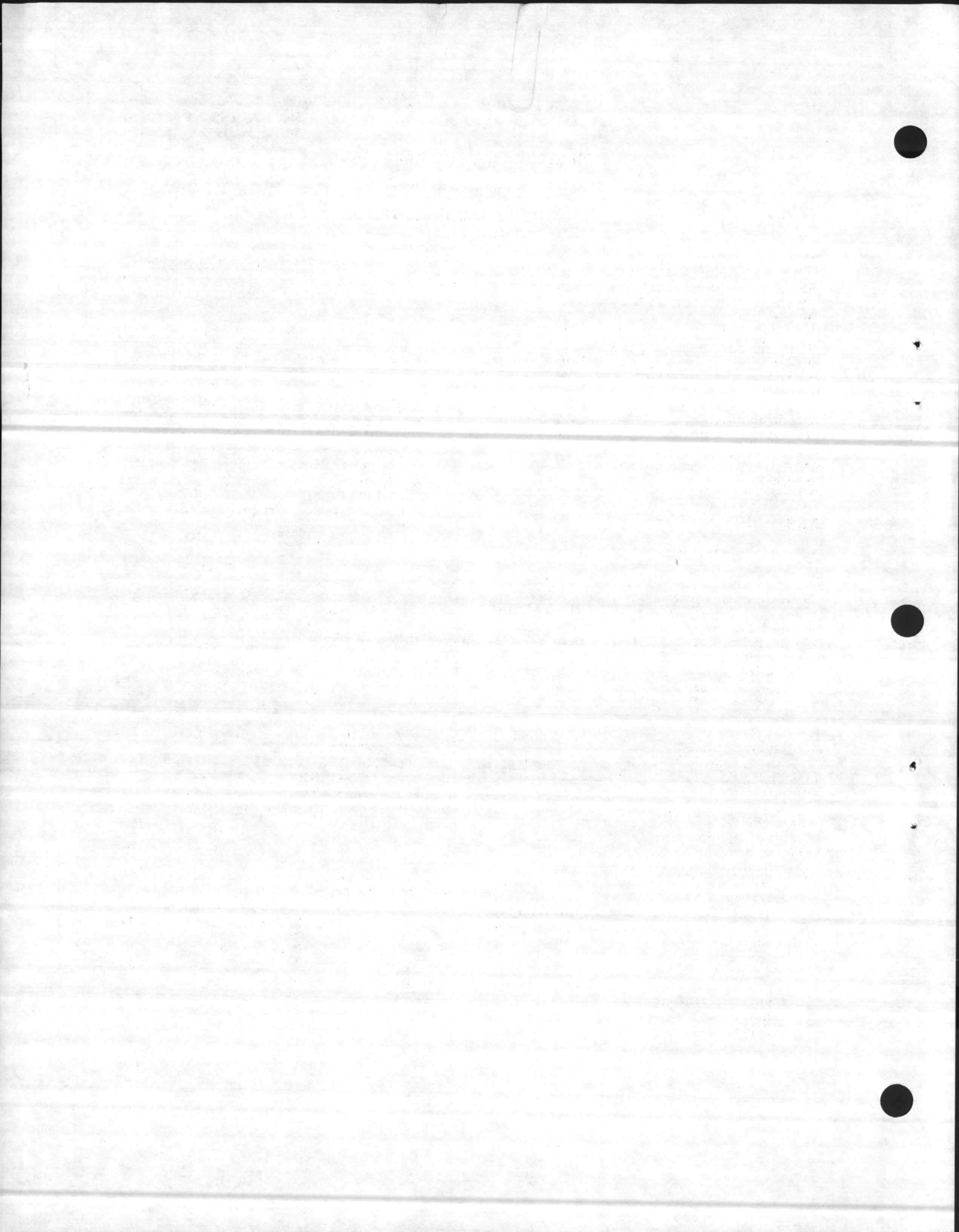
Step 12. Keep Statistics on Volume of Records Held. Maintenance of statistics on volume (cubic feet) of records held in both office space and local storage areas serves two purposes. It serves as a check on the effectiveness of your local records disposal program; and it facilitates preparation of statistics for your volume of records report to the Navy Management Office which all activities must submit biennially.

Whenever an increase in the volume of a records series on board is shown, the reason for the increase should be determined immediately. If the increase is due to non-compliance with disposal instructions, remedial action should be taken.

PART II

RETENTION STANDARDS FOR NAVAL RECORDS

**(other than records aboard USN and USNS
vessels covered in Part III)**



PART II
RETENTION STANDARDS FOR NAVAL RECORDS

Chapter 1
Military Personnel Records
1000-1999

The records described in this chapter pertain to the supervision and administration of military personnel and military personnel affairs, including the recruiting, classification, assignment, promotion, training, performance and discipline of personnel; chaplains' activities; retirement and separation activities; and morale and personal affairs functions.

Retention periods prescribed in this chapter are applicable to military personnel records of Navy and Marine Corps activities and offices throughout the Department of the Navy.

1000 MILITARY PERSONNEL RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS:

(a) Departmental general correspondence files of the Bureau of Naval Personnel and Headquarters Marine Corps documenting plans, policies, programs, and procedures relating to military personnel matters.

Retention period: permanent. (Transfer periodically to Federal Records Center, Alexandria, Va.)

(b) Records of naval districts and river commands and Chief of Naval Air Training: that portion of the Commandant or Chief's files that relate to the over-all administration and significant accomplishments of military personnel programs within the district or command, including planning, disciplinary, and educational and training programs.

Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old.) Program files of the Military Personnel Division that are duplicated or essentially summarized in the Commandant's permanent files are to be retained for 3 years; records relating to the routine internal operation of military personnel matters are to be retained for 2 years, as provided in para. 1000(2) below.

* (c) Marine Corps Field Activities: that portion of the files that relates to significant accomplishments of military personnel programs.

Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa. when 4 years old, except Marine Corps Schools, Quantico, Va. and FMFLANT will transfer to Federal Records Center, Alexandria, Va.)

(2) **GENERAL CORRESPONDENCE FILES** of activities and offices concerned with military personnel (regular and reserve) matters and relating to the internal operation and administration of military personnel functions. (Exclude records covered in para. 1000(1) above.)

Retention period: 2 years.

(3) **CORRESPONDENCE WITH INDIVIDUALS, WITH INTERESTED THIRD PARTIES, WITH PRIVATE ASSOCIATIONS, OR WITH OTHER ACTIVITIES OR AGENCIES** concerning military personnel matters (other than correspondence to be filed in individual's personnel jacket or folder or in official case files). These records generally are filed alphabetically by name of individual concerned or by requestor, but also may be filed by subject.

Retention period: 2 years.

(4) **NAVY DEPARTMENT MILITARY PERSONNEL BOARDS AND COUNCILS RECORDS.** Subparagraphs (a) and (b) below apply to all Navy Department Military Personnel Boards and Councils:

(a) General correspondence files: precepts; administrative regulations, procedures and standards; reports; minutes of meetings, docket books; organizational papers; and other records pertaining to program development and policies of the boards and councils; related correspondence. (Exclude records to be filed in individual case jackets and administrative records covered in para. 1000(2) above.)

Retention period: permanent. (Transfer periodically to Federal Records Center, Alexandria, Va.)

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(b) Correspondence (and related papers) with individuals and interested third parties, and activities and organizations concerning matters under the board's or council's jurisdiction; cases in process or being considered; or requests for information relating to the general policies and procedures of the board or council. Include correspondence, forms, or other papers used for transmitting petitions and cases to other boards, councils, departmental bureaus and offices, or other agencies having proper jurisdiction.

Retention period: 2 years.

(c) Board for Correction of Naval Records Case Files: all papers relating to each individual case, including Applications for Correction of Naval Records, Notices of Waiver (letter form), Instruction Sheets, copies of the board's briefs and recommendations, transcripts of proceedings, certified copies of vouchers in payment of claims, and correspondence with petitioners, naval activities, veterans organizations, congressmen, and others relating to disposition of case.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 3 years old, provided case is closed.)

(d) Board of Review, Discharges and Dismissals records: Board's official case files comprising all papers relating to each individual case, including Reviews of Discharges; Applications for Review of Discharge or Separation from the Armed Services; copies of discharge certificates; correspondence with naval activities, petitioners, veterans organizations, congressmen, and other interested parties; and other records relating to the progress and disposition of the case.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. after case is closed, except that docket cards summarizing board action and history of each request for review of discharge will be retained on board.)

(e) Naval Clemency Board records:

1. Board's official case files comprising briefs of relevant disciplinary, medical and sociological histories (both military and civilian) of appellant seeking clemency, proceedings and decisions of the

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Board, copies of medical and psychological evaluation reports and civilian background reports, correspondence with naval activities, congressmen, and others concerning the case, and other related documents.

Retention period: permanent. (Transfer to Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis 32, Mo. one year after discharge of individual from the naval service for incorporation with Service Record.)

2. En bloc recommendations made by the Board and approved by the Secretary of the Navy (official original copy only).

Retention period: permanent.

3. Card index or summary records of clemency cases processed by the Board.

Retention period: permanent.

4. Courts-martial orders, Board of Review decisions, and Judge Advocate General promulgations pertaining to suspended punitive discharges.

Retention period: 9 months, provided record copies are filed in official clemency case files.

(f) Naval Medical Survey Review Board records:

1. Individual Case Files: petitions of applicants; certifications of cases by the Chief of Naval Personnel or the Commandant of the Marine Corps; affidavits and statements by petitioners or private physicians, hospitals, or other interested parties; copies of naval and Veterans Administration medical records; briefs of petitioners medical and military service records; copies of records of proceedings; correspondence pertaining to the scheduling of hearings, procurement and return of records, and to the forwarding of the original records of proceedings; and other related papers.

Retention period: Board's files—4 years, provided all official and original documents have been forwarded to the Office of the Judge Advocate General; JAG's files are permanent.

2. Card summary or index records of actions taken and of the disposition of each case considered by the board.

Retention period: permanent. (Retain on board.)

(g) Physical Disability Appeal Board records:

1. Physical Disability Appeal Case Files: copies of Board proceedings and reports; work sheets containing synopses of Physical Evaluation Board and Physical Review Council proceedings; correspondence with appellant and council, or with Veterans Administration or naval activities regarding medical and service records, and other pertinent data.

Retention period: Board's case files—4 years, provided official records of proceedings have been forwarded to the Judge Advocate General; JAG's files—permanent.

2. Card summary and progress control records of action taken and of the disposition of each physical disability appeal case.

Retention period: 4 years.

(h) Naval Examining Board records: correspondence and other records accumulated by naval examining boards relating to recommendations or actions regarding officer promotions, suspensions of promotions, re-examinations, submission of additional information, redetermination of qualifications for promotion of candidates who have failed in one or more subjects before a Supervisory Examining Board or whose records show matter adverse to promotion qualifications, and other similar matters.

Retention period: 4 years.

(i) Physical Review Council records:

1. Council's Individual Case Files: copies of Physical Review proceedings, Physical Review Data Sheets, Council's recommendations to the Secretary of the Navy, replies to rebuttals, correspondence with various naval activities, boards, and the Veterans Administration regarding supplementary information to be used in evaluating the findings of physical evaluation boards, and other related papers. (Official file is to be retained permanently by the Office of the Judge Advocate General.)

Retention period: Council's case files—2 years, except if cases relate to personnel placed on temporary

retirement list, retain for 2 years after individual is discharged or taken off temporary retirement list; official case files maintained by the Judge Advocate General's office—permanent. (Transfer to Federal Records Center, Alexandria, Va. when file becomes inactive.)

(j) Board of Decorations and Medals records. See para. 1650.

1001 RESERVE PROGRAM RECORDS

(1) GENERAL CORRESPONDENCE FILES RELATING TO NAVAL RESERVE PERSONNEL MATTERS. See paras. 1000(1) and (2) above.

(2) PAY AND NON-PAY NAVAL RESERVE ORGANIZATION FILES: correspondence, reports, and related papers regarding the local administration and operation of the unit. Include organizations correspondence with commandants of naval districts and river commands, copies of commandants correspondence with departmental bureaus and offices, intra-organizational memoranda; personnel allowances; brigade schedules; and other similar material.

Retention period: 2 years.

(3) CORRESPONDENCE WITH INDIVIDUALS regarding general information relative to the naval reserve.

Retention period: 1 year.

(4) QUARTERLY NAVAL RESERVE DRILL REPORTS (such as NAVPERS-1259) prepared by drilling units for both officers and enlisted personnel in pay and non-pay status, and submitted to commandants of naval districts and river commands, to the Chief of Naval Air Reserve Training, and to designated naval air stations or naval air reserve training units, and in the case of officer reports, to Reserve Officers Recording Activity (RORA):

(a) Original officer reports.
Retention period: until microfilmed and film is checked for legibility.

(b) Microfilm copies of original officer reports submitted to RORA.
Retention period: permanent.

(c) Original reports of enlisted personnel submitted to commandants, naval

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districts and river commands, to the Chief of Naval Air Reserve Training, or to designated naval air station/naval reserve training units.

Retention period: permanent. Cut off at end of each fiscal year; hold on board for 2 more years, then transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis 32, Mo.

(d) Copies of officer reports maintained by Commandants, naval districts and river commands, the Chief of Naval Air Reserve Training, or designated naval air stations/naval air reserve training units.

Retention period: 2 years.

(e) Copies of reports for officer and enlisted personnel maintained by originating units.

Retention period: 1 year.

(f) Copies of reports remaining after making distribution required by worksheets.

Retention period: until required distribution is completed.

(g) Work sheets used as rough attendance records.

Retention period: until information is transferred to smooth quarterly Drill Reports and reports are checked for accuracy.

(h) Certified copies of quarterly naval reserve drill reports forwarded to the disbursing officer handling the pay accounts (for reports listing individuals entitled to pay for duties performed). See para. 7250(9).

(5) NAVAL RESERVE DATA CARDS (such as NAVPERS-3097).

Retention period: permanent.

(6) NAVAL RESERVE OFFICER AND ENLISTED STRENGTH REPORTS. See para. 1080(8).

(7) NAVAL RESERVE TRAINING RECORDS. See para. 1500.

1010 INSPECTION RECORDS

(1) INSPECTION REPORTS and related correspondence and documents

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concerning routine military personnel inspections.

Retention period: 2 years.

(2) DORMITORY OR BARRACKS INSPECTION AND MAINTENANCE REPORTS; related records.

Retention period: 6 months.

(3) INSPECTION REPORTS OF NAVAL AIR TRAINING COMMAND ACTIVITIES AND OF NAVAL RESERVE ORGANIZATIONS.

(a) Master file of reports forwarded to and maintained by CNATRA and NAVRESTRACOMD: one copy of each report received.

Retention period: indefinite. (Transfer CNATRA reports file to Federal Records Center, East Point, Ga., when 4 years old.)

(b) All other copies.

Retention period: 2 years.

(4) OTHER INSPECTION AND SURVEY RECORDS, including those relating to administrative inspections and to on-site surveys. See para. 5040.

1050 LEAVE AND LIBERTY RECORDS

(1) ORIGINAL LEAVE AUTHORIZATIONS (temporarily filed in official Service Record or Personnel Jacket).

Retention period: until Leave Record entries have been verified against original leave authorizations (at end of fiscal year or upon separation action).

(2) REPORTS OF DESERTION (such as NAVPERS-2328), exclusive of copies used for other functional purposes.

Retention period: 6 months, or until man is apprehended, whichever is earlier.

(3) MARINE CORPS REPORTS OF DRILLS AND ATTENDANCE.

Retention period: 3 years.

1070 MILITARY PERSONNEL RECORDS

These are records relating to individual military personnel or to the local administration of military personnel. They generally are maintained by the commanding officer or by the military personnel office of the activity.

(1) **OFFICERS SERVICE JACKET:** Navy Officer's Miscellaneous Correspondence and Orders Jacket (such as NAVPERS-700), Officer's Selection Board Jacket (such as NAVPERS-701), and Officer's Fitness Reports Jacket (such as NAVPERS-996), maintained by the Bureau of Naval Personnel; and official Officer's Jackets maintained by Headquarters Marine Corps.

Retention period: permanent.
(Transfer Navy Jackets to Federal Records Center, Alexandria, Va. 6 months after officer is separated from the Service; transfer Marine Corps Jackets to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. 4 months after officer is separated.)

(2) **OFFICER'S SERVICE QUALIFICATION RECORD.** This Record accompanies an officer while he is on active duty status.

(a) Navy Officer's Record (such as NAVPERS-3021):

1. When a Navy officer is discharged, dismissed, resigns his commission, or reverts to enlisted status: Bring Record up to date and deliver to officer. But prior to delivery, review the Record and remove and destroy letters of reference obtained when officer first applied for commission, investigation material, and similar pre-commissioning material. Remove and forward closed-out Leave Record for active-duty personnel to the Chief of Naval Personnel for filing in Officer's Service Jacket. If the Service Record of an officer on inactive duty is undeliverable for any reason, request disposal instructions from the Chief of Naval Personnel, giving full particulars and addresses at which delivery was attempted.

2. When a Navy officer dies or is declared missing, forward Record to the Chief of Naval Personnel. Mark outside cover of Navy Officer's Record (boldly) "Deceased" or "Missing", as appropriate.

* (b) Marine Corps Officer's Record. Handle as provided in MARCORPS Instructions.

(3) **ENLISTED PERSONNEL SERVICE JACKET** (official Service Jacket) (such as NAVPERS-807) maintained by the Bureau of Naval Personnel and Headquarters Marine Corps.

Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. 6 months after individual is separated from the Service, except transfer MARCORPS Jackets 4 months after separation.)

(4) **ENLISTED PERSONNEL SERVICE RECORD.** This Record accompanies the individual while he is on active-duty status.

(a) Enlisted Navy Personnel Service Record (such as NAVPERS-601). Forward the Record to the commandant of the naval district or river command in which he will reside when a reserve or retired individual is released to inactive duty.

1. Temporary material filed on the left-hand side of the Service Record. (This material is useful to a command while a member is on active duty, but is not essential to the member's permanent Service Jacket which is maintained by the Bureau of Naval Personnel.) Includes such papers as Standard Transfer Orders; Extra copies of Correspondence; Obsolete Reports of Examination for Advancement in Rating which have been retained after the member has been advanced to higher rate; Unofficial forms and reports devised by individual commands for temporary use; Copies of sundry BUSANDA vouchers and NAVCOMPT forms relating to military pay, travel and allowances, such as Military Pay Record Orders, Sund Expense Accounts Sheets, etc. Classification Reports; and Leave or Liberty requests.

Retention period: until an individual on active duty dies, retires, or is discharged or transferred to the Fleet Reserve, or until jacket is cancelled then remove and destroy.

2. Documents of a personal nature, such as certificates (birth, marriage, discharge, training course), originals of citations and commendations, etc. Retain until separation of individual, then deliver to individual concerned.

3. Remaining material filed on the right-hand side of the Service Record. Forward Navy closed-out Service Record to the Chief of Naval Personnel in accordance with BUPERS Manual, paras. B-2313-14, except that when Navy enlisted personnel are discharged and immediately reenlisted, certain documents are to be transferred to the new Service Record in accordance with BUPERS Manual, paras. B-2313-14.

* (b) Enlisted Marine Corps Personnel Service Record (such as NAVMC-118(a)(PD)). Handle in accordance with MARCORPS Instruction.

(5) TEMPORARY (LOCAL) PERSONNEL FILES:

(a) Temporary command files: individual (alphabetical by name) files established in accordance with BUPERS Manual, Article H-2204(9), by commanding Officers of Selected Reserve Units and the Chief of Naval Air Reserve Training for officers assigned to them and used in their administration.

Retention period: until officer is transferred to another unit, ordered to active duty, or detached from the unit or the cognizance of the Chief of Naval Air Reserve Training.

(b) Other personnel files (alphabetical by name) established locally for officer and enlisted personnel on board, including MARCORPS activities individual case files. Consist of extra copies of individual personnel documents, local working or processing papers, and similar papers. Used for local operating purposes or convenience of reference only. (See para. 1620(12) for special MARCORPS disciplinary case files.)

Retention period: until personnel are transferred or separated, or until no longer needed.

(c) Special Requests from Military Personnel for such things as special liberty, leave, permission to go beyond certain limits, and special pay.

Retention period: 3 months or when purpose is served.

(6) DUTY OFFICER, PROVOST MARSHALL, AND STATION CHIEF MASTER-AT-ARMS RECORDS. See 5500 series.

(7) RECEIPTS FOR SERVICE RECORDS, HEALTH RECORDS, and other similar records. (See also para. 7220(5).)

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Disposal of Navy and Marine Corps Records

Retention period: 6 months, except 1 year for MARCORPS activities

(8) COVERING LETTERS OR OTHER TRANSMITTAL RECORDS for service records, health records, and pay account records; related card or index records.

Retention period: 6 months or until receipt is acknowledged, whichever is earlier or appropriate, except 1 year for Marine Corps activities.

(9) TRACERS DEALING WITH SERVICE RECORDS.

Retention period: until record is located.

(10) PERSONNEL ROSTER LISTINGS, CARDS, INDEXES, and other similar records of personnel on board.

Retention period: until superseded or obsolete. (See para. 1300(6) for Marine Corps duty assignment rosters.)

(11) CARD OR OTHER RECORDS OF INDIVIDUALS whose home of record is within the district or activity.

Retention period: until superseded or obsolete.

(12) LETTERS, CARDS, OR OTHER REPORTS OF CHANGES IN ADDRESSES.

Retention period: until change has been recorded and verified.

(13) RECORDS OF ROOM AND MEAL ASSIGNMENTS, including billeting slips or logs or other similar related records.

Retention period: 6 months after superseded or obsolete.

(14) RATIONS RECORDS, such as commuted ration reports or lists, requests to receive commuted rations, and daily ration memoranda. (See also para. 10110(3).)

Retention period: 6 months.

(15) SUBSISTENCE AND QUARTERS REPORTS and related papers.

Retention period: 2 years.

(16) AUTHORIZATIONS FOR SUBSISTENCE AND QUARTERS.

Retention period: 1 year after termination of authorization.

(17) LOCAL DAILY PERSONNEL DIARIES OR REPORTS: attendance, drill or muster reports; morning reports; other similar listings. (Exclude personnel accounting records covered in para. 1080 and Marine Corps drill reports covered in para. 1050(3).)

Retention period: 3 months.

(18) PHYSICAL FITNESS, STRENGTH, AND SWIMMING TEST RECORDS.

Retention period: 1 year, except retain records relating to training of enlisted recruits for 2 years.

(19) PASSENGER TRANSPORTATION RECORDS. See para. 4650.

(20) REQUESTS FOR CHANGES IN PAY STATUS.

Retention period: 6 months.

* (21) CERTIFICATIONS OR ORDERS TO OPEN, ADJUST, TRANSFER, OR CLOSE ACCOUNTS (such as Military Pay Orders, DD-114 and 115, and other records used for similar purposes); related logs. These are certifying offices or commanding officers administrative copies. (Certified copies forwarded to disbursing officers are covered in para. 7250(9).)

Retention period: 1 year, as provided in para. 7430(4), and 1 year or until disestablishment for MARCORPS activities.

(22) CLOTHING ISSUE RECORDS, such as clothing issue slips, maintained by military personnel departments or offices. (Include NAVMC-604-SD and 604b-SD filed in service record books.) (Exclude individual personnel clothing records (such as NAVMC-631-SD and 631a-SD) to be retained with individual's service record as provided in BUPERS Manual or MARCORPS Individual Clothing Regulations.)

Retention period: for regular personnel - until information is entered in official Service or Clothing Record and, for initial issues, until initial issue is completed; for reserve personnel - 2 years.

(23) RECORDS OF BOARD FOR CORRECTION OF NAVAL RECORDS, Navy Department. See para. 1000(4).

(24) PROFESSIONAL JACKETS OF MEDICAL DEPARTMENT PERSONNEL maintained by Bureau of Medicine and Surgery.

Retention period: indefinite. (Retain on board until 1 year after separation from service, then transfer officer jackets to Federal Records Center, Alexandria, Va., and enlisted men's jackets to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo.)

1080 PERSONNEL ACCOUNTING RECORDS

* (1) GENERAL CORRESPONDENCE FILES and related papers pertaining to the operation of personnel accounting/manpower information functions:

Retention period: 2 years for preparing activities; 1 year for personnel accounting/manpower information and processing installations.

* (2) PERSONNEL ACCOUNTING CARDS:

(a) Personnel Accounting Cards for Navy personnel:

1. Personnel Accounting Cards for Inactive Duty Personnel (such as NAVPERS-500 or superseding form):

Originals - Part I, muster cards arranged alphabetically and used as locator files after personnel are transferred--1 year after individual's transfer.

Duplicates, Part II, submitted to personnel accounting installations--until information has been recorded on machine records (punched cards or tapes).

Triplicates, Part III, submitted to appropriate disbursing officer for all personnel in a drill-pay, associate-pay, or appropriate duty-pay status or in any other status where disbursement will be made to an individual, assigned to all units or programs, including Naval Reserve Officer School and authorized appropriate duty pay. Apply para. 7250, except if not required by disbursing officer use as desired and destroy when no longer needed.

Quadruplicates, Part IV, used as an additional file as desired--until no longer needed.

2. Activities Personnel Records for Active Duty Personnel (such as NAVPERS-500 or superseding form):

a. Muster Cards (such as Part I of NAVPERS-500)--until 1 year after detachment of individual.

b. Allowance Cards (such as Part II of NAVPERS-500)--forward with individual; receiving activity will destroy when new card is made.

(b) Individual Accounting Cards for Marine Corps Personnel (such as NAVMC-980-PD and NAVMC-10237-PD).

Retention period: Locator file copies--1 year after transfer or separation of personnel; suspense file copies--until notified that cards have been received by data processing installations or Headquarters Marine Corps, as appropriate; history file copies--1 month, except retain summary cards for 1 month or until preparation of new report, but do not retain for longer than 3 months.

* (c) Individual Record Cards (such as NAVMC-976-PD) for Marine Corps personnel:

1. Data processing installations copies--until data has been recorded on punched cards.

2. Reporting units retained copies--1 year after individual is transferred or separated.

(3) PERSONNEL DIARIES (such as NAVPERS-501) for active-duty or inactive-duty Navy personnel:

* (a) Originals, for active-duty personnel, forwarded monthly via appropriate personnel accounting/manpower information installations to the Chief of Naval Personnel.

Retention period: until microfilmed and film is verified.

* (b) Microfilm master negatives of originals for active-duty personnel, maintained by the Bureau of Naval Personnel.

Retention period: permanent.

* (c) Personnel accounting/manpower information installations copies, including originals for inactive-duty personnel.

Retention period: 1 year or until disestablishment.

(d) Copies submitted (in lieu of certain pay record order vouchers) to disbursing office servicing the reporting activity. See para. 7250(9).

(e) Preparing activities copies.
Retention period: 2 years, or until disestablishment.

(f) All other copies.
Retention period: until purpose has been served, except do not retain longer than 2 years.

Disposal of Navy and Marine Corps Records

(4) MARINE CORPS UNIT DIARIES (such as NAVMC-970-PD), and MONTHLY PERSONNEL ROSTERS (MPRs) and AUDITING PERSONNEL ROSTERS (APRs) for Marine Corps personnel.

* (a) Originals, forwarded in accordance with Marine Corps instructions to Headquarters Marine Corps.

Retention period: Until microfilmed and film is verified.

(b) Microfilm negatives of originals maintained by Headquarters Marine Corps.

Retention period: permanent.

(c) Preparing or reporting units copies.

Retention period: 1 year, or until disestablishment.

(d) Data processing installations copies.

Retention period: 3 months.

(e) Copies submitted to disbursing office servicing the reporting activity: copies submitted in lieu of pay record vouchers or orders--see para. 7250(9); working copies used by disbursing officers to make entries on military pay record--until expiration of pay record cycle to which the Diary pertains.

Retention period: 3 months or until disestablishment, whichever is earlier.

(5) DAILY AVAILABILITY REPORTS AND ENLISTED AVAILABILITY CARDS: used by receiving stations to report available men awaiting further assignment.

Retention period: 6 months.

(6) MANPOWER AUTHORIZATIONS (such as NAVPERS-576): received by personnel accounting/manpower information installations from the Bureau of Naval Personnel for data recording purposes.

Retention period: until superseded.

(7) MISCELLANEOUS CONTROLS, CHECK LISTINGS, TABULATIONS, AND REPORTS prepared for specific local requirements.

Retention period: 2 years or until specific local purpose for which prepared has been served, whichever is earlier.

* (8) OTHER REPORTS, together with related correspondence and papers, prepared by Navy personnel accounting/manpower information installations and by MARCORPS data processing installations: copies of reports submitted to Chief of Naval Personnel or Commandant Marine

Corps, and not specifically authorized elsewhere in this chapter for other disposition. Include such reports as officer and enlisted strength reports; naval reserve reports; fiscal reports; compliance reports; transient enlisted personnel reports; enlistment, reenlistment, discharge, and extension reports. Include also copies of special reports prepared for or at the request of the Chief of Naval Personnel.

Retention period: naval activities—6 months; Marine Corps activities—3 months for MC nonrecurring reports, 1 month for MC recurring reports held by data processing installations, and 3 months for others, except 1 year for MC monthly strength and distribution reports and MARCORPS Districts Gain and Loss (G&L) statements.

1100 RECRUITING RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to the recruiting of officer and enlisted personnel. Include papers relating to the local administration of recruiting programs, including those concerning the officers aviation program and direct and service appointments; recruiting reports not specifically authorized for other disposition; and correspondence with civilian committees or organizations or with other activities or offices.

Retention period: 2 years, except that Marine Corps activities will retain for 3 years and will retain files within the Marine Corps District until eligible for destruction if recruiting is disestablished.

(2) RECRUITING REPORTS: copies of reports submitted to higher authority and not specifically covered by other authorizations in this manual. Include MARCORPS weekly recruiting statistical reports. (See also para. 1080(8).)

Retention period: 2 years.

1120 OFFICER RECRUITING RECORDS

(1) CONTROL CARD RECORDS OR SUMMARY RECORD FORMS showing status of applications and their dispositions.

Retention period: until applicant is commissioned or 5 years after applicant is rejected. *

(2) WITHDRAWN OR REJECTED APPLICATIONS FOR COMMISSIONS, including those of individuals found disqualified by the local recruiting officer as well as those forwarded to the Chief of Naval Personnel or the Commandant of the Marine Corps for final action and rejected; related correspondence and papers.

Retention period: 6 months, except that birth certificates, transcripts of college credits, letters of endorsements, and other material of value to the applicant should be returned to applicant whenever possible.

(3) CORRESPONDENCE WITH INDIVIDUAL APPLICANTS FOR COMMISSIONS, OR WITH PROSPECTIVE APPLICANTS, or with other interested individuals. (Filed alphabetically by name.)

Retention period: 6 months.

(4) OFFICER RECRUITMENT STATUS AND PRODUCTION REPORTS.

Retention period: 6 months.

1130 ENLISTED RECRUITING RECORDS

(1) CORRESPONDENCE WITH INDIVIDUALS requesting general information regarding enlistment or re-enlistment in the naval service. (Filed alphabetically by name.)

Retention period: 1 year.

(2) PRE-ENLISTMENT AND ENLISTMENT PAPERS for enlisted personnel: correspondence, and related papers, including copies of investigations, reports of medical examinations, age or birth certificates, consents of parents, waivers, police record checks, and other enlistment data or papers. (Official record copies of birth certificates, endorsements, consents of parents, or waivers are to be filed in individual's official Navy Service Record folder or Marine Corps Enlisted Personnel Jacket when applicant is enlisted.) Return any original personal papers of personal value to the rejected applicant whenever possible.

(a) Navy applicants.

Retention period: 2 years after acceptance or rejection of applicant.

(b) Marine Corps applicants.

Retention period: when applicant is rejected—6 months or upon disestablishment; when applicant is enlisted—2 years (retain within Marine Corps District for two years if station is disestablished.

(3) CARD (SUMMARY) RECORDS OR INDIVIDUAL DATA CARDS OF ACCEPTED AND REJECTED APPLICANTS for enlistment in the naval services.

Retention period: 5 years, except that if a recruiting station or substation is disestablished, send Navy applicants cards not yet 5 years old to the main or other recruiting station that will assume responsibility for the recruiting program formerly administered by the disestablished activity.

(4) REPORTS OF ENLISTMENTS AND RE-ENLISTMENTS: copies of daily reports, such as daily reports of enlistments and inductions (NAVMC 5022a-PD). (See also paras. 1080(8), 1100(2) and 1230(4).)

Retention period: 3 months.

1140 SELECTIVE SERVICE, CONSCRIPTION, AND DEFERMENT RECORDS

(1) MILITARY STATUS OF INDIVIDUALS (such as DD-44). (Copies only; originals are submitted to Selective Service Administration.)

Retention period: 2 years or upon separation of individual.

1200 CLASSIFICATION AND DESIGNATION RECORDS - GENERAL

(1) QUALIFICATION (SELECTION) PUNCHED CARDS, showing name, service number, classification, billet recommendation, etc.

Retention period: until individual cards are superseded or obsolete.

(2) QUALIFICATION RUNS OR CHECK LISTINGS (prepared from qualification cards) developed for specific local purposes or information.

Retention period: 6 months or until man's separation, whichever is earlier.

(3) ACTIVITIES CLASSIFICATION OR DETAIL CARDS.

Retain. To be carried by man to new duty station upon change of duty.

1220 ENLISTED CLASSIFICATION RECORDS

(1) CLASSIFICATION RECORDS: documents used for obtaining qualification and classification data for individual enlisted personnel, active and reserve (such as Naval Reserve Enlisted Classification Questionnaires, NAVPERS-2490).

Retention period: until superseded. (Retain related work sheets only until Questionnaire has been completed and filed in field Service Record.)

(2) ENLISTED EVALUATION WORK SHEETS (such as NAVPERS-792), AND ENLISTED EVALUATION REPORTS (such as NAVPERS-1339), exclusive of copies in official personnel jackets.

Retention period: until individual is separated from the service, except when individual reenlists immediately after discharge, transfer to new Service Record folder.

1230 TESTING AND INTERVIEWING RECORDS

(1) INTERVIEWERS APPRAISAL SHEETS: aids (questionnaires with interviewers notes) to interviewers in classifying personnel.

Retention period: 1 year.

(2) EXAMINATION ANSWER OR SCORE SHEETS for classification tests. Retention period: until all scoring and processing operations have been completed and score has been received; or 6 months, provided all action has been completed.

(3) MARKSMANSHIP TESTING RECORDS. (See also para. 3591.) Retention period: 1 year.

(4) REENLISTMENT INTERVIEW REPORTS (such as NAVMC 10213-PD) Retention period: 1 year or until submission of Consolidated Report.

1300 ASSIGNMENT AND DISTRIBUTION RECORDS - GENERAL

(1) CORRESPONDENCE AND RELATED PAPERS CONCERNING THE

DETAILING OR ASSIGNMENT OF OFFICER AND ENLISTED PERSONNEL, including detailing to activities within naval districts, bureaus and offices.

Retention period: 2 years.

(2) REQUISITION SHEETS FOR CREWS (working parties).

Retention period: 1 year.

(3) ASSIGNMENTS TO NAVAL RESERVE PAY UNITS OR PAY STATIONS (such as NAVPERS-998), other than official copies filed in officers Service Records.

Retention period: until assignment is terminated.

(4) PERSONNEL ALLOWANCE LISTS, copies of.

Retention period: until superseded or cancelled.

(5) INTRA-ACTIVITY ASSIGNMENT RECORDS for officer and enlisted personnel:

(a) Intra-center assignments of recruits and related assignment authorities.

Retention period: 2 years.

(b) All others

Retention period: 2 years, until superseded, or until personnel is detached, whichever is appropriate.

(6) MARINE CORPS STRENGTH AND DISTRIBUTION AND ROSTER REPORTS: copies of reports, such as monthly reports of strength and distribution, reports of commissioned and enlisted personnel, semi-monthly duty rosters of officer and enlisted personnel.

Retention period: 1 year.

130L OFFICER ASSIGNMENT AND DISTRIBUTION RECORDS

(1) COPIES OF OFFICER DISTRIBUTION CONTROL REPORTS (such as NAVPERS-2627) showing active-duty officer assignments, prepared by the Chief of Naval Personnel and furnished monthly to activities.

Retention period: verified or corrected copies—2 years; other copies—1 month, until superseded, or until no longer needed for reference, whichever is earlier.

(2) ROSTERS OF OFFICERS (such as NAVPERS-353) submitted by all pay units of

the naval reserve to the Chief of Naval Personnel quarterly.

Retention period: originators copies—2 years; other copies—3 months or until superseded.

(3) MARINE CORPS SEMI-MONTHLY DUTY ROSTER REPORTS. See para. 1300 (6) above.

1320 ORDERS TO PERSONNEL

(1) ORDERS TO OFFICER AND ENLISTED PERSONNEL: transfer, duty, flight, training, and other orders. (See also para. 1900 (2) for separation orders and para. 1570 (2) for reserve personnel training duty orders.)

Retention period: 2 years.

(2) CARD RECORDS, LOGS, OR OTHER SIMILAR RECORDS OF TRANSFER ORDERS, DUTY ASSIGNMENT ORDERS, OR OTHER ORDERS.

Retention period: 1 year after individual is reassigned or detached.

(3) INTRASHIP OR STATION DUTY AND DETAIL ASSIGNMENT OR REASSIGNMENT ORDERS; related card, log, or other local control records.

Retention period: until individual is reassigned or detached.

(4) CLEARANCE SLIPS FOR OFFICERS AND ENLISTED MEN indicating clearance on transfer.

Retention period: 6 months.

1400 PROMOTION AND ADVANCEMENT RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES relating to the promotion and advance of naval personnel.

Retention period: 2 years.

(2) RECOMMENDATIONS FOR PROMOTIONS OR ADVANCEMENT IN RATING, and related card or other progress records.

Retention period: 6 months after promotion or advancement.

(3) SCREENING FORMS AND REPORTS used in promoting or advancing personnel.

Retention period: 1 year.

(4) NAVAL EXAMINING CENTER
RECORDS:

(a) Research and statistical studies.
Retention period: permanent. (Transfer to Federal Records Center, 7201 So. Leamington Avenue, Chicago, Illinois when no longer needed locally.)

(b) Collusion studies, other than district intelligence offices studies that are to be returned to appropriate district intelligence office upon completion of requirements for studies.
Retention period: 5 years.

(c) Rating lists.
Retention period: permanent. (Transfer to Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis 32, Mo. when 3 years old.)

(d) Shipping trends reports and related cards or other records, used to estimate examination requirements and for comparison purposes.

Retention period: 3 years, provided compilations are prepared.

(e) Accounting summary reports of the Naval Examining Center: complete accountings for each examination series. Include close-out reports—final accounting reports for examination series; shipping cut-off reports—reports of examinations shipped and number burned; printers' reconciliation statements—reports balancing receipts and reorders against total shipped and burned.

Retention period: 2 years, provided compilations are prepared.

(f) Summary compilations and reports of subparas. (d) and (e) above.
Retention period: permanent.

(6) NAVAL EXAMINING BOARD,
Navy Department, records. See para. 1000(4).

1410 REQUIREMENTS AND QUALIFICATIONS RECORDS

(1) REQUESTS TO BE EXAMINED FOR RATINGS, with recommendations.
Retention period: 2 years.

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(2) REQUESTS FOR EXAMINATIONS TO ENTER THE MILITARY ACADEMY PREPARATORY SCHOOL.

Retention period: 1 year.

(3) ROSTERS OF GRADES MADE ON QUALIFYING EXAMINATIONS.

Retention period: rosters for Naval Academy entrance examinations—permanent (transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis 32, Mo. upon disestablishment); rosters for interim and other qualifying examinations—1 year.

(4) EXAMINATION PAPERS AND ANSWER SHEETS to examination papers. (See para. 1531 for Naval Academy entrance tests; see also para. 1418(1) for enlisted examination score sheets.)

Retention period: 30 days after examination or until graded or scored, provided grade or score has been recorded on appropriate document.

(5) PHYSICAL EXAMINATION AND FITNESS QUALIFICATION RECORDS. See paras. 6120 and 1070(18).

1418 ENLISTED EXAMINATION RECORDS

(1) ENLISTED EXAMINATION SCORE SHEETS.

Retention period: until scoring or other processing actions have been completed and the score has been recorded on service record book pages or other appropriate record, except retain for 1 year those originating from Headquarters Marine Corps.

(2) CLASSIFICATION TESTING RECORDS. See para. 1230(2).

(3) RECRUIT TRAINING TEST RECORDS. See para. 1510.

(4) OTHER ENLISTED STUDENTS EXAMINATION PAPERS or answer sheets to examination papers. Apply para. 1410(4).

1430 ADVANCEMENTS IN RATE OR RATING RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to advancements of recruits.
Retention period: 1 year.

(2) REQUESTS TO BE EXAMINED FOR RATING, with recommendations.
Retention period: 2 years.

(3) REPORTS OF EXAMINATION FOR ADVANCEMENT OR CHANGE IN RATING.

Retention period: 3 months or until beginning of fiscal year following advancement, whichever is earlier.

1500 TRAINING AND EDUCATION RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS: that portion of the general correspondence files and other records maintained by the organizations listed below that document the over-all management and organization, planning, procedural development, and accomplishments of military personnel training and education programs (but exclusive of administrative and operational records covered by paras. 1500(2) and 5000(2)):

(a) Bureau of Naval Personnel and Headquarters Marine Corps.

Retention period: permanent.

(b) Naval District and River Command Headquarters, Headquarters Naval Air Training Command and Headquarters NATC functional commands, and Naval Reserve Training Commands.

Retention period: permanent. (Transfer to nearest Federal Records Center when 2 years old.)

* (c) Marine Corps activities.
Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa. when 3 years old, except that Marine Corps Schools, Quantico, Va. and Headquarters, Fleet Marine Force, Atlantic will transfer to Federal Records Center, Alexandria, Va.)

* (d) Records of Navy and Marine Corps schools and other academic installations or departments (other than training activities covered in subparagraphs (e) through (g) below): histories of academic training at the installations only, consisting of class standing and school rosters; summary academic and faculty board reports not submitted to higher authority; and 1 copy of school publications, training syllabus, original course materials, school curricula, and similar material pertaining to overall training programs. (Apply para. 1500(2) for other correspondence files.)

Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. upon disestablishment, except Marine Corps Schools, Quantico, Va. will transfer to Federal Records Center, Alexandria, Va.)

(e) Naval Training Centers

1. Great Lakes and San Diego

only.

Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old.)

2. Other Naval Training Centers, including Naval Reserve Training Centers: 1 copy of any annual inspection and progress reports or other similar papers that reflect the history of the Center or document special significant transactions or accomplishments. (Apply para. 1500(2) for correspondence files of these activities.)

Retention period: permanent. (Transfer to nearest Federal Records Center when 3 years old.)

* (f) Marine Corps Institute: original course materials for correspondence courses. (See para. 1500(7) for student records.)

Retention period: permanent.

(g) Naval War College, Armed Forces Staff College, and Naval Academy.
See paras. 1520 and 1531.

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES: files of all training activities other than those covered in para. 1500(1) above. Include files of training offices, centers, activities, naval schools, and of departments or other organizational units, relating to the operation and performance of their training and educational functions. (See also para. 1533 for naval reserve officer training corps (NROTC) records.) Consist of correspondence and other documents relating to curricula planning and changes in curricula; student quota records, service school data; correspondence with interested parties in regard to naval training schools, courses, or other educational facilities; reports, such as student and instructors' reports, attrition reports, training duty progress reports, and other training or school reports not specifically covered by other authorizations in this manual. Include records relating to postgraduate in-service training and other

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records relating to the internal operation and administration of the training function.

Retention period: 2 years.

(3) PERIODIC REPORTS OF EDUCATIONAL SERVICES FUNCTIONS (such as NAVPERS-2418); other similar training reports. (See also para. 1560(1).)

Retention period: 2 years.

(4) ATTENDANCE RECORDS FOR INDIVIDUAL COURSES.

Retention period: until completion of training course.

(5) MONTHLY REPORTS OF STUDENTS ON BOARD.

Retention period: 1 year.

(6) DAILY OPERATIONS SHEETS OR LOGS; other records used as office aids for local purposes only.

Retention period: 1 year, until separation or transfer of individual, or until completion of training course, whichever is appropriate.

(7) ENROLLMENT AND PROGRESS RECORDS for individual students, including training (case) folders for individual students when used. Consist of records documenting individual student's progress, and related material such as enrollment and disenrollment papers, biographical data, records of past service or assignments, reports of unauthorized absences, instructors remarks, copies of authorizations for training duty, conduct and minor disciplinary reports, reports from academic authorities concerning failings, and other records used for local purposes only. (Exclude students official record cards showing grades and completion of courses covered in para. 1500(9) below.)

Retention period: until completion of individual's training, transfer, or discharge, provided required data has been recorded in individual's Service Record or on student's record card, except as follows:

* (a) CNATRA Aviation Training Jackets (consisting of aviation training summaries and ATJ/NAO or equivalent forms) are permanent records; forward jackets covering refresher, postgraduate, and other flight training to Federal Records Center, East Point, Ga. upon completion or termination of training; forward jackets for students taking the standard pilot training syllabi and for foreign students undergoing pilot training to the Chief of Naval Air Training not later than one week after completion or

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termination of training for processing and further transfer after 6 months to Federal Records Center, East Point, Ga.

* (b) Marine Corps Institute student records:

1. Card records of each disenrolled student's activity in each course, showing number of lessons completed and grades received.

Retention period: 6 months, except 1 year for Marine Corps reservists not on active duty disenrolled for completion of course.

2. Correspondence and papers relating to the individual student.

Retention period: 1 year.

(8) APPLICATIONS OR REQUESTS FOR ENROLLMENT in training courses or schools (other than those covered in para. 1500(7) above).

Retention period: 1 year or until action is completed, whichever is earlier.

* (9) INDIVIDUAL STUDENT OFFICIAL SCHOOL OR TRAINING RECORD CARDS (or other equivalent forms), or official statements or transcripts of academic record. Applicable to all naval schools, exclusive of Marine Corps Institute. Should contain information as to courses attended, length of course and whether or not completed, and grades or marks attained.

Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. 6 months after completion of training, discharge, or transfer of individual, except that Marine Corps activities will transfer them when 1 year old.)

(10) STUDENTS EXAMINATION RECORDS:

* (a) Students examination papers or answer sheets to examination papers. (See also paras. 1418 and 1510(3)(a).)

Retention period: 1 month, or until graded and grades have been recorded on students' official record cards, or at the expiration of the class, as appropriate.

(b) Periodic mark slips, cards, or lists summarized at end of course--daily, weekly, or other.

Retention period: until recorded, or until summarized in recorded term or course grade, as appropriate.

(11) GRADUATION REPORTS; CLASS STANDING OR ACADEMIC GRADE ROSTERS: lists or other records showing grades made on examinations and/or class standing.

Retention period: 1 year or until information has been recorded on student's official record card or on other academic record listed in para. 1500(9) above, except that the Naval Academy, the Naval War College, and the Armed Forces Staff College will retain these records.

(12) TRAINING PROGRAM REPORTS (relating to regulars and reserves) that are not specifically covered by other authorizations in this chapter; related papers. Include training program reports (such as Navy and Marine Air Program Summary Reports):

(a) Summary or composite reports prepared at the Navy Department level, or by district and river commands, or by the Chief of Naval Air Reserve Training, or by other major training commands (1 copy of each).

Retention period: permanent.

(b) All others, including copies of reports submitted to higher authority.

Retention period: 2 years.

(13) ANNUAL RETURN OF BOOKS by ROTC and ROS students.

Retention period: 1 year.

(14) QUESTIONNAIRES, or other similar records, completed by students or others for evaluating program courses or schools; related papers.

Retention period: 1 year, or until data becomes obsolete as a result of summarization or other utilization for statistical or other training purposes.

(15) FLIGHT TRAINING REPORTS submitted to the Chief of Naval Air Training:

(a) Flight training reports containing data such as student input, attrition, completion, instructor and aircraft availability, and flight hour data; Naval Air Reserve and Marine Air Reserve Program summary reports containing data relating to personnel categories, aircraft hours flown, aircraft in custody, and utilization of training facilities.

Retention period: 2 years.

(b) Summary flight training reports prepared and maintained by CNATRA: summary reports received from training activities, including Naval Air Reserve and Marine Air Reserve activities.

Retention period: permanent. (Transfer 1 copy of each with general correspondence files to the Federal Records Center, New Orleans, La. when 2 years old.)

(16) LOCAL (CARD OR OTHER) RECORDS OF APPLICATIONS FOR COURSES (such as correspondence courses) or other training.

Retention period: 6 months or until purpose has been served, except that Marine Corps activities (other than Marine Corps Institute) will retain card records of applications for Marine Corps Institute Correspondence Courses until 3 years old.

1510 ENLISTED TRAINING RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to training of enlisted recruits and recruit training reports not specifically covered by other authorizations in this chapter. (Exclude primary program records covered in para. 1500(1).)

Retention period: 2 years.

(2) RECRUIT TRAINING RECORDS:

(a) Forming data of recruit companies, including company rosters, recruit company logs, instructors logs and records of required subjects completed.

Retention period: 1 year.

(b) General correspondence files relating to examining for advancement in rating, for applications for commissions, or for educational courses.

Retention period: 1 year.

(3) TEST RECORDS:

(a) Answer sheets of selection tests and test musters.

Retention period: 6 months, provided scoring and other processing actions have been completed.

(b) Reports of administration of recruit training examinations.

Retention period: 6 months.

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(c) Physical fitness, strength, and swimming test records. See para. 1070(18).

(4) IN-SERVICE TRAINING PROGRAM RECORDS: general correspondence files and related records pertaining to in-service training for enlisted personnel.
Retention period: 2 years.

1520 OFFICER TRAINING RECORDS

(1) ACTIVITIES GENERAL CORRESPONDENCE FILES RELATING TO OFFICER TRAINING. See paras. 1500(1) and (2).

(2) ARMED FORCES STAFF COLLEGE RECORDS:

(a) Records reflecting the organizational history of the College: general policy agreements; copies of Joint Chiefs of Staff Memoranda; organization charts; and other similar papers.
Retention period: permanent.

(b) General correspondence files pertaining to the primary mission and overall management of the College. Include 1 copy of comprehensive annual reports of the College covering all phases of its organization and operation (original is sent to the Joint Chiefs of Staff, with copies to the Secretary of Defense and the Secretaries of the Navy, Army, and Air Force).

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 2 years old.)

(c) Records of Armed Forces Staff College students past services and duty assignments prior to reporting to the College.

Retention period: until graduation of student.

(d) Theses of Armed Forces Staff College students.

Retention period: until obsolete and no longer needed, except retain selected theses.

(e) Other Armed Forces Staff College records. Apply pertinent subject-matter instructions throughout this manual.

(3) NAVAL WAR COLLEGE RECORDS:

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(a) General correspondence files that reflect the overall management and organization of the College, and the planning, procedural development, progress, and significant accomplishments of its academic and naval personnel training programs.

Retention period: permanent. (Transfer to Federal Records Center when 5 years old.)

(b) Official student record cards of officers under instruction at the Naval War College. See para. 1500(9).

(c) Department logs, and graduate disenrollment logs.

Retention period: permanent.

(d) Naval War College lectures.
Retention period: permanent. (Transfer to Federal Records Center when 10 years old.)

(e) Individual student jackets (case file for each Naval War College graduate and disenrollee).

Retention period: permanent. (Transfer to Federal Records Center when 5 years old.)

(f) Technical intelligence files of the Naval War College.

Retention period: permanent. (Transfer to Federal Records Center when 5 years old.)

(g) Class (course instruction) records, including presentations, conference reports, records regarding class problems, and related records prepared by the College.

Retention period: 1 copy of each—permanent; all other copies—until no longer needed.

(h) Other Naval War College records. Apply pertinent subject-matter instructions throughout this manual.

1531 NAVAL ACADEMY RECORDS

(1) GENERAL CORRESPONDENCE FILES REFLECTING THE OVERALL MANAGEMENT AND ORGANIZATION OF THE ACADEMY and the planning, procedural development, progress, and significant accomplishments of its academic and naval personnel training programs; and graduation reports and class standing rosters. (Exclude records covered in para. 1531(2) below.)

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) CORRESPONDENCE FILES AND OTHER RECORDS RELATING TO THE INTERNAL ADMINISTRATION AND OPERATION OF THE OFFICE.

Retention period: 2 years for records relating to routine internal operating matters; 4 years for records relating to other administrative matters, such as use of boats, drills and dress parades, and regimental organizations.

(3) REQUESTS FOR EXAMINATION TO ENTER MILITARY ACADEMY PREPARATORY SCHOOL. See para. 1410(2).

(4) NAVAL ACADEMY ENTRANCE EXAMINATIONS, placement and aptitude tests, and related card or other records.

Retention period: 1 year, provided grades have been recorded.

(5) OTHER NAVAL ACADEMY RECORDS. Apply pertinent subject-matter instructions throughout this manual.

1533 RESERVE OFFICER TRAINING CORPS (ROTC) RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to the operation and administration of ROTC units, ships companies, and trainee personnel. Include correspondence with other ROTCs, V-12 or other training units, copies of statistical and status or progress reports submitted to higher authority, and instructor reports. (Exclude records covered in para. 1533(2) below).

Retention period: 2 years.

(2) SUMMARY ACADEMIC OR FACULTY RECORDS OR REPORTS that document the history of the ROTC program at any particular installation, including one copy of school publications, and school rosters or graduation reports listing all graduates who are commissioned (such as Class Standing of ROTC Students Commissioned).

Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo., when 2 years old.)

(3) INDIVIDUAL STUDENTS OFFICIAL RECORD CARDS (or forms) or transcripts or statements of academic records. Must contain information as to courses attended, length of courses, whether or not completed, grades attained, class standing (if completed), and pertinent remarks, such as reason for disenrollment or failure to complete courses.

Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo., 6 months after completion of training or disenrollment. Upon transfer of individual from one ROTC unit to another, a copy of the student's individual record must be submitted to the ROTC unit to which transfer is made.)

(4) INDIVIDUAL ROTC STUDENTS FOLDERS (CASE FILES), comprising records maintained by individual units and accumulated during the course of student's enrollment. Include enrollment and progress records (such as questionnaires, endorsements, cruise records, applications for extensions of time to complete academic requirements; clothing requisitions and related papers; reports of substitutions of college courses for ROTC courses; transfer approvals between ROTC units; unauthorized absence reports); disenrollment records; commissioning records; other similar records, and related correspondence. (Exclude documents to be filed in official Service Record folders upon commissioning, and copies of documents forwarded to and maintained by the Navy Department, commandants of naval districts or river commands, or other authorities specified under current instructions for ROTC administration and training.)

Retention period: 6 months after individual is disenrolled, completes training, is transferred, or is commissioned.

(5) SUBSISTENCE ROLLS (such as NAVCOMPT-2042): copies of Rolls submitted by units to accounts disbursing offices.

Retention period: 6 months, or until subsistence checks have been received, as appropriate.

1540 FUNCTIONAL TRAINING RECORDS

* (1) HEADQUARTERS, CHIEF OF NAVAL AIR TRAINING RECORDS: general

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correspondence files (other than operating and administrative records covered in para. 1500(2)).

Retention period: permanent, as provided in para. 1500(1)(b).

(2) AMPHIBIOUS TRAINING BASES RECORDS. See para. 3340.

1541 FLEET TRAINING RECORDS

(1) FLEET TRAINING RECORDS, including those of fleet training centers. Apply authorizations for similar records contained in this and other chapters of this manual. See para. 1500 for general correspondence.

1550 INSTRUCTION COURSES AND TRAINING MATERIAL RECORDS

(1) ACTIVITIES TRAINING MATERIALS, including syllabic and technical instructional (course or other) material (other than program material covered in para. 1500(1)).

Retention period: until superseded, cancelled, or no longer needed for training purposes, or as research material, or for reference in developing future training courses.

(2) STOCK RECORD CARDS and other records of training material on hand. See paras. 4400(3) and 4440.

1551 TRAINING FILMS, AIDS, AND SPECIAL DEVICES RECORDS

(1) TRAINING FILM:

(a) Originators master negative film.
Retention period: permanent. (Transfer to Naval Photographic Center, Washington D. C. See para. 3150.)

(b) All other copies.
Retention period: until obsolete or no longer usable.

(2) RECORDS RELATING TO PROCUREMENT, CUSTODY, DISTRIBUTION, UTILIZATION, AND DISPOSITION OF TRAINING AIDS, including those at training aids centers. Include related card records.

Retention period: 2 years, except retain records of training aids still outstanding.

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(3) SURPLUS COPIES OF TRAINING AIDS AND TECHNICAL INSTRUCTIONAL MATERIAL.

Dispose of in accordance with latest instructions from the Bureau of Naval Personnel (Training Division), the Commandant of the Marine Corps, or other cognizant authority.

1552 TRAINING PUBLICATIONS RECORDS

* (1) ALL NAVY TRAINING PUBLICATIONS, including manuals:

(a) Master copies (originating activity's copies).

Retention period: permanent. (Forward 1 copy of each to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo., when no longer needed for frequent local reference.)

(b) All other copies.

Retention period: until superseded or cancelled or no longer required. (Return current usable copies to nearest publications supply office.)

(2) RECORDS RELATING TO PREPARATION, PROCUREMENT, AND DISTRIBUTION OF TRAINING PUBLICATIONS. See para. 5600.

(3) NAVY TRAINING PUBLICATIONS CENTER RECORDS:

(a) General correspondence files of the Officer-in-Charge, Navy Training Publications Center. Apply paras. 1500(1)(e) and (2).

(b) Planning Files: correspondence relating to the planning and development of courses and publications (including manuals) prepared by the Center. Contain official correspondence on the preparation or publication of a text or manual, including recommendations and comments, and papers on related costs and technical matters.

Retention period: 10 years. (Transfer to nearest Federal Records Center when 5 years old.)

(c) Continuous Bilge or Review Files: background information collected by writers preparing new or revised texts or manuals, including correspondence, records of contacts or other sources of material, locations of available reference

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documents, writers' notes, and other similar material.

Retention period: 6 months after text or manual is published.

(d) Art Morgue and Illustrations

Files: original illustrations, drawings, photographs, negatives and glossy prints, clippings, and related materials used as illustrations in texts and manuals; related locator cards.

Retention period: until obsolete or superseded, as appropriate.

(e) Illustration Correspondence

Files: correspondence and related papers pertaining to art work to be used in publications. Include flow sheets, work sheets of deleted materials, sources and lists of illustrations, copies of copyright permission letters, and other related or similar records.

Retention period: 6 months.

(f) Other records of the Navy Training Publications Center relating to its publication functions. See paras. 5600-5699.

1560 INFORMATION AND EDUCATION RECORDS

(1) CORRESPONDENCE, REPORTS, AND OTHER RECORDS RELATING TO OFF-DUTY (AFTER-HOURS) TRAINING, including education reports (such as Reports of USAFI Testing Activity and Inventory, DD-417; NAVMC-10269-PD and 10439-PD).

Retention period: 2 years, except 3 years for Marine Corps activities.

(2) REFERENCE FILES OF MATERIAL RELATING TO OFF-DUTY OR AFTER-HOURS AVAILABLE TRAINING.

Retention period: until superseded or cancelled, or until no longer needed.

1570 INACTIVE-DUTY TRAINING RECORDS (See also paras. 1001 and 1500.)

(1) INSTRUCTORS CLASS PROGRAM CHARTS (such as NAVPERS-1315) used to record naval reserve training progress for all pay and non-pay drilling units (other than naval air reserve units).

Retention period: until end of fiscal year in which the instructional cycle is completed, or until each trainee listed thereon has been advanced or transferred from the activity, whichever is later.

(2) RESERVE OFFICER AND ENLISTED PERSONNEL TRAINING-DUTY ORDERS and orders to perform appropriate duty.

Retention period: 1 year.

1571 ACTIVE DUTY FOR TRAINING RECORDS

(1) REQUESTS FOR ACTIVE TRAINING DUTY from officer or enlisted personnel, and related card or other incidental records.

Retention period: until completion of training or processing of request.

(2) UNENDORSED ACTIVE DUTY FOR TRAINING ORDERS for officer and enlisted personnel. (Exclude endorsed copies of such orders required to be filed in official officer or enlisted Service Records.)

Retention period: 3 months after month in which issued.

1600 PERFORMANCE AND DISCIPLINE RECORDS - GENERAL

1620 DISCIPLINE RECORDS. (See also paras. 1630 and 1640).

(1) GENERAL CORRESPONDENCE FILES relating to disciplinary affairs and to the operation and administration of places of confinement (other than naval retraining commands covered in para. 1640(1)).

Retention period: 2 years.

(2) NAVAL RETRAINING COMMANDS DISCIPLINARY AND CONFINEMENT RECORDS. See para. 1640.

(3) UNIT PUNISHMENT BOOK OR DIARY PAGES (such as DD-789 and * NAVMC-10132-PD).

Retention Period: 2 years.

(4) MINOR OFFENSE REPORTS and other similar or related records dealing with violations and offenses reported for disciplinary action. Include Report and Disposition of Offenses.

Retention period: Until information is entered in Unit Punishment Book or Diary except 3 mos. for MARCORPS reports of incidents and miscellaneous offenses.

(5) COURTS-MARTIAL RECORDS. See 5810 series.

(6) DAILY AND MONTHLY REPORTS OF PERSONS CONFINED, including Reports of Prisoners Received

Retention period: 1 year, except 6 months for Marine Corps brigs.

(7) LOGS OR OTHER RECORDS SHOWING COMMITMENT AND RELEASE OF PRISONERS OR DETENTIONERS.

Retention period: 1 year after last entry or 1 year after release of prisoner, except that Marine Corps brigs will retain for 3 years.

(8) LISTS OF MEN RESTRICTED AND OF PRISONERS-AT-LARGE.

Retention period: 1 year.

(9) CONFINEMENT ORDERS AND PRISONER RELEASE ORDERS (such as DD-367); copies of.

Retention period: 1 year after release of prisoner.

(10) PRISONER DATA CARDS: data cards or other similar records of persons confined to brigs or other places of confinement.

Retention period: Navy activities 2 years; Marine Corps activities 2 years after prisoner's release for brig officer's cards and until prisoner has been released and appropriate data has been entered in the unit diary.

(11) SAFEKEEPING RECORDS of personal property of individuals confined; stamp and cigarette records.

Retention period: 6 months after person's release, provided property or funds have been accounted for.

(12) DISCIPLINARY CASE FILES of Marines assigned to Special Foreign Duty with the Department of State and maintained by Company "F," Headquarters Battalion, Headquarters Marine Corps and case files of brig prisoners.

Retention period: 1 year from date of detachment of individual, provided no action is pending by either the Department of State or the Marine Corps, for Special Foreign Duty Marines; 2 years after release for brig prisoners.

(13) MINOR OFFENSE RECORDS: records, including card records, showing punishments awarded and records of accomplishment thereof for minor offenses.

Retention period: until completion of punishment.

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(14) REPORTS OF INFRACTIONS of Base regulations by shipboard personnel: reports made to the Base or to ships. (These reports are made to or by the Senior Officer Present Ashore and are held by Amphibious bases and other similar activities.)

Retention period: 1 year.

(15) PRISONER WORKING PARTY RECORDS: internal working papers only.

Retention period: 1 month.

1630 SHORE PATROL AND MILITARY POLICE RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to the administration of shore patrol offices or military police units. Include rough logs of the office.

Retention period: 2 years.

(2) CARD FILE OF PERSONS ARRESTED.

Retention period: permanent.

(3) SERGEANT OF THE GUARD REPORT BOOKS

Retention period: 1 year from date of last entry.

(4) ARREST AND DETENTION RECORDS, such as arrest reports, receipts for offenders, sobriety tests, patrol officers reports, delinquency reports, sworn statements, arrest and disposition reports, offense reports, receipts for persons under arrest, and other papers pertaining to arrest or detention.

Retention period: 1 year.

(5) PROPERTY RECEIPTS and property receipts envelopes.

Retention period: 18 months.

1640 CONFINEMENT RECORDS

The records described in this paragraph are accumulated by naval retraining commands only. For records accumulated by brigs and other places of confinement, see paras. 1620 and 1630.

(1) GENERAL CORRESPONDENCE FILES relating to the general operation and administration of naval retraining commands and of naval rehabilitation and retraining programs in connection therewith, including industries. Include activities educational and retraining reports, correspondence, allotment data, and requests for materials or services.

Retention period: 3 years.

(2) CONFINEMENT RECORDS CASE FILES FOR COURTS-MARTIAL PRISONERS. Include all correspondence, reports, and other records in connection with the case, including screening reports, admission summaries or supplements, periodic program reports, disciplinary reports (most report slips), special medical or psychiatric reports, records relating to the prisoner's conduct and assignments while confined, copies of all orders.

Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. 1 year after prisoner's release.)

(3) COMMITMENT CARDS (such as NAVPERS-3002). File in confinement records case files (see para. 1640(2) above) for transfer with the case file to the Navy Branch, Federal Military Personnel Records Center, St. Louis, Mo.

(4) PRISONER CHANGE REPORTS other than original reports sent to the Navy Department.

Retention period: 2 years.

* (5) BRIG AND OTHER CONFINEMENT RECORDS, other than those of naval retraining commands covered in paras. 1640(1) through (4) above. See paras. 1620 and 1630.

1650 DECORATIONS, MEDALS, AND AWARDS RECORDS

(1) BOARD OF DECORATIONS AND AWARDS, Navy Department records:

(a) Board's Case Files: correspondence, recommendations, and other supporting or related papers, and records of actions taken on each case presented to the Board for consideration. Include related card records.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 10 years old.)

(b) Board of Awards File: World War I file of original recommendations for decorations and awards, records of action taken, and related correspondence.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when file becomes inactive.)

(c) File of recommendations made to the Board in regard to extraordinary heroism cases, and card (progress) records thereof.

Retention period: until action has been taken by the Board.

(d) Card records of combat retirement cases: records of action taken on conduct recommendations entitling officer to promotion upon retirement.

Retention period: until death of officer.

(e) Kardex record of awards made: a brief of all pertinent information regarding the man's awards and decorations and a quote of citation.

Retention period: permanent. (Retain on board.)

(f) Copies of citations and letters of transmittal (exclusive of Board's official records and copies to be filed in official personnel folders).

Retention period: 2 years.

(2) CORRESPONDENCE AND RELATED RECORDS REGARDING RECOMMENDATIONS FOR PERSONAL DECORATIONS, CITATIONS, MEDALS, OR AWARDS to naval personnel or units (other than records of the Bureau of Naval Personnel, Headquarters Marine Corps, Boards of Decorations and Awards, and those filed in individuals official service jackets).

Retention period: 5 years.

(3) RECORDS OF CITATIONS, AWARDS, OR COMMENDATIONS awarded by bureaus, offices, activities, or others under authority delegated them to make such awards. Include recommendations, supporting documents, and related correspondence. (Exclude records covered in paras. 1650(1) and (2) above.)

Retention period: permanent.

1700 MORALE AND PERSONAL AFFAIRS RECORDS - GENERAL

(1) ACTIVITIES GENERAL CORRESPONDENCE FILES RELATING TO THE OPERATION AND ADMINISTRATION OF MORALE AND PERSONAL AFFAIRS MATTERS, including recreation and social affairs, informational services, personal benefits (including correspondence relating to National Life Insurance and voting rights), dependents aid, civil readjustment and

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veterans affairs, casualties and survivors benefits, athletic competitions, publishing of station papers, and hobby crafts.

Retention period: 2 years.

(2) CORRESPONDENCE AND OTHER RECORDS INCIDENTAL TO THE ADMINISTRATION AND HANDLING OF PERSONAL AFFAIRS AND BENEFITS (including insurance, dependents aid, and civil readjustment and veterans affairs).

Retention period: 1 year.

(3) ALPHABETICAL (NAME) FILES consisting of correspondence (with individuals, dependents, and other interested parties) relating to individual personal affairs matters. (Exclude correspondence required to be filed in official Service Record folders.)

Retention period: 1 year, except retain routine inquiries and requests for information only for 6 months.

(4) FINANCIAL AND OTHER RECORDS RELATING TO THE OPERATION OF NON-APPROPRIATED WELFARE AND RECREATION FUNDS. See 1746 and 7010.

(5) FILES OF NAVY RELIEF AUXILIARY. Dispose of according to instructions of the Navy Relief Society.

1710 RECREATION RECORDS

(1) CUSTODY RECEIPTS for recreational material.

Retention period: until custody items are returned or responsibility for custody is transferred.

(2) RECORDS RELATING TO ARRANGEMENTS FOR RECREATIONAL ACTIVITIES, such as schedules of motion pictures, concerts, broadcasts, and other affairs, seating arrangements for Naval Academy games, etc.

Retention period: 1 year or until purpose has been served.

(3) GENERAL CORRESPONDENCE FILES AND REPORTS RELATING TO THE DISTRIBUTION AND SHOWING OF MOTION PICTURES. Include motion picture projectionists reports, log reports, damage reports, and other related records. (See also para. 4200.)

Retention period: 1 year, except naval district and river command headquarters will retain for 2 years.

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1720 INFORMATIONAL SERVICE RECORDS. See paras. 1700 and 5720.

1730 CHAPLAINS AND RELIGIOUS AFFAIRS RECORDS

(1) GENERAL CORRESPONDENCE FILES REGARDING THE MAINTENANCE AND ADMINISTRATION OF CHAPLAINS OFFICES, the performance of religious and secular duties, and related welfare duties (other than departmental program records covered in para. 1000(1)).

Retention period: 3 years.

(2) FILES OF CHAPLAINS OFFICES RELATING TO OBSERVANCE OF SPECIAL DAYS.

Retention period: 2 years.

(3) CHAPLAINS REPORTS:

(a) Monthly statistical reports (such as NAVPERS-374).

Retention period: until quarterly statistical report is prepared.

(b) Quarterly statistical reports.
Retention period: 1 year after last entry.

(c) Annual activities reports.
Retention period: 1 year, except 4 years for files of district and river command headquarters.

1746 MESSES AND CLUBS RECORDS

(1) GENERAL CORRESPONDENCE FILES, INCLUDING REPORTS, RELATING TO THE OPERATION AND ADMINISTRATION OF ENLISTED AND COMMISSIONED PERSONNEL MESSES, clubs, and hostess houses, and to social activities of officers messes closed. Include reports, minutes of meetings, inspection reports, and other similar records. (See also para. 7010.)

Retention period: charters, by-laws or constitutions, and other establishing documents, policy directives, and sales authorization documents (such as authorizations to sell alcoholic beverages)--until 3 years after superseded or cancelled; other records--3 years, except Marine Corps activities will retain for 4 years and upon disbandment of fund or disestablishment will forward records not yet audited to Commandant of the Marine Corps (DS).

- * (2) ALL FINANCIAL RECORDS relating to the financial handling and administration of military messes and clubs. Include, but are not limited to, package store sales slips, financial ledgers, check books, cash books, vendors' invoices, vouchers, financial statements, balance sheets, bank statements, and related correspondence and papers.

Retention period: 3 years, except 4 years for Marine Corps activities and upon disestablishment as follows: forward reserve recreation fund records to Director of appropriate Marine Corps District, and other recreation fund records to local area auditor; forward other records not yet audited to Commandant of the Marine Corps (DS).

- (3) PERSONNEL RECORDS OF CIVILIAN EMPLOYEES. Apply the provisions of the 12000 series for similar personnel records for Federal employees.

- (4) TAX WITHHOLDING RECORDS. See para. 7401.

- (5) GUEST REGISTER CARDS (such as NAVCOMPT-720).

Retention period: 1 year.

1750 DEPENDENTS AID RECORDS

- (1) Identification cards and passes, and applications for cards or passes. Apply para. 5512.

1755 DEPENDENTS SCHOOL RECORDS

- (1) DEPENDENTS SCHOOL ADMINISTRATIVE RECORDS: correspondence, reports, and other records relating to the internal administration and operation of dependents schools, including material regarding class or semester program plans; Parent-Teacher Associations and similar organizations; rosters of teachers employed, by school year and grade level or high school subject area of assignment; school transportation matters; budgets and cost data; supply administration matters; other related or similar matters.

Retention period: historical data reflecting the establishment and disestablishment of school and significant school policies--permanent (transfer to Federal Records Center, 111 Winnebago Street, St. Louis, Mo. upon

disestablishment of school); all other records--3 years.

- (2) INDIVIDUAL STUDENT CUMULATIVE RECORD (elementary and secondary): official record maintained for each individual student enrolled. As a minimum reflects full name of student; date and place of birth; dates of entrance and withdrawal; promotions, failures, credits, and grades earned; standardized test scores (achievement, aptitude, etc.); summary of attendance by year or semester; teacher's comments.

Retention period: permanent. Transfer to Federal Records Center, 111 Winnebago Street, St. Louis, Mo. 3 years after graduation, withdrawal, or death of student, or upon disestablishment of school. Mail transcript of record to other schools upon request; retain one copy of transcript with cumulative record.

- (3) TEACHER'S (INCLUDING HOME-ROOM) CLASSBOOK OR REGISTER (elementary and secondary): teacher's record of enrollment and withdrawal, attendance and tardiness, subjects studied or elementary grades attended and scholastic marks or averages reported periodically to parents, credits earned and promotion or retention.

Retention period: permanent. Transfer to Federal Records Center, 111 Winnebago Street, St. Louis, Mo. when 3 years old or upon disestablishment of school.

- (4) STUDENT'S INDIVIDUAL PERSONNEL FOLDER: student health data, absence reports, correspondence with parents, progress or anecdotal records of significant nature, record of standardized test results (achievement, aptitude, etc.).

Retention period: until 3 years after graduation, transfer, or withdrawal of student. Mail to receiving school upon request.

1760 CIVIL READJUSTMENT AND VETERANS AFFAIRS RECORDS

- (1) FILES CONCERNING VETERANS RIGHTS, BENEFITS, AND PROBLEMS arising from readjustment to civilian life, including information correspondence with veterans, their beneficiaries, the Navy Department, and veterans organizations and associations.

Retention period: 1 year.

1770 CASUALTIES AND SURVIVORS BENEFITS RECORDS

(1) CASUALTY AND DISASTER REPORTS, LISTS, and related correspondence and messages. Include reports submitted to or received from Navy Department, but exclude Navy Department copies.

Retention period: 2 years.

1800 RETIREMENT RECORDS - GENERAL

(1) NAVAL HOME (operated for retired personnel) records:

(a) General correspondence files relating to the Governor's duties in operating the Home, and to the lodging, health, safety, welfare and comfort of men legally admitted to the Home as beneficiaries under its regulations. Include correspondence with the Navy Department, other government agencies, and individuals.

Retention period: permanent. (Transfer inactive file to Federal Records Center, Philadelphia, Pa. when 5 years old.) *

(b) Correspondence with or relating to applicants rejected for admission to the Home.

Retention period: 5 years.

(c) Admission books, muster rolls of beneficiaries, and conduct record books (listing infractions of rules by beneficiaries and punishment awarded).

Retention period: permanent.

(d) Individual personnel folders for men in residence or awaiting admission.

Retention period: permanent. (Place in inactive file upon death or detachment of beneficiary; transfer inactive file to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. when 10 years old.) *

(e) Mount Moriah Cemetery records, including burial records and orders to open graves.

Retention period: permanent.

(f) Plans (tracings and blueprints) of physical plants and layout of the Home and Mount Moriah Cemetery.

Retention period: permanent.

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1850 DISABILITY RETIREMENT RECORDS

(1) DISABILITY COMPENSATION AND ALLOWANCE AFFIDAVITS (such as NAVPERS-1407). File in Service Record.

(2) PHYSICAL DISABILITY APPEAL BOARD, Navy Department records. See para. 1000(4).

1900 SEPARATION RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES relating to the processing of naval personnel for separation and to the general administration of separation functions.

Retention period: 2 years.

(2) SEPARATION ORDERS (such as Reports of Separation from the Armed Forces of the United States, DD-214) for officer and enlisted personnel.

(a) Activities copies.

Retention period: Navy activities--2 years; Marine Corps activities--1 year, or until terminal date of Reserve obligation under the Universal Military Training and Service Act if obligated for service.

(b) Bureau of Naval Personnel and Headquarters Marine Corps: one copy of each Order to be filed in individual's Service Record. (Navy copies are forwarded with endorsements and other separating papers or forms to the Bureau of Naval Personnel, as provided in BUPERS Manual, Article C-5407(4); Marine Corps copies are forwarded as provided in MARCORPS Personnel Manual.) *

Retention period: permanent.

(c) Other copies.

Retention period: until purpose has been served.

(3) PERIODIC REPORTS OF SEPARATION made to the Navy Department, such as copies of reports of recruits discharged during recruit training and message reports of early separations of enlisted personnel.

Retention period: 1 year.

(4) WORK OR CHECK-OFF SHEETS, CARDS, OR OTHER RECORDS USED LOCALLY FOR BILLETING, BUNKING, CERTIFICATION, OR PROCESSING PURPOSES.

Retention period: until separation of individual.

CHAPTER 2
COMMUNICATIONS RECORDS
2000-2999

The records described in this chapter relate to the management and operation of all types of communication services and facilities. They are created or accumulated by departmental bureaus and offices and field activities that exercise management control or formulate and prescribe general communication policies and procedures and by activities and offices applying these procedures and providing communication services.

- * Instructions in this chapter apply to all activities, commands, stations, offices, or units throughout the Department of the Navy that maintain communication records.

2000 COMMUNICATION RECORDS - GENERAL

(1) **PRIMARY PROGRAM RECORDS.** General correspondence files of the Office of the Chief of Naval Communications and of the U. S. Naval Communication Station, Washington, Ch. Lenham, Md.: that portion of the files, including pertinent studies and reports, that document the planning and development of communication programs, procedures, methods, and significant accomplishments. (Apply para. 2000(2) to remaining correspondence files.)

Retention period: permanent.

(2) **ACTIVITIES CORRESPONDENCE FILES,** including reports and other papers, relating to the internal operation and administration of communication offices or of communication services (other than those covered in para. 2000(1) above).

Retention period: 2 years.

(3) **TECHNICAL COMMUNICATION PUBLICATIONS** and instructions.

Retention period: until superseded, cancelled, or no longer needed for reference, except that originating activities will retain master set (1 copy of each publication they originate).

2010 COMMUNICATION REPORTS AND ANALYSIS RECORDS

(1) **REPORTS AND ANALYSES OF COMMUNICATION SERVICES** and related documentation not specifically covered by

other authorizations in this chapter (other than summary reports and analyses maintained or prepared by the Office of the Chief of Naval Communications and covered in para. 2000(1) above).

Retention period: 2 years.

2050 COMPETITION AND INSPECTION RECORDS. See paras. 3590 and 5040.

2100 MESSAGE RECORDS - GENERAL

(1) **COMMUNICATION CENTER AND CRYPTOCENTER FILES:** copies of all messages received or sent (by whatever means) and filed chronologically in date-time group order. Include message centers copies of unclassified messages and cryptocenters plain-language edited versions of classified messages. (Exclude date-time group files of all incoming and outgoing messages, including radiophotos, received or sent by the Office of the Chief of Naval Operations, Washington, D. C. These are permanent records and are to be destroyed only after microfilmed; master microfilm negatives and master photoprint negatives are to be retained.) See also para. 2100(11) for action copies of messages made a part of general correspondence files and of other appropriate file series:

(a) **Messages incident to distress or disaster.**

Retention period: 3 years.

(b) **Messages incident to or involved in any claim or complaint of which the command has been notified.**

Retention period: 2 years, or until complaint or claim has been fully satisfied, whichever is earlier.

(Statute of limitations for filing of suits upon such claims elapses after 2 years.)

(c) **Messages of historical or continuing interest.**

Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa. when no longer needed for local reference, except activities at the Seat of Government will transfer to Federal Records Center, Alexandria, Va.)

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- * (d) All other messages.
Retention period: 1 year, except 30 days for Intelligence Summaries (INTSUMS).
- * (2) VISUAL AND RADIO STATION FILES, including radiophoto files: circuit copies of messages received, addressed to, transmitted by, or relayed. (Exclude (a) message files of fleet broadcasts held by ships covered in para. 2100(3) below, and (b) visual logs maintained by naval control of shipping offices covered in para. 2100(4) below.)
Retention period: 1 month, except 3 months for commercial messages.
- (3) MESSAGE FILES OF FLEET BROADCASTS HELD BY SHIPS.
Retention period: 1 month, provided files are no longer needed for local reference.
- (4) VISUAL LOGS maintained by naval control of shipping officers.
Retention period: convoy commodore logs--permanent (transfer to nearest Federal Records Center when 6 months old.) Destroy all others in accordance with ATP-2, Article 623.
- (5) LOGS, RECORD SHEETS, OR REGISTERS of incoming and outgoing messages. Include radio circuit logs (including broadcasts and intercept schedules) and signal logs.
Retention period: those of historical or continuing interest--permanent; all others--6 months or until decommissioning or disestablishment, except retain radio circuit logs relating to distress or disaster for 3 years.
- (6) FACSIMILE FILES:
(a) Messages.
Retention period: those of historical or continuing interest--permanent; all others--6 months, except retain messages incident to distress or disaster for 3 years.
(b) Meteorological maps and summaries.
Retention period: copies maintained by communication offices or units only--48 hours; apply para. 3140 for action copies maintained by aerological activities.
- (7) RADIOPHOTO NEGATIVES.
Retention period: permanent.
- * (8) TAPE RELAY STATION MONITOR TAPES or page copies of outgoing messages and service desk rerun records (primary relay station log records of all messages).
Retention period: 30 days.
- (9) MONITOR TAPES or page copies of incoming messages (relay stations): message tapes used for relay purposes.
Retention period: 24 hours.
- (10) MULTIPLE LOG FILE: relay stations logs of incoming messages with multiple addressees.
Retention period: 6 months.
- (11) OFFICIAL ACTION COPIES OF MESSAGES RECEIVED OR SENT: filed in the action office or in the official file station serving the action office as part of the appropriate general correspondence (subject) file, case file, or other records series to which the message specifically relates. (These will be filed outside the communications office.) (When the official action copies of messages are filed properly with pertinent subject files, case files, claims, or other appropriate records series, the retention provisions of paras. 2100(1)(b) and (c) normally will be met.)
Apply pertinent instructions governing the disposition of the appropriate correspondence (subject) file, case file, or other basic record to which the message relates.
- (12) REFERENCE FILES of extra copies of incoming and outgoing messages.
Retention period: until purpose has been served.
- 2160 COMMERCIAL MESSAGES. Apply instructions in this chapter for the disposal of similar categories of non-commercial messages.
- 2200 COMMUNICATION SECURITY RECORDS
- 2260 COURIER SERVICE RECORDS
- (1) ARMED FORCES COURIER SERVICE RECORDS: receipts, logs, and other records of officer messenger mail sent via the Armed Forces Courier Service. Include chain receipts required to be

maintained for each letter or package from the time it is delivered to another officer messenger mail unit until it is finally delivered to the office of the addressee.

Retention period: 1 year.

(2) OTHER COURIER SERVICE RECORDS. Apply para. 2700.

2300 COMMUNICATION SERVICES, METHODS, MATERIAL AND EQUIPMENT RECORDS - GENERAL

(1) COMMUNICATION EQUIPMENT RECORDS: records relating to modification, testing, or other similar actions pertaining to individual items of communication equipment.

Retention period: until completion of survey action when equipment is lost or destroyed. (Records should accompany equipment when it is transferred.)

(2) OPERATORS AND EQUIPMENT SERVICE LOGS and performance reports, and related records.

Retention period: until completion of survey action when equipment is lost or destroyed. (Records should accompany equipment when it is transferred.)

(3) COMMUNICATION SERVICE CHARGES AND PAYMENT RECORDS: paying officer copies of records relating to the payment of communication service charges, including copies of invoices; toll statements; service authorizations (such as DD-428); copies of vouchers; account journals of subscribers service charges; and other records relating to the leasing and payment of telephone, teletypewriter, or other communication services. (See para. 7270 for records relating to collections for services used.)

Retention period: 4 years after period covered by the account, as provided in para. 7250.

(4) COMMUNICATION CONTRACTS: contracts or orders, letters of modifications to contracts with commercial companies, and related papers. See para. 4280.

(5) TELECOMMUNICATION ENGINEERING REPORTS: quarterly traffic reports prepared by NTX activities.

Retention period: 2 years.

2302 RADIO AND RADIOTELEPHONE RECORDS

(1) RADIO STATION MESSAGE FILES. Apply para. 2100.

(2) MONTHLY RADIO MATERIAL REPORTS: copies of reports submitted to departmental bureaus and offices.

Retention period: 1 year.

2303 TELETYPE, TELETYPEWRITER (TELEPRINTER) AND TAPE RELAY RECORDS. See para. 2100.

2304 RADIOPHOTO, FACSIMILE RECORDS. See para. 2100.

2305 TELEPHONE AND INTERPHONE RECORDS

(1) TELEPHONE SERVICE RECORDS: requests for telephone services; telephone service cards, line cards, and other similar records relating to servicing and the operation of telephone services and equipment. (Exclude service requests filed in payment folders covered in para. 2300(3).)

Retention period: 1 year.

(2) TELEPHONE AUTHORIZATION RECORDS: authorization slips or requests, toll tickets, summaries of long-distance telephone reports, and other similar records used to show authorized use of telephone service or to audit telephone bills or expense vouchers (such as DD-1131 and NAVCOMPT-752 and 2054(3)(c)). (Exclude disbursing or contracting officer files covered in paras. 2300(3) and (4) above and collection records covered in para. 7270(1).)

Retention period: those used in checking telephone company bills, toll charges, or lists of authorized calls--1 year, provided record has been checked against telephone bill or expense voucher; all others--until they have served their purpose.

(3) TELEPHONE AND TELETYPE CONTRACTS. See para. 4280.

(4) NOTICES TO RECEIVE TELEPHONE CALLS (such as NAVEXOS-35); related card or other control record.

Retention period: until separation or transfer of individual or until purpose has been served.

2370 MERCHANT SHIP COMMUNICATION RECORDS

(1) MERCAST SCHEDULES.
Retention period: 6 months.

(2) OTHER MERCHANT SHIP COMMUNICATION RECORDS. Apply pertinent subject-matter instructions contained throughout this chapter.

2400 FREQUENCY RECORDS - GENERAL

(1) **FREQUENCY ASSIGNMENT RECORDS:** records documenting the assignment, allocation and correlation of radio frequencies and call signals of the Department of the Navy.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when no longer needed locally.)

2500 NAVAL SECURITY GROUP ACTIVITIES RECORDS

(1) **CORRESPONDENCE, REPORTS, AND RELATED DOCUMENTS CONCERNING THE GROUP'S ORGANIZATIONAL AND ADMINISTRATIVE HISTORY;** policies followed and the reasons for their adoption; working methods, procedures, and techniques; results obtained and conclusions reached; specific transactions and operations that may become subject to legal or legislative inquiry; and operations or transactions that may be presumed to have a continuing interest.

Retention period: permanent.

(2) **DOCUMENTS SUBJECT TO REVISION:** documents or material, the contents of which are subject to revision, expansion, or subsequent correlation, and that may be destroyed when their purpose has been fulfilled.

Retention period: until superseded or obsolete.

(3) **DOCUMENTS EMPLOYED AS AIDS:** documents or material, the contents of which are employed as an aid to subsequent operations and that may be destroyed when they have been consolidated or their purpose has been fulfilled.

Retention period: until obsolete.

(4) **DOCUMENTS CONDENSED:** documents or material, the contents of which have been condensed by evaluation, and consolidation effected by discarding the superfluous or extraneous data.

Retention period: until consolidation or purpose has been fulfilled.

2600 PUBLICATIONS AND DEVICES RECORDS - GENERAL

2601 REGISTERED PUBLICATIONS RECORDS

(1) **GENERAL CORRESPONDENCE FILES** pertaining to registered publications transactions, administrative procedures, defective publications, destruction of publications, clearances, discrepancies in inventories, audits, and related subjects.

Retention period: 4 years.

(2) **REPORTS RELATING TO REGISTERED PUBLICATIONS,** including:

Transfer Reports (such as RPS-1) (receipts and issues)

Destruction Reports (such as RPS-2)

Inventory reports

Issuing Office's Reports (such as RPS-18)

Flyleaf reports

Retention period: 4 years.

(3) **LOGS OF TRANSACTION NUMBERS.**

Retention period: 4 years.

(4) **COPIES OF MESSAGES** relating to RPS-distributed publications or RPS policy, maintained by Registered Publications Offices.

Retention period: 18 months.

(5) **LEDGER RECORDS** (such as RPS-50) for superseded publications.

Retention period: 2 years.

(6) **LOCAL CUSTODY RECEIPTS** (including cards such as RPS-17) for publications transferred or destroyed.

Retention period: 2 years.

(7) **TRANSFER ORDERS** (such as RPS-15) and **STOCK REQUESTS** (such as RPS-24); logs or other records of shipment numbers.

Retention period: 1 year.

(8) **REPLACED SECTION V PAGES OF CUSTODIAN'S RECORDS OF RPS-DISTRIBUTED PUBLICATIONS** (such as RPS-22); Issuing Office's Inventories of Non-registered Publications (such as RPS-22); Quarterly Activity Reports (such as OPNAV Report 2930-1).

Retention period: 1 year.

(9) **RECEIPTS FOR OFFICER MESSENGER MAIL** and for courier service mail.

Retention period: 1 year.

(10) **REGISTERED PUBLICATIONS.**

Retention period: issuing office will retain master copies; return all other

copies to supply via the Registered Publications System.

2602 NONREGISTERED PUBLICATIONS

(1) PUBLICATIONS NOT DISTRIBUTED VIA THE REGISTERED PUBLICATIONS SYSTEM (including training and recognition material, manuals, and pamphlets concerning naval equipment).

Retention period: current and usable publications—until no longer needed, except if in the opinion of the commanding officer the quantity or value justify return to stock for reissue and use, forward to nearest Publications and Printing Service Office. If publications become obsolete or unusable, destroy immediately. (Destroy classified publications by burning.)

(2) RECEIPTS, LOGS, AND CERTIFICATES OR REPORTS OF DESTRUCTION of accountable (but nonregistered) publications: any publication for which receipt or location is registered for security purposes.

Retention period: 2 years.

2700 MAIL AND POSTAL AFFAIRS RECORDS — GENERAL

(1) GENERAL CORRESPONDENCE FILES, REPORTS AND OTHER RELATED DOCUMENTS PERTAINING TO THE OPERATION AND ADMINISTRATION OF MAIL AND POSTAL AFFAIRS. Include records of all naval offices or units responsible for mail and postal services. Do not include records held by naval units of the U. S. Postal Service:

(a) Postal Affairs Branch in the Office of the Chief of Naval Operations.

Retention period: permanent.

(b) Other mail and postal affairs offices.

Retention period: 2 years, except fleet post offices may destroy immediately upon disestablishment.

(2) MESSENGER SERVICE RECORDS relating to internal messenger service, such as daily logs, assignment records, route schedules, delivery receipts, and other similar or related records.

Retention period: 6 months or until superseded or cancelled, as appropriate.

(3) RECEIPTS OR OTHER RECORDS OF MAIL OR PACKAGES sent through the Official Mail and Messenger Service or by guard mail. (Exclude classified mail delivery records covered by para. 2700 (6) below.)

Retention period: 6 months.

(4) MAIL AND CORRESPONDENCE (including messages) LOGS or other records of incoming and outgoing mail (other than registered and classified mail).

Retention period: 1 year, except handle such records used to facilitate the finding of material in correspondence files in the same manner as the correspondence files.

(5) CLASSIFIED AND REGISTERED MAIL LOGS, INDEXES, and other records of incoming and outgoing registered and classified mail (correspondence, messages, packages, etc.), including microfilm, photostats, or extra copies of correspondence.

Retention period: 2 years, except handle such records used to facilitate the finding of material in correspondence files in the same manner as the correspondence files.

(6) RECEIPTS FOR CLASSIFIED MAIL, including messages, etc. (other than receipts for outstanding material where reports of destruction or other accounting are required and other than receipts for registered publications).

Retention period: 2 years.

(7) CERTIFICATES OR LETTER REPORTS OF DESTRUCTION of nonregistered classified material.

Retention period: 2 years.

(8) RECORDS OF REGISTERED PUBLICATIONS. See para. 2601.

(9) RECORDS OF REMITTANCES (checks, cash, and money orders) and other enclosures received through the mail room in incoming mail.

Retention period: 1 year.

(10) PRODUCTION REPORTS OF MAIL HANDLED and work performed, with compilations derived therefrom. Include statistical reports of outgoing mail (air mail, special delivery, registered, foreign, and over 4 pounds).

Retention period: 1 year.

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(11) **POSTAL RECORDS** consisting of Post Office forms and supporting or similar records, except see para. 2740 for copies held by naval units of the U. S. Postal Service: records of received or dispatched registered mail pouches; applications for postal registrations and certificates of declared value of matter subject to postal surcharge; receipts and other records of incoming and outgoing registered, certified, and insured mail; return receipts for registered, insured and special delivery mail; reports of the loss, rifling, delay, wrong delivery or other improper treatment of mail matter; and statements of readings of metered registers.

Retention period: 1 year.

(12) **REQUISITIONS FOR STAMPS** (other than copies used as supporting documents to payment vouchers).

Retention period: 6 months.

(13) **OFFICIAL PENALTY MAIL REPORTS** prepared by the Navy Department (departmental level only) for submission to the Post Office Department.

Retention period: 2 years.

(14) **NOTICES TO RECEIVE MAIL** (such as NAVEXOS-35) and related card or other control records.

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Retention period: until separation or transfer of individual or until purpose has been served.

(15) **APPOINTMENT RECORDS** for unit mail clerks or mail orderlies:

(a) Logs or other local records of appointments issued.

Retention period: 2 years.

(b) Appointment Forms (such as DD-285).

Retention period: until appointment is withdrawn.

2740 **POSTAL OPERATIONS RECORDS**

(1) **MONEY ORDER RECORDS:** Daily Military Post Office (MPO) Reports of Money Order Business (such as MPO-6019).
Retention period: 3 years.

(2) **POST OFFICE DEPARTMENT RECORDS** accumulated by naval units of the U. S. Postal Service. Apply Post Office Department instructions contained in OP-NAV Instruction P2700.14, Subj: U. S. Navy Postal Instructions.

CHAPTER 3
OPERATIONS AND READINESS RECORDS
3000-3999

The records described in this chapter relate to all phases of naval operations--sea, land, or air--including those pertaining to preparation, training and readiness, the conduct of warfare and readiness operations, operations analyses, port operations, weather services, flight and space operations, naval intelligence, and research and development. The records are accumulated by activities ashore and afloat applying procedures and policies established by higher organizational elements, by command activities exercising management and operational control, and by departmental (headquarters) offices responsible for managing, planning, developing, and prescribing operational policies and procedures for joint operations, mobilization, and fleet operations.

3000 OPERATIONS AND READINESS RECORDS - GENERAL

(1) **PRIMARY PROGRAM RECORDS:** general correspondence files and other records that reflect the establishment of policies, plans, programs, and procedures, and the procedural development, execution, and accomplishment of naval operations and programs relating to the assigned responsibilities of the organization. These consist of correspondence, reports, plans, studies, administrative histories, and other records documenting primary missions and essential transactions, regardless of whether they are maintained in a central file or in an officially authorized decentralized division or office file. They include:

(a) Records of the Office of the Chief of Naval Operations and Headquarters Marine Corps.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old or when file becomes inactive.)

(b) Records of Operating Force (Fleet) Commands, including Fleet Marine Force Commands.

Retention period: permanent, as provided in para. 3100(1).

(c) Records of Naval District and River Command Headquarters.

Retention period: permanent, as provided in para. 3000(3).

(d) Records of Naval Base Headquarters (other than air and amphibious bases).

Retention period: permanent, as provided in para. 3000(2)(c).

(e) Operational records of other naval activities pertaining to combats or alerts.

Retention period: permanent as provided in paras. 3000(4) and 3100(2)(b).

SHORE-BASED COMMANDS RECORDS
(See para. 3100 for fleet commands.)

(2) **NAVAL BASE HEADQUARTERS** general correspondence (primary program) files: correspondence, reports, and other records of the commander that document the organization of the Headquarters and the development and execution of its primary mission or functions, together with official documentation of its policies, problems, decisions, procedures, and essential transactions. (Exclude records relating to the internal operation and administration of the command; these are covered in para. 3000(5) below.):

(a) Air Base Headquarters. (See para. 3700 for flight operation records.)

Retention period: 6 years.

(b) Amphibious Base Headquarters. (See also para. 3340.)

Retention period: 5 years.

(c) Other Base Headquarters. Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old.)

(3) **NAVAL DISTRICT AND RIVER COMMAND HEADQUARTERS:**

(a) Commandant's general correspondence (subject) files: correspondence reports, studies, and other records that reflect the development and execution of the command's plans, policies, primary functions, programs, procedures, essential

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transactions, and its organizational history. Include files of the chief of staff and assistant chiefs of staff relating to their functions as aides to the commandant and to the general supervision of the administrative and operational functions of the command and the execution of instructions issued by the commandant. Include organization charts originated within the command and program files of the Operations and Planning Division and the Civil Engineer that are not duplicated in the commandant's permanent files. (Exclude files relating to specific ships or classes of ships; these are covered in para. 4700(8).)

Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old.)

(b) Divisions general correspondence files: files of departments, divisions, and other offices, when program material is duplicated or essentially summarized in the commandant's permanent files. (Exclude records relating to the internal operation and administration of the command covered in para. 3000(6) below.)

Retention period: 4 years, except 3 years for files of the Inspector General, and of the Military Personnel, Aerology, and Ordnance Offices, and 2 years for files of the Material or Supply Office.

(4) NAVY STATIONS AND FACILITIES FILES:

(a) General correspondence (subject) files of commanding officers of naval stations and facilities:

1. That portion of the files that documents the overall development and accomplishment of the activity's primary mission, its organization, general procedures, essential transactions, and important local policies and decisions. (See also paras. 3900, 5215(1), 5700(1)(c), and 5750(3) to (5).)

Retention period: naval air stations (including auxiliary air stations and air facilities) within continental United States--6 years; other naval stations and facilities--permanent (transfer to nearest Federal Records Center when 4 years old.)

2. Remaining portion of activity's general correspondence files, including reports and papers pertaining to the

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internal operation and administration of the station or facility. Apply para. 3000(6) below

(b) Station journals (as prescribed by Navy Regulations, Article 0792).
Retention period: permanent. (See para. 5750.)

* (5) MARINE CORPS FIELD ACTIVITIES FILES: that portion of the files that document the overall development and execution of plans, policies, programs, procedures, important decisions or transactions, and major problems or events. Consist of correspondence, reports, staff studies, minutes of staff conferences, standing operating procedures issued at all echelons; station journals; publicity material of significance; documents reflecting the activity's organizational and functional history, station journals, and other historical records; records documenting research and development projects; records pertaining to doctrine, equipment, machines and materials; and training program materials. (See paras. 1500(1)(c), 3900, 5215(1), 5400(1), 5700(1), 5750(3) to (5).)

Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa. when 1 year old, except Headquarters FMF, Atlantic and MARCORPS Schools, Quantico, Va. will transfer to Federal Records Center, Alexandria, Va.)

* (6) NAVY AND MARINE CORPS ACTIVITIES INTERNAL ADMINISTRATIVE FILES (other than records covered in paras. 3000(1) through (5) above and records of fleet activities covered in para. 3100(2)): general correspondence files of activities and offices relating to the routine internal operation and administration of the activity or office.

Retention period: naval activities--2 years; Marine Corps activities--3 years, except 1 year for copies of standard reports of operations and activities submitted to the Commandant of the Marine Corps that are no longer essential for the performance of the activity's mission, and 1 year or upon disestablishment for Fleet Marine Force activities located outside the continental limits of the United States.

3010 OPERATING PLANS

(1) OPERATING PLANS (including combined, joint, Navy and Marine Corps)

and mobilization, support, and civil defense emergency plans; related correspondence and other supporting documents:

(a) Official departmental original or other master copies maintained by the Office of the Chief of Naval Operations and departmental implementation plans of Headquarters Marine Corps and bureaus and offices; related background papers, supporting documentation, and correspondence.

Retention period: permanent. (Transfer periodically superseded or cancelled plans with general (subject) correspondence files to the Federal Records Center, Alexandria, Va.)

(b) Copies of proposed and approved plans and orders received from or forwarded to the Chief of Naval Operations, the Commandant of the Marine Corps, or other higher authority; related correspondence and supporting documents.

Retention period: until superseded or cancelled, or dispose of in accordance with instructions of the originator, as appropriate, except that if plans are put into effect records pertinent to the implementation of operating plans and orders will be permanent records and will be transferred to the Federal Records Center, Mechanicsburg, Pa.

(c) Copies that specifically document operating plans of departmental bureaus and offices, of the Commandant of the Marine Corps, and of field (including fleet command) activities, and that support and/or are filed with official primary program (general correspondence or other) files designated in this manual for permanent retention.

Retention period: permanent. (Transfer with activity's retained files to appropriate Federal Records Center.)

(d) Other copies of plans.

Retention period: until no longer needed, or destroy in accordance with instructions of the originator, as appropriate.

3020 JOINT PLANS

(1) JOINT PLANS. See para. 3010.

(2) MIDDLE ATLANTIC, WESTERN, AND HAWAIIAN AREA JOINT COMMITTEES RECORDS:

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(a) Joint Committee Project Files: precepts, minutes of meetings, reports of studies, recommendations, joint agreements in force; related correspondence and other papers.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. 6 years after implementation of the project.)

(b) Correspondence and related papers pertaining to the local administration and operation of the committee.

Retention period: 3 years.

3030 NAVY PLANS

(1) NAVY PLANS. See para. 3010.

3040 CASUALTY RECORDS

(1) SURVIVOR REPORTS:

(a) Official files of reports maintained by departmental offices; Office of the Chief of Naval Operations, Headquarters Marine Corps, Office of Naval Intelligence, and others.

Retention period: permanent.

(b) Copies of reports maintained by field activities and offices.

Retention period: 1 year, provided copies have been filed in individual's official service jacket (when related to individual) or forwarded to higher authority.

3050 CIVIL DEFENSE RECORDS

These records related to the development and implementation of civil defense emergency plans for protection of life and property during emergency conditions.

(1) EMERGENCY PLANNING RECORDS of the Office of the Chief of Naval Operations, the Office of Industrial Relations, the Office of the Assistant Secretary of the Navy for Personnel and Reserve Forces, and other departmental offices or bureaus, documenting their assigned program responsibilities for emergency (civil defense) plans and programs; consolidated or summary reports of tests conducted under emergency civil defense plans.

Retention period: permanent. (Transfer to records center storage when file becomes inactive.)

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(2) EMERGENCY (CIVIL DEFENSE) PLANS AND DIRECTIVES and related background papers:

(a) Official master file maintained by offices responsible for the preparation and issuance of emergency plans and directives, including Continuity of Operations Plans.

Retention period: permanent.

(b) Copies of plans and directives.

Retention period: until superseded or obsolete.

(3) RECORDS, INCLUDING REPORTS, RELATING TO CIVIL DEFENSE TESTS OR DRILLS conducted under emergency plans.

Retention period: 3 years, except that consolidated or summary reports reflecting documentation of Navy's participation are permanent records.

3060 MOBILIZATION RECORDS

(1) MOBILIZATION PLANS. See para. 3010.

3100 OPERATIONS RECORDS - GENERAL OPERATING FORCE RECORDS

The instructions in this paragraph (3100) apply to records created or accumulated by all activities of the Operating Forces. They apply to records of shore-based Navy and Marine Corps activities as well as afloat activities when the activity is an integral part of the Operating Forces, including both fleet commanders and fleet command activities. (They do not apply to records of individual vessels; vessels will dispose of their records in accordance with instructions contained in Part III of this manual. Nor do they apply to primary mission records relating to the direction of the Operating Forces maintained by the Office of the Chief of Naval Operations and Headquarters Marine Corps. These are permanent records as provided in paragraph 3000(1).)

The term "fleet command" or "flag command" as used here refers to an officer or his staff who directs the movements of two or more vessels, aviation squadrons, companies, or other units, or who directs an administrative or special Navy or Marine Corps command whose functions are a part of fleet operations. It is not to be

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construed as applying only to commanding officers of flag rank.

Instructions in paragraph 3100(1) below apply to the described records regardless of whether they are filed in the office of the flag secretary or in decentralized department or division files. But they do not apply to command records, described in paragraph 3100(2) below, nor to duplicate or "extra copy" files.

Fleet commanders records eligible for destruction when 2 years old or less should be destroyed locally. Those eligible for later destruction should be transferred to the Federal Records Center, Mechanicsburg, Pa. with the command's permanent correspondence files. But they should be clearly marked as temporary records and destruction dates indicated so that the Center can readily dispose of them in accordance with applicable disposal provisions as they become eligible.

* NAVY AND MARINE CORPS COMMANDS

(1) FLEET COMMAND (FLAG) FILES:

(a) Fleet commanders primary program records. These are accumulated by commanders of fleet, force, type administration, and special commands, and by commanders of sea frontiers and flotillas, and of two or more air wings, groups, regiments, squadrons, or battalions. The records relate to the command's primary mission, to its fleet operational (Operating Force) functions, and to the command organization. They consist of correspondence, messages and message summaries, reports, instructions, movement orders, maps, studies, photographs, charts, overlays, plans, sketches, memoranda, minutes of staff conferences, staff studies, project plans and specifications (including research, test, and development projects), war diaries or unit journals, action reports, patrol and reconnaissance reports; and other similar records that document the planning, development, execution, and history of the command mission and its specific operations. These operations include combat, training, readiness, and intelligence operations, and the organization, movement, and deployment of fleet units, and other correlated operations. The records are filed by subject in accordance with the Navy-Marine Corps Standard Subject

Classification System. They include, but are not limited to, material filed under the following subject categories:

1. The Operations and Readiness (3000) series. This series includes records relating to operational and mobilization plans and orders; to all fleet operations--sea, air, marine, space; to warfare techniques and operational training and readiness; intelligence matters, including patrol and reconnaissance, and research and development (both doctrine and materials) matters. They consist of such records as operational plans, orders, and procedures; action reports; patrol and field reports or journals; mission reports; assignment, task, and deployment records; notes, memoranda, messages, message journals, and other records that pertain to actual combat or to alert or potential combat-type situations.

2. The Military Personnel (1000) series: records relating to decorations, citations, medals, and awards when made by the command as a result of delegated authority.

3. The Logistical (4000) series. Those records that document general logistical studies or actions that directly affect command policy or the performance of the command's mission or task.

4. The General Administration and Management (5000) series: that portion of the series that pertains to the overall administration and management of the command, to command or staff studies, including manpower deployment or other manpower studies, and to the development and accomplishment of significant management plans and projects.

5. Instructions and Orders (para. 5215): one copy of all instructions, orders, or manuals issued or implemented within the organization.

6. Publicity material important in documenting significant events or ceremonies or that are useful in documenting the organization's accomplishments or history.

7. The Organization, Function and Status series (5400 group of the 5000 series). Included in this group are records relating to the establishment of the

command; its functions, organization, and status; and to changes in its mission, organization, and status.

8. The Historical Matters subject category (para. 5750). This subject category includes operational or command summaries, histories, journals, diaries or reports, as well as any other record that documents a historically significant event, problem, or accomplishment.

* 9. Other series: any other records designated in the specific functional subject series category for permanent retention by Fleet Command activities.

Retention period: permanent. Transfer in annual blocks to the Federal Records Center, Mechanicsburg, Pa., as follows:

Construction Forces--transfer records of permanent construction forces when 2 years old; transfer records of mobile construction force activities when 1 year old or 3 months after deployment.

Commanders of sea frontiers, of administrative commands, and of flotillas, air wings, divisions, groups, regiments, squadrons, battalions, and other units--transfer when 2 years old.

Commanders-in-Chief of fleets, and commanders of force, type, and special commands--transfer when 3 years old.

These permanent fleet command records may be transferred to the Federal Records Center at Bell, California (pending subsequent transfer to the Federal Records Center, Mechanicsburg, Pa.) if frequent reference to the records is anticipated and transfer to Mechanicsburg would impede current operations. In these instances, a copy of the documents covering the shipments should be sent to the Federal Records Center, Mechanicsburg.

(b) Fleet commanders files other than those covered in subparagraph 3100(a)

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above: general correspondence files and other records of fleet commands, including internal department files, relating to house-keeping functions and to other similar functions that are common to all or several activities and do not specifically relate to the command's primary mission and tasks. These records should be filed under the appropriate functional subject category of the Navy-Marine Corps Standard Subject Classification System indicated and disposed of in accordance with the authorities contained in the pertinent subject-matter sections of this manual. Preferably, these records should be filed apart from the command's operation records. They include:

1. Administrative and management records not included in para. 3100 (1)(a) above. File under the 5000 series and dispose of under chapter 5 of this Instruction.

2. Civilian personnel records. File under the 12000 series and dispose of under chapter 12 of this Instruction.

3. Communication records. File under the 2000 series and dispose of under chapter 2 of this Instruction.

4. Disbursing records. File under the 7000 series and dispose of under chapter 7 of this Instruction.

5. Fiscal records. File under the 7000 series and dispose of under chapter 7 of this Instruction.

6. Legal records. File under the 5800 series and dispose of under chapter 5 of this Instruction.

7. Logistic (supply) records. File under the 4000 series and dispose of under chapter 4 of this Instruction.

8. Material (equipment) records. File under the 8000, 9000, 10000 or 13000 series, as appropriate, and dispose of under chapters 8, 9, 10, or 13 of this Instruction.

9. Medicine and dentistry records. File under the 6000 series and dispose of under chapter 6 of this Instruction.

10. Military personnel records. File under the 1000 series and dispose of under chapter 1 of this Instruction.

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11. Registered publications records. File under the 2601 series and dispose of under chapter 2 of this Instruction.

12. Security records. File under the 5500 series and dispose of under chapter 5 of this Instruction.

13. Facilities and utilities records. File under the 11000 series and dispose of under chapter 11 of this Instruction.

* (2) MARINE CORPS ACTIVITIES AND INDIVIDUAL OPERATING FORCE ACTIVITIES RECORDS, including Fleet Marine Force activities (other than "fleet command" activities covered in para. 3100(1)(a) above):

(a) General correspondence files of individual fleet command (Operating Force) activities. These consist of correspondence, reports, and other records relating to the routine internal operation and administration of the individual fleet activity.

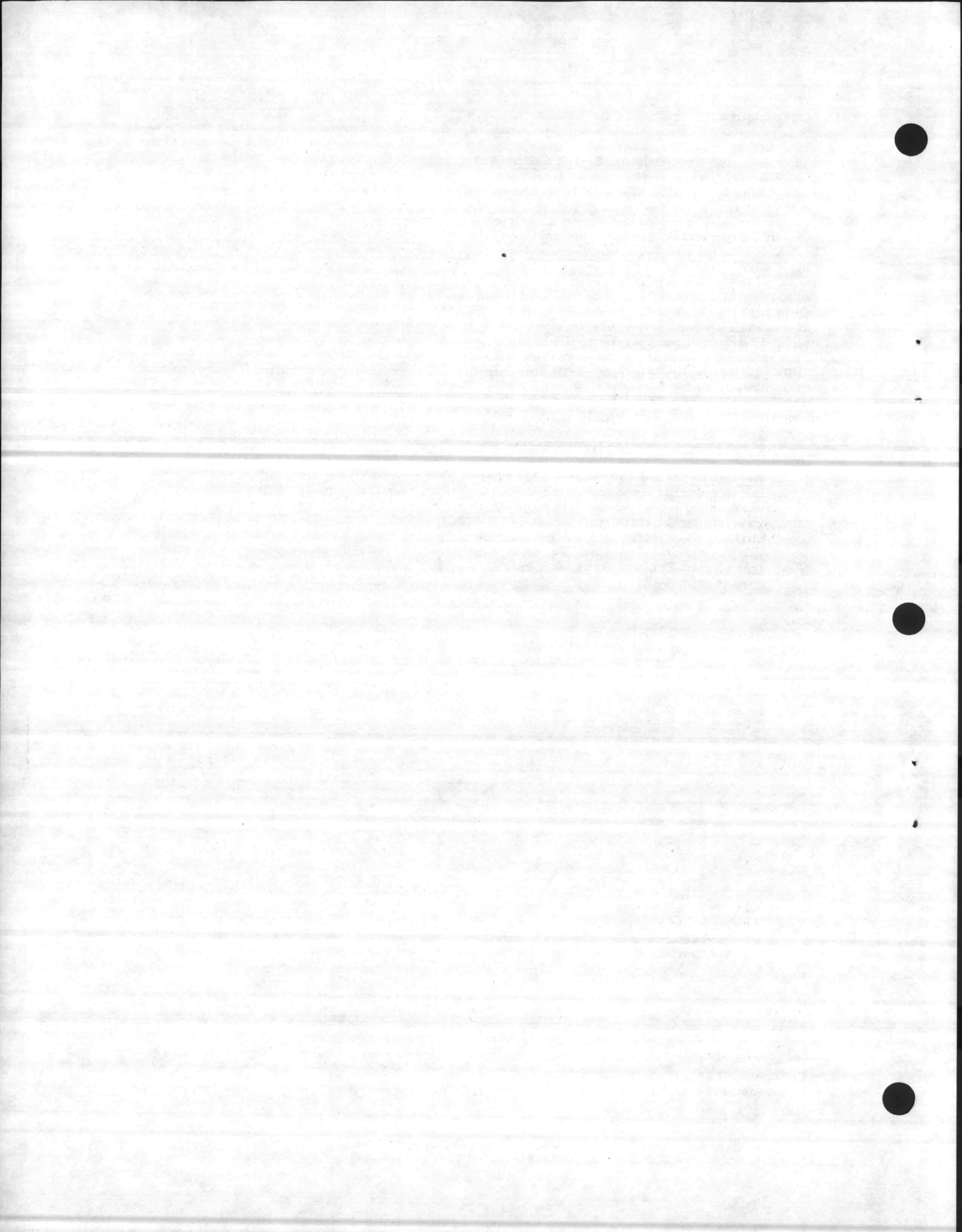
Retention period: 2 years, except 1 year or until disestablishment for Construction Force companies and detachments and all mobile construction force units, and for all Fleet Marine Force activities. (See also para. 3100(4) below for other specific records of Construction Force activities.)

(b) Any operational records documenting or pertaining to actual combat or combat-type situations, or to alerts or potential combat-type situations that are not completely duplicated in fleet commanders files (see para. 3100(1) above.) Include such records as preliminary action reports and action reports; mission or reconnaissance reports; field reports; operational message journals; operational studies or summaries, together with supporting personnel or logistical studies or summaries; staff conference minutes or other records; plans and changes or annexes thereto; notes, pertinent charts, sketches, maps, overlays; instructions or orders implemented within the activity; other operational records directly documenting the situation and not fully duplicated at the fleet command level.

Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa. when 1 year old or upon disestablishment.)

- * (c) Records of Marine Corps Activities: operational records and records pertaining to activities, alerts, and deployments in actual or potential combat-type situations of Fleet Marine Force activities through regimental (group) size, including separate battalions (squadron) and companies; and battalions (squadrons) or companies on detached service. Include plans; orders with annexes; operational directives; field messages; message center journals and dispatch summaries; preliminary reports of actions, such as aircraft mission reports, reconnaissance and patrol reports, unit reports, and related papers; communication reports, field reports by individuals; unit journals and related journal files; periodic intelligence, personnel, operational and logistic reports, summaries, and studies; memorandum and conference notes; and maps, overlays, charts, and sketches.

Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa. when 1 year old or upon disestablishment, whichever is earlier, except FMFLANT and Marine Corps Schools, Quantico, Va. will transfer to Federal Records Center, Alexandria, Va.)



- * (d) Other records of all individual Operating Force activities. Apply instructions for similar records contained in other chapters of this manual, and as indicated for fleet commanders records in para. 3100(1)(b) above.

(3) RESERVE FLEET HEADQUARTERS RECORDS: records of reserve fleet components, including reserve fleet headquarters and reserve fleet group and subgroup headquarters. (Do not include records accumulated aboard individual vessels, regardless of whether the records are left aboard ship when placed in reserve or are moved to the group or subgroup headquarters to be maintained on a current basis. See Part III of this manual for instructions for handling records of individual vessels being inactivated or decommissioned):

(a) General correspondence files of reserve fleet and group (including subgroup) headquarters. Apply paras. 3100(1) and (2) above.

(b) Inactivation (ship) records of reserve fleet headquarters: card or other records reflecting the status of ships under the headquarters' cognizance.

Retention period: until reactivation of ship concerned or until ship leaves jurisdiction of the cognizant reserve fleet.

(c) Material readiness records relating to individual ships in reserve:

1. Reserve fleet headquarters ships material readiness records: correspondence, reports, inspection records, and other readiness data. (Filed in folders by individual vessel).

Retention period: 2 years after activation of ship concerned, then transfer to nearest Federal Records Center; destroy 3 years later.

2. Reserve fleet group and subgroup headquarters ships material readiness records: folders filed by individual vessel consisting of work or job orders, inspection reports, maintenance logs, stowage plans, blueprints, shipalts and ordalts, equipment installation records, inactivation and activation status reports, and other similar records relating to the inactivation, status, maintenance, and material readiness of individual

vessels. Also included are electronic and ordnance material readiness records, and machinery indexes or machinery index work sheets.

Retention period: when ship is activated—transfer to ship concerned; when ship is sold or transferred and stricken from the naval list—transfer pertinent plans and equipment and maintenance records to new owner and destroy remaining records; when ship is scrapped, or sold as scrap and stricken from the naval list—destroy immediately.

(d) Dehumidification records of reserve fleet group and subgroup headquarters:

1. Dehumidification instrument readings, including zone and package readings, hygrometer checks, and periodic readings and reports on dehumidification.

Retention period: if summarized to show elapsed time to reach 30% humidity, average hours per day D/H machines operate to maintain 30% relative humidity, and prolonged or marked deviation from required average humidity—2 years; if not summarized, retain until after next periodic Board of Inspection and Survey inspection or until reactivation of ship concerned, whichever is earlier.

2. Completed dehumidification job orders.

Retention period: 6 months after posted to the relevant history card of dehumidification machinery and equipment.

3. Dehumidification plans.

Retention period: until superseded or until no longer applicable to installation, whichever is later.

4. History cards for dehumidification machinery and equipment.

Retention period: until machinery is surveyed; transfer with machinery or equipment concerned if it is returned to stock or transferred.

(4) CONSTRUCTION FORCE ACTIVITIES RECORDS:

(a) General correspondence files of Commanders (COs) and Chiefs of Staff

(XOs): records relating to policy, direction, and employment of naval construction forces and to the planning, development, and execution of plans and projects, together with related technical specifications and plans. Include correspondence and related records of the engineering branch of brigades and regiments that pertain to engineering and mobilization plans and specifications when these are not essentially duplicated in the Commanders' files.

Retention period: permanent, as provided in para. 3100(1)(a) above.

(b) General administrative correspondence files of construction force activities: records relating to the routine internal operation and administration of the activity, and copies of reports submitted to higher authority and not specifically covered elsewhere in this paragraph.

Retention period: 2 years, except that companies, detachments, and all mobile units will retain for 1 year. (See para. 3100(2) above.)

(c) Battalion logs (O. D.)
Retention period: permanent. (Transfer to nearest Federal Records Center 1 year after log is filled.)

(d) Operations records:

1. Operations records of brigades and regiments relating to the development and execution of plans and projects and to the prospective employment, movement, and readiness of construction forces.

Retention period: permanent, when not essentially duplicated or summarized in the CO's or XO's files. (Transfer to Federal Records Center, Mechanicsburg, Pa. with the commander's permanent correspondence files in accordance with para. 3100(1)(a).)

2. Records documenting the actual employment, movement, readiness, and field operations of construction forces.

Retention period: permanent, when not essentially duplicated or summarized in the CO's or XO's files. (Transfer to Federal Records Center, Mechanicsburg, Pa. when 1 year old or 3 months after deployment, in accordance with para. 3100(1)(a).)

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3. All other operations records.

Retention period: 3 years, except retain current plans or specifications and those having continuing value.

(e) Engineering records:

1. Engineering project files documenting specific projects and areas.
Retention period: indefinite. (Transfer to Federal Records Center, Mechanicsburg, Pa., upon completion of deployment, except that records needed for operating purposes may be transferred to the user public works department.)

2. Engineering records of continuing plants.
Retention period: permanent. (Transfer to next user of the plant.)

3. Engineering (technical section) records documenting plans and specifications for the employment of naval construction forces.

Retention period: 3 years, except transfer records of permanent units to Federal Records Center, Mechanicsburg, Pa., when 3 years old in accordance with para. 3100(1).

(f) Logistical records:

1. Records of brigades and regiments (logistic divisions) documenting plans and procedures for material support within advanced base functional components. (Exclude permanent records of construction force commanders covered in para. 3100(4)(a) above.)

Retention period: 4 years.

2. All others. Apply subject-matter instructions contained in the 4000 series.

(g) Construction maintenance records:

1. Records relating to construction schedules, project requirements for material and equipment, technical services, technical field assistance to naval construction forces and plans for projects assigned them (brigades and regiments only); also correspondence relating to employment schedules of naval construction forces (brigades only).

Retention period: 2 years.

2. Work progress and other reports relating to the operation and performance of plant, power, equipment, and installations.

Retention period: When summary reports are made—1 year, except that battalions may destroy their copies when 6 months old. When summary reports are not made—permanent units will retain until 2 years after plant is closed; mobile units will retain until completion of project, until plant is closed, or until 3 months after deployment, as appropriate.

3. Records relating to maintenance work: shop schedules, progress reports, status reports, and related data.

Retention period: When summary reports are made—6 months. When summary reports are not made—permanent units will retain 1 year; mobile units will retain until 3 months after deployment.

4. Logs of operations, equipment, and installations.

Retention period: When summary reports are made—1 year. When summary reports are not made—permanent units will retain until 2 years after plant is closed; mobile units will retain until project is completed or plant is closed.

5. Work orders, work requests, and related papers. (See para. 4280 for job purchase orders).

Retention period: permanent units—until 1 year after completion of project; mobile units—until deployment.

6. Other construction, maintenance, and facilities records not specifically covered in this paragraph. See para. 4700 and chapter 11.

3110 ASSIGNMENT OF AIRCRAFT AND VESSELS RECORDS

(1) GENERAL CORRESPONDENCE FILES, REPORTS, AND OTHER RECORDS of activities concerned with the operation of naval craft, relating to the assignment, movement, and status of aircraft, vessels, and other craft and to the operation and administration of traffic. (Exclude fleet (flag) commanders' records covered in para. 3100(1).)

Retention period: 2 years, except 4 years for naval districts and river command headquarters files.

3111 HOME PORTS AND YARDS RECORDS

(1) HOME YARD COPIES OF ALLOWANCE LISTS FOR SHIPS and related ships machinery indexes. See para. 4423.

3120 OPERATING PROCEDURES, TASKS, AND EMPLOYMENT RECORDS

(1) CORRESPONDENCE, REPORTS, AND OTHER PAPERS OF INDIVIDUAL FIELD ACTIVITIES THAT DOCUMENT INTERNAL OPERATING PROCEDURES or tasks and the employment or deployment of personnel and materials:

(a) Records of fleet (flag) commanders.

Retention period: permanent. See paras. 3100(1) and (2).

(b) Records of other activities. (See also paras. 3121-3129).

Retention period: 2 years.

3121 OPERATION PLANS AND ORDERS

(1) ACTIVITIES COPIES OF OPERATING ORDERS for routine or fleet exercises; related correspondence and papers.

Retention period: 2 years, except 1 year for mobile construction force activities and Marine Corps field activities.

(2) OPERATIONS PLANS. See para. 3010.

3122 MILITARY-MEDICAL-DENTAL GUARDSHIP ASSIGNMENT RECORDS

(1) CORRESPONDENCE, REPORTS, AND OTHER RECORDS RELATING TO GUARDSHIP ASSIGNMENTS, including the employment of Marine security guard forces.

Retention period: 3 years.

3123 MOVEMENT REPORT RECORDS

(1) CORRESPONDENCE, ORDERS, AND RELATED RECORDS CONCERNING THE MOVEMENT OF AIRCRAFT, SHIPS, AND OTHER CRAFT. Apply para. 3110.

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(2) **MOVEMENT REPORTS:** arrival and departure reports, vessel operation reports, or similar or related movement reports concerning naval craft (vessels, aircraft, etc.) maintained by field activities and not specifically covered elsewhere in the 3120 series. (Exclude fleet command records covered in para. 3100(1) and Commander, MSTs records covered in para. 4620.)

Retention period: 2 years.

(3) **LOGS AND OTHER SIMILAR CONTROL OR SCHEDULING RECORDS** relating to ship and craft movements within an activity's area. Include ship, barge, or other craft movement logs and lists of ships and craft arriving and departing.

Retention period: 2 years.

(4) **CONTROL OF SHIPPING OFFICES AND NAVAL PORT CONTROL OFFICES MOVEMENT RECORDS.** See para. 3170.

(5) **MOVEMENT REPORT CENTERS AND OFFICES RECORDS:**

(a) General correspondence files: correspondence, reports, and related papers pertaining to the operation and administration of movement report functions. Include correspondence with other units of the Movement Report System as well as with superior or other commands.

Retention period: 2 years.

(b) Messages received by movement report centers or offices reporting movements of units of the fleet.

Retention period: 1 year.

(c) Summary message sheets (summarizing messages received daily). These are prepared by each movement report center or office for transmission of information to other centers or offices.

Retention period: until transmission to other centers or offices is completed.

(d) Ship locator cards showing movements made by each unit of the fleet.

Retention period: temporary cards showing progress of movement for each fleet unit—until arrival of craft at destination; locator (kardex) cards—permanent.

(e) Copies of photographs of daily continuous location plots.

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Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa., when 1 year old.)

(6) **MILITARY SEA TRANSPORTATION SERVICE SHIP MOVEMENT RECORDS.** See para. 4620(7) and (26).

3124 FLEET AIR OPERATIONS RECORDS

(1) **OPERATIONAL RECORDS OF AIR WING COMMANDS, SQUADRONS, AND OTHER UNITS.** Apply paras. 3100(1) and (2).

(2) **RECORDS OF FLEET ACTIVITIES** relating to the routine internal operation and administration of air/space traffic.

Retention period: 2 years.

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3127 NAVAL RESERVE TRAINING AFLOAT RECORDS

(1) Handle military personnel records in accordance with chapter 1; handle operational program records in accordance with paras. 3000 and 3100.

3140 WEATHER SERVICES RECORDS

The records described in this (3140) series are created or accumulated in connection with the performance of all phases of weather (aerological) services and operations, including weather forecasting and observations, and related meteorological and aerological functions.

(1) **PRIMARY PROGRAM RECORDS:**

(a) General correspondence files and other records of the Office of the Chief of Naval Operations that document weather operations and plans, and the formulation, execution, and prescribing of weather programs, policies and procedures, as well as other records pertaining to the exercise of management control of naval weather services.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) Files of the U. S. Naval Weather Service Office, Washington, D.C.:

1. That portion of the Office's general correspondence files, including reports, that documents the organizational and functional history of the Naval Weather Service and programs, plans, policies, procedures, and significant transactions pertaining to its assigned responsibilities. Includes official files accumulated by branches or other organizational units not essentially duplicated or summarized in the commander's files.

Retention period: permanent.

2. General correspondence files relating to the routine internal operation and administration of the Office.

Retention period: 2 years.

3. Other correspondence files of the Office.

Retention period: 5 years, except retain the Operations Division file relating to weather bureau reports and weather broadcasts, schedules, and circuit surveys for 8 years.

4. The Office's files of boards and committees, such as World Meteorological Organization (WMO); Air Coordinating Committee, Subcommittee on Aviation Meteorology (ACC/MET); Joint Meteorological Committee (JMC); North Atlantic Treaty Organization (NATO); International Civil Aviation Organization (ICAO); their subcommittees and panels; and various miscellaneous boards and committees. Consist of reports, minutes, agendas, supporting papers and correspondence.

Retention period: permanent.

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES: correspondence, reports, and other papers of activities and offices accumulated in connection with the performance of weather service (aerology) operations, including weather forecasting, weather observations and reconnaissance, meteorological and aerological measurements and data, use of weather service instruments, and other related matters. (Exclude departmental program records covered in para. 3140(1) above.)

Retention period: 2 years, except 3 years for aerology records of district and river command headquarters.

(3) COPIES OF AEROLOGICAL AND WEATHER SERVICE REPORTS (such as Monthly Aerological Personnel Summaries

and Quarterly Aerological Summaries) submitted to higher authority.

Retention period: until purpose for which maintained has been served.

3142 WEATHER MAPS AND CHARTS

(1) MAPS AND CHARTS (or taped records thereof) maintained by weather centrals.

Retention period: indefinite. (Transfer to nearest Federal Records Center when 1 year old.)

(2) MAPS AND CHARTS (or equivalent taped records) maintained by all aerological units other than weather centrals.

Retention period: 1 year.

(3) MAPS AND CHARTS maintained by activities other than weather centrals and aerological units.

Retention period: until purpose has been served.

(4) FACSIMILE MAPS AND CHARTS.
Retention period: 1 month.

3143 WEATHER CODE RECORDS

(1) U.S. NAVAL WEATHER SERVICE OFFICE, WASHINGTON, D. C. CODE RECORDS: correspondence, reports, and other papers documenting the make-up, revisions, and use of weather codes and ciphers in transmitting weather information; and records relating to the assignment, cancellation, or changes in international code index numbers.

Retention period: permanent.

3144 WEATHER OBSERVATION AND RECONNAISSANCE RECORDS

(1) ORIGINAL WEATHER OBSERVATIONAL REPORTS AND OTHER RECORDS, such as aircraft reconnaissance observations, not covered specifically by other authorities in the 3140 series.

Retention period: 1 year, then transfer to the National Weather Records Center, Navy Unit, Asheville, N. C.

(2) DUPLICATE COPIES OF WEATHER OBSERVATIONAL REPORTS AND OTHER RECORDS.

Retention period: until superseded, obsolete, or no longer needed for reference.

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3145 WEATHER FORECASTS, WARNINGS,
AND ADVISORIES

(1) WEATHER FORECASTS, WARNINGS, AND ADVISORIES, exclusive of weather observations covered in para. 3144 above.

Retention period: 1 year, except retain copies of storm and small craft warnings for 6 months.

3146 CLIMATOLOGY AND WEATHER RECORDS

(1) ORIGINAL MONTHLY AEROLOGICAL RECORDS (Weather Bureau-Air Force-Navy WBAN series), such as Monthly Aerological Records Reports, Surface Weather Observations (Land and Ship), Surface and Upper Air Instrumental Records, Pilot Reports, Winds Aloft Computation Sheets and Graphs (land and ship), and Adiabatic Charts.

Retention period: transfer monthly to the National Weather Records Center, Navy Unit, Asheville, N. C., except that aeronautical units attached to special missions or expeditions requiring retention of the observations for use in preparing special or operational reports may transfer the records when up to 3 months old.

(2) U. S. NAVAL WEATHER SERVICE OFFICE, WASHINGTON, D. C. AEROLOGICAL FILES:

(a) Master microfilm copies of monthly aerological records received from naval activities; related card index.

Retention period: permanent.

(b) Card index records of aerological publications originated or sponsored by the Office.

Retention period: permanent.

(3) DAILY OR OTHER WEATHER (OR AEROLOGICAL) REPORTS accumulated by other than originating (issuing) activities.

Retention period: 3 months, until superseded or obsolete, or until no longer needed for local reference.

(4) WEATHER DATA received or sent by teletype or other electrical media, including teletapes, facsimiles, and other data.

Retention period: 1 month.

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3147 WEATHER PHENOMENA RECORDS

(1) U. S. NAVAL WEATHER SERVICE OFFICE, WASHINGTON, D. C. RECORDS documenting the history of and research into hurricanes, typhoons, or other storms, ice formations, meteorological and other weather or related phenomena; documents relating to meteorological equipment and materials research. Consist of reports, research data, photographs, supporting correspondence, and other papers.

Retention period: permanent. (See para. 3140(1)(b).)

(2) WEATHER PHENOMENA REPORTS: copies of reports submitted to higher authority.

Retention period: 2 years or until purpose has been served.

3150 PHOTOGRAPHIC RECORDS

Still and motion picture films are an integral part of Navy's official documentation; their physical character makes them no less official than documentation in any other form. They, as other naval records, are evaluated and disposed of on the basis of their content, purpose, origin, and use, and in accordance with disposal authority provided in this (3150) series.

(1) PRIMARY PROGRAM RECORDS: general correspondence files relating to the development and execution of plans, policies, programs, and procedures relating to naval still and motion picture photography:

(a) Departmental files accumulated by the Bureau of Naval Weapons, the Office of the Chief of Naval Operations, and Headquarters Marine Corps relating to assigned planning and program responsibilities.

Retention period: permanent.

(b) General correspondence files of the Naval Photographic Center, the Naval Photographic Interpretation Center, and the Naval Air Station, Anacostia, Washington, D. C.: that portion of the files relating to overall plans, policies, programs, and procedures pertaining to the performance of the activity's primary mission responsibilities for naval photography. Include files documenting significant transactions or accomplishments and the organizational and functional history of the activity. Exclude records relating to the internal operation

and administration of the office; these are to be destroyed when 2 years old in accordance with para. 3150(2) below.)

Retention period: permanent. (Transfer periodically to the Federal Records Center, Alexandria, Va.)

(2) GENERAL CORRESPONDENCE FILES, INCLUDING REPORTS, OF PHOTOGRAPHIC LABORATORIES AND OTHER ORGANIZATIONAL UNITS relating to the operation and administration of still and motion picture photographic functions; semiannual photographic reports. (Exclude records covered in para. 3150(1) above.)

Retention period: 2 years.

(3) PHOTOGRAPHERS DATA SHEETS, order logs, or similar records.

Retention period: 2 years.

(4) LOGS of still picture negatives and of motion picture film.

Retention period: 5 years.

(5) DUPLICATE OR EXTRA COPIES of negatives, glossy prints, or enlargements.

Retention period: until no longer needed for local use, then dispose of as provided in paras. 3150(6), (7), and (8) below, as appropriate.

(6) TRANSITORY LOCAL STILL AND MOTION PICTURE PHOTOGRAPHIC FILES: prints or negatives of photographs made at individual local installations to serve an immediate purpose but that do not have sufficient value to justify their inclusion in either the temporary "local" file covered in para. 3150(7) or in the permanent "general" file covered in para. 3150(8), except when special local circumstances warrant their inclusion in the "local" file. Include negatives relating to (1) photographs taken under training programs and of no further value, (2) photographs that are not reproducible because of improper focus, faulty processing, or other technical considerations; photographs that have deteriorated in file; color photographs when the color rendition is extremely poor; (3) enclosures to technical reports when without the report the photograph has no meaning; duplicate shots of the same subject; near duplicates or similar shots when part of a series of pictures will tell the complete story; duplicates, unless the original is destroyed; and extra copies; test shots, outtakes, rejects,

retakes, and ends of rolls not intended to be record photography.

Retention period: destroy immediately without filing or after retention for a brief suspense period.

(7) LOCAL STILL PICTURE NEGATIVE AND PRINT FILES: still and motion picture photography produced and accumulated by naval activities. Consist of photography relating to matters of local administrative interest and use; photography representing routine local analyses, tests, or research; copies of photography included in or attached to reports or other documents submitted to higher authority. Some typical examples are photography relating to local athletic and social events, to local accidents, or to undesirable or damaged material; charts, drawings, and diagrams made only for local administrative use; prints or negatives of pictures incorporated in reports or other appropriate files. Include related index records.

Retention period: 2 years for Navy activities and 1 year for Marine Corps activities, provided photography is of no further local value.

(8) "GENERAL" NEGATIVE AND PRINT FILES, including Secret Negative and Print Files: still picture files accumulated by naval activities, exclusive of transitory and temporary photographic records covered in paras. 3150 (6) and (7) above. Consist generally of negatives and prints (or mounted prints on forms such as NAVAER-452) of Navy and Marine Corps photography.

Retention period: permanent. (Forward monthly or more often when required, to U. S. Naval Photographic Center, Naval Air Station, Anacostia, Washington 15, D. C.)

(9) MOTION PICTURE FILM FILES: motion picture photography produced and accumulated by Navy and Marine Corps activities:

(a) Files of all Navy activities and of all (Regular) Marine Corps aviation units; and motion picture film footage of all Marine Corps activities used in completing approved motion picture productions.

Retention period: permanent. (Forward monthly, or more often when required, to U. S. Naval Photographic Center, Naval Air Station, Anacostia, Washington 15, D. C.)

(b) Files of Marine Corps Ground Forces (Regular and Reserve) and of Marine Corps Reserve aviation units (other than film footage used in completing motion picture productions covered in subpara. (a) above.) Include original footage, as well as duplicating elements (Five Grain Masters), and prints; related index cards.

Retention period: permanent. (Forward monthly or more often when required, to Marine Corps Schools, Quantico, Va., as follows: forward index cards to Photographic Services Library; forward film files to Motion Picture Film Archives.)

(10) NAVY AND MARINE CORPS CENTRAL PHOTOGRAPHIC (HISTORICAL) FILES: still and motion picture photographic files accumulated by naval activities designated as central depositories for Navy and Marine Corps photography having continuing or permanent value. Include motion picture files and "General" and "Secret" still photographic files produced or accumulated by central depositories for the permanent film archives of the Department of the Navy. Consist of negatives, prints, and related history or index records.

(a) Central Still Picture Files and Motion Picture Film Files of the U.S. Naval Photographic Center, Anacostia, Washington, D. C.: negatives and prints of all permanent Naval photography (other than motion picture photography relating to Marine Corps Ground Forces and Marine Corps Reserve aviation units covered in subpara. (b) below); related index or summary records.

Retention period: permanent.

(b) Marine Corps Central Motion Picture Film Files of Marine Schools, Quantico (Motion Picture Film Archives): original film footage, duplicating elements, and prints of film produced by Marine Corps Ground Forces (Regular and Reserve) and Marine Corps Reserve aviation units (other than film footage utilized in completing motion picture productions and covered in para. (9)(a) above); related index card records of the Photographic Services Library, Marine Corps Schools, Quantico.

Retention period: permanent.

(c) Aerial and Intelligence Photographic Files: accumulated by Naval Photographic Interpretation Center, Naval Air Station, Anacostia, Washington, D. C.

Retention period: permanent.

3160 HYDROGRAPHY, OCEANOGRAPHY, ASTRONOMY, AND SPACE RECORDS

The records described in this (3160) series are created or accumulated in connection with the performance of all phases of hydrographic, oceanographic, astronomical, and space functions, including cartographic operations. These records are accumulated by field activities and other offices carrying out prescribed functions and procedures and by departmental bureaus and offices that formulate or prescribe policies and/or procedures and by the U. S. Naval Observatory and the U. S. Navy Hydrographic Office.

Cartographic records covered in para. 3160 (3) through (7) in this series are produced or accumulated by activities in connection with the performance of mapping and charting functions, either in connection with the compilation, research, development, or production of navigation, nautical, aeronautical, target, or other charts and maps, terrain models, globes, or relief maps, and other related graphic materials. They are produced for training, operations, navigation, and logistical purposes. They generally have one or more of these characteristics: they comprise technical cartographic data required and appropriate to the development of naval charts, maps, or other related documents; they provide documentary evidence or a history of sources and methods used in producing charts, maps, or publications; they reflect the results of background studies or reports that facilitate or support production programs. The materials represent various stages of completion, from the drawing or planetable stage to final publication.

As used in this paragraph series, "publication" refers to the production of the documents, whether by printing process, photography, microfilm, or other method.

(1) PRIMARY PROGRAM RECORDS: general correspondence files and other records of the Chief of Naval Operations, the Bureau of Naval Weapons, and other departmental offices that document primary mission responsibilities for the development and execution of plans, policies, programs, and procedures pertaining to hydrography, oceanography, astronomy, outer space, and related operations, including cartographic functions, and to the over-all performance of these operations. (See also paras. 3161(1) and 3162(1).)

Retention period: permanent. (Transfer periodically to Federal Records Center, Alexandria, Va.)

(2) **GENERAL CORRESPONDENCE FILES**, including reports, of activities, offices, and other organizational units performing hydrographic, oceanographic, or astronomical functions: correspondence, reports, and other records relating to the internal operation and administration of the organization. (Exclude primary program records covered in para. 3160(1) above.)

Retention period: 2 years, except 3 years for activity reports accumulated by branch hydrographic offices, and 5 years for those at Hydrographic Office, Washington, D. C.

(3) **COPIES OF PUBLICATIONS, PERIODICALS, MATERIAL CHARTS AND MAPS, AND OTHER PUBLISHED MATERIALS:** copies of those pertaining to hydrography, oceanography, navigation, and astronomy, except see para. 3161(3) for reference files of branch hydrographic offices. (Exclude master files comprising at least one complete set of each chart, map, and other cartographic reproduction; these are permanent records and are covered in para. 3160(4) below.)

Retention period: until superseded, obsolete, or no longer needed. If unneeded copies are current and usable and the quantity or value justifies it, return them to stock for re-issue; forward to nearest hydrographic office or publications supply office, or in case of nautical material to the nearest air navigation office, whichever is appropriate.

(4) **FINAL CARTOGRAPHIC REPRODUCTION MASTER FILES:** originating activity's master files of final charts, maps, or other finished cartographic products and of each variant thereof; include atlases, globes, terrain models, relief maps, and other finished products that are the equivalent of published manuscripts (cartographic publications). (Include one or more complete sets of each finished product, as appropriate.) See para. 3160(3) above for other copies.

Retention period: permanent. (One complete set of each finished product should be reserved for eventual transfer to the National Archives.)

(5) **DRAWINGS, SUCH AS OVERLAYS, PLANETABLE, STEREOPHOTOGRAM-METRIC AND OTHER.** Include blueline or field completion drawings (boards) derived from stereophotogrammetric sources; overlays or similar drawings or transparencies prepared on the basis of compilations or of field surveys; related material, including field survey data or observation data and computation data (other than working data such as preliminary computations superseded by final computation).

Retention period: when not published or completely duplicated in resultant product - permanent; when published and completely duplicated in resultant product - 1 year after final completion and publication, provided it is no longer required for reference or other purposes.

(6) **MANUSCRIPT COMPILATIONS:** manuscript charts or maps (mounted or unmounted) on paper, acetate, vinylite, vellum, tracing cloth, or other media. These charts or maps are composites with all required information included on the base. They may be prepared in ink, pencil, color, etc; they may have information added by stickup, zipatone, or other adhesive means, or they may be entirely in ink or pencil. Some of these charts are unique and may have continuing value to the activity:

(a) Compilations determined not to be unique or have continuing value because they have been published; and working files.

Retention period: 1 year after publication of resultant map, chart, or other publication, except that those determined to have continuing value to the creating activity may be retained until superseded, obsolete, or no longer required by the activity for reference.

(b) Manuscript compilations that have not been published and are unique.
Retention period: permanent.

(7) **REPRODUCTION RECORDS:** Records produced or accumulated in connection with the reproduction phases of mapping and charting functions, including the preparation of reproduction negatives, the transfer of contents of negatives to reproduction plates, and the final printing or other reproduction of chart, map, or publication. Include film negatives prepared from color separation or other drawings

and used to prepare plates for final lithographic or other reproduction. Include also proof copies of maps, charts, or other publication.

Retention period: proof copies - until after publication of final product; all others - 1 year after completion and publication of final product or until superseded or obsolete, provided it has been determined that reproduction negatives are not required for reproducing additional copies and provided that other current directives do not require the retention of film negatives.

3161 HYDROGRAPHY AND OCEANOGRAPHY RECORDS

(1) U. S. NAVAL HYDROGRAPHIC OFFICE, WASHINGTON, D. C. RECORDS:

(a) Primary program records: that portion of the general correspondence files, and other records, that document overall plans, programs, policies, procedures, the management and conduct of the Office's mapping, charting, and other assigned functions, and the performance of its essential transactions. Include original signed charts and maps and variants thereof, including original aeronautical and construction charts maintained outside the Office's "stack room"; master files of hydrographic publications (library copy); other program records. (Exclude records covered in para. 3060(2).)

Retention period: permanent. (Transfer periodically to Federal Records Center, Alexandria, Va.)

(b) General correspondence files of divisions and other organizational units relating to the internal operation and administration of the office, when policy and program material is essentially duplicated in files covered in subparagraph (a) above.

Retention period: 2 years, except that divisions may retain files relating to plans and the over-all performance of functional responsibilities for 4 years.

(c) Chart correction history records: records reflecting issuance dates of Notices to Mariners to correct charts and other similar data.

Retention period: 10 years.

(d) Navigational Science Division records: technical reports, charts, and

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data accumulated for reference purposes. Include test, calibration, deflections maintenance reports and photographs pertaining to acceptance of equipment components; technical articles and pamphlets pertaining to navigation techniques, processes, or procedures; graphic material and related papers pertaining to navigational methods and instruments; tables, photostats, or other material used in connection with reviewing, correcting, and modifying hydrographic publications; and computation reports pertaining to participation in Computing Panels.

Retention period: until material or data becomes obsolete, except 3 years for computation reports.

(e) Oceanographic records: reference material, such as tabulations of sea and current data; charts containing oceanography illustrations to be incorporated in hydrographic projects or programs; and ice distribution charts, including base charts and weekly ice summary charts.

Retention period: until superseded or obsolete, except retain ice distribution and summary charts until publication of next revision of Ice Atlas.

(f) Maritime Safety Division records: master's report records indicating "observers" and reports submitted by each; weather data used in compiling Pilot Charts and Sailing Directions; standards for wreck charts; ship route reports of route tracks; reports on underwater obstructions compiled for and incorporated in reports to Oceanography Division; and wind rose data for pilot charts.

Retention period: wind rose data--5 years; reports on underwater obstructions--until completion of related project; other material--until obsolete.

(g) Marine Surveys (chart construction) records:

1. Long-range accuracy plotting data sheets.

Retention period: until project is completed.

2. Framing data requests indicating limits of target areas on charts to be reproduced.

Retention period: until charts are published.

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3. Target change memoranda, Air Target Materiel Program.
Retention period: 5 years.

4. Logs of status of Air Target Materiel Program Series 100 Charts.
Retention period: 10 years.

5. Completion reports submitted by operators for Work Assignment Memoranda.
Retention period: 10 years.

(h) Aeronautical Division records:

1. Hydrographic Office Daily Summaries of Changes to Naval Air Facilities; changes to radio facility charts.
Retention period: 1 year.

2. Correspondence, messages, and related papers pertaining to radio aids, seaplane facilities, and naval air stations, and used in the production of publications and charts.
Retention period: until publication or chart becomes obsolete.

(i) Other cartographic records.
Apply pertinent provisions of para. 3160.

(2) GENERAL CORRESPONDENCE FILES OF BRANCH HYDROGRAPHIC OFFICES.
Retention period: 2 years.

(3) REFERENCE FILES of hydrographic, oceanographic, or nautical publications, periodicals, and data:

(a) Copies maintained by branch hydrographic offices:

1. BHO Daily Records and Monthly Log Books; HYDROPAC AC Messages and HYDROPAC AC Summaries; NEMEDRI; other similar documents.
Retention period: 1 copy of each--permanent; all other copies--until no longer needed.

2. BHO Daily Memoranda and Notices to Mariners.
Retention period: 1 copy of each--permanent; all copies received from other BHO's--1 year after obsolete.

3. American Ephemeris and Nautical Almanacs; Hydrographic Office Notices to Mariners; Lake Carriers
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Association Annual Reports; and other Nautical Almanacs.
Retention period: 5 years after document becomes obsolete.

4. Air Almanacs; Foreign Notices to Mariners; Pilot Charts; and Tide Tables.
Retention period: 2 years after document becomes obsolete.

5. Hydrographic Reviews.
Retention period: 2 years after document becomes obsolete, then transfer to Hydrographic Office, Washington 25, D. C., Attention Librarian.

6. Bi-weekly Information Bulletins; Coast Guard (local) Notices to Mariners; Hydrographic Office Daily Memoranda; and Monthly Weather Reviews.
Retention period: 1 year after document becomes obsolete.

7. Coast Pilots and Light Lists (and Supplements); Port Series, Army Engineers; and Sailing Directions.
Retention period: until receipt of new edition.

8. Catalogs of Nautical Charts and Publications (such as HO-Pub-1-N and Portfolio Chart Lists (such as HO-Pub-1-PCL), including changes.
Retention period: until receipt of new edition and supplements.

(b) Copies maintained by other organizations. Apply para. 3160(3).

(4) RECORDS RELATING TO REQUESTS FOR AND ISSUANCE OR SALE OF HYDROGRAPHIC, OCEANOGRAPHIC, OR NAUTICAL CHARTS AND PUBLICATIONS, such as copies of cash sale invoices, monthly statements of issues of sales to agents, quarterly statements, issue invoices, credit invoices for cancelled or obsolete charts and publications, and shipping orders. (See paras. 7200 and 7300 for accounting and disbursing records.)
Retention period: 1 year.

(5) PILOTS HANDBOOKS: copies of Instrument Approach Procedure Charts, Seaplane; and Jet Editions.
Retention period: until no longer needed, then return to nearest hydrographic distribution point (hydrographic or air navigation office, etc.)

3162 ASTRONOMY RECORDS

(1) U. S. NAVAL OBSERVATORY RECORDS:

(a) General correspondence files, including records relating to the development, establishment, and operation of the Observatory Time Service Substation and other Observatory substations, and to technical publications (such as "American Ephemeris", "American Nautical Almanac", "Air Almanac").

Retention period: permanent. (Transfer periodically to Federal Records Center, Alexandria, Va.)

(b) Astronomers observation books, scientific papers, and other technical data records:

1. Observation books: records of observations made by astronomers using the 6-inch and 9-inch transit circles, dating from 1894. Include data regarding the sun, moon, planets, and selected stars.

Retention period: permanent.

2. Original observation books of the Equatorial Division, dating from 1840. Include data on 12-inch and 26-inch visual refractors, 40-inch reflector, 10-inch photographic refractor, and 5-inch photoheliograph and spectrohelioscope.

Retention period: permanent.

3. Scientific papers and records concerning astronomical observations and reductions; design, development, and construction of 7-inch transit circle, measuring engines and the moon camera.

Retention period: permanent.

(c) Photographic zenith tube time records, including PZT photographic plates, dating from 1915.

Retention period: permanent.

3170 PORT OPERATIONS RECORDS

(1) GENERAL CORRESPONDENCE FILES and reports relating to the internal operation and administration of port operations at naval activities, including the operation of anchorage and berthing facilities and service craft and ships.

Retention period: 2 years.

(2) NAVAL PORT CONTROL OFFICES RECORDS:

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(a) General correspondence files that document naval port control offices programs, policies, procedures, and essential transactions.

Retention period: 6 years.

(b) General correspondence files relating to the routine internal operation and administration of the office, including files of operating divisions and other organizational units, such as those of the operations officer, the officer-in-charge of service craft, and the ordnance officer.

Retention period: 2 years.

(c) Stevedoring contracts and related correspondence and papers. See para. 4280.

(d) Daily Shipping Report Files: copies of daily shipping reports and related records, prepared by port control officers or senior officers afloat in accordance with MSTS Ship Control Navy Training Publication Manual (such as NAVPERS-10829A). Records contain shipping data regarding naval and merchant marine ships in the area, such as information on arrivals and expected arrivals, departures and scheduled departures, port schedules, ships present, and other information regarding naval and merchant marine ships in port.

Retention period: 1 year.

(e) Periodic statistical reports reflecting the nature and volume of ship movements.

Retention period: 3 years.

(f) Movement files of naval port control offices containing operating and movement data on ships whose operations are of interest to the naval district, the naval base, or the naval port control officer.

Retention period: official record copies--permanent. (Transfer to nearest Federal Records Center 3 years after last berthing of ship in the area); duplicate copies of reports--6 months, provided official record copies are maintained by the operations division of the associated fleet command.

(g) Logs or other similar records of harbor services provided by the naval port control officer to non-naval vessels and activities.

Retention period: indefinite. (Transfer to nearest Federal Records Center 3 years after last entry in log or other record.)

(h) Service craft reports and related memoranda and correspondence concerning the cleaning, inspection, and maintenance of service craft and the care of equipment and stores.

Retention period: 1 year.

(i) Operational performance records of engines of service craft.

Retention period: 6 months.

(j) Machinery and engine service records.

Retention period: until completion of overhaul, provided entry is made on material history card, or until machinery is surveyed.

(k) Inspection records: copies of ships inspections, tests, and check-off sheets, including records of air tests. (See para. 4730 for records of boards of inspection and survey.)

Retention period: until superseded by new inspection record.

(l) Files of individual vessels.
Apply Part III of this manual.

(3) NAVAL CONTROL OF SHIPPING OFFICES RECORDS:

(a) General correspondence files relating to the routine internal operation and administration of the naval control of shipping office.

Retention period: 2 years.

(b) Ship data cards.
Retention period: until disestablishment of office.

(c) Ship cards or other log records of serial numbers of routing instructions.

Retention period: permanent. (Transfer to nearest Federal Records Center upon disestablishment.)

(d) Commodore analysis sheets.
Retention period: official analysis sheets held by originating naval control of shipping offices--indefinite. (Transfer to nearest Federal Records Center when 6 months old); copies,

including those held by destination naval control of shipping offices--3 months.

(e) Convoy master sheets held by originating naval control of shipping offices.

Retention period: permanent. (Transfer to nearest Federal Records Center when 6 months old.)

(f) Sailing Orders Folders.
Retention period: official record copies held by originating naval control of shipping offices--indefinite. (Transfer to nearest Federal Records Center when 6 months old); other copies, including those received from inbound vessels by destination naval control of shipping offices--3 months.

(g) Routing instructions.
Retention period: official record copies of convoy routing instructions, convoy formation diagrams, and routing instruction envelopes maintained by originating naval control of shipping offices--permanent. (Transfer to nearest Federal Records Center when 6 months old; all other copies, including those received from inbound vessels by destination naval control of shipping offices--3 months.

(h) Secret naval and merchant vessel logs.

Retention period: permanent. (Transfer to nearest Federal Records Center when 6 months old.)

(i) Drill messages received or sent by naval control of shipping offices in peacetime.

Retention period: 3 months.

(j) Other records of naval control of shipping offices. Apply pertinent subject-matter instructions for similar records contained throughout this manual.

3171 ANCHORAGE AND BERTHING RECORDS

(1) ANCHORAGE AND BERTHING REPORTS: monthly or other periodical reports of ships anchored or berthed in the area, including ships of the inactive reserve fleet.

Retention period: 2 years, except retain internal reports prepared for local operating purposes only for 1 year.

(2) BERTHING RECORDS: cards, lists, or other records of berthing assignments for ships and other craft anchored in the local area.

Retention period: 1 year after craft is reassigned or leaves the area.

3300 WARFARE TECHNIQUE RECORDS - GENERAL

3340 AMPHIBIOUS RECORDS

(1) AMPHIBIOUS BASES RECORDS:

(a) General correspondence files of the commanding officer and of the liaison and logistic office relating to the overall operation and administration of the base or office.

Retention period: 5 years, (These may be transferred to the nearest Federal Records Center when 2 years old.)

(b) General correspondence files of departments, divisions, and offices of amphibious bases, relating to their office or division functions and essentially duplicated in the commanding officer's file covered in subpara. (a) above. Include reports made to higher authority and not specifically authorized elsewhere in this paragraph for other disposal.

Retention period: 2 years.

(c) Engineering and Repair Officer's records relating to maintenance and repair work on vessels and craft.

Retention period: 4 years.

(d) Logs of incoming and outgoing craft. See para. 3123.

(e) Tug files of the operations department comprising repair and other data relating to district tug craft assigned to the Base.

Retention period: until tug leaves Base cognizance, then return to tug.

(f) Boat assignment records: show issuance of boats to major craft for shipboard operation use.

Retention period: 6 months after boat is returned.

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(g) Authorizations for release of boats from the amphibious base.
Retention period: 1 year.

(h) Status cards or other similar records showing status of boats under the cognizance of the amphibious base.

Retention period: until disposal action on craft is completed or until craft leaves the amphibious base.

(i) Boat engineering and repair survey reports.

Retention period: 1 year.

(j) Work and job order files.
See para. 4235(2).

(k) Availability lists showing overhaul schedules for craft and daily shop work records.

Retention period: 1 year.

(l) Shop files relating to jobs assigned and completed and to the administration of the shop. Include job jackets.

Retention period: 2 years.

(m) Other records of amphibious bases. Apply pertinent subject-matter authorities for similar records throughout this manual.

3390 GUIDED MISSILE INSTALLATION DEFENSE RECORDS

(1) ACTIVITIES COPIES OF GUIDED MISSILE REPORTS submitted to the Chief of Naval Operations in accordance with OPNAV Instruction 3390.6A.

Retention period: 1 year.

3400 ATOMIC, BIOLOGICAL, AND CHEMICAL RECORDS

3480 COMBAT AND ACTION REPORTS

* (1) COMBAT AND ACTION REPORTS: copies of reports accumulated by operating force or other activities relating to actual combat or alerts or to potential combat-type situations, including MARCORPS Standard Reports of Operations and Activities. (Exclude fleet commanders' and Navy Department copies.)

Retention period: 2 years, provided reports are duplicated in files of higher authorities (see para. 3100(2)(b).) If not duplicated, transfer to Federal Records Center, Mechanicsburg, Pa. when 2 years old.

(2) COPIES OF WARFARE REPORTS submitted to higher authority as prescribed in chapter I of NWIP-10-1.

Retention period: 2 years, except that aviation activities will retain air warfare reports for 4 years.

3500 TRAINING AND READINESS RECORDS - GENERAL

(1) AIR RESERVE READINESS REPORTS showing units, readiness, personnel strength, qualifications, and aircraft data.

Retention period: feeder reports and records prepared at the operating activity level--1 year; summary or fiscal readiness reports prepared and maintained by the Chief of Naval Air Reserve Training--indefinite. (Transfer to Federal Records Center, East Point, Ga. when 2 years old.)

3520 ELECTRONIC TRAINING AND READINESS RECORDS

(1) FLEET AIRBORNE ELECTRONICS TRAINING UNIT RECORDS:

(a) General correspondence (subject) files.

Retention period: files relating to the execution and accomplishment of the activity's mission and programs--5 years; files relating to the routine internal operation and administration of the Unit--2 years.

(b) Officer flight training folders consisting of examination sheets, flight check sheets, and other papers used in qualifying pilots.

Retention period: 3 months after information is furnished the Bureau of Naval Personnel or Headquarters Marine Corps and results are recorded in officer jackets (qualification or other) and in pilot log books.

3590 COMPETITION AND AWARD RECORDS

(1) RECORDS, INCLUDING REPORTS, RELATING TO TRAINING AND READINESS COMPETITIONS AND AWARDS. Include copies of awards made to individuals (exclusive of copies filed in individual's Service Record).

Retention period: 2 years.

3591 MARKSMANSHIP RECORDS

(1) MARKSMANSHIP PRACTICE AND TESTING RECORDS, including organizational reports; rifle, pistol line, and pit score sheets.

Retention period: 1 year.

3700 FLIGHT/AIR SPACE RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES OF NAVAL AIR STATIONS, naval auxiliary air stations, and naval air facilities. See para. 3000(4) for records of shore-based activities and para. 3100(2) for Operating Force activities.

(2) CORRESPONDENCE, COPIES OF REPORTS, AND OTHER RECORDS RELATING TO THE INTERNAL OPERATION AND ADMINISTRATION OF AIR AND SPACE TRAFFIC, including servicing facilities for locally based or transient craft.

Retention period: 2 years.

(3) AIR STATION JOURNALS. See para. 5750(5).

(4) AVIATION MEDICINE RESEARCH RECORDS. See para. 6410.

3720 ALL WEATHER FLYING RECORDS

(1) INSTRUMENT APPROACH PROCEDURES CHARTS, PILOT'S HANDBOOK. See para. 3161(5).

3721 NAVIGATIONAL AIDS RECORDS. See para. 3160.

3722 TRAFFIC CONTROL RECORDS:

(1) TRAFFIC CONTROL RECORDS: records relating to the internal control of air and space traffic, including arrival and departure logs, and records relating to the supervision of clearance and other traffic control functions.

Retention period: 6 months.

(2) AIRCRAFT CLEARANCE AND ARRIVAL REPORTS.

Retention period: 3 months, except retain local clearance notices for 6 months.

3750 FLIGHT SAFETY AND ACCIDENT ANALYSIS RECORDS

(1) AIRCRAFT ACCIDENT AND
CRASH REPORTS (such as OPNAV-3750-1
and 3750-8).

Retention period: 2 years, except see paras. 5830 and 5890 for reports to be filed as exhibits in investigative or claims files and copies to be forwarded to the Judge Advocate General, (When accidents result in death or in injury to persons or to privately-owned property, special care should be taken to insure that any pertinent papers that may be required to support investigations or claims are reserved for forwarding to the Judge Advocate General as he may require.)

3760 FLIGHT RECORDS AND REPORTS

(1) MASTER FLIGHT LOGS (such as OPNAV-3760-25 and Parts C and D of CNATRA-GEN 3760/3 when used in lieu of flight logs).

Retention period: permanent. Transfer as follows:

- (a) Upon decommissioning or upon entering combat status, transfer to Federal Records Center, Alexandria, Va.
- (b) While in combat status and on leaving combat status, transfer to Aviation Statistics Office of the appropriate fleet air command (COMAIRLANT or COMAIRPAC) upon completion; fleet air commands will transfer to Federal Records Center, Alexandria, Va. when the command considers them no longer useful as a reference source of combat data, or when so directed by the Chief of Naval Operations.
- (c) In all other cases, transfer to Federal Records Center, Alexandria, Va. when from 6 months to 2 years old, as appropriate.

(2) AVIATORS FLIGHT LOG BOOKS (such as OPNAV-3760-31). These are to be retained by the individual concerned; upon decease of individual, handle as personal effects.

(3) DAILY FLIGHT LOGS AND LOGS OF VISITING AIRCRAFT.

Retention period: 6 months after log is filled or 6 months after date of last entry.

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(4) OPERATIONS LOGS: logs accumulated by operations departments of flight activities, including control tower records.

Retention period: 6 months.

(5) AIRCRAFT FLIGHT RECORDS (such as OPNAV-3760-2 and CNATRA-GEN-3760/3).

Retention period: Part A--until Part B for the flight has been received and checked; Part B--3 months, or until aircraft is inducted into overhaul, whichever is earlier. When aircraft is transferred, forward all Part B's for the past 3 months to the new custodian; Parts C and D--until all data thereon have been transcribed in appropriate logs and other flight records and reports, except apply * para. 3760(1) above when data is not transcribed and Parts C and D serve as the master flight log.

(6) FLIGHT PLANS.

Retention period: 6 months.

(7) SQUADRON FLIGHT SCHEDULES AND TIME SHEETS.

Retention period: 6 months, except 3 months for Marine Corps squadrons.

(8) FLIGHT CERTIFICATES (such as NAVCOMPT-38) and records of completed flight time when used to substantiate the issuance of flight certificates (such as OPNAV-3760-37 or 1326-1). (Exclude disbursing copies of flight certificates.)

Retention period: 3 years. (Transfer to nearest Federal Records Center upon decommissioning.)

(9) AVIATION TRAINING REPORTS AND CNATRA AVIATION TRAINING JACKETS. Apply paras. 1500(7) and (12).

(10) FLIGHT ORDERS (copies of) and LOGS OR OTHER RECORDS OF ORDERS ISSUED. See para. 1320(1).

(11) SQUADRON LOGS.

Retention period: 3 years.

3800 INTELLIGENCE RECORDS - GENERAL

The records described in this (3800) series are accumulated by district intelligence

offices, by intelligence offices (such as IOs, COMNAVPHILIPPINES, COMNAV-MARIANAS, COMNAVJAPAN, etc.) and by other activities and offices concerned with intelligence matters.

(1) PRIMARY PROGRAM RECORDS: general correspondence files, reports, and other records of the Office of Naval Intelligence, Office of the Chief of Naval Operations, documenting the development and execution of plans, policies, programs, and procedures, and the performance of assigned functions.

Retention period: permanent.

(2) INTELLIGENCE OFFICES GENERAL CORRESPONDENCE FILES: records of district intelligence offices, or of intelligence offices (such as Intelligence Office, COMNAVPHILIPPINES, COMNAVMARIANAS, COMNAVJAPAN) performing similar functions, relating to investigations and the collection and evaluation of information, and to plans, programs, and transactions pertaining to the overall administration of the office.

Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old.)

(3) GENERAL CORRESPONDENCE FILES relating to the routine internal operation and administration of the intelligence office.

Retention period: 2 years.

(4) CASE INVESTIGATION (HISTORY) FILES: case history files of investigations relating to individuals.

Retention period: permanent. Place both derogatory cases (those containing derogatory reports) and nonderogatory cases (those containing no remarks of a derogatory nature) in inactive files upon completion of investigation. Transfer (in annual blocks) inactive nonderogatory files to nearest Federal Records Center 1 year later; transfer inactive derogatory files 2 years later.

(5) NATIONAL AGENCY CHECKS (such as OPNAV-5510-397), copies of. (Exclude master record copy showing results of check.)

Retention period: (a) nonderogatory copies (those showing no derogatory information)--until information is recorded in master file index; derogatory copies (those showing derogatory information)--6 months, then transfer

to nearest qualified Federal Records Center for indefinite retention.

(6) SABOTAGE, ESPIONAGE, AND WAR FRAUD INVESTIGATION REPORTS and memoranda.

Retention period: indefinite. (Transfer to nearest Federal Records Center when 2 years old.)

(7) INTELLIGENCE CARD INDEX FILE: card index or other similar record of ships, corporations, suspects, etc.

Retention period: permanent.

(8) SURVIVOR REPORTS: intelligence offices information copies.

Retention period: 1 year.

(9) VESSEL FILES, including boarding reports and crew lists, maintained by intelligence offices.

Retention period: 1 year.

(10) TELETYPE ROLLS: intelligence offices copies of.

Retention period: 2 years.

(11) COASTAL INFORMATION FILES: reference files of district intelligence offices consisting of information and data on coastal areas, such as codes and signals, distress calls (other than shipwreck records covered in para. 3800(12) below), signal lights, and related commerce and travel reports.

Retention period: 1 year.

(12) SHIPWRECK FILES: reports and related papers concerning shipwrecks.

Retention period: permanent.

(13) INFORMATION COPIES OF INTELLIGENCE REPORTS or data when disposition (retention or destruction) is not indicated by the forwarding authority. These are copies of reports or data received by activities or offices for information only from higher authority.

Retention period: 2 years, or until no longer needed for reference or information in connection with performance of activity's assigned functions.

(14) COPIES OF REPORTS OF DATA prepared locally and forwarded to higher authority; supporting estimates and data. *

Retention period: 2 years or until no longer needed for local reference or information in connection with the activity's mission.

(15) NAVAL ATTACHES RECORDS.
See para. 5710.

(16) AEROSPACE TECHNICAL INTELLIGENCE REPORTS OR STUDIES produced by Aerospace Technical Intelligence Center, Wright Patterson Air Force Base, Ohio: information copies accumulated by naval activities.

Retention period: until obsolete (deleted from latest ATIC cumulative index of current publications).

3830 STRATEGIC INTELLIGENCE RECORDS

(1) STRATEGIC INFORMATION FILES: records containing war strategic data.

Retention period: permanent.

3850 COUNTERINTELLIGENCE RECORDS

(1) COUNTERINTELLIGENCE FILES: working files comprising data on individuals, companies, associations, and other collective groups of individuals.

Retention period: 1 year after file is closed, then check with Director of Naval Intelligence to determine completeness of file; destroy when it is determined that information is completely duplicated.

3900 RESEARCH AND DEVELOPMENT RECORDS - GENERAL

These records are created by activities in connection with technical and scientific research and development programs relating to the development of new concepts, techniques, weapons, equipment, and materials, or the improvement, modification, or refinement of existing techniques, weapons, or materials. They involve all phases of research and development, including planning and the establishment of requirements and preliminary characteristics, experimentation, design, engineering, modification, testing, and acceptance. They are accumulated by research laboratories, test and development centers, stations or units, proving grounds, facilities, and other research and development or testing activities or offices.

They include basic records created by research and development activities that have lasting scientific or research values, such as those that document (a) program direction, review, and appraisal or analysis; (b) the research activity's over-all organization, functions, procedures, and operations; or (c) the conduct of individual projects and scientific and technical results and conclusions that may be useful for future research.

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Scientific data accumulated during the accomplishment of a specific project generally are reflected in laboratory notebooks and in progress reports and final technical reports. The reports reflect the progress and final results of the research effort. But since laboratory notebooks and other subsidiary scientific papers show how these results were achieved, they may possess potential reference value for future scientific research or for adjudicating patent and invention claims.

When specific research projects are of long duration, much data of a repetitive, continuing nature may accumulate from such processes as tests or experiments. The data are usually recorded in rough notes, on punched cards, electronic tapes, or comparable media, and then condensed in published reports or statistical summaries so that scientists may use it for comparative or other purposes. When the data is thus retained in condensed form, the source material may be considered disposable.

Technical reports and other data accumulated by private commercial or research organizations performing research functions under Navy contract are included in this (3900-3960) series.

The term "project" as used here applies to projects, subprojects, tasks, or project phases. Where feasible, it may be desirable to consolidate related records into a single project file. But if projects are of long duration and the volume of records is large, records relating to individual sub-projects, tasks, or phases may be cut off and transferred to records center or local interim storage upon completion of the sub-project, task, or phase and in the same manner as for contract case files covered in para. 4280.

The destruction provisions in this (3900) series pertaining to technical research and development records are permissive.

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records of the Office of the Chief of Naval Operations, the Office of the Commandant of the Marine Corps, the Office of Naval Research, and of other departmental offices and bureaus concerned with the development and accomplishment of research and development plans, programs, policies,

and procedures relating to their assigned missions.

Retention period: permanent. (Transfer to center storage when no longer needed on board.)

(b) General correspondence files, schedules, reports, and other papers of other research and development activities, departments or other organizational units that reflect the overall operations and administration of the research and development function. These primarily are accumulated by field laboratories or other research activities and offices responsible for the performance, development, review, and appraisal or analysis of research and development projects (such as Naval Research Laboratory, Washington, D. C. ; Naval Ordnance Laboratories; Technical Devices Center, Port Washington; Air Development Center; David Taylor Model Basin; the Navy Unit, Army Chemical Center; other medical, engineering, ships, aeronautical, astronautical, and other experimental, research, development or testing laboratories, facilities, etc.).

Retention period: permanent. (Transfer to inactive file when 5 years old and to nearest Federal Records Center 5 years later or when no longer needed for local reference.)

(2) GENERAL CORRESPONDENCE FILES of activities and offices performing research and development functions that relate to the routine internal operation and administration of the office.

Retention period: 2 years.

(3) TECHNICAL BOARDS AND COMMITTEES FILES: records of boards and committees studying assigned technical research and development problems, including requirements for or the authorization of projects, the scheduling and phasing of projects or programs, and the control and coordination of various research and development project phases or programs. Files consist of agendas, directives, minutes of meetings, papers relating to the establishment, revision, or termination of projects; and correspondence and other papers reflecting the boards or committees' actions, recommendations, and accomplishments:

(a) Official board or committee files.

Retention period: permanent. (Transfer to inactive file when 5 years old and to the nearest Federal Records Center 5 years later or when no longer required for local research or reference.)

(b) Copies accumulated and used by board or committee members in carrying out their assigned tasks.

Retention period: 5 years or until no longer needed for reference, as appropriate.

(4) PROJECT FILES: project case or other files maintained by laboratories and other activities and offices responsible for research and development functions, reflecting a complete history of each project from initiation through research, development, design, and testing to completion. Include project authorization documents; project cards; technical characteristics; test and trial results; drawings, specifications, and photographs considered essential to document design, modification, and engineering development; all technical and progress reports (including reports received from contractors); notices of completion; and correspondence influencing the direction or course of action taken on a project.

Retention period: permanent. (Transfer to inactive project file upon completion or termination; transfer inactive file to nearest Federal Records Center when 5 years old or when no longer needed for local reference.)

* (5) PROGRESS REPORT RECORDS: copies of reports showing initiation, progress, or degree of completion of projects, submitted by research facilities, laboratories, or "project" offices to higher authority; feeder reports and related papers.

Retention period: reporting office copies--2 years after completion or cancellation of related projects; except 4 years after completion or cancellation of related projects for MARCORPS activities; feeder reports used for compilation of consolidated reports--until submission of consolidated reports.

(6) PROJECT WORKING AND CONTROL FILES: copies of documents essentially duplicated in project case files; preliminary sketches, drawings, specifications, charts, graphs, photographs; other working papers determined not to be of sufficient value to incorporate in project case files, and related correspondence;

related project control and progress control records.

Retention period: until completion or cancellation of project or until purpose has been served.

(7) LABORATORY DATA OR TECHNICAL NOTEBOOKS and other records containing basic technical, research, and scientific data of continuing value and reflecting progress and how results were achieved.

Retention period: permanent. Transfer to inactive file upon completion of related projects or when Notebooks are filled; transfer inactive file to nearest Federal Records Center when 5 years old or when no longer needed by the individual (engineer, scientist, or technician).

(8) TECHNICAL WORKING DATA accumulated during research and development and testing operations that do not pertain to individual projects or assignments. (Summary and usable data having continuing value are contained in technical reports or retained laboratory notebooks or other records.)

Retention period: 5 years or until superseded or obsolete.

(9) TECHNICAL LABORATORY WORKING PAPERS (other than laboratory or technical notebooks): technical notes and data, measurements, formulas, graphs, drawings, and other similar material accumulated in connection with specific research, development, and testing projects. These essentially are summarized in or used as the basis for preparation of reports but continue to have temporary research value after project's completion.

Retention period: 10 years after preparation of final report or termination of project, whichever is later. (Transfer to nearest Federal Records Center 5 years after completion or termination of project.)

(10) TECHNICAL REPORT FILES: official (master) file copy of each published technical report (or unpublished manuscript of report) prepared in connection with a project or task. These reports summarize the progress and findings and conclusions reached relative to specific projects; they also may clarify and supplement information contained in work laboratory notebooks and other source data.

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Retention period: permanent. (Transfer to inactive file when 2 years old; transfer inactive file to nearest Federal Records Center when 5 years old.)

(11) TECHNICAL REFERENCE FILES: copies of technical reports, publications, specifications, drawings, and other technical or scientific data received from other sources and used as a reference source in the performance of research and development functions. (Exclude official file copies of reports and other documents designated in para. 3900(10) above and elsewhere in this (3900) series as permanent records.)

Retention period: until superseded or cancelled or until no longer needed for reference purposes.

(12) DRAWINGS AND SPECIFICATION FILES: official file copy of each drawing and specification showing final design, test procedures, and technical characteristics of items developed. These records are useful adjuncts to the files described in para. 3900(4), (7), and (8) above. The drawings show in visual form the mechanical and other physical characteristics of the items developed, and the specifications explain these characteristics in detail. These are essential for production and servicing of the item developed, and for modification, redesign, or continuing research on the items or related items.

Retention period: permanent. (Place in inactive file when superseded or obsolete; transfer inactive file to nearest Federal Records Center at end of each year or when no longer needed for local reference.)

(13) FEASIBILITY STUDY FILES: files relating to exploration of the feasibility of unsolicited proposals for projects received from individuals.

Retention period: file proposals resulting in authorized projects in related project case file; destroy rejected proposals 1 year after completion of investigation.

(14) RESEARCH CONTRACT OR AGREEMENT FILES: formal contracts or agreements with universities, commercial concerns, individuals, and others for research and development work; related papers. (Exclude technical or scientific data furnished the Department of the Navy pursuant to the terms of contracts or agreements.) Apply para. 4280(1).

(15) LOGS OR OTHER CONTROL RECORDS for project or task assignments, for project approvals or disapprovals, or for research procurement justifications and approvals.

Retention period: 2 years, or until completion of project, as appropriate.

(16) REFERENCE FILES OF TECHNICAL PUBLICATIONS AND DATA: copies of publications, reports, test data, project reports, and other similar documents originated by other government agencies or by private companies or institutions.

Retention period: until superseded or obsolete or no longer needed for reference.

(17) OFFICE OF NAVAL RESEARCH BRANCH OFFICES RECORDS:

(a) General correspondence files, including reports of ONR Branch Offices. (Exclude primary program records of the Office of Naval Research, Washington, D.C. and the Naval Research Laboratory, Washington, D. C. covered in para. 3900(1).)

Retention period: 2 years, except retain on board copies of administrative and organizational histories (see para. 5750) until office is disestablished.

(b) ONR periodic reports: copies of reports submitted to the Office of Naval Research, Washington, D. C. or to other higher authority, and copies of reports received from other branch offices.

Retention period: 1 year.

(c) Status reports submitted periodically by contractors to report on progress of scientific projects.

Retention period: 2 years, provided related technical report has been issued.

(d) Technical reports submitted by contractors upon completion of a particular contract or of a project or contract phase, or when significant results are to be reported. (Exclude master copies of reports accumulated by Office of Naval Research, Washington, D. C. and covered in para. 3900(10) above.)

Retention period: until report or subject areas of reports are no longer considered pertinent or necessary to the performance of the local office's functions.

(e) Disapproved proposals (for research projects or contracts): correspondence and other documents relating to rejected or disapproved proposals for research projects. Proposals may be received from individuals, commercial firms, private institutions, and others.

Retention period: 2 years, provided that at the expiration of this period the proposal is still in a "rejected" status.

(f) Correspondence pertaining to general naval research or scientific matters but not relating to a specific project, contract, or proposal.

Retention period: 2 years.

(g) ONR research contract or project order record cards, including subsidiary contracts control cards: index or control record of each task, project order, or contract.

Retention period: until completion or termination of order, task, or contract, then file in contract case file and handle in accordance with para. 4280.

(h) Contract and Purchase Order (Case) Files: original proposals, project justifications, correspondence, and other documents pertaining to the award and administration of contracts or orders, bids, receipt and inspection papers, subsequent payment records, and other supporting documents. Apply para. 4280.

(i) Correspondence and other papers pertaining to license matters under specific contracts (including patent clauses thereunder), assignments, license approvals, and agreements obtained.

Retention period: permanent. (Retain on board until 2 years after termination of contract or of patent involved in agreement, whichever is earlier, then transfer to nearest Federal Records Center.)

(j) Patent clause (contract) records: card or other index record of designated contracts containing patent clauses, and of inventions reported, agreements obtained, and assignments and licenses approved thereunder.

Retention period: 2 years after termination of contract or 2 years after termination of patent agreement, whichever is earlier.

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(k) General correspondence files accumulated by ONR branch offices pertaining to naval contract matters and related functions. (Exclude correspondence relating to specific contracts and filed in contract case files.)

Retention period: 2 years.

(l) Other records relating to patents, copyrights, inventions, and trademarks. Apply para. 5870.

3930 RESEARCH AND DEVELOPMENT PROJECT RECORDS

(1) PROJECT CASE FILES. Apply para. 3900(4).

(2) OTHER PROJECT RECORDS. See para. 3900.

3960 TEST AND EVALUATION RECORDS

(1) SUMMARY TESTING AND EVALUATION RECORDS AND DATA FOR NAVAL MATERIALS (weapons, components, equipment, etc.). (See also para. 3900(4) and (7).)

Retention period: permanent. (Transfer to inactive file upon completion of project and to nearest Federal Records Center 5 years later.)

(2) DETAIL TESTING DATA and other technical records accumulated in connection

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with testing and evaluation operations. (See also paras. 3900(8) and (9).)

Retention period: 5 years, provided summary results are contained in technical reports or in permanent laboratory records, except that working papers may be destroyed upon completion of testing operation or when purpose has been served.

(3) RESEARCH AND DEVELOPMENT TEST, EVALUATION, AND INSPECTION REPORTS: copies accumulated by laboratories or facilities in connection with their research, development, and testing functions. (Exclude reports filed in project case files covered in para. 3900(4).)

Retention period: 5 years, provided action is completed and summarized in permanent records, except if report requires major long-term action by the laboratory or facility retain for 10 years.

(4) LOG OR INDEX CONTROL RECORDS of testing operations and of material received for analysis, maintained by laboratories or other testing facilities.

Retention period: 5 years.

(5) CARD (INDEX) RECORDS OF TEST REPORTS or other test records. Dispose of in the same manner and at the same time as the basic records.

(6) OTHER TEST AND EVALUATION RECORDS. See para. 3900.

CHAPTER 4

LOGISTIC RECORDS 4000-4999

The records described in this chapter relate to all aspects of Navy and Marine Corps logistical operations--the furnishing of supplies, equipment, and services (including personal services) to the Department of the Navy. They relate to procurement; contract inspection; supply issue and distribution; supply handling; packaging and storage; inventory control; travel and transportation (passenger and freight); maintenance, construction, and conversion; current production and industrial mobilization planning; and foreign military assistance (mutual security and military sales). These records are accumulated by departmental and field supply, procurement, or other logistical activities or offices, or other organizational units (including naval district or river command headquarters, field commands, shipyards, naval stations, laboratories, etc.).

Exceptions to Disposal Standards. Regardless of authorizations in this manual, records directly relating to matters listed below will not be destroyed until final clearance or settlement of the case:

- An outstanding exception by the General Accounting Office.
- An outstanding claim for or against the United States.
- A case under litigation.
- An incomplete investigation.

4000 LOGISTIC RECORDS -- GENERAL

- * (1) PRIMARY PROGRAM RECORDS: correspondence, reports, studies, and other records that document the establishment, development, and accomplishment of naval logistics policies, plans, and programs. These records are maintained by the Bureau of Supplies and Accounts, Headquarters Marine Corps, the Office of the Chief of Naval Material, the Assistant Secretary of the Navy (Installations and Logistics), technical bureaus, and single-manager supply agents under the operational control of the Department of the Navy.

Retention period: permanent. (Transfer to nearest Federal Records Center when 2 years old.)

- * (2) ACTIVITIES GENERAL CORRESPONDENCE FILES: files of all supply

activities and offices (departmental and field) and of departments, divisions, or other organizational units of activities and offices relating to the operation and administration of logistic operations (other than records covered in para. 4000(1) above.)

* Retention period:

a. Inventory control points (program managers and major logistical activities and selling activities): that portion of the files that documents the development and accomplishment of significant plans, special programs, studies, or projects--5 years; remaining portion--2 years.

b. Other activities--2 years, except Marine Corps supply activities and centers will retain for 3 years.

(3) LOGISTICAL REPORTS relating to all phases of logistics management (other than those specifically covered elsewhere in this chapter) submitted to or summarized in reports to higher authority.

Retention period: 2 years.

4010 SCRAP AND SALVAGEABLE MATERIAL RECORDS

These records are accumulated by activities and units performing functions relating to the handling of scrap and salvageable materials.

(1) SCRAP OR SALVAGEABLE MATERIAL REPORTS: copies of reports submitted to higher authority; related correspondence and papers (other than reports covered in para. 4010(2) below).

Retention period: 2 years.

(2) RECORDS RELATING TO THE SALVAGE AND DISPOSAL OF SCRAP BY PRIVATE CONTRACTORS: correspondence, declarations from contractors, invoices, memoranda approving payment, and other related and supporting papers.

Retention period: 4 years.

(3) SHIP SALVAGE RECORDS. See para. 9940.

(4) RECORDS REGARDING SALES OF SCRAP AND SALVAGEABLE MATERIAL. See para. 4530.

4020 PETROLEUM RECORDS

(1) GENERAL CORRESPONDENCE FILES and reports relating to the internal operation and administration of petroleum supply functions.

Retention period: 2 years. (See para. 10340 for other fuel records.)

* (2) MILITARY PETROLEUM SUPPLY RECORDS:

(a) Primary program records.
See para. 4000(1).

* (b) Fuel reports prepared or accumulated by military petroleum supply activities at the departmental level for fuel procurement management purposes. (See para. 10340 for other fuel reports.) Include Petroleum Products Status and Program Reports (such as DD-531), reports of bulk (fuel) liftings, and fuel production or output reports (such as aviation gasoline and alkylate reports).

Retention period: Navy Department summary reports--5 years; activities reports, including feeder reports, used to compile or prepare summary reports--2 years.

(3) SOURCE DATA FILES: pamphlets, bulletins, catalogs, and other publications, industry analyses, copies of statistical and analytical reports, and other similar informational materials and data pertaining to fuel (petroleum) matters (including production, usage, consumption, export and import, and international commerce). These records are used only for reference purposes and to facilitate planning and local action for the procurement and distribution of petroleum.

Retention period: until superseded, cancelled, obsolete, or until purpose has been served.

(4) NAVAL PETROLEUM AND OIL SHALE RESERVES, OFFICES OF INSPECTORS OF:

(a) Well logs and surveys; engineering survey and exploratory and development records.

Retention period: indefinite.

(b) Gaugers' Field Books and run tickets.

Retention period: 7 years, except retain indefinitely if statutes of limitation do not apply.

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(c) Other records. Apply 4355 and other pertinent subject-matter paragraphs.

4030 PACKAGING RECORDS

(1) CORRESPONDENCE, REPORTS, AND RELATED PAPERS ACCUMULATED BY ACTIVITIES AND OFFICES IN CONNECTION WITH THE OPERATION AND ADMINISTRATION OF NAVAL PACKAGING PROGRAMS AND TECHNIQUES, including cleaning, preservation, packing, marking, labeling, and material designation (other than packaging program records of the Bureau of Supplies and Accounts or of other technical bureaus or offices.)

Retention period: 2 years.

4050 HOUSEHOLD GOODS AND PERSONAL PROPERTY RECORDS

(1) HOUSEHOLD GOODS CONTRACT FILES: contract records relating to the packing, shipment, or storage of household and personal goods. See para. 4280.

(2) HOUSEHOLD GOODS SHIPMENT FILES: bills of lading, shipment orders, and supporting papers relating to the packing and shipment of household goods and other personal property. See para. 4610.

* (3) PERSONAL PROPERTY DISPOSAL (CASE) FILES: records relating to the receipt, storage, and disposal of lost, abandoned, or unclaimed personal property and personal effects of deceased or missing persons; related cards or other index control records.

Retention period: 2 years after date of delivery if personal property and effects are returned to proper recipient; 5 years after property is sold or otherwise disposed of if property is unclaimed, except if property is unclaimed because person is deceased or missing, retain until 8 years after date of death (or date of determination that missing person is deceased) of naval personnel and 6 years after disposal of personal effects of Marine Corps personnel.

4060 PERSONAL SERVICE RECORDS

* (1) ACTIVITIES GENERAL CORRESPONDENCE FILES: correspondence, reports, and other records relating to the internal operation and administration of personal and special services (such as cafeterias, laundries, commissary stores, ships stores, hostess houses, recreation funds, etc.) (other than primary program records covered in para. 4000(1) and 7000(1).)

Retention period: 2 years, except 4 years for Marine Corps activities.

(2) FINANCIAL AND OTHER RECORDS OF PERSONAL SERVICE ACTIVITIES operated with nonappropriated funds. See paras. 1746 and 7010.

(3) PERSONNEL RECORDS OF EMPLOYEES OF ACTIVITIES OPERATED WITH NONAPPROPRIATED FUNDS. Apply provisions of chapter 12 for similar records for civil service personnel, except mark any personnel records transferred to the Federal Records Center, 111 Winnebago Street, St. Louis, Mo., "Nonappropriated Fund Employee Records".

4064 LAUNDRY RECORDS

* (1) RECORDS OF LAUNDRY AND DRY CLEANING ESTABLISHMENTS (such as those at naval hospitals and Marine Corps activities) operated with appropriated or nonappropriated funds:

* (a) Internal operating and production records, such as dry cleaning and laundry receipts, delivery records, pick-up records, daily or other production records, and similar papers.

Retention period: 1 year, except 3 years for Marine Corps activities.

(b) Financial accounting records of dry cleaning establishments operated with appropriated funds. Apply pertinent provisions of chapter 7.

(c) Financial and other records of nonappropriated fund laundries. Apply para. 7010.

4065 COMMISSARY STORES RECORDS

(1) GENERAL CORRESPONDENCE FILES, including reports and related papers, concerning the internal operation and administration of commissary store functions. Include copies of monthly operating reports submitted to higher authority.

Retention period: 2 years.

(2) COMMISSARY STORES RETURNS,* including records of the Marine Corps commissary store officer, and manual stores returns for each accounting period and summarizing sales and receipt or procurement of supplies. See para. 7323(1).

(3) OTHER COMMISSARY STORES RECORDS. Apply pertinent subject-matter instructions throughout this manual.

4066 EXCHANGE RECORDS

(1) ACTIVITIES ADMINISTRATIVE FILES (not specifically designated in other file categories of para. 4066):

* (a) Navy Exchange general correspondence files.

Retention period: 2 years, except retain those documenting the over-all administration of the Exchange for 4 years.

* (b) Marine Corps Exchange records:

1. Correspondence pertaining to the establishment of Exchanges, interpretations of regulations, directives concerning the administration of nonappropriated funds, and instructions received from the Inspector General regarding auditing procedures.

Retention period: until superseded or cancelled.

2. All records pertaining to the administration and operation of Marine Corps Exchanges. These records include but are not restricted to correspondence, invoices, requisitions, inventory sheets, financial reports, daily reports of cash receipts, books of original entry, all subsidiary ledgers, check registers, paid checks, miscellaneous vouchers, and purchase orders.

Retention period: 4 years. Upon disbandment of the fund or disestablishment of the unit, forward records not yet audited to Commandant of the Marine Corps (CHX).

3. Sales chits for purchases.
Retention period: until audited by a representative of the Inspector General, Marine Corps.

* (c) Applications for Exchange permits. See para. 5512(10).

* (d) Reference copies of various standard contract forms (such as dry cleaning, gasoline, and laundry contracts) maintained by service departments. See para. 4280(2).

(e) Card or other control records (such as Number Control Record, SS-110) of purchase requests or goods received.
Retention period: 2 years.

(2) PERSONNEL FILES: correspondence and other records relating to personal service employees:

* (a) Employee History Files: Personnel Information Questionnaires, Changes in Payroll Status, Requests for Payment (Death Benefits), Designation of Beneficiaries, and Employee Leave Record Cards (final summary cards only).

Retention period: indefinite. Place in inactive file upon termination of employment. Transfer inactive files in annual blocks to Federal Records Center, 111 Winnebago St., St. Louis, Mo. when 1 year old; clearly mark these "Nonappropriated Fund Employee Records".

(b) Indoctrination Check Lists and Training Records.

Retention period: 1 month.

(c) Absence Authorization Slips.

Retention period: 1 year.

(d) Applications for Fidelity Bonds.

Retention period: 2 years after individual leaves activity's employ.

* (3) PAYROLL FILES: records relating specifically to Exchange payrolls:

(a) Employee Earnings Records (such as SS-133): summary record of employee's earnings.

Retention period: indefinite. (Transfer to Federal Records Center, 111 Winnebago St., St. Louis, Mo. when 4 years old. Clearly mark these "Nonappropriated Fund Employee Records".)

(b) Payroll Savings Authorizations (such as NAVCOMPT-585), and Records of Payroll Savings (such as NAVCOMPT-586).

Retention period: 2 years after superseded or cancelled.

(c) Overtime Authorizations.

Retention period: 1 year.

(d) Tax Withholding Exemption Certificates (such as Treasury-W-4)

Retention period: 4 years after cancellation or superseded by new certificate.

(e) Time Cards (SS-130), Payroll Registers (SS-132), and Employers' Quarterly Federal Tax Returns (Treasury-941).

Retention period: 4 years.

* (4) MERCHANDISE INVENTORY FILES: detailed supporting documents pertaining to merchandise inventories at exchanges. Include such records as Mer-

chandise Transfers "Out", Merchandise Transfers "In", and Inter-Exchange Transfers (SS-112); Departmental Summary Record-Net Transfers, Departmental Summary Record-Department Physical Inventory, and Departmental Summary Record-Retail Price Changes (SS-113); Adding Machine Tapes of Total Cost and Total Retail Value of Transfers; Retail Inventory Record and Cost of Sales (IDP-4); Price Line Inventory Sheets (SS-155); Location and Accountability Reports (SS-190); Inventory Aging Summaries (SS-67); Merchandise Inventory Summaries (SS-94); Inventory Affidavits; Inventory Count Sheets and Departmental Summary Sheets (SS-140).

Retention period: 2 years.

(5) REPORTS OF GOODS RECEIVED FILES: records relating to the receipt of merchandise, including copies of Reports of Goods Received, Supplementary Reports of Goods Received, and related shipping documents.

Retention period: 2 years.

(6) STOCK CONTROL FILES: records used by management for the control and procurement of merchandise stored at warehouses and on the sales floor, such as Unit Merchandise Records, Stock Record Cards (such as NAVSANDA-766), and Stock Replenishment Cards.

Retention period: 2 years.

(7) OPERATIONS FILES RELATING TO FORECASTS OF EXCHANGE OPERATIONS and the reporting of actual operating results, maintained by navy exchanges:

(a) Sample Shipment Sales Reports and Listings of Open Orders.

Retention period: 1 year.

(b) Other files relating to forecasts of Exchange operations, including such records as Open-to-Buy (SS-98/99), Buying Plans (SS-148), Operating Forecasts (SS-198), Departmental Operating Forecasts, Retail (SS-198A), Departmental Operating Forecast Services (SS-198B), copies of Open-to-Buy Plans (SS-189), Open-to-Buy Status Reports (MR-48), Operating Statements (IDP-1), Reports of Departmental Operations-Retail (IDP-2), Reports of Departmental Operations-Services (IDP-3), Distributions of Exchange Net Profits (NSSO-168).

Retention period: 2 years.

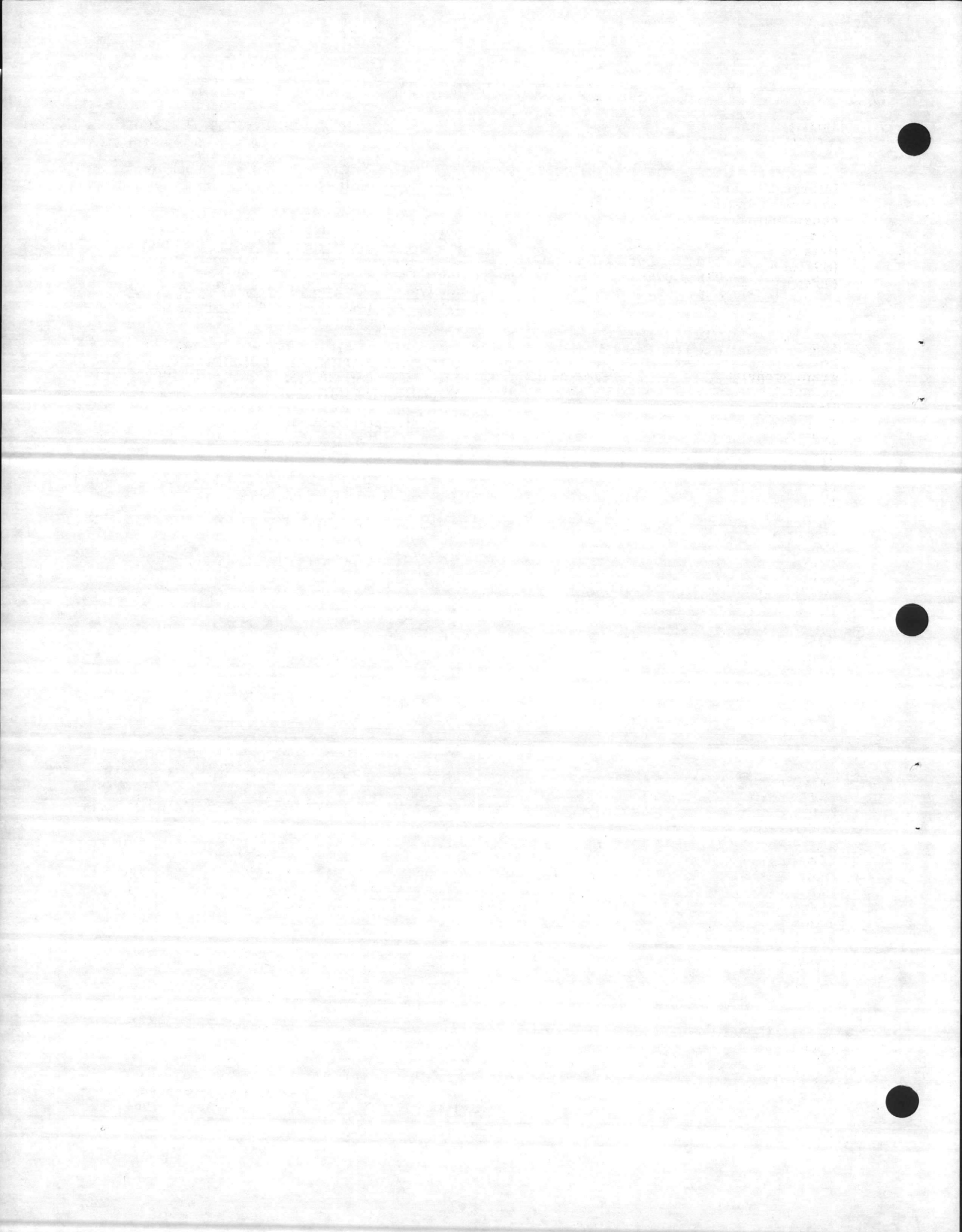
(8) SALES AND CASH FILES:
records relating to sales, cash control,
and cash disbursements of personal serv-
ices operations:

(a) Listings of Cash Received
(such as SS-203), copies of.
Retention period: 3 months.

* (b) Daily sales slips, such as
Sales Tallies (SS-118), Sales Slips-for-Retail *
Items of \$5.00 or More (SS-141), and copies
of Salespersons Daily Cash Reports (SS-120),
original sales slips for packaged alcoholic
beverages.
Retention period: 1 year.

* (c) Check Registers, Check Reg-
ister Transmittal Reports (SS-108), Sales-
persons Daily Cash Reports (SS-120), Daily
Sales Summaries (SS-199), Daily Cash Re-
ports (SS-200), Sales Summary Worksheets
(SS-201), Cash Payment Receipts (SS-204),
Cash Register Tapes, Bank Deposit Slips,
Petty Cash Vouchers (SS-109), copies of
Analyses of Returned Checks (SS-149), Ma-
rine Corps reports of cash receipts.
Retention period: 4 years.

(9) FINANCIAL REPORTS, BOOKS OF
ORIGINAL ENTRY, ALL SUBSIDIARY LEDG-
ERS, PAID CHECKS, MISCELLANEOUS
VOUCHERS, PURCHASE ORDERS, IN-
VOICES, AND REQUISITIONS.
Retention period: 4 years.



(9) **SALES TAX FILES:** records relating to the collection and payment of Federal excise taxes on exchange merchandise, consisting of such forms as Daily Tally Federal Excise Taxes Collected (SS-161), Retailers Excise Tax Tally Summaries (SS-162), Retail Dealers Excise Tax Forms (Treasury-728A).

Retention period: 4 years.

(10) **INSURANCE FILES:** correspondence and other records relating to the personal service operations insurance program, consisting of such records as Requests for Wage and Separation Information, Unemployment Compensation for Federal Employees (ES-931); Verification of Wage and Separation Information (ES-936); Requests for Information or Reconsideration of Federal Findings (ES-941); and copies of Merchandise Loss Reports (SS-150); Equipment Loss Reports (SS-151); Loss or Damage Claims (SS-169); Overseas Transshipment Cargo Loss Reports (SS-194); Employers' First Reports of Injury or Occupational Disease (US-202); Premises Accidents (Ins. Co. No. 4 Copy); Automobile Accident or Loss (Ins. Co. No. 4 Copy); Proof of Loss (Employee Fidelity) (Ins. Co. No. 4 Copy); and Proof of Loss (Burglary, Robbery, Theft or Larceny) (Ins. Co. No. 4 Copy).

Retention period: 2 years.

(11) **SERVICE DEPARTMENT OR UNIT OPERATING FILES:** records relating to services performed, operating and cost reports, and cost control records. Include such records as Daily Reports of Operations-Service Stations (SS-163) (copies of month-end reports submitted to Navy Stores Supply Office); Auto Repair Shop Job Sheets, Weekly Operating Reports by departments (SS-403); Monthly Laundry, Tailoring and Dry Cleaning Reports (SS-404); Daily Cost Controls (SS-183A); Monthly Cost Control Summaries (SS-183B); Mobile Unit Control Sheets (SS-183C); Item Cost Cards (SS-184A); Batch Cost Cards (SS-184B); Monthly Personal Services Reports (SS-196); Monthly Vending Machine Reports (SS-402); and Tailor Shop Daily Work Progress Reports (SS-407).

Retention period: 1 year.

(12) **PAID INVOICE FILE:** correspondence and other records relating to the procurement and payment of merchandise for personal services operations. Include such records as copies of vendors invoices:

Remittance Statements (SS-106), Chargebacks or Credits to Vendors (SS-105); Purchase Orders (SS-101); Approved Invoice Registers (IDP-11); and Cancellation Notice (SS-102).

Retention period: 2 years.

(13) **ACCOUNTING FILES:** accounting documents for personal services operations, not specifically covered elsewhere in this (4066) paragraph.

(a) Monthly Detail Ledgers (such as IDP-9) filed by department and account.
Retention period: until receipt of next month's report.

(b) Registers of Accounting Transactions (such as IDP-10).
Retention period: until receipt of Monthly Detail Ledger (such as IDP-9) at end of month.

(c) Accounting reports: copies of reports such as Statements of Accounts Balances (SS-87), Detail Supporting Statements (SS-88), Statements of Accounts Receivable (SS-152), Accrual Reports (SS-89), Fiscal Year-End Check Lists of Accounting Documents (SS-90), Cancellation Notices (SS-102), Chargebacks or Credits to Vendors (SS-105), Retail Price Changes (SS-111), Merchandise Transfers (SS-112), Monthly Reports of Account Balances (SS-115), Ledger Sheets (SS-117), Journal Vouchers (SS-134), Accrual Journal Vouchers (SS-193), and machine record listings of fixed assets.

Retention period: 2 years.

(d) Current Fixed Asset Record Cards (such as SS-107). Forward with item when item is transferred to another activity.

4100 CONSERVATION AND UTILIZATION OF MATERIAL RESOURCES (INCLUDING BASIC MATERIALS) RECORDS - GENERAL

(1) **REPORTS RELATING TO CONSERVATION AND UTILIZATION OF MATERIAL RESOURCES PROGRAM:** copies of reports submitted to higher authority.
Retention period: 2 years.

4120 STANDARDIZATION RECORDS

(1) **ACTIVITIES GENERAL CORRESPONDENCE FILES, REPORTS, AND RELATED PAPERS PERTAINING TO NAVY**

AND DEPARTMENT OF DEFENSE STANDARDIZATION AND INTERCHANGEABILITY PROGRAMS AND TO QUALIFIED PRODUCTS LISTS, including reports relating to the standardization of commodities in the Federal Supply Classification System.

Retention period: 2 years.

(2) RECORDS USED IN THE PREPARATION AND UTILIZATION OF SPECIFICATIONS, STANDARDS, QUALIFIED PRODUCTS LISTS, AND INTERCHANGEABILITY ITEMS.

Retention period: until superseded or cancelled, or until related equipment or material is obsolete to the Navy or the Marine Corps or to all military departments and the records are of no concern to the other military services, as appropriate.

4121 SPECIFICATION RECORDS

(1) SPECIFICATIONS AND STANDARDS OR PLANS AND DRAWINGS FOR MATERIALS AND EQUIPMENT. Include those relating to Federal, Military (MIL and JAN), Navy Department (including Marine Corps), and other specifications and standards and engineering plans and drawings for naval materials and equipment.

Retention period: until superseded or cancelled or purpose has been served, except that activity or office having technical design or procurement cognizance or that is assigned Department of Defense specification coordination cognizance will retain original or other master copy permanently or until microfilmed. (See also para. 4121(2) below.)

(2) SPECIFICATION AND STANDARDS OR DESIGN (CASE) FILES:

(a) Master Files: those files accumulated by naval activities or offices having design, procurement, or specification cognizance of items or having Department of Defense coordination control of items. Consist of master copy (original or master microfilm negative or other reproducible thereof) of final approved drawing or plan or specification or standard, together with summary papers pertinent to the development and final approval of the specification, standard, drawing or plan. Include Summary Requirement and Test Procedures (RTP's) and copies of change notices or modifying directives. (Exclude working, background and progressing papers covered in subpara. (c) below.)

Retention period: permanent. Place in inactive file upon completion or when item becomes obsolete; transfer inactive file annually to nearest Federal Records Center, except see also technical subject-matter series for special transfer instructions for master plans and drawings for ordnance material (para. 8000(5)), aeronautical material (para. 13000(4)), and ships plans (para. 9020(1) and (2)). When cognizance is transferred, transfer file to new cognizant activity.

(b) Reference case Files: files accumulated for reference purposes only.

Retention period: until specification is approved, cancelled, or superseded or until file is no longer needed for reference purposes.

(c) Other Case Files: preliminary drafts or diagrams of specifications or standards, test results, comments, working and progressing papers, and other records accumulated in connection with the development or modification of specifications (other than master file covered in subpara. (a) above).

Retention period: 2 years.

(3) SPECIFICATION REPORTS, including design specification reports, together with related correspondence, background data, and other related papers: copies of reports submitted to activity or office assigned cognizance over the equipment or material items.

Retention period: 1 year.

4122 STANDARDS RECORDS. Apply para. 4121.

4123 QUALIFIED PRODUCTS LISTS

(1) QUALIFIED PRODUCTS LISTS: copies of.

Retention period: until superseded or cancelled or until no longer needed for reference purposes.

4200 PROCUREMENT RECORDS - GENERAL

The records in this (4200-4399) series are accumulated by activities and offices in connection with their performance of all aspects of procurement functions. The series covers records documenting all types of contracts, including fixed-price, cost, cost-plus-fixed-fee, cost reimbursable, and incentive-type contracts; facility contracts; construction and maintenance contracts; letter contracts; letters of intent; purchase

orders; and any other type of contractual agreement. Also included are amendments, changes, and supplementary agreements to any procurement action.

(1) ACTIVITIES GENERAL CORRESPONDENCE FILES RELATING TO ALL PROCUREMENT OPERATIONS.

Retention period: 2 years, except that major procurement activities will retain that portion of their files, including final reports or studies, that documents the overall direction and management of procurement functions and that prescribes general policies, procedures, and programs, for 5 years. (See para. 4000(1) for primary program records.)

- * (2) PROCUREMENT REPORTS AND RELATED PAPERS: copies of procurement activity, actions, and statistical reports submitted to higher authority; feeder reports summarized in other reports. Include purchase statistical reports by program, dollar value, type, etc., other contract summaries, activity or termination reports, and other statistical reports. (Exclude copies of reports relating to specific contracts or orders to be filed in individual case files covered in para. 4280.)

Retention period: 2 years, except 1 year for copies of Individual Procurement Action Reports (such as DD-350) used to prepare statistical reports for submission to higher authority.

- (3) BIDDERS RECORDS: records of qualified or disqualified bidders, bidders mailing lists (such as DD-558-1), bidders list applications (such as Std-129), and other similar or related papers.

Retention period: until superseded or cancelled, or until company is removed from qualified bidders list or other record.

4215 COORDINATED PROCUREMENT (WITHIN DEPARTMENT OF DEFENSE) RECORDS

- * (1) PRIMARY PROGRAM RECORDS: general correspondence files and other records of the Office of Naval Material and the Assistant Secretary of the Navy (Installations and Logistics) that document the development and execution of coordinated procurement plans, programs, policies, and procedures.

Retention period: permanent.

- (2) OTHER COORDINATED PROCUREMENT AND CROSS-SERVICING RECORDS. Apply provisions for the particular subject-matter involved.

- * (3) SINGLE-MANAGER PROCUREMENT OR SUPPLY AGENCY RECORDS. These are records accumulated by activities assigned joint (Army, Navy, Air Force) procurement or supply responsibility for designated materials. Program records of the single-manager agent or supply activity (together with records of other activities accumulated in the direct performance of functions for the single-manager agent or agency) will be handled in accordance with disposal provisions of the Department or agency (such as Defense Supply Agency) assigned management responsibility. Records accumulated by the individual services in connection with their own internal management of Defense Supply Agency or single-manager agent procured materials will be handled in accordance with disposal provisions of the individual Department.

4220 INTERDEPARTMENTAL PROCUREMENT (GOVERNMENT) RECORDS

- * (1) INTERDEPARTMENTAL PROCUREMENT REQUESTS (such as DD-448 and 448c), Military Interdepartmental Purchase Requests, and similar or related documents.

Retention period: 2 years, except apply provisions of para. 4280 to official commitment documents, including procurement agreements and purchase orders.

4235 REQUISITIONS AND OTHER MATERIAL OR SERVICE REQUEST RECORDS

- * (1) REQUISITION FILES: requisitions, service or material requests, and shipment orders for stock and materials, together with supporting papers and correspondence. These records show evidence of requisitioning, issue, delivery, and receipt of material or services (e.g., Requisitions, DD-1145; service requests, including Engineering Service Request (such as NAVDOCKS-2038 and 2039); Invoice/Shipping Document, DD-1149; Requisition/Issue Document, NAVSANDA-1093; Request for Issue or Turn-In, DD-1150) and Single Line Item Transaction Cards (such as NAVMC-10493-SD and 10496-SD). (See chapter 7 for accounting copies.)

- * (a) Issue copies. (See para. 4430(1) for proof of delivery copies.)

Retention period: 2 years after completion or cancellation of requisition, except 1 year after fiscal year in which originated for Marine Corps activities.

(b) Copies used to request withdrawals from current inventories and to determine sources of withdrawals, including supply and stock room copies.

Retention period: 6 months.

(c) Other copies.

Retention period: 1 year, except retain copies used as suspense or progress or receipt control records only until completion (receipt of material and completion of any required action) or until cancellation, as appropriate.

(2) WORK AUTHORIZATION (JOB ORDER) FILES: job or work orders, production or manufacture orders, mill orders, work requests or requisitions, work lists, and other documents used for the authorization and accomplishment of work; related papers. (See chapter 7 for accounting copies.)

(a) Master copies.

Retention period: 2 years after completion of job, except apply para. 4280 to master copy of job orders performed in connection with contracts.

(b) Shop or equivalent copies.

Retention period: 6 months after completion of job.

(c) Other copies.

Retention period: 1 year after completion of job, except destroy suspense or other copies maintained as progressing, scheduling, or other control records upon completion of job and any required action.

(3) SIGNED PROPERTY REQUISITION OR CUSTODY RECEIPTS.

Retention period: until property is returned.

(4) REQUISITION OR ORDER LOGS, ISSUE JOURNALS, or other records maintained as a control or index or cross-reference to order, requisition or invoice files or to numbers assigned by the issuing activity; equivalent manual logs or header card files relating to requisition and invoice numbers when stock function procedures are mechanized.

Disposal of Navy and Marine Corps Records

Retention period: until related order, requisition and invoice records are destroyed.

4265 PRICING RECORDS

(1) GENERAL CORRESPONDENCE FILES, reports, and other records of supply activities relating to the performance of pricing functions, including standard commodity pricing and the pricing of inventories and of supplies procured or offered for sale.

Retention period: 2 years.

(2) STANDARD PRICE CARDS FOR STOCK ITEMS (such as NAVSANDA-820).

Retention period: until stock items are removed from catalog or are no longer needed for procurement or supply management reference purposes.

(3) PRICE ADJUSTMENT RECORDS: stock price change adjustment sheets, standard price adjustment sheets, and other similar price change records.

Retention period: 1 year.

4280 CONTRACT RECORDS

The instructions in this paragraph (4280) apply to all contract files accumulated in connection with the performance of contract, procurement, award, administration, inspection, payment, and other contract and subcontract functions.

Definitions of "Contract" and "Subcontract"

Contract. The term "contract" means all types of Government agreements and orders for the procurement of supplies or services. By way of description but without limitation, it includes bids, awards and preliminary notices of awards; fixed-price, cost, cost-plus-fixed-fee, and incentive type contracts; contracts providing for the issuance of job orders, task orders or task letters thereunder; sales contracts; letter contracts, letters of intent, and purchase orders. It also includes amendments, modifications, and supplemental agreements with respect to the foregoing. The terms "contract" and "prime contract" are synonymous.

Subcontract. The term "subcontract" means any contract, agreement, or purchase order, and any preliminary contractual instrument, other than a

Government contract, calling for the performance of any work or for the making or furnishing of any material required for the performance of one or more Government contracts. The term also includes any such contract, agreement, purchase order, or other instrument placed upon any one or more subcontracts.

Definition of "Completion of Action". The term "completion of action" for purposes of this manual means the conclusion of all action required or taken by the office accumulating the records; that is, final payment (by disbursing offices); the award (procurement) and administration of contracts; the receipt and inspection of material; or other action, as appropriate.

Contract File Contents. As a guide, and not an all-inclusive list, the following are typical of the papers usually found in a contract file. This list does not preclude the inclusion of other documents that rightfully support a contract.

(a) Basic Procurement Documents:

- Invitation to Bid (such as Std-20, 21, 22, 28)
- Schedules: Request for Proposals, Proposals, and Price Schedules (such as DD-746 and 746-1, NAVDOCKS-424)
- Abstract of Bids (such as NAVSANDA-103, NAVDOCKS-18)
- Award (such as Std-26)
- Statement and Certificate of Award (such as Std-1036)
- Request for Authority to Contract (such as NAVEXOS-2760)
- Alteration in Contract (such as NAVEXOS-3302)
- Negotiated Contract (such as DD-1261, DD-351); related findings and determinations.
- Construction and architectural-engineering services contracts and subcontracts (such as NAVDOCKS-202, 308, 1260, 1369, 1548).
- Prime Contractor Request for Navy-furnished Material (such as NAVEXOS-3493)
- General Provisions (Cost-reimbursement Type Contract for Experimental Development of Research Work)(such as NAVEXOS-3302, NAVDOCKS-119)
- Acceptance of Proposal (Negotiated Fixed-Price Contract) (such as DD-746-2)

- Contractor's Statement of Contingent or Other Fees for Soliciting or Securing or Resulting from Award of Contract (such as Std-119)
- Copy of Contract or Order
- Contract Modifications (such as NAVSANDA-112)
- Copies of Endorsed Purchase Orders and Change Orders
- Bid Bond (such as Std-24)
- Performance and Payment Bond (such as Std-24, 25, 27, 34, 35)
- Affidavit of Individual Surety (such as Std-28)
- Equipment Purchase Contract or Rental Agreement (such as NAVDOCKS-192, 523)
- Drawings and blueprints

(b) Inspection Papers

- Request for Inspection
- Waiver of Usual Inspection Procedure
- Material Inspection and Receiving Reports (such as DD-250)
- Release on Material Stamped "USN"
- Notice of Rejection--Office of the Supply Department (such as NAVSANDA-160)
- Report of Unsatisfactory or Defective Material
- Check List of Inspection Procedure (used by Aeronautical Inspectors)
- Labor Standard Inspection Report (such as NAVDOCKS-2187)
- Construction Inspector's Daily Report (such as NAVDOCKS-159)

(c) SHIPPING DATA:

- Request for Government Bill of Lading
- Routing Request and Routing Order
- Received or Memo Copy of Government Bill of Lading
- Dray Ticket

(d) Contract Administration Correspondence and Other Supporting Data

- Correspondence (letters, messages, memos of calls and visits)
- Progress reports
- Voucher and Purchase Order (such as Purchase Order--Invoice--Voucher, Std-44)
- Job Order
- Invoice copy of Material Inspection Report
- Report on Government-Owned Machines, Tools, and Materials
- Request for Navy Property (such as NAVSANDA-125)
- Royalty Report (such as DD-783)

Orders for Supplies or Services or Request for Performance of Work (such as DD-1155, NAVSANDA-140)
Invoice/Shipping Document (such as DD-1148)
Service Order for Household Goods (such as DD-1164)
Contract Payment Control (such as NAVCOMPT-565)
Schedule of Deductions from Payments to Contractor (such as Std-1093)
Report of Building Costs and Analysis (such as DD-813)
Contractors Weekly Payroll Affidavits (such as NAVDOCKS-118)

(e) Papers Relating to Contract Termination:

Termination Notice
Contractor's Release (such as NAVDOCKS-139)
Seller's Settlement Proposal
Seller's Inventory Schedule
Cost Inspector's Report
Comments of Seller's Inspector
Buyer's written comments (if any)
Settlement Agreement between Buyer and Seller
Inspector's own summary of his review of the case
Inspector's own letter to the prime contractor approving the settlement
Termination Inventory Disposal Report by Seller's Inspector
Memoranda of significant conversations
Contract Termination Status Report (such as NAVSANDA-102)

(1) OFFICIAL CONTRACT AND SUB-CONTRACT OR PURCHASE ORDER CASE FILES (other than contract inspection copies covered in para. 4355 and disbursing officers contract files covered in para. 7250 and 7251). These consist of bids, successful and unsuccessful, and purchase documents (such as contracts, orders, leases, and annual or other purchase requisitions or requests); related correspondence, and all other pertinent documentation. (See "Contract File Contents" para. above.)

* (a) Case files relating to transactions of \$2500 or less.

Retention period: 3 years after completion of action. (Place in inactive file upon completion and destroy 3 years later.)

* (b) Case files relating to transactions of more than \$2500.

Retention period: 6 years after completion of action. (Place in inactive file upon completion and transfer inactive file annually to nearest Federal Records Center when 1 year old or when no longer needed for reference purposes.)

(2) COPIES OF CONTRACTS, PURCHASE ORDERS, PROCUREMENT OR CONTRACT DOCUMENTS, and other related records (other than those covered in para. 4280(1) above); material or procurement status reports.

Retention period: 1 year after completion of action on related contract, subcontract, or other purchase document when maintained for progressing, control, and expediting purposes only. Destroy copies maintained for reference (informational) purposes only upon completion of contract or when no longer needed for reference purposes.

(3) PROCUREMENT OR CONTRACTING OFFICERS' COMPANY FILES. See para. 4200(3).

* (4) CONTRACT CONTROL OR NUMBER ASSIGNMENT RECORDS: cards, logs, or other similar records used to account for contract numbers assigned, or as a control or index record of contracts, purchase orders, task orders, or subsidiary contracts, or to control the distribution of contracting documents. Include records of contract modification numbers.

Retention period: 1 year after completion of all listed contracts, except (a) retain master files used as cross reference indexes to contract or purchase order files until related contract files are destroyed, and (b) retain MARCORPS purchase card records until 5 years after data is brought forward.

(5) U.S. GOVERNMENT TAX EXEMPTION CERTIFICATES.

Retention period: 4 years.

4330 CONTRACT ADMINISTRATION RECORDS

(1) RECORDS RELATING TO ADMINISTRATION OF CONTRACTS. See paras. 4200 and 4280.

(2) CONTRACTOR RECORDS. Custody of these records is the responsibility of the naval contractor and not the Department of the Navy. While specific Navy contracts and Federal Regulations require the contractor to retain "books and records of accounts" for established periods of time, disposal of the records is the contractor's responsibility. Certain contractor records may be accessioned by the Navy for preservation purposes, but only if specific approval is granted by the Executive Office of the Secretary (Navy Management Office). Such approval will be granted only in unusual circumstances where it is determined specifically that (a) the records have definite administrative or legal value to the Navy, and (b) no requirement is being made on the contractor to preserve records beyond the terms of his particular contract or federal regulations without the contractor's consent.

4335 CONTRACT PERFORMANCE RECORDS

(1) CONTRACTORS PERFORMANCE AND QUALIFICATION RECORDS: reports (including evaluation and interview reports), financial statements, correspondence, and other papers reflecting the contractor's financial and technical competency, his previous performance record, and Navy's evaluation of the contractor's qualifications. (See para. 7561 for records accumulated by contract auditors.)

Retention period: until information is superseded or contractor is deleted from list of possible Navy contractors (company dissolved, no longer wants Government contracts, etc.), or until file is no longer needed for procurement reference purposes.

4340 GOVERNMENT PROPERTY RECORDS

(1) CONTRACT PROPERTY ACCOUNT RECORDS: accounting documents for Government materials or equipment furnished naval contractors. Include property contract account records maintained as separate accounts or that are a portion of a larger account that relates to property furnished in connection with

contracts for Government-furnished material. Apply para. 4280(1).

4341 GOVERNMENT-FURNISHED AND CONTRACTOR-ACQUIRED PROPERTY RECORDS

(1) MATERIAL LISTINGS OR STATUS REPORTS containing data on Government-owned property furnished naval contractors.

Retention period: 1 year after related contracts are finally terminated or completed and settled.

4350 LABOR AND MANPOWER RECORDS

(1) LABOR STANDARD INSPECTION REPORTS (such as NAVDOCKS-2187) and CONTRACTORS WEEKLY PAYROLL AFFIDAVITS (such as NAVDOCKS-118), and other similar papers used for local administrative purposes only.

Retention period: 2 years, except that supporting contract or order files are to be handled in accordance with para. 4280(1).

4355 MATERIAL INSPECTION AND ACCEPTANCE RECORDS

These records are accumulated in connection with the performance of material inspection functions, including inspection of facilities and of aeronautical, ships, ordnance, and other weapons and materials. They are accumulated by Material Inspection Service offices, inspectors of naval material (INSMATS, RINSMATS, BRINSMATS, material representatives, including technical bureau representatives), and by others performing material inspection functions. (See also para. 4430 for material inspection receipt and acceptability records of receiving activities.)

* INTERSERVICE INSPECTION FILES (contract and order records and other files created in connection with the performance of contract administration and/or inspection functions under interservice or agency inspection interchange agreements). These files are to be retained by the department or agency accomplishing the service and disposed of in accordance with current records disposal regulations of that service or agency. An exception to this policy will be made only when because of special circumstances the interchanging service or its authorized representative makes a formal

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request for an exception. In such cases, the records relating to the specific case involved may be forwarded to the requesting service.

- * Retention standards to be followed by MIS in carrying out the above policy are contained in this (4355) paragraph series.

(1) **GENERAL CORRESPONDENCE AND INSPECTION REPORTS FILES:** correspondence, inspection reports, and other related papers of inspectors of naval material, Marine Corps and bureau representatives, and other activities, offices, or organizational units performing material inspection service functions; other related records.

Retention period: 3 years, except retain files relating to the routine internal administration of the office for 2 years.

(2) **SUPPLY SPECIFICATIONS** maintained in connection with material inspection functions.

Retention period: 6 months after superseded or cancelled, except that when more than one reference has been made within the last preceding 6-month period the specification may be retained for additional 6-month periods.

(3) **FIXED-PRICE AND COST-REIMBURSEMENT-TYPE CONTRACT INSPECTION (CASE) FILES:** contract files accumulated by inspectors of naval material in connection with the performance of their material inspection functions. They consist of documents such as (but are not limited to) those enumerated in para. 4280 under "Contract File Contents":

(a) Fixed-price contracts and subcontracts.

Retention period: 2 years. (Place in completed file upon (1) final shipment of supplies or completion of services, (2) completion of action on disposition instructions provided by the contracting officer or the disposal agency for Government property and/or contract inventory, (3) final settlement of the termination claim, or (4) for subcontracts, upon receipt of approval of the settlement agreement from the cognizant inspector--whichever of these actions is later. Destroy completed file when 2 years old.)

(b) Cost-reimbursement-type contracts and subcontracts.

Disposal of Navy and Marine Corps Records

Retention period: 2 years. (Place in completed file when inspector receives the "paid" final public voucher from the paying activity. Destroy completed file when 2 years old.)

- *CAUTION: When an inspector is assigned additional responsibilities as a contracting officer, contract procurement case files accumulated in the performance of these procurement functions are procurement case files and should be disposed of under the standards prescribed by paragraph 4280(1).

(4) **GOVERNMENT-OWNED FACILITIES AND FACILITIES CONTRACT FILES.** As used in this paragraph, facilities contracts are any contract under which industrial facilities are provided by the Government for use in connection with the performance of a separate contract or contracts for supplies and services.

Retention period: 6 years after completion. (Place in inactive file upon completion of contract and transfer inactive files to nearest Federal Records Center within 9 months after completion.) Completion for material inspection purposes will mean one of the following, as appropriate:

- (a) all appropriate instructions or agreements have been provided by contract amendment; and, when applicable, the cognizant inspector has certified that authorized disposition of all facilities covered by the contract has been made either by return to the Government or by other means of disposal;
- (b) facilities are known to have been shipped or released and no instructions or agreements closing out the contract have been supplied. In such cases, written permission shall be obtained from the cognizant activity before the records are destroyed or
- (c) when a facility is sold by the Government and the sales agreement contains a National Security Clause, all inspections and conditions of the National Security Clause must have been fulfilled and the facility released before the contract is considered completed.

(5) **CONTRACTS AND SUBCONTRACTS PROGRESSED OR EXPEDITED:** files of contracts and subcontracts of all types that are handled by naval inspectors for progressing or expediting purposes only.

Retention period: 6 months after completion. (Completion will be as

defined in paras. 4355(3) and (4) above.)

(6) CONTRACT CROSS-REFERENCE OR INDEX RECORDS (such as NAVEXOS-86).

Retention period: 3 years after completion of related contract file, except destroy those relating to facilities contracts at the same time the facility contract is destroyed.

(7) BILLS OF LADING FILES. See para. 4610.

(8) FILES ON SALES OF SURPLUS PERSONAL PROPERTY:

(a) Master individual case jackets containing complete and audited records of all disposition action taken.

Retention period: Place in inactive file upon completion. Transfer completed file to nearest Federal Records Center when 1 year old; destroy in accordance with para. 4530(2).

(b) Bid Books: bound sheets, each of which relate to a competitive bid sale (by property disposal division or contractor).

Retention period: Transfer to nearest Federal Records Center 2 years after completion of last competitive bid sale referred to in bound volume; destroy in accordance with para. 4530(2).

(9) CARD INDEX RECORDS (alphabetical) of cases transferred to Federal Records Centers. Index should show (a) name of contractor, (b) location of transferred records, (c) transfer number (Center job number), (d) contract number, (e) date case was received, and (f) date case was closed.

Retention period: indefinite, or until indexed records are destroyed.

(10) FILES OF DISESTABLISHED MATERIAL INSPECTION OFFICES. Transfer all files not yet eligible for destruction to the successor inspection activity for review. After reviewing the records, the successor activity may transfer (for the duration of their retention periods) those records not needed locally to the nearest Federal Records Center. Centers will retain the records until expiration of their retention periods.

4365 CONTRACT CLAIMS RECORDS

(1) UNSETTLED CLAIM RECORDS: records relating to unsettled claims for or against the Government, or files relating to incomplete investigations or to pending litigation.

Retention period: until after final settlement of the claim or completion of investigation or litigation.

4370 CONTRACT TERMINATION RECORDS

(1) CONTRACT TERMINATION FILES: documents accumulated in connection with the termination of contracts for the convenience of the Government and in accordance with Armed Services Procurement Regulations, Section VIII, and with Navy procurement and contract audit procedures. Consist of documents such as notices of termination, inventory schedules, settlement proposals, applications for partial payment, accounting information schedules, and other documents relating to the termination of the contract. Apply para. 4280(1).

4380 SMALL BUSINESS RECORDS

* (1) SMALL BUSINESS ADMINISTRATION RECORDS: correspondence files and other records relating to the internal operation and administration of small business administration program matters. Include copies of reports submitted to the Office of Naval Material, Assistant Secretary of the Navy (Installations and Logistics), or other higher authority. (Apply para. 4280 to records relating to individual procurement transactions.)

Retention period: 2 years.

4400 SUPPLY MANAGEMENT RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES OF ACTIVITIES (including inventory control points, supply departments, stock points, and other offices or units) relating to the operation and administration of their supply functions. (Exclude program records covered in paras. 4000(1) and (2).)

Retention period: 2 years.

(2) REPORTS AND RELATED DATA AND PAPERS PREPARED OR ACCUMULATED BY ACTIVITIES AND OFFICES OR

OTHER ORGANIZATIONAL UNITS PERFORMING SUPPLY FUNCTIONS, exclusive of reports specifically authorized for other disposal:

(a) Supply activity or office copies.

Retention period: 2 years.

(b) Copies maintained in other organizational units.

Retention period: 1 year or until unit is disestablished, whichever is earlier.

(c) Copies used as working papers or maintained for information only.

Retention period: until superseded or until no longer needed for reference purposes.

(3) STOCK CUSTODY RECORDS OR EQUIPAGE STOCK CARDS.

Retention period: until record is superseded or until material is returned or expended. *

(4) RECORDS OF STOCK LOCATIONS.

Retention period: until record is superseded or until depletion of stock.

(5) COPIES OF STOCK LISTS OR SUPPLY CATALOGS, SPECIFICATIONS, and other publications, indexes, card records, tickler or suspense files, and other similar reference files relating to the identification of supplies, property, equipment, or other materials, or used as locator records for supplies and equipment, or as suspense devices for supply operations.

Retention period: until superseded, cancelled, obsolete, or until purpose has been served, as appropriate.

(6) CASH TRANSACTION RECORDS maintained to report transactions to disbursing and fiscal officers. (See also para. 7302(9).)

Retention period: 2 years.

(7) MARINE CORPS FIELD SUPPLY ANALYSIS OFFICES RECORDS. These records are accumulated by these offices in connection with their analysis and evaluation of Marine Corps activities supply procedures.

Disposal of Navy and Marine Corps Records

(a) Field Examination Team reports (copies of), together with supporting documents and related correspondence, for activities or units.

Retention period: until completion of next examination and submission of new report to Headquarters Marine Corps.

(b) Marine Corps field supply analysis office copies of receipt, expenditure, and payment documents: copies of vouchers and other documents pertaining to MARCORPS stock fund and appropriation stores accounts and to commissary stores purchases and cash sales; monthly reconciliation statements of receipts from purchases (such as NAVCOMPT-145); matched monthly reconciliation registers and related EAM cards and monthly registers of documents unmatched at month's end; other similar documents used in connection with performance of supply analysis functions.

Retention period: 1 year after completion of reconciliation, except 1 year for reconciliation statements, 2 months for unreconciled registers, and after verification of monthly "matched" registers for matched monthly reconciliation EAM cards.

(c) Correspondence pertaining to the performance of administrative functions and transactions in analyzing and reporting effectiveness of procedures and methods.

Retention period: 1 year

4408 SPARE AND REPAIR PARTS RECORDS

(1) TECHNICAL DATA and related informational papers concerning spare and repair parts maintained by supply-control or by maintenance and repair activities. (See also para. 4700.)

Retention period: until superseded or cancelled, or until aircraft, ship, or other craft or equipment is removed from the supply system.

4410 CATALOGING, MATERIAL IDENTIFICATION, AND CLASSIFICATION RECORDS

(1) GENERAL CORRESPONDENCE FILES, COPIES OF REPORTS submitted to higher authority, and other papers accumulated by activities and offices in connection with the performance of cataloging functions and the development of description patterns and of material item identifications and classifications. Include Navy Catalog Action Requests (such as NAVSANDA-86) and papers

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relating to the assignment (or revision or deletion) of standard stock numbers. (Exclude primary program records maintained at the departmental level covered in para. 4000(1).)

Retention period: 2 years.

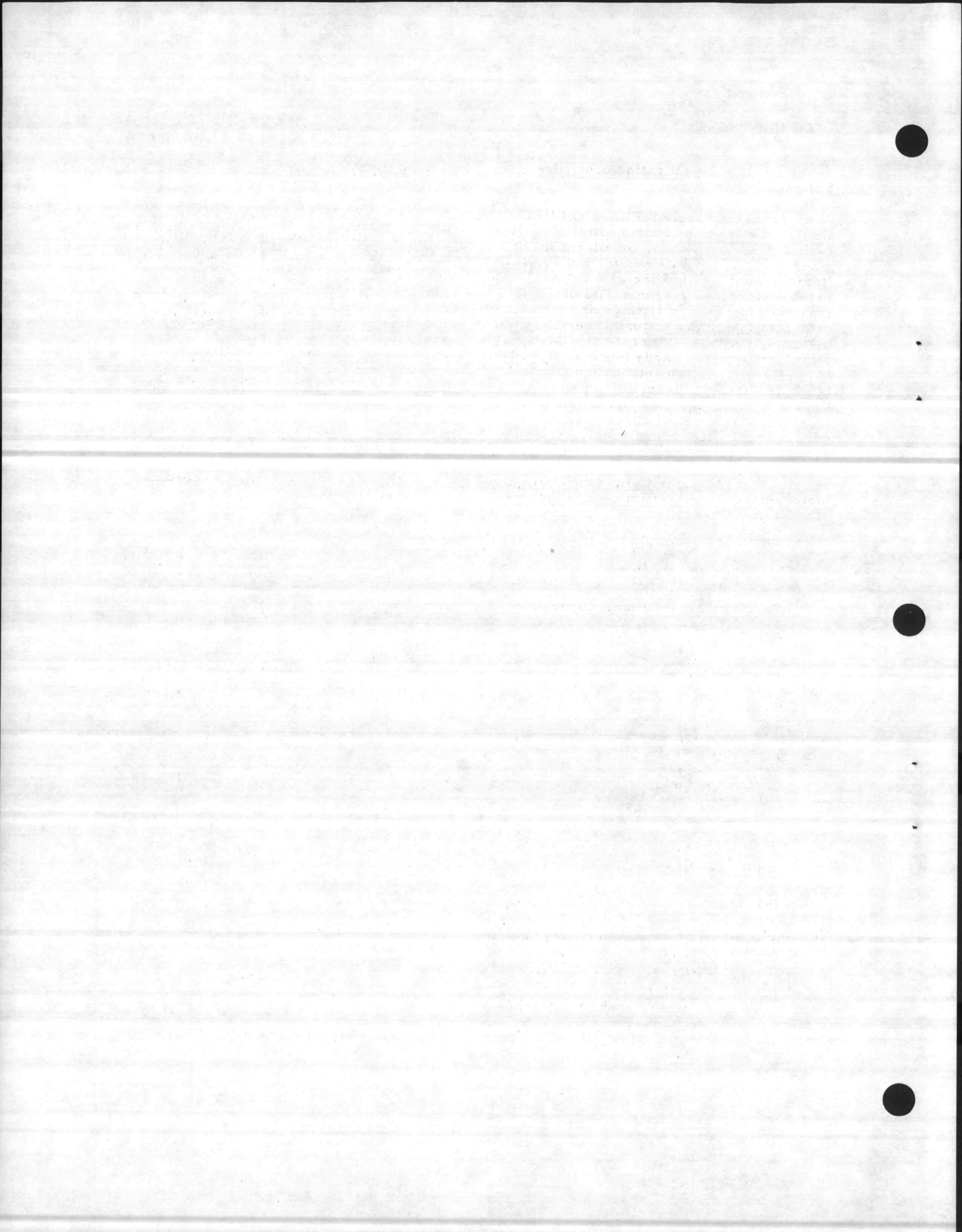
(2) ITEM (COMMODITY) SPECIFICATIONS AND STANDARDS:

(a) Specifications and standards records used to support specific procurement or other supply actions.

Retention period: 1 year after action is completed.

(b) Specifications and standards (including blueprints and related card records) used for material cataloging, identification, classification or reference purposes: drawings, blueprints, microfilm, etc.

Retention period: until superseded or cancelled, until completion of action for which documents were required, or until no longer needed for reference.



(c) Specification case files.
See para. 4121.

(3) **ITEM IDENTIFICATION RECORDS:** master item (commodity) identification or history cards, or microfilm or other records, maintained for individual items of supply, together with related cross-reference files; material or equipment data cards; and listings or other records maintained for material identification or supply purposes. Include also Material Item Identification Cards (such as BUSHIPS-956), Federal Item Identification Cards (such as DD-146), description patterns, Cost and Price Analysis Cards (such as DD-633), item control cards, and other card records of standard supply, standard catalog, or other items:

(a) Master item identification or history card or microfilm record thereof; other similar records.

Retention period: until material or equipment is deleted from the supply system.

(b) All others.

Retention period: until superseded, cancelled, or until purpose has been served, as appropriate.

(4) **COPIES OF BLUEPRINTS AND DRAWINGS,** or their equivalents, for equipment in all commodity items maintained by supply centers or other activities. (Exclude cognizant (originating) activity's master file copy. See also para. 4121 for specification files.)

Retention period: until item or drawings are superseded or cancelled. When copies of blueprints or drawings are microfilmed and mounted for local use, retain paper drawings until microfilmed and identification of mounting is completed.

(5) **MARINE CORPS CARD RECORDS OF SERIAL NUMBERS OF ALL WEAPONS** (including small arms and crew-served) and binoculars:

Retention period: When serial number has been entered on transfer document--until item is transferred or otherwise disposed of; when serial number has not been entered on transfer document--3 fiscal years after transfer document number has been entered on card.

4420 MATERIEL SUPPLY COORDINATION RECORDS

(1) **GENERAL CORRESPONDENCE FILES, REPORTS,** and related papers concerning material missions and material cognizance assignments and control matters, and the performance of supply and technical functions in regard to material (stock) coordination (other than primary program (departmental) files covered in para. 4000(1).)

Retention period: 2 years.

(2) **HISTORY DATA CARDS:** equipment, vessel, or other material history cards maintained for supply coordination purposes; related listings.

Retention period: until superseded, cancelled, or obsolete, or until no longer needed for supply coordination or reference purposes.

4422 MATERIAL COGNIZANCE ASSIGNMENT RECORDS

(1) **GENERAL CORRESPONDENCE FILES** and other records concerning the assignment or transfer of cognizance over supply items, or the stocking or discontinuance of stocking items by supply-control activities or other stocking points and inter-supply support agreements. Include Item Control Recommendations (such as NAVSANDA-87) and Supply Support Requests (such as NAVSANDA-1074).

Retention period: 2 years.

(2) **MATERIAL COGNIZANCE TRANSFER REPORTS.**

Retention period: 2 years.

(3) **ITEM COGNIZANCE COMMODITY CARD RECORDS OR LISTS:** reflect such data as the code (stock number) and the commodity group (inventory control point) assigned supply coordination cognizance.

Retention period: until superseded or cancelled, until item cognizance is transferred, or until item is deleted from the supply system, provided local reference needs have been served.

4423 EQUIPPING/PROVISIONING AND ALLOWANCE RECORDS

(1) RECORDS OF ACTIVITIES OR OFFICES CONCERNED WITH PROVISIONING OR OUTFITTING MATTERS, including the determination of provisioning and equipment requirements for naval vessels and for aeronautical and astronautical craft, ordnance, and other equipment. Include records relating to adequate and timely provisioning, to provisioning control, and to the determination of requirements and other provisioning, outfitting, or allowance matters:

(a) Correspondence, reports, usage data, and other related papers.

Retention period: 2 years.

(b) Copies of individual provisioning or equipping documents.

Retention period: until necessary support action has been completed in accordance with requiring instructions, or until superseded, cancelled, or no longer needed, as appropriate.

(c) Other records, such as check lists, program lists, design changes, production lists, and local provisioning or allowance control records.

Retention period: 3 months or until purpose has been served.

(2) ALLOWANCE LISTS (individual and type), including initial outfitting lists, flag allowances, standard equipment inventory lists or logs, maintenance and load lists, tables of basic allowances, initial stock lists, etc. These reflect standard requirements for types of naval craft or programs, and for individual aircraft, vessels, or other craft, or for categories of naval material or equipment, or for maintenance and repair parts, etc.:

(a) Allowance lists maintained by activities assigned craft or equipment cognizance:

1. Allowance lists for individual aircraft, ships, or other craft or equipment.

Retention period: until superseded or until all craft or equipment covered by the list are stricken or obsolete.

Send copy of current list to new cognizant activity when craft is transferred.

2. Type allowance lists (for groups of ships or types of craft or equipment, etc.)

Retention period: until superseded by revised allowance list for all craft covered by the group or type list. When the cognizance of all craft covered by the list is transferred to the same new activity, transfer list to the new cognizant activity. When individual craft are transferred, send a duplicate copy of the current list to the activity newly assigned cognizance.

(b) All other allowance lists.

Retention period: until superseded or cancelled or until no longer needed to facilitate local action.

(3) MACHINERY AND EQUIPMENT OR OTHER ALLOWANCE INDEXES for aircraft, ships, and other craft.

Retention period: until superseded or craft is stricken. Forward indexes for individual craft to new cognizant activity when craft's assignment is transferred.

4430 MATERIAL RECEIPT RECORDS

(1) MATERIAL RECEIPT AND EXPENDITURE INVOICES, together with supporting correspondence and papers, involved in the transfer of material between supply officers and in end use expenditures. Include copies of requisitions, invoices, Requisition/Issue Documents, Contract Receiving Reports, and other similar forms. (Exclude Marine Corps delivery case files covered in para. 4430(4) below):

(a) Proof of delivery or receipt files. (See para. 4235(1) for issue copies of invoices or requisitions.)

Retention period: 2 years.

(b) Other copies.

Retention period: 1 year.

(2) MATERIAL ACCEPTABILITY OR RECEIPT INSPECTION REPORTS: copies of reports relating to the acceptability of material received, such as Material Inspection and Receiving Reports (DD-250); Order and Inspection Reports; Reports of Damaged or Improper Shipments (DD-6); Reports of Failure, Unsatisfactory, or Defective Materials (FURS)(DD-787); Notices of Defective Material; other similar and related records prepared by recipient activities. (Exclude copies filed in contract or order case files, and inspection copies covered in para. 4355(1).)

Retention period: 1 year, provided corrective or other action has been completed.

(3) MATERIAL RECEIPT CONTROL FILES: logs, listings, check-off sheets, extra copies of notices of shipments, or other documents used as a record of expected supplies or shipments, or as a progress record of the status of requisitions or shipments, or for any other similar control or suspense purpose (and not utilized as a voucher or stock account record).

Retention period: until receipt of material, completion or cancellation of requisition, or receipt of notice of shipment, as appropriate.

* (4) MARINE CORPS ACTIVITIES DELIVERY CASE FILES for items of supplies and equipment, comprising such records as requisitions, authority slips, authority or transfer orders, shipping documents, and other related papers.

Retention period: until 3 fiscal years after final payment.

* (5) MARINE CORPS ACTIVITIES MEMORANDA RECEIPTS for custodial-type items.

Retention period: 1 year after receipt is closed out or superseded, or until property is returned.

4431 MATERIAL SHORTAGE RECORDS

(1) LOCAL CONTROL RECORDS OR REPORTS relating to the shortage or non-availability of supplies at stocking points or to their availability at other stocking points or supply sources.

Retention period: 3 months or until purpose has been served.

4440 INVENTORY CONTROL RECORDS

These records are accumulated by inventory control points, including supply-demand control points, single-manager operating agencies, supply depots, naval retail offices, and other supply offices and organizational units of other activities or offices performing supply and inventory control functions. These functions assure a proper balance between the supply of and demand for items of material. Supply inventory records relate to current inventories and allowances, supply levels, stock status and replenishment, and financial inventory control (the

reconciliation of cost and cost control with stock or property accounting records). (See also 7300-7399 series for records relating to cost, plant, and stores accounting and 13090 for Aircraft Inventory Record.)

The records described may be accumulated in various physical forms, e.g., cards, punched cards, tapes, printouts, lists, logs, etc. In general, however, except where otherwise specifically indicated, they are accumulated as mechanized records. When data or information is accumulated on magnetic or punched tape, the tape record will be retained for the same period of time specified for the more conventional paper record serving essentially the same purpose. Records used merely as a working media for transmitting data to the tape record are disposable as "working papers" after data has been converted to the tape and the tapes have been verified in accordance with accepted electronic data processing machine procedures. When data and information from permanent records are to be converted to electronic data processing machine tapes, however, specific Congressional authorization must be obtained prior to the disposal of the paper documents the tapes are to replace.

* (1) INVENTORY REPORTS: inventory reports, together with related correspondence and other records, not specifically covered elsewhere in this (4440) paragraph. Include inventory control reports, reports of receipt and maintenance of supply items (such as reports on supply levels and short items), financial inventory summary reports, stores accounting transaction and semiannual voucher/invoice tape printouts, and reports of material surveys.

Retention period: 2 years, except 30 months for Marine Corps semiannual voucher tape printouts.

(2) STOCK-ON-HAND RECORDS: records relating to physical counts of stock on hand.

Retention period: 1 year after reconciled with stock (card, tape, or other) entries.

(3) REQUIREMENTS ESTIMATE FILES.

Retention period: 1 year.

* (4) DAILY (STOCK STATUS) TRANSACTION LEDGERS OR LISTINGS: summaries of daily transactions.

Retention period: 1 year or until preparation of historical listing or completion of next inventory. If no historical listing is prepared, retain for 3 years.

(5) HISTORICAL LISTINGS OF STOCK STATUS TRANSACTIONS.

Retention period: 3 years.

(6) CONSOLIDATED (DAILY, MONTHLY, QUARTERLY, OR OTHER) STOCK STATUS TRANSACTION REPORT RECORDS.

Retention period: when consolidated stock status report data are accumulated on or transcribed to electronic data processing machine records--retain until individual consolidated stock status report sheets or tapes are superseded and cancelled and verified; when consolidated stock status report data are not transcribed to electronic data processing machine records--retain for 1 year.

(7) STOCK SLIPS.

Retention period: until procurement document is prepared and expected receipt is posted to stock record.

* (8) DETAIL STOCK CONTROL (SINGLE LINE ITEM TRANSACTION) CARDS (such as NAVSANDA-791 and NAVMC-10496-SD):

(a) Stock Account copies, including Stock Accounts at Marine Corps Supply Centers.

Retention period: 1 year.

(b) Data processing installations copies used to transceive transactions to supply centers or others.

Retention period: until Monthly Transaction Register, Listing of Transceived Cards, or Month-end Summary of Expenditure Listing, as appropriate, has been prepared.

(c) Supply center data processing installation copies used to transceive stock account transactions within the complex.

Retention period: 3 months.

* (9) STOCK DUE (EXPECTED RECEIPT) SINGLE ITEM TRANSACTION CARDS (such as NAVSANDA-786 and NAVMC-10496-SD).

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Retention period: until receipt or cancellation of complete shipment.

(10) RECEIPT STOCK CONTROL RECORDS (header cards, such as NAVSANDA-782) or equivalent taped record.

Retention period: until all stock record accounting actions have been completed and verified.

(11) INVOICE HEADER CARDS (such as Issue/Voucher No. Control Cards, NAVSANDA-783).

Retention period: until invoices have been verified and distributed.

(12) INVENTORY TALLIES OR INVENTORY CONTROL REGISTERS OR REPORTS.

Retention period: until completion of next inventory and all adjustment actions have been taken.

(13) INVENTORY TRIAL BALANCE RECORDS (cards or other records).

Retention period: until completion of next inventory.

* (14) CHANGE NOTICES (cards, such as NAVSANDA-796 and NAVMC-10494-SD) or other similar records.

Retention period: stock accounting change cards--1 year after item is deleted from supply system; price change cards--until superseded or revised list is received; all others--until action has been completed.

(15) STOCK ACTION RECORDS (card or other record): used for such actions as transferring items.

Retention period: until action has been completed.

* (16) STOCK STATUS NOMENCLATURE CARDS (such as NAVMC-10089-SD) OR TAPES.

Retention period: until superseded by new card or tape and report for next reporting period has been prepared and released.

* (17) STOCK LOCATOR CARDS (such as NAVMC-10473-SD).

Retention period: until superseded or until item is no longer carried in stock.

* (18) SUMMARY-TO-DATE RECORDS (such as NAVSANDA-765) and OPENING/CLOSING INVENTORY RECORDS (such as

NAVSANDA-765); inventory balance adjustment and count cards (such as NAVMC-10404-SD, 10193-SD and 10220-SD).

Retention period: 3 months, or 1 month after inventory is completed and all adjustments have been made for inventory records.

- * (19) MECHANIZED STOCK STATUS OR INVENTORY CONTROL BALANCE OR SUMMARY (CARD) RECORDS. Include such records as Stock Status Balance Cards, Stock Status and Replenishment Cards, and Stock Accounting Balance Cards (such as NAVMC-10223-SD and NAVSANDA-767 and 801); Field Reporting Cards (such as NAVSANDA-804); other similar records created or used in connection with inventory updating and stock status reporting.

Retention period: (a) until new stock status balances or summary data cards have been prepared; (b) until data are reproduced for replenishment purposes upon next replenishment cutoff; (c) until item is deleted from stock; (d) until zero stock status is reported to the supply-demand or inventory control point at the next replenishment period if the item is included in a category of items under active item reporting, and (e) until preparation and verification of updated card or other record and release of report for next accounting period.

(20) TAPED INVENTORY CONTROL AND STORES PROCESSING RECORDS (see also para. 4443 for other financial inventory accounting reporting records): magnetic or punched tapes created or used in connection with receipt control processing, inventory updating and stock status reporting, and stores reporting. (Exclude stratification tapes which are to be retained indefinitely.) Retain as follows:

- * (a) Receipt control processing tapes and receipt control master tapes bearing date of stock status cutoff--until after preparation of third generation tape (third successive updating); master receipt control tapes (other than those with stock status cutoff date) and receipt control daily action tapes--until after preparation of second generation tape (second successive updating); receipt control completed action tapes--until after successfully merged with total completed action master tape; receipt control total completed action master

tapes--until successfully merged with next succeeding completed action tape; procurement action status report tapes--until after completion and release of next procurement status report; other receipt control processing tapes--until superseded or successfully updated or merged, provided tapes have been verified in accordance with accepted EDPM procedures, or until preparation and approval of printout or report, as appropriate;

(b) Inventory updating and stock status reporting tapes: master inventory tapes--until after preparation of third generation tape; transaction reporting tapes--until updated and successfully merged with master inventory record; merged transaction reporting tapes--until after preparation of third generation tape; status reporting printing tapes--until after completion of next subsequent stock status report; other inventory or stock status reporting tapes--until superseded or successfully merged and verified in accordance with accepted EDPM procedures, or until preparation and approval of next subsequent printout or report, as appropriate;

- * (c) Stores reporting tapes used by inventory control points and supply centers in the monthly stores reporting process: year-to-date summary tapes used as next monthly input--until after it is determined that updating was successful; financial transaction summary reporting tapes (including Marine Corps East and West tapes); stores reporting output (printing) tapes and year ending summary tapes--until 15 days after next monthly returns or other reports have been prepared, approved, and distributed, unless otherwise notified by Headquarters Marine Corps; other tapes used in stores reporting process--until updated or superseded and new tapes have been verified or until other purpose has been served;

- * (d) Voucher/invoice and daily inventory and stores processing tapes of supply centers: semiannual voucher/invoice tapes--6 months, provided all required printouts have been prepared and approved; daily stores detail tapes, labor roll/materiel charges and credit tapes and materiel receipts/expenditures tapes--until 45 days after submission of month of June (end of fiscal year) returns and 30 days after submission of other monthly returns, unless notified to hold longer; daily voucher/invoice tapes--until after third successive updating of the supply center inventory;

inventory tapes--until after third successive updating; other tapes used by supply centers in connection with the reporting of financial inventory reporting--see para. 4443.

(21) OTHER TAPED OR MECHANIZED INVENTORY OR STOCK CONTROL RECORDS: punched or magnetic tapes and other mechanical records created or used in connection with inventory control processing and reporting and not specifically covered elsewhere in para. 4440.

Retention period: when data is converted to magnetic or other mechanized tape records, destroy raw data (card or other source document) as soon as tape data have been verified in accordance with approved electronic data processing machine procedures. (Verification of tapes requires one, two, or three successive datings, depending on EDPM techniques and programming procedures used. See also para. 5230.) Destroy tapes (erase and re-use magnetic tapes), printouts, and other records prepared from the raw data source documents in accordance with disposal provisions prescribed throughout para. 4440 for records serving a similar functional purpose.

(22) CARDS, TAPES, OR OTHER RECORDS USED INCIDENTALLY IN INVENTORY CONTROL PROCESSING.

Retention period: until superseded, until related listings or reports have been prepared, or until purpose has been served.

(23) MANUAL (NON-MECHANIZED) STOCK CONTROL RECORDS: stock control and other records involved in the reconciliation of physical inventories and in stock status and replenishment (stock account) reporting when mechanized procedures are not utilized:

* (a) Stock Control Cards (such as NAVSANDA-766) used in reconciling physical inventories. (Exclude stock account records covered in subpara. (b) below.)

Retention period: 1 year, or 1 year after balance is recorded on new card or other record, when item is carried forward to new card or other record, and upon completion of inventory if item is no longer carried in stock.

(b) Stock status and stock replenishment (stock account) card records (such as NAVSANDA-767).

Retention period: 18 months after balance is brought forward to new card or until item is no longer carried in stock, except 3 fiscal years for Marine Corps activities.

(c) Other stock record cards, lists, or other similar records.

Retention period: until superseded or stock is depleted.

4442 SUPPLY LEVEL RECORDS

(1) CRITICAL ITEMS LISTINGS maintained by inventory control points.

Retention period: 3 months or until action has been taken.

(2) REPORTS OF CRITICAL STOCK LEVELS (BALANCES) accumulated by supply control activities.

Retention period: 3 months or until action has been taken.

4443 FINANCIAL INVENTORY CONTROL RECORDS

(1) SUMMARY REPORTS OF MONTHLY, QUARTERLY, OR OTHER PERIODIC FINANCIAL INVENTORIES (such as NAVSANDA-215 and 255, and NAVCOMPT-870) and related correspondence and papers.

Retention period: 2 years.

(2) PRICE ADJUSTMENT FORMS.

Retention period: 1 year.

(3) ITEM PRICE CARDS.

Retention period: until cancelled or obsolete.

(4) FINANCIAL DETAIL CARDS OR TAPE RECORDS: financial summary cards (such as NAVMC-10261-FD) or tapes, including daily stores detail tapes and semi-annual voucher/invoice tapes.

Retention period: 6 months, provided stock record accounting action has been completed, or 6 months after submission of report or listing (taped or other) in which stores details were included, except supply centers will retain financial transaction code summary (updated) tapes.

- * (5) OTHER TAPE RECORDS created or used by supply activities or by activities performing supply functions in connection with the periodic processing and reporting of financial inventory accounting data.

Retention period: stores ledger tapes used to input data to subsequent updated tapes--until after preparation of third generation tape; weekly stores summary tapes and financial transactions summary tapes--until after preparation and submission of the next monthly return or report, unless notified to hold longer, except retain master of month of June (end of fiscal year) tapes until 45 days after submission; other records used in connection with or incidental to daily or other periodic processing--until superseded or successfully merged or updated and new tapes are verified, and/or until preparation of next periodic summary listing or report, as appropriate.

4450 STORAGE RECORDS

(1) REPORTS AND RELATED CORRESPONDENCE AND PAPERS CONCERNING THE STORAGE OF SUPPLIES AND EQUIPMENT, including those relating to storage operations, storage standards and procedures, cross-servicing agreements, storage space utilization and control, storage facilities, and storage maintenance:

(a) Reports of individual storage units (such as Storage Unit Reports, NAVSANDA-605).

Retention period: until superseded or until revised report is forwarded to the Bureau of Supplies and Accounts or other higher authority.

(b) Other reports (such as Storage Space Utilization Reports, NAVSANDA-604; Storage Space Utilization and Occupancy Reports, DD-805; Reports of Household Goods Activities, DD-1166; Explosive Storage Reports, NAVORD-272).

Retention period: 2 years, provided summary reports or data have been forwarded to the Bureau of Supplies and Accounts, technical bureaus, or other higher authority.

(c) Storage and warehousing facility permits, leases, and cross-servicing agreements (such as Request and Authorizations-Commercial Warehouse Service or Cold Storage Service, DD-810).

Retention period: 1 year after permit, lease, or agreement is terminated.

(2) LOCAL STORAGE CONTROL RECORDS, such as space or location charts or cards, space or bin assignment records, and other papers used for space assignment or control purposes, or as locator media for supplies and equipment, or as record of stock locations.

Retention period: until superseded or obsolete.

(3) SPACE LAYOUT OR PLANNING CHARTS, ILLUSTRATIONS, or other records relating to storage space utilization, planning, or layout.

Retention period: until superseded or obsolete.

(4) WAREHOUSE RECEIVING AND DISPATCH RECORDS: extra copies of arrival reports, copies of outbound shipping

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reports, work sheets, and other documents used as local warehouse receiving or dispatch (shipping) records. These are maintained by depots, warehouses, or receiving platforms in connection with arranging for the receipt, packing, unloading, or dispatch of supplies and the assignment of labor and equipment for handling supplies at depots, warehouses, etc.

Retention period: 3 months after material is received, or until local control purpose has been served.

(5) STORAGE SPACE PLANNING AND LOCATOR RECORDS: records used in connection with space or layout planning, or to locate supplies, or as check or inventory record of stock locations. Include bin tags, space location sheets or cards, and layout diagrams or space-planning charts.

Retention period: until superseded or obsolete.

4460 MATERIALS HANDLING RECORDS

(1) REPORTS AND RELATED CORRESPONDENCE AND PAPERS CONCERNING MATERIAL HANDLING OPERATIONS.

Retention period: 2 years, provided summary report is forwarded to Bureau of Supplies and Accounts or to other higher authority.

(2) LOCAL OPERATIONAL RECORDS maintained by depots and other activities relating to the operation and utilization of materials handling equipment. Include work assignment records, working reports of materials handling equipment, dispatch control records, information on equipment loaded or unloaded, and other similar local operational (work control) papers.

Retention period: 6 months.

4480 MATERIAL EXPENDITURE (USAGE) RECORDS

(1) MATERIAL USAGE AND EXPENDITURE DATA accumulated by activities in determining material requirements.

Retention period: 1 year or until superseded.

4490 MATERIAL REQUIREMENTS, ADVANCE PLANNING RECORDS

(1) MATERIAL (SUPPLY) REQUIREMENTS ESTIMATE FILES.

Retention period: 1 year.

Disposal of Navy and Marine Corps Records

4500 PROPERTY REDISTRIBUTION AND DISPOSAL RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS OF THE OFFICE OF NAVAL MATERIAL, HEADQUARTERS MARINE CORPS, BUREAU OF SUPPLIES AND ACCOUNTS, BUREAU OF YARDS AND DOCKS, AND OTHER DEPARTMENTAL BUREAUS AND OFFICES responsible for the development, establishment, and implementation of property redistribution and disposal policies, programs, and procedures.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) GENERAL CORRESPONDENCE FILES AND OTHER RECORDS RELATING TO THE OPERATION AND ADMINISTRATION OF PROPERTY REDISTRIBUTION AND DISPOSAL FUNCTIONS (other than program records covered in para. 4500(1) above.

Retention period: 2 years.

4530 SALES RECORDS

(1) POLICY FILE: records relating to the sale of property involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established procedures or precedents with respect to the Department of the Navy's disposal program. These records are accumulated primarily by departmental bureaus and offices.

Retention period: permanent. (Transfer to nearest Federal Records Center 1 year after closing of transaction.)

(2) SALES CONTRACT CASE FILES: invitations, bids and awards, acceptances, and general sales forms and conditions (such as Std-114 and 114A, B, and C), lists of material (item descriptions), evidences of sales, and related correspondence and papers (other than those included in para. 4530(1) above). The transaction is considered completed for purpose of disposal when property has been removed from Government premises and when final payment has been made (any monies due the Government have been collected):

(a) Sales officers case files. Apply para. 7250(4).

(b) Other case files. Apply para. 4280.

(3) SALES RETURN RECORDS.
Apply paras. 7250(1) and (2).

4570 EXCESS AND SURPLUS PROPERTY RECORDS

(1) CORRESPONDENCE AND RELATED PAPERS REGARDING SURPLUS MATERIAL AVAILABLE AT NAVAL ACTIVITIES. Include lists of material certified as surplus by activities and designated for redistribution within the Department of the Navy.

Retention period: 2 years, except retain summary records pertaining to the monetary value of material redistributed and/or declared surplus for 4 years.

(2) REPORTS OF EXCESS AND SURPLUS PROPERTY (such as Std-120 and NAVSANDA-1104) and Reports of Sales of Government Property, Invitations, Bids, and Acceptances (such as Std-114); related correspondence and papers.

Retention period: 1 year after final action has been taken.

(3) CASE FILES RELATING TO SALES OF EXCESS AND SURPLUS PROPERTY. See para. 4530.

(4) EXCESS VESSEL FILES: Correspondence and related papers concerning the stripping and preservation of vessels excess to the Navy and awaiting disposal action; vessel reports (other than those covered in para. 4570(2) above). These records primarily are maintained by BU-SHIPS activities.

Retention period: 2 years after disposal action is completed.

4600 TRAVEL AND TRANSPORTATION RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records of the Bureau of Supplies and Accounts, Headquarters Marine Corps, and other departmental bureaus and offices having program responsibility, relating to the development and implementation of plans, policies, and procedures for the transportation of naval material and the shipment of military and civilian household goods, and for terminal transportation operations (land, sea, and air).

Retention period: permanent. (Transfer periodically to Federal Records Center, Alexandria, Va.)

(b) General correspondence files and other records of the Bureau of Naval Personnel documenting its responsibilities for the development and implementation of policies and procedures for the transportation of military personnel.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(c) General correspondence files of the Commander, Military Sea Transportation Service documenting his over-all responsibilities for providing sea transportation services for the Department of Defense.

Retention period: permanent. (See para. 4620(1)).

(2) GENERAL CORRESPONDENCE FILES OF ACTIVITIES AND OFFICES RESPONSIBLE FOR TRAVEL AND TRANSPORTATION MATTERS, RELATING TO THEIR OPERATION AND ADMINISTRATION (other than records covered in para. 4600(1) above).

Retention period: 2 years, except 3 years for Marine Corps activities.

(3) TRANSPORTATION REPORTS: copies of reports forwarded to or summarized in reports submitted to higher authority and not specifically authorized in the 4600 series for other disposal.

Retention period: 2 years.

4610 SHIPMENT (CARGO AND FREIGHT) RECORDS

(1) RECORDS RELATING TO SHIPMENT (TRANSPORTATION) BY COMMERCIAL CARRIER: shipping documents and related correspondence and papers pertaining to the transportation of material by commercial carrier, including copies of bills of lading, air bills, cargo lists, individual demurrage reports, manifests, and other supporting documents containing pertinent freight classification data; storage in transit records, including Records of Transit Freight Bills and Tonnage Credits (such as NAVSANDA-711 and DD-575); export certificates, trans-shipment tonnage data, and car and car demurrage records (such as DD-1092):

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(a) Commercial freight documentation dated after 31 December 1958.
Retention period: 4 years for issuing office (outbound) copies and consignee (inbound) copies; 1 year for all other copies.

(b) Commercial freight documentation dated before 1 January 1959.
Retention period: 10 years for issuing office (outbound) copies and consignee (inbound) copies; 1 year for all other copies. (Transfer outbound consignor and inbound consignee copies to nearest Federal Records Center when 4 years old, except that overseas Military Assistance Advisory Groups (MDAPs) will transfer inbound copies to the Federal Records Center, Army Section, Alexandria, Va. when 3 years old in accordance with para. 4900.)

(2) RECORDS RELATING TO SHIPMENT (TRANSPORTATION) BY GOVERNMENT CARRIER: Government bills of lading, cargo manifests, freight warrants and waybills, and other documents supporting shipments by Government carriers.

Retention period: 3 years for issuing office (outbound) copies and for consignee (inbound) copies; 1 year for all other copies.

(3) COPIES OF SHIPMENT REPORTS and related papers submitted or summarized to higher authority and not specifically authorized for other disposal. Include tabulated listings, statistical data, and special reports (such as Transportation (Cargo) Tonnage Reports), maintained by transportation activities for local statistical or shipment management purposes.

Retention period: 2 years.

(4) CANCELLED BILLS OF LADING
Retention period: 3 months.

(5) MILITARY SEA TRANSPORTATION SERVICE CARGO RECORDS. See para. 4620.

4611 BILLS OF LADING. See para. 4610.

4612 SHIPMENT ORDER RECORDS

(1) SHIPMENT ORDERS OR REQUESTS SUPPORTING BILLS OF LADING. See para. 4610.

Disposal of Navy and Marine Corps Records

(2) SHIPMENT REQUESTS AND RELATED ORDERS USED AS REQUISITIONS. See para. 4235.

4615 ROUTING RECORDS

(1) ROUTE ORDER FILES: orders and other records (such as Movement of Military Interchange Railroad Cars, DD-1089) relating to the authorization and routing of freight shipments. These copies are used for statistical or other local informational purposes only (such as original file of the Navy Transportation Statistical Division, Freight Terminal Department, Naval Supply Center, Norfolk, Va.). Include routing requests, route orders, routing authorizations, other records of routings, and related correspondence and papers.

Retention period: 1 year or until purpose has been served.

(2) OCEAN MANIFESTS and related papers used by freight terminal offices or other similar activities for routing management purposes only. (See para. 4610 for other copies.)

Retention period: 2 years.

(3) SECTION 22 QUOTATIONS FILES AND TARIFF FILES.

Retention period: until cancelled or superseded, except that tariffs required to interpret Section 22 Quotations may be retained.

4620 SEA TRANSPORTATION RECORDS

These records are accumulated by Military Sea Transportation Service activities, including Headquarters MSTs and subordinate commands and offices (other than files maintained aboard individual MSTs ships which are covered in Part III of this Instruction). Military Sea Transportation Service records not covered in this (4620) paragraph should be disposed of in accordance with pertinent subject-matter provisions throughout this manual.

Regardless of these authorized retention periods, any records pertaining to unsettled claims, to matters under litigation or investigation, or to General Accounting Office exceptions are to be retained until after case is finally settled or closed.

(1) PRIMARY PROGRAM RECORDS:

* (a) Commanders, Military Sea Transportation Service Headquarters and area and sub-area commands general correspondence (subject) files: correspondence, reports, and other records that document the organization of the Service, and the over-all development and execution of plans, policies, programs, and procedures relating to the Service's assigned mission of providing sea transportation for Department of Defense goods and personnel; related index records. (Exclude internal operating records covered in para. 4620(3) below.)

Retention period: permanent. (Transfer to nearest Federal Records Center when 2 years old.)

(b) That portion of the general correspondence files of divisions and other organizational units of Headquarters Military Sea Transportation Service that documents plans, programs, general procedures, the overall accomplishment of assigned functional responsibilities, and the performance of essential transactions, when these files are not duplicated or essentially documented in files covered by subparagraph (a) above. Include program documentation of the Plans and Policies Division, Operations Division, Commercial Water Traffic Division, Maintenance and Repair Division, Engineering Division, Claims Division, Contract Division, the Consultant Negotiator, the Merchant Marine Assistant, and the Arctic Operations Provost Officer. Include also congressional liaison files of the Plans and Policies Division.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 2 years old.)

(c) That portion of the general correspondence files of the legal staffs of MSTS Headquarters and area or sub-area commanders that documents policy decisions and the development and accomplishment of overall plans and programs relating to the staff's assigned responsibilities and to the coordination of legal work under area and sub-area commanders.

Retention period: indefinite.

(2) GENERAL CORRESPONDENCE FILES of divisions and other organizational units of Headquarters Military Sea Transportation Service that are essentially duplicated or summarized in the Commander's general correspondence files and that relate to the overall performance of their functional responsibilities. (Exclude routine operating records covered in para. 4620(3) below.)

Retention period: 4 years.

(3) INTERNAL OPERATING RECORDS: general correspondence files of the Commander, MSTS; of divisions and other organizational units of Headquarters, MSTS; and of subordinate commands and offices, including legal staffs, divisions, or other organizational units of the command or office, relating to the routine internal operation and administration of their functions. Include copies of reports submitted to higher authority and not specifically authorized in this (4620) paragraph for other disposal. (Exclude primary program records covered in para. 4620(1) and (2) above.)

Retention period: 2 years.

HEADQUARTERS MILITARY SEA TRANSPORTATION SERVICE RECORDS. (See paras. 4620(18)-(27) for records of MSTS subordinate commands and offices.)

(4) JOINT AGREEMENT FILES: agreements between Military Sea Transportation Service and Shipper Services.

Retention period: permanent.

(5) SHIPBOARD ADMINISTRATION RECORDS:

(a) Annual reports of administrative inspections of MSTS ships; related correspondence and papers documenting recommendations and results.

Retention period: permanent, as provided in para. 5040(3).

(b) MSTS Welfare and Recreation Fund records. Apply para. 5380.

(6) OPERATIONAL INTELLIGENCE RECORDS (Operations Division):

(a) Port Facilities Files: copies of reports, brochures, regulations, photographs, and other records pertaining to port facilities or Department of Defense installations of possible use to Military Sea Transportation Service for resupply, emergency, or other purposes, including copies of reports relating to foreign ports. These records are maintained by the Operational Intelligence Officer.

Retention period: until superseded, cancelled, or obsolete.

(b) General correspondence files relating to port facilities and operational intelligence matters at MSTS activities. Consist of correspondence and related papers concerning such matters as status of facilities, ships schedules, anchorages

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and harbors, dredging, ammunition handling and stowage.

Retention period: 1 year.

(7) PLOTTING OFFICER RECORDS:

(a) Movement report cards; continuous record of ship arrivals, departures, and speed of advance.

Retention period: permanent.

(b) Movement reports (message) from MSTS subordinate commands and offices of ship arrivals and departures; status reports prepared daily from daily messages received.

Retention period: status reports--2 years; message reports--until superseded or until vessel is removed from MSTS control.

(c) Ships employment schedules (periodic) received from all USN vessels; COMSTS schedules for USNS vessels (passenger, cargo, tanker, and chartered vessels).

Retention period: until superseded.

(d) Special projects file of copies of daily position charts, messages, and other reports pertaining to specific operations or special projects.

Retention period: 3 months after completion of project.

(8) PASSENGER OPERATIONS RECORDS:

(a) Passenger Transportation Reports: summary reports of passengers embarked by Military Sea Transportation Service (such as MSTS-4621(15a)). Include related index or control records, such as kardex record of passenger reports received.

Retention period: permanent. (Transfer annually when 1 year old to Federal Records Center, Alexandria, Va.)

(b) Passenger lists. Apply para. 4650(9).

(c) Passenger traffic (card) records: summary records of passenger traffic statistics showing number and source (by military Service) of passengers carried by each MSTS ship.

Retention period: permanent.

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(d) Traffic Analysis and Reports Files: copies of reports and other data relating to or accumulated in connection with the analysis of passenger traffic, i. e., requirements versus plans and capabilities, traffic requirements and allocations, etc. Consist of internally prepared reports, Passenger Traffic Reports, Comparative Analyses of MSTS Traffic, and other similar reports or data.

Retention period: 5 years.

(e) Ships Files: correspondence with individual passenger ships, and related papers.

Retention period: 3 years.

(9) CARGO SHIP OPERATION RECORDS:

(a) Ships Files: correspondence and other records relating to individual MSTS cargo ships. Include periodic vessel operation reports, departure and arrival reports, schedules, cargo assignments, certificates of performance, voyage reports, and other similar or related records.

Retention period: 5 years.

(b) Operational statistical and data reports received periodically from MSTS subordinate commands and offices. Consist of such reports as Continental Port Activity and Cargo Summary, Overseas Cargo Activity, Operational Report of MSTS Charter of USNS and USS Cargo Ships, and Cargo and Ship Activity (Message) Report.

Retention period: 5 years, except 1 year for cargo and ship activity message report.

(c) Cargo transportation space requirements reports: received periodically from Shipper Services.

Retention period: 2 years.

(10) COMMERCIAL WATER TRAFFIC RECORDS:

(a) Charter Contract Administration Files: correspondence and other records relating to the general administration of charter contracts. Include material on general procedures and instructions, contract preparation, rate analysis, and related matters.

Retention period: 5 years.

(b) Ocean Terminal and Tariff Files.Retention period: indefinite.

(c) Ocean manifests, related stowage plans and dock receipts: information copies used for analysis of cargo loaded on commercial vessels; related card records of manifests received. (See para. 4610 for other copies.)

Retention period: 3 years.

(d) Vessel schedules.
Retention period: 1 year.

(e) Cargo Activity Reports (Overseas) and Port Activity and Cargo Reports for Continental U. S. Ports: copies accumulated by Rate Branch.

Retention period: 4 years for continental U. S. reports; 1 year for overseas reports, provided no longer needed for reference or statistical purposes.(f) Company and Commodity Files.Retention period: indefinite.

(g) Cargo Distribution and Tonnage Lifting Reports.

Retention period: 1 year, provided no longer needed for statistical or reference purposes.

(11) TANKER OPERATION RECORDS:

(a) Ships Files: consist of (1) individual folders for each tanker, containing correspondence on the tanker's operation, maintenance and repair, damages, crew articles and other similar material; (2) folders containing operational records, such as Tanker Voyage Reports, Gauging and Inspection Reports, Vessel Utilization and Operation Reports, and other similar reports; and (3) folders containing messages on operation of each vessel.

Retention period: 2 years.

(b) Tanker Operations Schedules (weekly) and periodic reports from contract operators showing ships schedules and names of ships masters and chief engineers; loading and discharge reports.

Retention period: 1 year, except 18 months for loading and discharge reports.

(c) Port Information Files: correspondence, reports on sailing harbor and other conditions, port facilities and stowage information, reports of unusual conditions, and other similar data.

Retention period: until information is superseded or obsolete.

(12) MAINTENANCE AND REPAIR RECORDS:

(a) Ships correspondence files: correspondence, messages, and other records relating to individual MSTS vessels and to repair, overhaul, and maintenance matters.

Retention period: indefinite.

(b) Job Order Specifications and Final Cost Reports of Vessel Repairs, including Departure (final cost) Reports for repairs to tankers. These document vessel repairs, maintenance, alterations, and conversions.

Retention period: indefinite.

(c) Inventory and Condition Surveys for all MSTS vessels, including cursory condition survey reports and reports received when vessel is placed under MSTS control; annual material inspection reports; annual boiler inspection reports.

Retention period: indefinite.

(d) American Bureau of Shipping and U. S. Coast Guard inspection reports and certificates, copies of; related documents.

Retention period: indefinite.

(e) Shipalts, including Alteration Approval Records, for all USS vessels and for CVE's under MSTS control.

Retention period: until all ships to which applicable have been removed from MSTS control or until craft is stricken.

(f) Tanker Passage Report Files: copies of Voyage Abstracts, Abstracts of Engineering Logs or Engineer Passage Reports, other similar records.

Retention period: indefinite. (Transfer to Federal Records Center, Alexandria, Va. when 3 years old.)

(13) ENGINEERING RECORDS:

(a) American Bureau of Shipping and United States Coast Guard reports and

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certificates, copies of, for MSTS tankers, transports, etc.

Retention period: until vessel is scrapped (deleted from register of United States naval ships).

(b) Blueprints and plans for MSTS vessels.

Retention period: until superseded or vessel is removed from MSTS control, except that Technical Branch will retain its files of plans, specifications, and/or data books for all categories of hull, machinery, structural detail plans for tankers, stability plans, general arrangement plans, conversion and repair specifications, new design plans, and related documentation until 3 years after superseded or vessel is removed from MSTS control.

(c) Vessel Files: records relating to individual MSTS cargo and transport vessels. Comprise records relating to engineering matters, such as boiler and other inspection reports, Reports of Ships Undergoing Repair or Alteration, Port and Voyage Abstracts, Docking Reports for MSTS cargo and transport vessels (annual or biannual), propeller data (measurements), and other similar reports or records.

Retention period: 5 years, except retain docking reports and propeller data until vessel is removed from MSTS control.

(d) Technical progress reports.
Retention period: 5 years.

(e) Engineering calculations and related technical information regarding MSTS vessels.

Retention period: 3 years after date calculations are superseded by later data or data otherwise becomes obsolete.

(f) American Bureau of Shipping approvals of technical machinery and structural plans for ships.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 3 years old.)

(g) Ships Design Files. Apply para. 9020, except that Technical Branch will retain its new design plans for ships until 3 years after superseded.

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(h) Ships Electronics Files: correspondence and other records relating to electronics matters aboard individual MSTS ships. (See para. 9670 for other shipboard electronics records.)

Retention period: until vessel is removed from MSTS control or scrapped, except retain electronic equipment stock record reports received from subordinate commands and related tabulations and records until 3 years old.

(14) MATERIAL RECORDS:

(a) Ship equipment data, such as copies of trial trip reports, allowance lists, and other basic material data.

Retention period: until vessel is stricken.

(b) Ship material status, formal records of, at time of transfer of vessel, such as builder's receipts and ship's inventories.

Retention period: until obsolete.

(c) Material procurement and inventory control records. Apply pertinent provisions of the 4000 series and other pertinent provisions throughout Part II of this Instruction.

(15) MEDICAL RECORDS: Voyage Medical Reports (such as MSTS-155) and other similar reports, and periodic statistical data relating to medical functions at MSTS activities or aboard MSTS ships.

Retention period: 1 year.

(16) STATISTICAL AND ANALYSIS RECORDS:

(a) Periodic reports received from subordinate commands and offices and used for analytical purposes and to compile data. Consist of Reports of MSTS Ship Dispatches and Demurrages (monthly, consolidated, etc.); Reports of MSTS ships used by other than MSTS on a per diem basis; copies of statements (used to prorate bills for shipper services); Reports of Allocations of Direct and Overhead Costs; Balance Sheets used to abstract or compile data for periodic statistical reports; Vessel Expenditure and Obligation Reports; Voyage Reports; monthly statistical listing reports of Joint Military Transportation Committee. Include also special reports or listings prepared by specific request.

Retention period: 2 years.

(b) MSTS Transportation Bill-- Allocation Bill and Statistical Bill, for Shipper Services or agencies; substantiation for Bills, including consolidated monthly reports (listings by categories) and monthly sheets. Include also work sheets and other background papers used in preparing Bills for Shipper Services (such as allocation work sheets, income and expenditure and cost analysis data and codes).

Retention period: 2 years, except retain Bills to Shipper Services until 3 years old.

(c) Summarized Reports of MSTS Operations; MSTS Ship Performance (Underway Performance Vessel Operations) Reports; MSTS Ships Characteristics Inventories; Quarterly MSTS Ship Utilization Reports.

Retention period: permanent.

(d) MSTS Financial and Statistical Reports (such as MSTS Report 552): prepared monthly.

Retention period: permanent.

(e) Lift statistics and revenue billing (cost) cards: contain MSTS cargo and passenger lift statistics, and performance, cost, and other data. Received periodically from subordinate commands.

Retention period: original detail cards submitted periodically by subordinate commands--indefinite; summary cards prepared at Headquarters--5 years.

(f) Tabulations or listings covering MSTS lift statistics (passenger, cargo, inbound and outbound lifts, etc.) and miscellaneous shipment statistical data. (Lift statistics are summarized in published reports; one copy of each published report is to be retained indefinitely.)

Retention period: 3 years.

(17) MSTS INSPECTOR GENERAL RECORDS: reports of inspection and surveys made of subordinate activities by Area Command survey teams; Shipboard Inspection Reports. See para. 5040.

MILITARY SEA TRANSPORTATION SERVICE SUBORDINATE COMMANDS AND OFFICES RECORDS. (See paras. 4620(4)-(17) above for Headquarters MSTS records.)

(18) DAILY BULLETINS.

Retention period: master copies--(one of each)--permanent; all others--until superseded or obsolete.

(19) PASSENGER LISTS.

Retention period: master passenger lists with arrival dates affixed (one official copy of each list)--permanent (transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis 32, Mo. when 3 months old); all others--until purpose has been served, except that comptroller divisions of MSTS activities will retain accounting copies for 2 years.

(20) LOCATOR FILES (SHIP AND PERSONNEL).

Retention period: 1 year.

(21) SHIPS AVAILABILITY REPORTS.

Retention period: until superseded or cancelled, except that operations divisions of MSTS activities will retain for 2 years.

(22) STATISTICAL AND COST ACCOUNTING RECORDS maintained by the comptroller's office of MSTS activities:

(a) Cargo and passenger lift statistical records (such as original detail (EAM) cards used for cargo and commodity identification and summary cards, containing lift statistics, including summary cards used to prepare specific reports, and intermediate summary cards used to prepare unspecified reports); monthly bulk petroleum reports.

Retention period: 2 years.

(b) Ocean shipping manifests: copies used by MSTS comptrollers for statistical and analytical purposes.

Retention period: cargo manifests--6 months; berth-term or space shipment manifests--1 year.

(c) Other cost and financial accounting records. Apply chapter 7.

(23) LEGAL RECORDS. See paras. 4620(1) and 5800.

(24) MSTS MAINTENANCE AND REPAIR DIVISION RECORDS. These are maintained for internal maintenance and repair planning and for progress control purposes. (See pertinent subject-matter series for official contract and order files, inspection files, etc.)

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(a) MSTS Vessel (Ship) Case Files: correspondence and related papers pertaining to MSTS ships undergoing repair or alteration. Include such records as copies of alteration requests, bids, field orders, repair specifications, progress and inspection reports, departure reports, and other similar reports and papers; related correspondence. See para. 4700(3).

(b) Pre-voyage vessel condition reports.

Retention period: 1 year.

(c) Reports and abstracts (other than those filed in case files covered in sub-para. (a) above: port and voyage reports and abstracts (such as MSTS-9400-1 and 9400-2); engine department log abstracts; conversion progress reports (such as MSTS-180); lube oil analysis reports; boiler water conditioning reports; inspection of water or pressure vessel reports (such as MSTS-4730-2); periodic maintenance reports of vessels and reports of vessels undergoing conversion and repairs; other similar or related reports pertaining to local maintenance and repair functions.

Retention period: 2 years.

(d) Decommissioning inventories.

Retention period: permanent.

(e) Ships characteristics data.

Retention period: until superseded or until ship is removed from MSTS control.

(f) Records of equipment aboard MSTS vessels.

Retention period: until superseded or until vessel is removed from MSTS control.

(g) General MSTS ship specifications and standards; MSTS ship repair specifications. Apply para. 4121.

(h) MSTS records relating to salvage and disposal of scrap by private contractors, including declarations from contractors, invoices, and memoranda approving payment.

Retention period: 4 years.

(i) Work production records.

See para. 5220.

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(j) Other maintenance and repair records.

Retention period: Apply 4700-4799 series.

(25) CIVILIAN MARINE PERSONNEL RECORDS:

(a) Qualification records.

Retention period: 1 year after transfer or other separation of employee.

(b) Rosters of masters and other civilian marine personnel.

Retention period: until superseded.

(c) Crew lists.

Retention period: 10 years. (Transfer to nearest Federal Records Center when 2 years old or after settlement of claim to which pertinent, whichever is later.)

(d) Other records relating to civilian marine personnel. Apply provisions of Chapter 12.

(26) OPERATIONS DIVISION RECORDS:

* (a) Original deck logs (submitted monthly by USNS ships to home port commanders).

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 1 year old and when vessel is transferred from MSTS control.)

(b) Ships data and characteristics records.

Retention period: until superseded or vessel is removed from an MSTS activity's control.

(c) Ship itinerary cards or other records of vessel movements.

Retention period: 2 years after date of obsolescence (ship is removed from MSTS control, placed in reserve operation service (ROS), or scrapped).

(d) Billet assignments aboard ship, records of.

Retention period: 6 months.

(e) MSTS passenger, booking, and trip records: passenger ship schedules;

passenger transportation reports (such as MSTS-4621-3) and speedletter reports of passenger activities; booking requests and other related booking records for USNS in-service and MSTS chartered vessels; copies of trip summary reports (such as MSTS-4650-4); and card or other records of ship bookings.

Retention period: 1 year.

(f) JOSPRO (Joint Ocean Shipping Procedures) passenger messages and sailing orders.

Retention period: 2 years.

(g) Ship and cargo availability and operational records, such as ships availability reports and weekly MSTS operation reports; vessel activity reports, port activity and cargo forecasts and summaries; space reservation reports and summaries of space available; Army consist lists indicating cargo on wharves available for shipment; Mutual Defense Assistance Program (MDAP) shipment reports; and other similar or related documents. These are copies accumulated for operational planning and ship and cargo availability purposes.

Retention period: 2 years.

(h) MSTS and commercial steamship sailing schedules; records of port facilities.

Retention period: until superseded.

(i) MSTS manifests and hatch lists (such as DD-468, 469, and 485), together with related bills of lading and other similar records pertaining to each sailing of individual vessels: copies used for operating purposes. (See para. 4610 for official outbound and inbound shipment copies.)

Retention period: 2 years when cargo is loaded within area of responsibility; until ship departs the area when cargo is incoming.

(j) Berthing plans for MSTS passenger vessels.

Retention period: until superseded or until vessel is stricken from register.

(k) Vessel movement records, including copies of operational orders and movements and supporting documents. (See also subpara. (p) below.)

Retention period: 2 years, as provided in para. 3123(2).

(l) Ship Voyage Files: cargo preplanning (ship voyage) files containing such records as rough shipping orders, certificates of performance, stowage plans, copies of damage reports, and agreements on cubics of cargoes; claims (ship voyage) files, including space charter invoices and claims files, containing such records as manifests, shipping orders, out-turn reports, invoices, status slips, and claim forms; ship voyage files (general) used for cargo operation purposes and containing such records as manifests, copies of bills of lading, sailing messages, out-turn reports, applications for berths, confirmations of berth assignments, and related correspondence.

Retention period: 2 years.

(m) Time charter vessel operations (information) files: copies of operational orders and movement reports, delivery and redelivery survey reports and certificates, port logs, condition surveys, and other similar or related papers and correspondence.

Retention period: 2 years after delivery of vessel.

(n) Charter contracts. Apply para. 4280.

(o) Berthing lists, and bi-weekly and other on-berth shipboard reports.

Retention period: 3 months.

(p) Daily position reports (messages).

Retention period: 6 months or until information has been plotted on position chart or otherwise recorded, whichever is earlier.

(q) Condition survey reports; arrival and departure inspection reports; on-hire and off-hire inspections.

Retention period: 2 years.

(r) Quartermasters Notebooks: forwarded annually to home ports by individual MSTS vessels.

Retention period: 3 years.

(s) Other vessel operation reports and records, including those relating to passenger and cargo handling matters, and to other MSTS operational matters not

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specifically covered elsewhere in this (4620) series.

Retention period: 2 years.

(27) OTHER MSTs RECORDS. Apply pertinent subject-matter instructions throughout this manual.

4622 MERCHANT MARINE RECORDS

These records are accumulated by the Merchant Marine Assistant's Office at Headquarters, Military Sea Transportation Service, Washington, D. C.

(1) GENERAL CORRESPONDENCE FILES OF THE MERCHANT MARINE ASSISTANT'S OFFICE relating to the overall mission of the Office and its organization and significant accomplishments, including liaison activities with the Maritime Administration. (Exclude routine internal operating records.)

Retention period: permanent, as provided in para. 4620(1) above.

(2) MERCHANT MARINE VESSEL FILES: include (a) individual case folders for each active merchant marine vessel having previous service with the Navy or the Army Transportation Corps, each major merchant ship built since World War II, each ship currently assigned to Military Sea Transportation Service, and each merchant type ship transferred to the Navy by the Maritime Administration since World War II; and (b) related kardex and linedex records of merchant marine vessels.

Retention period: until vessel is sold foreign (less those under "effective U. S. control"), scrapped, sunk, or no longer considered suitable for future service in the American Merchant Marine.

(3) MERCHANT MARINE VESSEL PLANS, including conversion plans for ships converted to merchant vessels; copies of.

Retention period: until superseded or obsolete, or until ship is removed from "effective U. S. control" (sold foreign, sunk, or scrapped).

(4) NAVAL RESERVE PENNANT FILES: company and ships files consisting of copies of Awarding Warrants to Fly Merchant Marine Reserve Flag, qualifying letters, copies of SECNAV awarding letters, and Reports of Naval Reserve Status of Crew.

Disposal of Navy and Marine Corps Records

Retention period: until ship's warrant is cancelled, then transfer to and dispose of with vessel file (para. 4622(2) above).

(5) MERCHANT VESSEL REGISTER master file—one copy of each.

Retention period: permanent.

(6) AMERICAN BUREAU OF SHIPPING LISTINGS with supplements, and LLOYD'S REGISTER with supplements.

Retention period: 5 years, except retain indefinitely selected "Critical Year" issues.

4630 AIR TRANSPORTATION RECORDS

(1) AIR CARGO AND FREIGHT SHIPMENT RECORDS. See para. 4610.

(2) AIR PASSENGER AND TRAVEL RECORDS. See para. 4650.

4650 PASSENGER TRANSPORTATION/ TRAVEL RECORDS

(1) ACTIVITIES GENERAL CORRESPONDENCE FILES: files of transportation offices and of other offices or activities performing travel and transportation functions. (Exclude departmental program records covered in para. 4600(1) and MSTs records covered in paras. 4620(1) and (2).)

Retention period: 2 years.

(2) TRANSPORTATION REPORTS: copies of reports relating to civilian travel and to travel by military personnel and their dependents. Include Reports of Payments for Travel Expenses not shown on transportation requests, other similar reports, and related correspondence and papers.

Retention period: 2 years.

(3) DAILY TRANSACTION FILES.

Retention period: 2 years.

(4) MILITARY PERSONNEL TRANSPORTATION REQUESTS AND MEAL TICKET RECORDS: official transportation office and certifying or authorizing office copies of records relating to the authorization or issuance of transportation requests and meal tickets to military personnel or their dependents, including Transportation Requests or Meal Tickets issued, stubs of transportation requests or meal tickets issued, copies of duty orders, travel

orders, certificates, and related correspondence and other supporting papers.

* Retention period: 4 years, except 3 years for MARCORPS activities.

(5) TROOP MOVEMENT RECORDS: draft movement orders and related correspondence and papers concerning the routing (transportation) of troop drafts (15 or more men). Include requests for rail or other space and draft sheets.

Retention period: 2 years.

(6) TRANSPORTATION ACCOUNTABILITY RECORDS: fiscal copies of vouchers and other records covering passenger transportation charges. See chapter 7.

(7) CIVILIAN PERSONNEL TRAVEL RECORDS: requests, authorizations, orders, and other records relating to official travel by civilian personnel and their dependents and to other civilians authorized to travel at Government expense, including Conference Travel Requests and Authorizations (such as NDGEN-1020).

Retention period: transportation of office official copies and administrative (authorizing) office copies--4 years; other copies--until purpose has been served.

(8) TRAVEL EXPENSE CLAIMS. Retention period: 3 years after date of settlement of claim.

(9) PASSENGER LISTS AND PASSENGER REPORTS (passenger invoice recapitulation sheets) and related destination summary sheets; cargo reports (invoice recapitulation sheets) and related summaries of cargo (other than MSTs permanent (master) file and other copies accumulated by Military Sea Transportation Service activities and covered in para. 4620(19)).

Retention period: 1 year.

(10) MOTOR VEHICLE OPERATING RECORDS. See para. 11240.

4660 TERMINAL OPERATIONS RECORDS

(1) GENERAL CORRESPONDENCE FILES created or accumulated by activities in connection with the operation and administration of cargo and terminal operation facilities, including stevedoring and ship loading operations, waterfront (port and port terminal) facilities, and transit and export operations (other than primary

program records covered in para. 4600 (1)).

Retention period: 2 years.

(2) STEVEDORING CONTRACTS, CROSS-SERVICE AGREEMENTS, AND CARGO HANDLING SERVICE AND SPACE SHIPPING CONTRACTS. Apply para. 4280.

(3) CARGO TONNAGE REPORTS (such as NAVSANDA-1045), cargo handling reports, Reports of Transit Utilization by Transit Operators (such as DD-1090), and other terminal operations reports not specifically authorized for other disposal.

Retention period: 2 years, except that cargo handling battalions will destroy cargo handling battalion progress reports when 6 months old or upon disestablishment.

(4) TERMINAL FACILITIES DATA FILES: ships characteristics, charts, maps, and other informational material regarding terminal facilities, terminal handling cost and tonnage data, stowage plans, and other papers reflecting terminal facilities informational data.

Retention period: until superseded, obsolete, or no longer needed for information.

4700 MAINTENANCE, REPAIR, CONSTRUCTION, AND CONVERSION RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES of activities, departments, divisions, or other organizational units concerned with the construction, alteration, overhaul, repair, salvage, maintenance, or construction of naval facilities, equipment, aircraft, vessels, and other materials, and pertaining to the execution of their functions. (Exclude primary program records covered in appropriate subject matter series:

(a) Correspondence, reports, and other records relating to the planning of industrial operations involving the construction, repair, and maintenance of facilities, equipment, aircraft, vessels, and other craft and materials. These records pertain to the correlation of work with available funds, preparation and issuance of designs, coordination of work assigned to private contractors, engineering procedures, work scheduling (planning) programs, and the overall supervision of these functions within the activity.

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Retention period: 4 years, except that public works activities will retain for 5 years.

(b) Correspondence relating to the routine internal operation and administration of the activity, shop, or other organizational unit concerned with maintenance, repair, and overhaul functions.

Retention period: 2 years.

(2) AIRCRAFT (CASE) FILES: correspondence and related papers regarding repairs and alterations to individual aircraft or astronautic vehicles. These are accumulated by overhaul and repair offices or units of aviation stations, facilities, or other activities concerned with the maintenance, overhaul, and repair and readiness of aeronautical craft. Consist of such papers as reports and data on major and minor overhauls; copies of specifications, characteristics data for craft; copies of alteration and repair receipts and requests, inventories of materials used in repair, and release forms; check-off sheets, discrepancy sheets; copies of inspection reports; related correspondence and papers.

Retention period: 1 year after plane or other craft leaves activity's custody or 1 year after completion of repair or alteration job, except retain summary records relating to any major modifications (including Project Case Files of BUWEPS Fleet Readiness Representatives relating to modification of types of craft) until craft is disposed of or type of craft becomes obsolete.

(3) SHIPS (CASE) FILES: records documenting the maintenance, repair, construction, and conversion of individual vessels and accumulated by shipyards, facilities, and other activities concerned with the upkeep, maintenance, repair, alteration, and readiness of vessels and other craft. Consist of copies of repair, alteration, and other requests, copies of bids and specifications, inspection and departure reports, material inventories, and other similar reports and papers; related correspondence.

Retention period: 4 years or until vessel is stricken from Naval Vessel Register, whichever is earlier, except retain summary records relating to major alterations and ships characteristics until craft is disposed of or vessel is stricken.

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(4) JOB CONTROL OR STATUS CARDS, check-off lists, or other progress or status control records relating to upkeep, maintenance, repair, construction, or alteration work.

Retention period: until action is completed.

(5) CARDS OR OTHER LOCAL CONTROL RECORDS relating to the status (readiness or other) of individual vessels, craft, or equipment under an activity's cognizance.

Retention period: until craft or equipment is disposed of or transferred.

(6) WORK LISTS covering approved alteration and repair projects; related correspondence and papers. See para. 4235(2).

(7) ENGINEERING TEST DATA AND RESEARCH AND DEVELOPMENT PROJECT AND DATA FILES for aeronautical, ordnance, ships, and other naval weapons and materials. See para. 3900.

(8) MACHINERY OR EQUIPMENT HISTORIES (card or other similar record) and related documents.

Retention period: 1 year after equipment or machinery becomes obsolete or is scrapped.

(9) U. S. COAST GUARD RECOMMENDATIONS for repairs to vessels.

Retention period: 2 years.

(10) JOB OR PROJECT ORDER (SHIP, CRAFT, OR EQUIPMENT) FILES: accumulated by shops performing maintenance services and other work, including rework, repair, and conversion work for aircraft, USN and USNS ships and other craft, and for naval weapons and equipment. These consist of copies of job and project orders, together with copies of related plans, bids, repair specifications, schedules, invoices, completion and inspection reports, and other similar or related papers, including correspondence. (Exclude copies to be filed in contract or order case files covered in para. 4280 and accounting copies of orders covered in para. 7303.)

Retention period: 2 years after completion of job or project.

(11) SPECIFICATIONS REFERENCE FILES: extra copies of specifications, including contract specification estimates for repairs, rework, overhaul, etc. to ships, craft, weapons, and materials.

Retention period: 2 years, until completion of related work, or until obsolete or no longer needed for reference.

(12) WORK PRODUCTION RECORDS. See para. 5220.

(13) ENGINEERING DRAWINGS AND PLANS REFERENCE FILES: copies used by activities in connection with repair, maintenance, construction, and conversion operations. (See technical subject series for master files.)

Retention period: until superseded, obsolete, or no longer needed for reference.

(14) ENGINEERING INSTRUCTION SHEETS: information and working copies only.

Retention period: until completion of job or until no longer needed.

(15) REFERENCE COPIES OF MASTER OR OTHER CONTRACTS, including repair, rework, overhaul, conversion, or construction contract files (ships, aeronautical services, and others). (See para. 4280(1) for contract case files.)

Retention period: 1 year after completion of repair or alteration job as provided in para. 4280(2).

(16) LABOR AND MATERIAL CHARGE AND OTHER COST RECORDS. See para. 7310.

(17) MANUFACTURING WORK AND REPAIR ORDERS AND REQUESTS. See para. 4235.

(18) INDUSTRIAL MANAGEMENT PROJECT FILES maintained by overhaul and repair departments at air stations, air facilities, shipyards, and other activities concerned with the construction, repair, rework, conversion, and maintenance of naval craft (ships, aircraft), missiles, facilities, and materials:

(a) Research and development project files. Apply para. 3900.

(b) Other project files. Apply para. 5200.

4701 SCHEDULING RECORDS

(1) GENERAL CORRESPONDENCE FILES maintained by various shops and

offices, relating to maintenance, upkeep, repair, construction, and improvement work for ships and other craft, equipment and materials, and facilities and installations, and involving work scheduling and progressing. (See para. 4700(1) for program planning records.)

Retention period: 2 years.

(2) OVERHAUL, ALTERATION, MAINTENANCE, AND UPKEEP SCHEDULES and related local control records; shop schedules.

Retention period: shop and job schedules--6 months; equipment upkeep and maintenance schedules--1 year.

(3) LOCAL CONTROL, PROGRESS, AND STATUS RECORDS: workload progress and control records, including reports, cards, schedules, and other similar or related papers that are prepared or maintained for local internal production planning or scheduling and work progress reporting or control purposes. These records are accumulated by shops and other activities concerned with the upkeep, maintenance, construction, and repair of aircraft, vessels, other craft, naval equipment and materials, and ashore facilities. Include progress control cards; production, distribution and delivery, material erection, and other schedules; other local records and correspondence used to schedule work or to facilitate or control work in progress.

Retention period: 6 months or 6 months after completion of all related job or project orders or contracts, as appropriate, except retain job status reports and related listings for 1 year.

4710 OVERHAUL/REWORK RECORDS

(1) OVERHAUL USAGE DATA relating to aeronautical craft and materials maintained by activities concerned with overhaul operations.

Retention period: 2 years.

(2) PROJECT CASE FILES FOR TYPES OF CRAFT OR EQUIPMENT: correspondence, copies of specifications, data and related records pertaining to the overhaul and modification of types of craft.

Retention period: until craft or equipment is obsolete.

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(3) OVERHAUL AND REWORK REQUIREMENT SCHEDULES. These records document working plans and requirements for major rework and overhaul work scheduled or programmed. Include master work schedules, together with any changes thereto, and related papers.

Retention period: 1 year after superseded by new schedule.

(4) OTHER OVERHAUL/REWORK RECORDS. See para. 4700.

4720 ALTERATION AND IMPROVEMENT RECORDS

(1) SHIPALTS, ORDALTS, NAV-ALTS, and other alteration and repair specification documents or material lists (copies of) maintained by maintenance, construction, and repair activities or facilities or by supply activities for inventory control and other supply management purposes, or to facilitate local maintenance, construction, or repair action.

Retention period: until superseded or cancelled, or until completion of alteration or repair program, or until craft or vessel is stricken, or until material is deleted from the supply system, as appropriate.

(2) PROJECT (CASE) FILES relating to the major alteration of individual vessels or craft.

Retention period: until vessel or craft is stricken.

(3) OTHER ALTERATION AND IMPROVEMENT RECORDS. See para. 4700.

4730 INSPECTION, EXAMINATION, TEST, AND SURVEY RECORDS

(1) BOARD OF INSPECTION AND SURVEY, WASHINGTON, D. C. RECORDS:

(a) General correspondence files of the President of the Board: that portion of the files that documents the Board's organizational and functional history and the development and execution of plans, policies, procedures, and essential transactions pertaining to the Board's primary function of providing for periodic and special inspection of ships and other craft, supervision and review of sub-boards, participation by the Board itself in inspections, execution of directives from higher authority, and the

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development and issuance of instructions and procedures relating to inspections; related index records. (Exclude files relating to the routine administration of the Board covered in para. 4730(2) below.)

Retention period: permanent.

(b) Ship and Craft (Case) Files: individual inspection case folders for each vessel or craft that has undergone inspection by the Board. Consist of inspection reports, commissioning and decommissioning data, instructions to regional and sub-boards, schedules of inspections, specification and construction data, blueprints, precepts for inspections, related correspondence and other supporting papers.

Retention period: permanent. (Place in inactive file when ship or craft is stricken; transfer inactive files in annual blocks to the Federal Records Center, Alexandria, Va.)

(c) Control records (kardex or other) of ship and craft inspections and trials: summary records showing dates of trials and inspections and other data. (Filed by fleet organization.)

Retention period: until ship or craft is stricken.

(d) Board's reference file of data books and ships plans.

Retention period: indefinite, except destroy obsolete and duplicate records when no longer required for reference.

(e) Message Files: information copies of messages relating to inspections, surveys, alterations, damages, and repairs of vessels and craft.

Retention period: 2 months.

(2) GENERAL CORRESPONDENCE FILES relating to the internal operation and administration of boards and sub-boards of inspection and survey.

Retention period: 2 years.

(3) WORKING PAPERS OF BOARDS AND SUB-BOARDS OF INSPECTION AND SURVEY, including drafts and background data and other data or information summarized or incorporated in final reports.

Retention period: until final approval and issuance of report.

(4) **REPORTS OF BOARDS, SUB-BOARDS, AND DISTRICT SUB-BOARDS OF INSPECTION AND SURVEY** (other than those maintained by the Board of Inspection and Survey, Washington, D. C. covered in para. 4730(1)(b) above):

(a) **Acceptance trial reports.**
Retention period: until superseded by new inspection report.

(b) **Material inspection reports:** inspection reports for active and inactive aircraft, vessels, and other craft, for naval facilities, and for general aeronautical, ordnance, and other equipment; related check lists, correspondence, and other records. These reports relate to condition of craft, equipment, or other material, and to need for rework or changes etc.

Retention period: until superseded, or until craft or equipment is removed from naval custody, e. g., sold, scrapped, or stricken, whichever is earlier.

(5) **EQUIPMENT OR MATERIAL INSPECTION OR TEST REPORT FILES:** these are copies maintained by activities * performing maintenance, repair, inspections, serviceability, and construction functions or related operations. They consist of reports of inspections or tests and related data, control sheets or check lists, correspondence, and other supporting papers. (Exclude records of boards of inspection and survey covered in paras. 4730(1) through (4) above.)

Retention period: 2 years or until superseded by new report, whichever is appropriate, or until material or equipment is disposed of (removed from naval custody).

(6) **UNSATISFACTORY EQUIPMENT REPORT FILES:** copies of reports indicating defective equipment or equipment failures. Contain information such as description of defect, cause of trouble, recommended action, and other related information. (Exclude copies to be filed in contract or purchase order for material or services case files when reports relate to contracts or orders.)

Retention period: 2 years, except see also para. 4855 for quality control copies and para. 13070 for material

reliability program copies for aeronautical and ordnance activities.

(7) **MANAGEMENT INSPECTION AND SURVEY RECORDS.** See para. 5040.

4740 SALVAGE RECORDS

(1) **REPORTS OF SALVAGE** or of salvageable materials: copies of reports submitted to higher authority.
Retention period: 2 years.

(2) **RECORDS RELATING TO REDISTRIBUTION AND DISPOSAL** (by sale or other means) of salvageable or scrap materials. See para. 4500.

4750 UPKEEP RECORDS

(1) **EQUIPMENT UPKEEP AND PREVENTIVE MAINTENANCE RECORDS:** logs, tapes, charts, work sheets, and other forms used to record daily equipment performances or periodic services or technical inspections of equipment; engineer equipment performance logs or sheets; other local equipment operation or installation maintenance logs.

Retention period: until completion of next periodic maintenance service or inspection, except 1 month for daily or weekly records and for detail working papers or check sheets.

(2) **UPKEEP AND PREVENTIVE MAINTENANCE SCHEDULES.**

Retention period: 1 year.

4760 CONSTRUCTION AND CONVERSION RECORDS

(1) **PROJECT (CASE) FILES:** copies of job and project orders, together with related plans, specifications, correspondence, and other records regarding conversion jobs for individual ships or other craft. These case files are maintained by shipyards or other activities concerned with the conversion of naval vessels or craft.

Retention period: 2 years after completion of conversion.

(2) **ENGINEERING DRAWINGS AND PLANS** for ordnance, aeronautical, and ships material, and for facilities, etc. See technical subject-matter series.

4780 SERVICE CRAFT AND RELICS RECORDS

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(1) REPORTS, MEMORANDA, AND RELATED CORRESPONDENCE CONCERNING THE CLEANING, INSPECTION, AND MAINTENANCE OF SERVICE CRAFT and to the care of their equipage and stores: copies maintained by BUSHIPS activities concerned with the care of service craft. (See also para. 4730.)

Retention period: 1 year.

4800 CURRENT PRODUCTION AND INDUSTRIAL MOBILIZATION PLANNING RECORDS - GENERAL

These records are accumulated by bureaus and by departmental and field industrial mobilization offices and activities. They relate to current industrial production, to mobilization readiness planning, and to the determination of current and potential production capacities of industrial facilities or the production of items of supply. Records are maintained for individual facilities (commercial concerns or plants) and for specific items of supply.

(1) INDUSTRIAL PRODUCTION AND MOBILIZATION READINESS PLANNING RECORDS: general correspondence files and other primary program records maintained by the Office of Naval Material and the Office of the Assistant Secretary of the Navy (Material) that document the development and establishment of production and industrial mobilization readiness plans, policies, programs, procedures, and essential transactions and accomplishments. (Master production planning and reserve program case files are retained by the Office of the Secretary of Defense.)

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES: correspondence, reports, and other records of activities or of production managers, offices, or other organizational units pertaining to the internal operation and administration of the office. Include papers relating to production and industrial mobilization planning, scheduling, expediting, control, analysis, and to supply sources and industry expansion. (Exclude primary program records covered in para. 4000(1) and 4800(1).)

Retention period: 2 years.

(3) PRODUCTION OR PRODUCTION STATUS REPORTS (see also para. 4802):

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copies of submitted to higher authority and not specifically covered elsewhere in this chapter. Include internal feeder reports.

Retention period: 2 years.

4802 INDUSTRIAL READINESS (MOBILIZATION) PLANNING RECORDS

(1) INDUSTRIAL MOBILIZATION READINESS CORRESPONDENCE FILES: correspondence, reports, and other papers relating to the performance of industrial production and mobilization planning functions (other than records covered in para. 4800(1) and (2)).

Retention period: 3 years.

(2) ARMED SERVICES PROCUREMENT PLANNING AND INDUSTRIAL MOBILIZATION PLANNING CASE FILES.

These consist of documents such as: Tentative Schedules of Production (DD-406, DD-1314, and NAVEXOS-4470), Industrial Facility Surveys (DD-1313 and DD-404), Requests for Planning Action (DD-403), Emergency Production Planning Program Preliminary Production Information (NAVEXOS-4469), Renewal Agreements-- Tentative Schedules of Production (DD-406a) related papers and correspondence.

Retention period: until superseded by new form or until completion of resurvey; or 3 years after facility is removed from the Emergency Production Planning Program if resurvey is not made and cancelled or expired forms are not superseded.

(3) CLAIMANT PROCUREMENT PLANNING CASE FILES: These consist of documents such as Requests for Allocation and Production Capacity, Tentative Schedules of Production (DD-406, DD-1314, and NAVEXOS-4470), Industrial Facility Surveys (DD-404 and DD-1313), Requests for Planning Action (DD-403), work sheets, Renewal Agreements (DD-406a), and related papers and correspondence.

Retention period: until superseded by new form or until completion of resurvey; or 3 years after facility is removed from the Production Allocation Program if resurvey is not made and expired or cancelled forms are not superseded.

(4) INDUSTRIAL DEFENSE SURVEYS and industrial defense survey check lists. See para. 5541(5).

(5) **INDUSTRIAL RESERVE PROGRAM CASE FILES:** Inspections of Government-Owned or Reserve Plants (such as DD-339) and related correspondence and other papers.

Retention period: 3 years after receipt of information from cognizant bureau that facility has been deleted from the Industrial Reserve Program.

4810 PRODUCTION REQUIREMENTS (CURRENT AND MOBILIZATION) RECORDS

(1) **PRODUCTION REQUIREMENT REPORTS** and related papers: copies of reports submitted or summarized in reports forwarded to higher authority.

Retention period: 2 years.

4813 BILLS OF MATERIAL RECORDS

(1) **BILLS OF MATERIAL** (such as DD-346 and 347), including standard, detailed, modified, and summary bills, and similar material data records. Contain data such as name, form, size, and description of material, assembly data, and specifications:

(a) Copies used as supporting documents to requisitions, job orders, contracts, or other records. Dispose of with the documents which the bills support.

(b) Reference copies used for material development, production, or mobilization planning purposes.

Retention period: until superseded, cancelled, or obsolete.

4830 DEFENSE MATERIALS SYSTEM (PRIORITIES AND CONTROL) RECORDS

(1) **PRIMARY PROGRAM RECORDS MAINTAINED BY THE OFFICE OF NAVAL MATERIAL AND THE ASSISTANT SECRETARY OF THE NAVY (MATERIAL)** documenting the over-all development, direction, and accomplishments of the Defense Materials System.

Retention period: indefinite. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) **CORRESPONDENCE AND OTHER RECORDS, INCLUDING COPIES OF REPORTS SUBMITTED TO HIGHER AUTHORITY, RELATING TO THE INTERNAL OPERATION OF DEFENSE MATERIAL SYSTEM PROGRAM FUNCTIONS.**

Retention period: 2 years, except retain DMS reports for 3 years.

4831 PREFERENCE RATING RECORDS

(1) **COPIES OF CORRESPONDENCE ADVISING CONTRACTORS OR OTHERS OF RATINGS APPLICABLE TO SPECIFIC CONTRACTS;** information copies of related documents. (See para. 4280 for copies in official contract files.)

Retention period: 1 year after completion of related contract or purchase order.

4832 CONTROLLED MATERIALS ALLOCATION RECORDS

(1) **CONTROLLED AND CRITICAL MATERIALS FILES:** general correspondence files, reports, and other records relating to requirements for and the allotment and allocation of controlled and critical materials under the Defense Material System program. Include such records as Controlled Materials Program Allocations and Allotments (NAVEXOS-272), Allocation Determinations (DD-529), Materials Requirements Steel and Nickel Alloy (DD-614), Reports of Controlled Materials Allotments and Authorized Controlled Materials Orders (NAVEXOS-3937), Reports of Allotments (DD-492); and allotment worksheets and tabulations. (Exclude primary program records covered in para. 4830(1).)

Retention period: 3 years.

4841 STOCKPILING RECORDS

(1) **GENERAL CORRESPONDENCE FILES OF SUPPLY ACTIVITIES** relating to the internal administration of the storage, handling, and care of strategic and critical materials under the National Stockpile Program.

Retention period: 2 years.

(2) **NATIONAL STOCKPILE REPORTS,** such as National Stockpile Storage Reports (NAVSANDA-606); NATIONAL STOCKPILE COST REPORTS (NAVSANDA-607); RECEIVING REPORTS (GSA-131); OUTBOUND STORAGE REPORTS (GSA-132); OVER, SHORT AND/OR DAMAGE REPORTS (GSA-1052); and other records accumulated by activities in connection with the maintenance and security of strategic and critical materials (pursuant to Public Law 520, 79th Congress). Include records of material on board; receiving, shipping, and inventory reports; related correspondence.

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Retention period: 2 years after final outshipment of national stockpile material.

4850 PRODUCTION PROGRESSING, EXPEDITING, AND SCHEDULING RECORDS

(1) ACTIVITIES GENERAL CORRESPONDENCE FILES, INCLUDING REPORTS, PERTAINING TO LOCAL PRODUCTION PLANNING AND SCHEDULING; production expediting, analysis, and control; application engineering; and military urgencies system. Include local production schedules, plans, and related data.

Retention period: 2 years.

(2) CORRESPONDENCE AND OTHER DOCUMENTS ACCUMULATED IN CONNECTION WITH CONTROLLING, FACILITATING, AND EXPEDITING THE DELIVERY OF MATERIALS OR SERVICES under specific item or product contracts or purchase orders. (See para. 4280 for copies in official contract files.)

Retention period: 1 year after completion of related project, contract, or purchase order.

(3) PRODUCTION, MANUFACTURING, AND INDUSTRIAL STATUS DATA used for local production or progress control purposes or to develop production or manufacturing schedules:

(a) Local working data.

Retention period: until data has been recorded or consolidated in other reports or status records or summarized or reported in production or industrial status reports, or until obsolete.

(b) Production reports.

Retention period: 2 years, except retain daily production or production progress reports consolidated or summarized in other reports for 6 months.

(c) Other local production or industrial status control records.

Retention period: until superseded or obsolete.

(4) GENERAL CORRESPONDENCE FILES RELATING TO PRODUCTIVE OPERATIONS OF THE ACTIVITY, and to the supervision and operation of the technical production shops, utilization of equipment,

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application of safety measures, and the general meeting of production quotas. Include reports and statistical compilations. These files generally are accumulated by the planning office of the activity. (Exclude correspondence files of Navy Propellant Plant covered in para. 4861 below.)

Retention period: 2 years, except 4 years for BUSHIPS and BUWEPS field activities' production departments.

(5) MAINTENANCE, CONSTRUCTION, AND CONVERSION SCHEDULING RECORDS. See para. 4701.

4851 PRODUCTION PLANNING AND SCHEDULING RECORDS

(1) JOB ASSIGNMENT CONTROL OR PROGRESS RECORDS: card tickler, chits, extra copies of documents, or other local record used as an internal assignment or progress control record.

Retention period: until completion of job.

4853 PRODUCTION ANALYSIS RECORDS

(1) SHOP REPORTS ANALYZING LABOR AND MATERIAL EXPENDITURES, accumulated by production departments of activities.

Retention period: 2 years.

4855 QUALITY CONTROL RECORDS

(1) QUALITY CONTROL RECORDS: copies of Reports of Damage or Improper Shipment, reports of defective or unsatisfactory equipment, notices of defective material, special survey reports, and other similar papers used for quality control purposes in connection with the production and acceptance of materials (acceptable quality control levels) and the classification of defects and the correction of deficiencies reported. (See also para. 5220).

Retention period: 1 year, provided corrective or other action has been completed.

4860 SUPPLY SOURCES/FACILITIES RECORDS

(1) MANUFACTURERS CATALOGS, BROCHURES, PAMPHLETS, INSTRUCTION BOOKS, and other technical and informational data used only for reference purposes or to facilitate local action; related listings or card records.

Retention period: until superseded or until no longer needed for reference.

(2) **MANUFACTURING FACILITIES CASH TRANSACTION AND INVENTORY RECORDS:** records maintained by Navy and Marine Corps manufacturing facilities to report cash expenditures and receipt transactions, and inventory status data to disbursing officers.

Retention period: 2 years.

4861 NAVY AND MARINE CORPS MANUFACTURING FACILITIES RECORDS

(1) **GENERAL CORRESPONDENCE FILES AND REPORTS OF PRODUCTION OR MANUFACTURING PLANTS, FACILITIES, OR SHOPS.**

Retention period: 2 years, except see appropriate subject-matter series (e. g., 8000 for ordnance-type production or manufacturing activities, 9000 for shipyards and other ship facilities, 13000 for aeronautical facilities) for handling of activities' primary program records.

(2) **ORIGINAL AND/OR MASTER MICROFILM NEGATIVES OF PRODUCTION DRAWINGS** and related engineering data and specifications for naval weapons and materials. These generally are accumulated by activities having design and/or production cognizance of items or materials.

Retention period: permanent. Handle as provided in para. 4121(2) and in pertinent technical subject-matter areas.

(3) **MANUFACTURING AND ENGINEERING DATA WORKING FILES:** copies of records containing engineering and manufacturing data for items of naval materials and equipment. These are convenience files accumulated by manufacturing facilities or other interested activities in connection with the manufacture, production, scheduling, or procurement of naval materials and equipment. They consist of such records as copies of drawings, tracings, manufacturing specifications and standards, commercial or Government manufacturers' operating instructions or catalogs, or process sheets, test data, and other pertinent papers. (See para. 4121 for master specification files of design cognizant activities.)

Retention period: until material is superseded or item becomes obsolete.

4870 MACHINE TOOL AND INDUSTRIAL PRODUCTION EQUIPMENT RECORDS

(1) **RECORDS RELATING TO EMERGENCY PRODUCTION SCHEDULING:** Emergency Production Schedules (such as NAVEXOS-4870) and preliminary production information.

Retention period: 3 years.

(2) **MACHINE TOOL ASSIGNMENT RECORDS:** records indicating assignments of tools to responsible individuals.

Retention period: 1 month after return of equipment and clearance of individual.

(3) **TOOL REPAIR HISTORY CARD RECORDS** of repairs to each tool.

Retention period: until tool is disposed of.

(4) **ORDNANCE TOOLING RECORDS:** manufacturing data for special ordnance tooling (e. g. dies, jigs, fixtures) used in the production of ordnance items (other than data on items included in "M Day" plans). These consist of such material as copies of drawings, tracings, sketches, photographs, reproducible, and copies of operation and process sheets prepared by commercial or Government manufacturers. They are accumulated primarily by ordnance production activities. (See para. 4121 for master specifications files.)

Retention period: until superseded or ordnance item is obsolete, or until file is superseded by a new and superior production method file, or until manufacture of item is discontinued. If record is microfilmed, originals may be destroyed provided master negative is retained.

4900 FOREIGN MILITARY ASSISTANCE AND MUTUAL SECURITY PROGRAM RECORDS - GENERAL

Instructions in this (4900) paragraph apply to records accumulated or created by Department of Defense joint military assistance or advisory groups. They cover (1) primary program or mission records and other records of Joint MAGs or MAAGs under the executive control of the Navy and (2) internal housekeeping records of Navy Sections of MAAGs under the executive control of the Army or Air Force. Primary mission records of MAAGs under the executive control of the Army or Air Force are

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handled in accordance with instructions issued by those Departments.

Primary program or mission (operational) records of MAGs (or MAAGs) are those records that directly relate to the assigned mission of the group. Housekeeping or internal administrative and organizational records are those that relate to and are accumulated in support of the individual service element (Navy, Air Force, or Army) but that are not connected with the primary mission of the joint MDAP agency.

Primary program records accumulated at the departmental level are permanent records as provided in para. 3000(1) and 4000(1).

(1) RECORDS OF JOINT MILITARY ASSISTANCE ADVISORY GROUPS UNDER THE EXECUTIVE CONTROL OF THE DEPARTMENT OF THE ARMY OR AIR FORCE

(a) Primary program (operational) records of Joint Military Assistance Advisory Groups under the executive control of the Department of the Army or Air Force. These consist of all records that pertain to the assigned mission or program of the agency (MDAP). Dispose of in accordance with instructions of the executive agency. (Instructions for the disposal of primary program (operational) records when Navy is the executive agency are contained in para. 4900(2) below.)

(b) Housekeeping or internal organizational records that relate solely to naval administrative matters and that are not connected in any way with the assigned mission or program of the joint agency (MDAP):

1. When records are maintained separately and are clearly identifiable as internal naval housekeeping or organizational records, dispose of in accordance with pertinent instructions for similar housekeeping records contained in this manual. These would include, for example: Supply records--chapter 4; military personnel records--chapter 1; communication records--chapter 2; civilian personnel records--chapter 12; medical records--chapter 6; office services and administrative records--5900-5999 series.

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In these instances where housekeeping records are clearly identifiable, no report to or review by the executive agency is required.

2. When housekeeping or internal organizational records are not clearly identifiable or are interfiled with the agency's primary mission (operational) records series, handle as a single records series and dispose of as required by the executive agency. (Inquiries regarding the disposal of records relating to naval administrative matters or records of groups under the executive control of the Navy may be directed to the Chief of Naval Operations.)

(2) RECORDS OF JOINT MILITARY ASSISTANCE ADVISORY GROUPS UNDER THE EXECUTIVE CONTROL OF THE DEPARTMENT OF THE NAVY:

(a) General correspondence (subject) files of commands, including both classified and unclassified matter, relating to the development and execution of their assigned missions and programs. (Exclude internal housekeeping records covered in para. 4900(1)(b) above.)

Retention period: permanent. (Transfer to Federal Records Center (Army Branch), Alexandria, Va. when 3 years old.)

(b) Program and Plans Project Files: correspondence, studies, reports, and statistical data used in planning for supply and training of foreign national forces.

Retention period: permanent. (Transfer to Federal Records Center (Army Branch), Alexandria, Va. when 3 years old.)

(c) Army, Navy, and Air Force Sections general correspondence (subject) files.

Retention period: permanent, if not previously included or duplicated in the group's general subject files. (Transfer to Federal Records Center, (Army Branch), Alexandria, Va. when 3 years old.)

(d) Training files relating to the training functions of the Army, Navy, and/or Air Force Sections.

Retention period: permanent, if not previously included or duplicated in the group's general subject files. (Transfer to Federal Records Center,

(Army Branch), Alexandria, Va. when 3 years old.)

(e) Individual training status cards.
Retention period: until disestablishment.

(f) Planning Files: staff studies, minutes of conferences, and other papers relating to defense planning.

Retention period: permanent. (Transfer to Federal Records Center (Army Branch), Alexandria, Va. when 5 years old.)

(g) Pier Operation Files relating to loading, unloading, departures, and arrivals.

Retention period: 3 years.

(h) Equipment maintenance and inspection records: reports, check sheets, and related correspondence concerning the use, maintenance, and storage of furnished equipment.

Retention period: permanent. (Transfer to Federal Records Center (Army Branch), Alexandria, Va. when 5 years old.)

(i) Foreign Aid Program Accounts Files:

1. Documents showing signatures of foreign government officials or representatives receiving foreign aid supplies, including signed supply manifests and bills of lading, together with supporting papers.

Retention period: indefinite. (Transfer to Federal Records Center (Army Branch), Alexandria, Va. when 3 years old.)

2. All other documents.

Retention period: 3 years.

(j) Official record copies of documents peculiar to one military Service, not included elsewhere in this (4900-4999) series and not duplicated in the official general subject files of the group. Dispose of in accordance with the appropriate regulations or instructions of the military Service involved.

(k) Convenience and transitory files: extra copies of correspondence, reports, and documents maintained for

reference purposes; nonaction and informational copies, and working papers; "personal" files and material which does not document action.

Retention period: until purpose has been served but do not retain for more than 1 year.

(l) Reference publications received from outside sources. (Exclude directives on which action has been taken and made part of the appropriate subject folder.)

Retention period: until publication is obsolete, superseded, or cancelled.

(m) Locally generated publications--record copies of. Include superseded, amended, and cancelled publications, directives, manuals, instructions, Notices, and other general orders.

Retention period: permanent. (Transfer in annual blocks to the Federal Records Center (Army Branch), Alexandria, Va. when rescinded, superseded, or cancelled.)

(n) Registered or accountable publications: any publication for which receipt or location is registered for security purposes. Handle as instructed by the issuing office.

4920 MUTUAL SECURITY AND MILITARY SALES RECORDS

(1) ACCOUNT RECORDS maintained by MDAPs relating to mutual security and military sales. See para. 4900(2)(i) above.

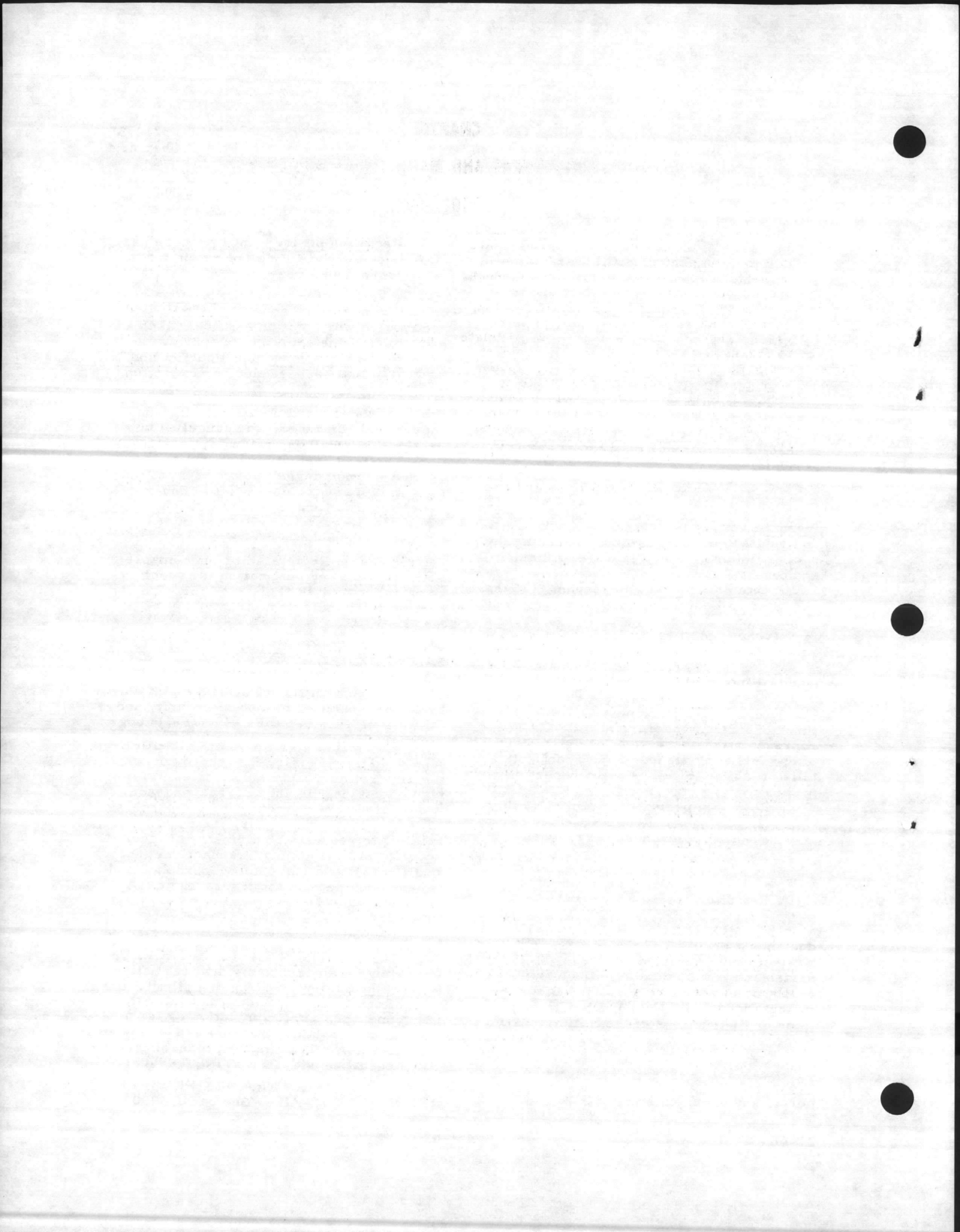
(2) MILITARY SALES (REIMBURSABLE AID) CASE FILES: records documenting reimbursable aid or sales to foreign countries. Include correspondence and related papers requesting the purchase of equipment or materials, instructions relating to requests, Statements of Mutual Security Military Sales Transactions (such as DD-645), and other correspondence and papers documenting the transactions. Apply para. 4280(1).

4950 TRAINING RECORDS

(1) AVIATION TRAINING JACKETS for foreign trainees: individual case files for foreign students undergoing pilot training.

Retention period: until not later than one week after completion or termination of training, then forward to Chief of Naval Air Training for processing in accordance with OPNAVINST 4950.1.

(2) FOREIGN TRAINEE PROGRAM RECORDS OF MAAGs. See para. 4900.



CHAPTER 5
ADMINISTRATIVE MANAGEMENT AND MANAGEMENT IMPROVEMENT RECORDS

5000-5999

The records described in this chapter pertain to performance of office and other administrative management functions throughout the Department of the Navy and to various techniques and programs to develop, control, and improve management processes. These techniques and programs relate to organization and planning; management analysis; office methods; records, forms, reports, and publications management; mechanized and data processing systems; industrial engineering and methods; management sciences; and overall civilian and military personnel/manpower programs. The records also pertain to the administration and performance of legal, military justice, and legislative functions and related matters.

These records are accumulated both by activities and offices carrying out the above techniques and programs as well as by activities (primarily at the departmental or command level) developing overall procedures, policies, and programs.

Certain specialized records relating to the management of military personnel, civilian personnel, logistics, and financial matters are covered in other chapters of this manual.

5000 ADMINISTRATION AND MANAGEMENT RECORDS - GENERAL

(1) **PRIMARY PROGRAM RECORDS:** general correspondence files of activities and offices consisting of correspondence, studies, reports, and other records documenting plans, policies, programs, procedures, and accomplishments pertaining to the general administration and management of the Navy and Marine Corps:

(a) **Files of the Office of the Secretary of the Navy, the Office of the Chief of Naval Operations, the Office of the Commandant of the Marine Corps, Navy Management Office, and of departmental bureaus and other offices documenting their primary mission responsibilities for the development, establishment, and accomplishment of administrative and management plans, programs, and procedures. Include any related indexes or other finding media records.**

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) **That portion of the files of district management assistance offices, naval districts and river commands, that documents their overall administrative and management responsibilities; related index records.**

Retention period: permanent. (Transfer with the commands permanent correspondence (subject) files to nearest Federal Records Center when 4 years old.)

(2) **GENERAL CORRESPONDENCE FILES OF OTHER ACTIVITIES AND OFFICES:**

(a) **That portion of the files that relates to the activity or office's overall administration and management responsibilities and to significant improvement accomplishments.**

Handle the same as the activity or office's general correspondence (primary program) files. (See appropriate functional subject-matter chapter or series.)

(b) **That portion of the files that relates essentially to temporary administrative and management needs, including internal administrative operations records covered in para. 5000(3) below.**

Retention period: 2 years.

(3) **ACTIVITIES ADMINISTRATIVE OPERATIONS FILES:** correspondence, reports, and other records relating to the internal administrative management and operation of the individual activity or office. Include records covering internal house-keeping operations (such as all office services, personnel utilization, space and maintenance, administrative announcements and administrative reports or other issuances used for operating purposes). These files relate essentially to temporary needs. Material relating to assigned functional or program responsibilities are covered elsewhere in this manual.

Retention period: 2 years.

(4) **ROUTINE CORRESPONDENCE:** requests for information (routine

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information requiring no special research or compilations), publications, or supplies, together with replies thereto; correspondence or forms forwarding or correcting reports.

Retention period: 3 months, or return to requestor with reply.

(5) **ACKNOWLEDGEMENTS AND TRANSMITTALS OF INQUIRIES**, or of requests that have been referred elsewhere for reply.

Retention period: 3 months

(6) **CHRONOLOGICAL (DAY) OR READING FILES:** extra copies of correspondence and other papers accumulated for convenience or for routine administrative reasons, such as for signature or action control, or for temporary informational purposes.

Retention period: 3 months or until purpose has been served.

(7) **LOCAL ROUTINE CONTROL RECORDS** not specifically authorized for other disposal: punched, linedex or other card records; internal route slips (other than those of official mail and files stations covered in para. 2700); work sheets; rough drafts; control sheets; and other similar records used only to control or facilitate local action or work in progress.

Retention period: 3 months or until purpose has been served.

(8) **MATERIAL OF A GENERAL INFORMATIONAL NATURE** not requiring action by the receiving activity or office and not affecting the procedures or policies of the receiving activity or office.

Retention period: until completion of routing, then destroy immediately.

(9) **PUBLICATIONS AND PUBLICATIONS REFERENCE FILES:** publications issued by any Department of Defense or naval activity or office, and publications issued by other Government agencies or nongovernmental organizations. These are maintained in organized collections. They include instructional and informational manuals, catalogs, and other similar published materials:

* (a) Issuing office master copy: one copy of each publication issued by the originating naval activity.

Retention period: permanent.

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(b) All other copies: maintained for reference purposes on a need-to-know basis and consisting of publications essential to operations. These are arranged in a manner that will best serve reference requirements, generally by source.

Retention period: until superseded, obsolete, or no longer needed for reference, except handle registered publications in accordance with para. 2601. Return current and usable publications no longer needed to nearest publications supply office for reissue.

(10) **TECHNICAL MATERIALS REFERENCE FILES:** copies of technical materials, such as motion pictures, sound recordings, still photographs, and maps maintained for reference purposes only.

Retention period: until superseded, obsolete, or no longer needed for reference, except handle accountable material in accordance with instructions of the originator and return usable materials to supply channels. (See also para. 1551 for instructions on training material, and 3150 for photographic records.)

(11) **POLICY, PROCEDURES, AND PRECEDENT REFERENCE FILES:** extra copies of documents or operating procedures establishing policies or precedents for continuing or future action. Normally retained at the operating level, these consist of copies of operating procedures, statements of policies or procedures, examples of precedent-setting or of typical cases, and other similar Department of Defense or Navy or Marine Corps documents that are duplicated in subject (functional) file.

Retention period: until organizational unit is disestablished or until documents become obsolete or are no longer needed for operating or reference purposes.

(12) **OTHER REFERENCE OR SUSPENSE FILES:** extra or working copies of correspondence or other documents maintained as follow-up or suspense documents or as working tools until action is completed.

Retention period: until action is completed.

5040 MANAGEMENT INSPECTION AND SURVEY RECORDS

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files of the Inspector General of the Navy, Office of the Chief of Naval Operations, documenting his primary program responsibilities relating to survey plans, policies, programs, procedures, and accomplishments. (See para. 5040(3) below for report files.)

Retention period: permanent.
(Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) General correspondence files of the Secretary of the Navy, of departmental bureaus and offices and of Headquarters Marine Corps that reflect survey policies, programs, and general procedures (other than routine survey recommendations and accomplishments).

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(c) That portion of the files of commands and of other activities and offices that reflects over-all survey procedures and programs, and significant accomplishments (other than routine recommendations). Dispose of with activity's general correspondence (primary program) files.

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES RELATING TO ADMINISTRATIVE AND MANAGEMENT ON-SITE SURVEYS, and to administrative, military, and other surveys and inspections (other than primary program records covered in para. 5040(1) above).

Retention period: 3 years, except 2 years for routine internal operating records.

(3) SURVEY AND INSPECTION REPORTS FILES:

(a) Inspector General's Reports File: Office of the Inspector General's official (departmental) file of reports of on-site surveys, including industrial, supply, and other surveys and investigations made by or under the direction of the Inspector General of the Navy. Include master implementation files and other supporting documentation.

Retention period: permanent. (Transfer to Federal Center, Alexandria, Va. when 4 years old.)

(b) Final (summary) reports files (master file only) of departmental bureaus and offices relating to surveys of

major activities that are not duplicated or essentially summarized in records covered in subpara. (a) above, together with correspondence and other records implementing essential or important recommendations and results.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(c) Naval District and River Command and Fleet Command Headquarters Reports Files: copies of final reports of surveys of major activities performed by the District Inspector General's Office; supporting documentation of action taken.

Retention period: permanent. (Transfer to appropriate Federal Records Center when 4 years old with Commandant's general subject file.)

(d) Military Sea Transportation Service Inspection Report Files: Shipboard Inspection Reports, Material Inspection Reports, Reports of Area Command survey teams.

Retention period: 2 years or until superseded, whichever is later, except that the Commander, MSTs will retain indefinitely one copy of final reports, together with recommendations and results.

(e) Other Activities Report Files (other than those covered in subparagraphs (d) above): individual activities files of copies of reports, surveys and inspections, together with reports of action taken, comments and recommendations, other supporting documentation, and related correspondence. Include industrial survey reports, evaluation reports, reports of investigations, check lists, charts, and other similar or related papers. (Exclude informational material, check lists, and working papers summarized in final reports; these may be destroyed when purpose has been served.)

Retention period: until superseded.

(f) Other Report Files:
Retention period: until superseded, until action is completed, or until purpose has been served (except that copies filed with and supporting other documentation will be disposed of with the records they support).

(4) SURVEY CONTROL RECORDS:
cards or other records maintained as control, suspense, or status records of administrative, management, or other surveys or inspections.

Retention period: 3 months, or until action has been completed or purpose has been served.

(5) **SPECIAL FINANCIAL SURVEY, INVESTIGATION AND INQUIRY RECORDS:** special investigation reports, correspondence and other documents relating to violations or irregularities.

Retention period: 10 years.

(6) **SECURITY SURVEY AND INVESTIGATION RECORDS.** See para. 5500.

(7) **INTERNAL AND CONTRACT AUDIT SURVEY REPORTS.** See paras. 7510 and 7560.

(8) **RECORDS OF NAVY BOARDS, SUBBOARDS AND DISTRICT SUBBOARDS OF INSPECTION AND SURVEY.** See para. 4730.

5041 **ADMINISTRATIVE INSPECTION RECORDS.** Apply the 5040 series.

5042 **ON-SITE SURVEY RECORDS.** Apply the 5040 series.

5050 **MEETING, CONFERENCE, CONVENTION, AND VISIT RECORDS.**

(1) **MINUTES AND REPORTS OF MEETINGS, CONFERENCES, CONVENTIONS, AND VISITS:**

(a) Official record copies. Dispose of with related functional subject-matter files or with the general correspondence files of the activity or office.

(b) All other copies.

Retention period: until purpose has been served.

5070 **LIBRARY AND LIBRARY SERVICES RECORDS**

These records are accumulated by librarians or others responsible for maintaining library collections.

(1) **LIBRARY CATALOG AND SOURCE CARDS, LIST BOOKS, MAGAZINES, REPORTS, AND OTHER LIBRARY MATERIALS.**

Retention period: 2 years after all copies of publications are withdrawn from the library collection.

(2) **SHELF LISTS:** records of all documents making up library collections.
Retention period: until superseded.

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(3) **CHARGEOUT RECORDS:** charge-out cards or other records of material on loan; waiting lists; overdue notices; and other similar control records.

Retention period: until document is returned or accounted for, until chargeout card is filled, or until appropriate action has been taken.

(4) **INTER-LIBRARY LOAN LOGS** or other similar records.

Retention period: 6 months after transaction is completed.

(5) **TECHNICAL PUBLICATIONS LIBRARY RECORDS.** Consist of publications designated as Code 4 publications in the Navy (Forms and Publications) Supply System, and other similar non-RPS-distributed publications accumulated by commands and by other naval activities and offices.

(a) Transaction files: copies of all correspondence pertaining to the handling of TPL publications, including local memoranda, allowance lists, and Change Entry Certification Forms (such as the lower portion of OPNAV-5070-12 on which correction change is entered).

Retention period: 2 years.

(b) Custody Record Files: files of TPL catalog cards (such as OPNAV-5070-11) for each basic publication under control of the Technical Publications Library.

Retention period: 2 years after publication is transferred, lost, or destroyed.

(c) Change Entry Certification Forms (such as OPNAV-5070-12): upper portion of form used as receipt for change. (See also subpara. (a) above.)

Retention period: until Date of Change entry is made on Technical Publications Library catalog card.

(d) Inventory reports of Technical Publications Library material on board.
Retention period: 2 years.

5100 SAFETY RECORDS - GENERAL

The records described in this paragraph are accumulated throughout the Department of the Navy by activities and offices concerned with safety matters for military and civilian personnel.

(1) GENERAL CORRESPONDENCE FILES OF ACTIVITIES AND OFFICES AND OTHER ORGANIZATIONAL UNITS CONCERNED WITH SAFETY MATTERS RELATING TO CIVILIAN AND MILITARY PERSONNEL. (Exclude primary program records accumulated by the Office of Industrial Relations, Washington, D.C. covered in para. 12000(1) and by other departmental bureaus and offices assigned primary safety program responsibilities).

Retention period: 4 years.

(2) SAFETY ENGINEERS REPORTS OF INSPECTION OF NAVAL ACTIVITIES and related correspondence and papers reflecting recommendations and results.

Retention period: 3 years.

(3) REPORTS OF INJURIES:

(a) Reports of Injury or Occupational Disease (such as NAVEXOS-109) containing detailed information relating to each injury or occupational disease case resulting in loss of time.

Retention period: 3 years.

* (b) Supervisors Reports of Injuries (such as NAVEXOS-108) submitted to the local safety office.

Retention period: 3 years when no compensation claim is involved; indefinite when compensation claim is involved. (Transfer to Federal Records Center, 111 Winnebago St., St. Louis, Mo. upon settlement of claim.)

(4) ACCIDENT DATA AND ANALYSIS REPORTS:

(a) Monthly Injury Data Reports (such as NAVEXOS-110) showing monthly accident statistics, classified by types of injuries and classes of employees involved.

Retention period: 2 years.

(b) Statistical analyses and summaries of accidents, including analyses of causes classified by nature of accident (such as Accident Cause Analysis Report (NAVEXOS-111) and Motor Vehicle Accident Summary (NAVEXOS-2449)).

Retention period: 3 years.

(c) Annual accident compilations (summaries) (such as NAVEXOS-1680) of statistical data relating to accident experience. These are accumulated by the Office of Industrial Relations, Washington, D. C. only.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(5) INJURY COMPENSATION FORMS AND CORRESPONDENCE. See para. 12810.

(6) DISPENSARY PERMITS (such as NAVEXOS-107) prepared by supervisors for each accident and used as official notification to dispensaries to give treatment.

Retention period: 1 year.

(7) VEHICLE OPERATORS EXAMINATION OR TEST RECORDS: examination or test forms for drivers operating naval vehicles (such as NAVEXOS-1974).

Retention period: 3 months, provided a copy of Operator's Qualifications and Record of Examination, U. S. Navy and Marine Corps (such as NAVEXOS-3549) is filed on the temporary side of the official personnel folder of the individual.

(8) STATISTICAL REPORTS RELATING TO NAVAL MOTOR VEHICLE ACCIDENTS, including Motor Vehicle Summaries (such as NAVEXOS-2449).

Retention period: 3 years.

(9) SAFETY AWARD RECORDS. See para. 12450(1), (2).

(10) FIRE PROTECTION AND FIRE FIGHTING RECORDS. See para. 11320.

(11) SAFETY INSTRUCTIONS OR REGULATIONS. Apply para. 5215.

(12) LOCAL RECORDS OF SAFETY EQUIPMENT ISSUED (such as protective shoes, respirators, goggles, etc.).

Retention period: until equipment is returned and/or accounted for.

5120 UNITED STATES SAVINGS BOND RECORDS

The records described in this paragraph relate to the issuance of savings bonds and are accumulated by activities and offices performing bond issuing and related operations.

* (1) PAYROLL SAVINGS AUTHORIZATIONS (such as NAVCOMPT-585) and RECORDS OF PAYROLL SAVINGS (such as NAVCOMPT-586).

Retention period: until 2 years after superseded by new card or until separation or transfer of employee, whichever is earlier.

(2) REGISTRATION STUBS OR MICROFILM COPIES OF SAVINGS BONDS.
Retention period: 1 year.

(3) BOND STATUS OR ISSUE LISTINGS.
Retention period: 2 years.

(4) SAVINGS BOND OPERATIONS SUMMARIES (such as NAVCOMPT-596) and other reports of bond issuing operations made to the Navy Comptroller.
Retention period: 3 years.

(5) RECORDS RELATING TO RECEIPT FOR AND TRANSMITTAL OF BONDS, and control records for bonds placed in and released from safekeeping.
Retention period: 3 months, or 3 months after bond is released, received, or transferred, as appropriate.

(6) OTHER RECORDS PREPARED FOR LOCAL CONTROL OR ADMINISTRATIVE PURPOSES, including punched cards, microfilm, or tape records used to accumulate local savings bond operations data.
Retention period: until purpose has been served.

(7) ACCOUNTABILITY (DISBURSING) RECORDS OF SAVINGS BOND ISSUING AGENTS, including reports of deposits and purchases of bonds.
Retention period: 4 years after period covered.

5200 MANAGEMENT PROGRAMS AND TECHNIQUES RECORDS - GENERAL

(1) PROJECT AND SURVEY REPORTS RELATING TO MANAGEMENT IMPROVEMENT PROGRAMS AND TECHNIQUES: final reports, together with supporting correspondence and papers that document the project's inception, scope, procedures and accomplishments (exclusive of papers described in para. 5200(2) below):

(a) Official project files (one copy of above-described papers). Dispose of with the general (subject) correspondence files of the activity or office.

(b) Information and reference copies of reports or other papers.
Retention period: until final completion or until no longer needed.

(2) PROJECT AND SURVEY WORKING PAPERS: background material, notes, interim and progress reports that are summarized in final reports; other related papers.

Retention period: 6 months after final action on project; if no final action is taken, retain for 3 years or 3 years after completion of report, as appropriate.

(3) PROJECT CONTROL RECORDS showing assignments, progress and completion of projects.

Retention period: 1 year after project is completed, unless used as an index to projects; when used as an index, dispose of with the general correspondence files of the activity or office.

(4) MANAGEMENT CONSULTANT REPORTS: final reports and records of accomplishments.

Retention period: permanent. (Transfer 1 copy of each to nearest Federal Records Center with general correspondence (subject) files or when no longer required for local reference purposes.) Destroy all other copies when no longer needed for reference purposes.

(5) COPIES OF OTHER ADMINISTRATIVE OR MANAGEMENT REPORTS submitted to or summarized in reports to higher authority.

Retention period: 2 years.

5212 RECORDS DISPOSAL RECORDS

(1) RECORDS DISPOSAL AUTHORITIES: authorizations or approved instructions for disposing of naval records; related correspondence and papers:

(a) Navy Management Office, Navy Department records: one copy of each legal disposal authority, together with supporting or related correspondence and papers, and one copy of each officially issued retention or disposal instruction.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) Other departmental offices, bureaus, Headquarters Marine Corps, and

field activities records: official file copy of each disposal instruction; related papers.

Retention period: 10 years after superseded or obsolete.

(c) Copies maintained for information.

Retention period: until superseded, obsolete, or no longer needed.

(2) TRANSFER RECORDS: records (such as copy of transferring document and/or descriptive list, and related papers) showing records transferred to storage (records center or other depository) or to the National Archives.

Retention period: 5 years or until referenced records are removed from records center or depository or the National Archives, except that Navy Management Office, Navy Department records relating to transfers to the National Archives are permanent. (Transfer Navy Management Office records to Federal Records Center, Alexandria, Va. when 4 years old.)

(3) STATISTICAL REPORTS OR OTHER RECORDS CONCERNING RECORDS ON BOARD, DESTROYED, IN LOCAL STORAGE AREAS, OR TRANSFERRED to Federal Records Center storage.

Retention period: 2 years, provided purpose has been served.

5213 FORMS AND REPORTS MANAGEMENT RECORDS

(1) FORMS (CASE) FILES: official (numerical) case files consisting of one copy of each form originated by the activity or office, together with background and usage data and other pertinent material:

(a) Departmental bureaus and offices' case files.

Retention period: permanent. (Place in inactive file when superseded or cancelled; transfer to Federal Records Center, Alexandria, Va. in annual blocks.)

(b) All other activities and offices case files.

Retention period: 2 years. (Place in inactive file when superseded or cancelled; destroy inactive files when 2 years old.)

(2) FORMS FUNCTIONAL FILES: one sample copy of each form used by the activity or other organizational unit.

Retention period: until individual form is cancelled or superseded.

(3) REPORTS MANAGEMENT (CASE) FILES:

(a) Requiring activity's case files of reports it requires, including requiring directives, background material, justifications, usage data, and other supporting papers:

1. Departmental bureaus and offices files.

Retention period: permanent. (Place in inactive file when report is discontinued; transfer periodically to Federal Records Center, Alexandria, Va. when no longer required for local reference.)

2. All other activities and offices files.

Retention period: 2 years. (Place in inactive file when report is discontinued; destroy inactive file when 2 years old.)

(b) Submitting (preparing) activities files: one copy of each report that an activity or office is required to prepare and submit to other field activities or offices, to departmental bureaus or offices, or to others.

Retention period: until report is discontinued.

5215 ISSUANCE SYSTEM RECORDS

(1) DIRECTIVES FILES:

(a) Official Case Files: official copy of each Instruction as defined in SECNAVINST 5215.1 originated by any activity or office, and official copy of an equivalent manualized instructions or other directive media issuances of the activity or * office.

Retention period: Dispose of at the same time and in the same manner as the general correspondence files of the activity or office. (See appropriate functional subject series throughout this manual.)

- (b) All other copies of directives.
Retention period: until superseded, cancelled, or no longer needed for reference purposes.

5220 WORK AND PERFORMANCE MEASUREMENT RECORDS

(1) WORK MEASUREMENT FILES: statistical records and analyses used in compiling workload, work measurement, machine utilization, work production, or work performance reports or data; work measurement cards or listings; weekly, monthly, or other periodic workload or production reports used to compile summary reports; copies of statistical work measurement or performance reports that are duplicated in activity or command files; workload data; related papers (other than summary records described in para. 5220(2) below.)

Retention period: until abstracted or consolidated, or 1 year if no abstract or consolidation is prepared.

(2) PERFORMANCE AND WORK MEASUREMENT RECAPITULATIONS and SUMMARY REPORTS, GRAPHS, AND CRITERIA.

Retention period: 5 years.

5230 MECHANIZED AND DATA PROCESSING SYSTEM RECORDS

(1) GENERAL CORRESPONDENCE FILES of activities and offices relating to mechanized and data processing programs and operations. Apply paras. 5000(1) and (2).

(2) OFFICIAL RECORD COPIES OF MAGNETIC OR PUNCHED TAPE RECORDS created or used in connection with the accumulation of operating and reporting data pertaining to the functions of activities and offices.

Dispose of in accordance with disposal provisions for records serving a similar functional purpose as prescribed throughout this manual. If the original paper record is retained for the required retention period and the tapes represent a duplication of the paper records, the tapes may be disposed of after it has been determined that all needs for the tape record have been met and that it will not be required for further reference or use. (See para. 5230(3) below.)

(3) WORKING TAPES, RAW DATA INPUT TAPES, MASTER TRANSACTION TAPES AND INTERIM MASTER TAPES, AND PRINTING TAPES. These tapes are essentially working tapes that are used to introduce data into or through the system; eventually they produce results on "master" tapes or on subsidiary exception or report tapes or documents. The following general criteria may be used as guidance for disposing of these so-called working tapes.

(a) Input tapes, including raw data input tapes: tapes containing data abstracted from basic source documents and used for initially entering the data into the computer system. Generally the data is abstracted or converted from punched card or other conventional record.

Retention period: until subsequent (transaction) tapes reflecting the detailed raw data have been prepared, provided resultant tapes have been verified and determined successful in accordance with accepted electronic data processing procedures. (Transaction tapes reflect the raw data taken from the punched card or other paper documentation.)

(b) Working tapes: tapes used merely to move data into or through the system from one transaction step to the next, i. e., from the raw input tape or data to resultant master interim tape or final master tapes. Include transaction tapes reflecting the raw data as taken from the paper or other documentation.

Retention period: until the succeeding generation tapes have been produced and verified in accordance with accepted electronic data processing procedures. (This verification may require retention until preparation of second or third generation tapes, depending upon programming techniques; transaction tapes generally should be retained until preparation of second or third generation tape.)

(c) Interim master transaction tapes: tapes containing detailed or summary transaction data cumulative through the last updating or merger process, or containing outstanding transaction items or totals representing the current status of a record. Interim tapes are used as the input to the next subsequent EDPM runs that produce new updated interim or final master tapes.

Retention period: until after preparation of third generation tape. After cumulative final master tape has been prepared and determined successful or all outstanding items have been liquidated from current status tape, the two preceding interim tapes may be destroyed (erased).

(d) Final master transaction tapes: tapes containing detailed or summary data or cumulative transactions under a program, account, etc.

Retention period: until at least 1 month after preparation and clearance of all prescribed reports reflecting data contained on the tapes, provided it has been determined that the tape will not be required for preparation of other reports which could be taken from the taped data. When complete printouts of taped data are prepared, retain until after printouts have been approved and it has been determined tapes will not be required for preparation of other reports or printouts.

(e) Printing tapes, including source printing data tapes. These are tapes containing data extracted from the data processing system (from master tapes or other source documents) in order to produce printout or printing tape. (The basic source tape or other document is not destroyed in the process of preparing these printing tapes.)

Retention period: until printouts are prepared and approved. (Dispose of printouts in accordance with subject-matter standards prescribed throughout this Instruction.)

5300 MANPOWER/PERSONNEL RECORDS (OVER-ALL CIVILIAN AND MILITARY PERSONNEL MATTERS) - GENERAL

5310 MANPOWER/PERSONNEL RECORDS

(1) GENERAL CORRESPONDENCE FILES and summary records relating to the over-all development and execution of plans and programs pertaining to manpower (military and civilian), including plans for the general deployment and utilization of military and civilian personnel. Apply para. 5000(1). (See also paras. 1000(1) and 12000(1).)

5320 COMPLEMENTS AND ALLOWANCE RECORDS

(1) COMPLEMENTS AND ALLOWANCE RECORDS for military personnel, including Marine Corps tables of organization. Retention period: 2 years or until superseded, except 5 years for master case files of the Bureau of Naval Personnel.

5360 DEATH AND FUNERAL RECORDS

(1) DEATH REGISTERS AND BURIAL RECORDS (such as NAVMED-HF-38). Retention period: indefinite.

* (2) REPORTS OF BURIAL, exclusive of copy filed in Death Record Jacket. Retention period: 2 years.

(3) REPORTS OF DISPOSITION AND EXPENDITURES, REMAINS OF DEAD (such as NAVMED-609). Retention period: 1 year.

(4) CERTIFICATES OF DEATH. Retention period: 1 year, except file one copy in patient's clinical record.

* (5) DEATH RECORD JACKETS maintained by Bureau of Medicine and Surgery. Retention period: indefinite. (Transfer to Federal Records Center, Alexandria, Va. when 3 years old.)

5380 PERSONNEL SERVICES RECORDS

(1) RECORDS OF MORALE, WELFARE, AND RECREATION CLUBS, ASSOCIATIONS, AND FACILITIES and other personnel service activities financed from nonappropriated funds:

* (a) General records of morale, welfare and recreation facilities and other personnel service activities, boards, and councils operating with nonappropriated funds, including correspondence; minutes of meetings; inspection reports and other general operating reports; bylaws, charters or constitutions; and other related papers.

Retention period: 3 years, except retain by-laws, charters, or constitutions until 3 years after superseded or cancelled. (MARCORPS activities see para. 1746(1).)

(b) Income tax withholding records:

1. Exemption certificates. Retention period: 4 years after superseded or 4 years after the close of the

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calendar year in which individual leaves activity's employment.

2. Statements for personnel and reports of Federal taxes withheld.
Retention period: 4 years.

(c) Civilian employee personnel records having continuing value:

1. Employee's history (case) file comprising only those records having continuing value, such as employee questionnaires or other personnel or employment information forms, records of changes in pay status, and other summary employment records.

Retention period: indefinite. (Place in inactive file when individual leaves activity's employment. Transfer inactive file (in annual blocks) to Federal Records Center, 111 Winnebago Street, St. Louis, Mo. when 1 year old or upon disestablishment of activity. Clearly mark these "Nonappropriated Fund Employee Records".)

2. Individual Earnings Record Cards (such as NAVCOMPT-736 or other similar record) containing such data as individual's name, address, occupation, wage payments, period of employment, social security number, when subject to FICA tax, etc.

Retention period: indefinite. (File in individual's case file when individual leaves activity's employment and transfer case file to Federal Records Center, 111 Winnebago Street, St. Louis, Mo. as provided in sub para. (c) 1. above.)

(d) Other civilian employee records (not covered in subpara. (c) above).

Retention period: until purpose has been served, or apply disposal provisions for similar records for Federal civilian employees contained in chapter 12.

(e) Financial accounting records.
See para. 7010(1).

(2) **PERSONAL AFFAIRS AND SERVICES RECORDS FOR MILITARY PERSONNEL ONLY.** See paras. 1700-1799.

(3) **EMPLOYEE RELATIONS AND SERVICES RECORDS FOR CIVILIAN PERSONNEL ONLY.** See paras. 12700-12799.

Disposal of Navy and Marine Corps Records

(4) **FUND RAISING CAMPAIGN RECORDS:** correspondence, records of receipts, and related records and informational material used in conducting and controlling campaigns for the collection of monies for fund-raising drives of charitable, health, welfare, and other similar community or naval organizations.
Retention period: 1 year or until completion of next equivalent campaign.

5400 ORGANIZATION, FUNCTION, AND STATUS RECORDS

(1) **ORGANIZATIONAL AND FUNCTIONAL CHARTS, MANUALS,** or other records depicting the internal organization, relationships, functions, and status of naval activities and offices, and changes thereto.

(a) Departmental bureaus and offices: one official copy of each document originated or approved.
Retention period: permanent. (File with bureau or office's permanent correspondence files.)

(b) Fleet and shore-based command headquarters (other than air and amphibious base (shore) commands): one copy of each document originated within the command headquarters.
Retention period: permanent. (File with command's permanent correspondence files.)

(c) Other activities and offices, including air and amphibious base (shore) commands: one copy of each to be filed with activity's general correspondence (program) files and disposed of with the correspondence files (see appropriate functional subject series throughout this manual), except retain summary records of organizational and functional history of activity as provided in para 5750(3).

(d) Copies filed as supporting documents to other records. Dispose of with the related records.

(e) Local reference and other copies.

Retention period: until superseded or cancelled or no longer needed for reference.

(2) **ORGANIZATION, FUNCTIONS, AND STATUS REFERENCE FILES:** copies of records documenting the history of the

organization, its primary functions, procedures, and essential transactions, and other policy matters. These are maintained for reference purposes only. (See para. 5750 for permanent history records.)

Retention period: until no longer needed for reference or until activity is disestablished.

5420 BOARDS AND COMMITTEES RECORDS

(1) MINUTES, AGENDA, REPORTS, CHARTERS OR PRECEPTS, and related correspondence, exhibits, and other records:

(a) Departmental boards and committees: official files of the secretariat, recorder, or other officially designated officer of departmental boards and committees documenting the accomplishments and results of matters assigned to the board or committee for consideration or action by its precept or charter.

Retention period: permanent. (Transfer to center storage when file becomes inactive or with general correspondence files of the bureau or office.)

(b) Official files of locally established committees (other than those covered in subpara. (a) above). Handle in the same manner as the general correspondence files of the activity accumulating the file, or in accordance with instructions for disposal of the general correspondence files relating to the specific subject matter involved.

(c) Files of panels, subcommittees, or committee members and other reference or information only copies.

Retention period: 2 years or until no longer needed for reference.

(2) MIDDLE ATLANTIC, WESTERN, AND HAWAIIAN AREA JOINT COMMITTEES RECORDS. See para. 3020(2).

5442 AIRCRAFT STATUS RECORDS

(1) MONTHLY OR OTHER PERIODIC REPORTS OF AIRCRAFT (such as OPNAV-5442.1A) relating to the status (transfers, etc.) of aircraft: copies of reports submitted to higher authority.

Retention period: 2 years.

(2) RECORDS PREPARED UNDER THE AIRCRAFT ACCOUNTING SYSTEM (OPNAV Instruction 5442.2): copies of status of aircraft and other reports (such as OPNAV-5442 and NAVAER-1385), including reports of status of research and development aircraft submitted to higher authority.

Retention period: 1 year.

(3) AIRCRAFT RECORD CARDS (such as OPNAV-5442-9A) prepared in connection with the Aircraft Accounting System.

Retention period: 1 year after aircraft is transferred from custody, except that Marine Corps activities may retain for 6 months after transfer.

(4) AIRCRAFT FLIGHT WORK SHEETS (such as OPNAV-5442-11C).

Retention period: 1 month.

(5) DAILY AIRCRAFT AVAILABILITY WORK SHEETS (such as OPNAV-5442-10B).

Retention period: 6 months.

(6) AIRCRAFT INVENTORY LOGS OR RECORDS. See para. 13090.

5500 SECURITY RECORDS - GENERAL

These records pertain to security and related matters and are accumulated throughout the Department of the Navy.

(1) PRIMARY PROGRAM RECORDS: general correspondence files, reports, and other records of the Office of the Chief of Naval Operations (Office of Naval Intelligence) and Offices of Assistant Secretaries of the Navy (Office of Industrial Relations and Office of Naval Material) documenting their responsibilities for the development, execution and direction of plans, policies, programs, and procedures for security matters, including personnel and facilities and industrial security.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) SECURITY OFFICES GENERAL CORRESPONDENCE FILES: records of activities and offices relating to the operation and administration of their security functions, including the security of physical plant and personnel protection, security investigations, the safeguarding of classified and unclassified matter, and the providing of proper authorization for the

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movements of military and civilian personnel, other than material of a continuing controversial nature and policymaking criteria. (Exclude also primary program records covered in para. 5500(1) above and correspondence filed in command's or station's general files.)

Retention period: 2 years.

(3) **ACTIVITIES SECURITY GUARD FORCE RECORDS:** correspondence and related records pertaining to the employment of Marine security guard forces at activities of the Naval shore establishment, including records relating to strength and distribution assignments and requirements.

Retention period: 3 years.

(4) **DUTY OFFICER LOGS OR OFFICER-OF-THE-DAY LOGS:** entrance and exit logs, building guard and other guard books or records. (Exclude medical and dental officer-of-the-day logs covered in para. 6010(1).)

Retention period: 2 years, or 2 years after last entry, except 1 year after last entry for Marine Corps Sergeant of the Guard report books.

(5) **DUTY OFFICER NIGHT ORDER BOOKS.**

Retention period: 2 years after book is filled.

(6) **MILITARY SECURITY SURVEY AND INSPECTION RECORDS.** See para. 5522.

(7) **SECURITY VIOLATION REPORTS** and related records (other than reports supporting continuing cases or felonies and covered in para. 5520).

Retention period: 2 years.

5510 SECURITY REGULATION RECORDS

(1) **CORRESPONDENCE AND RELATED PAPERS PERTAINING TO CLEARANCE OF PERSONNEL FOR ACCESS TO CLASSIFIED INFORMATION.**

Retention period: 2 years after transfer or other separation of employee.

(2) **REPORTS OF VIOLATION OF POLICE, TRAFFIC, BUILDING, AND FIRE REGULATIONS** (other than records relating to continuing cases or to felonies (see para. 5520); related papers.

Retention period: 2 years.

Disposal of Navy and Marine Corps Records

(3) **RECORDS RELATING TO THE ISSUANCE OF AND ACCOUNTABILITY FOR KEYS.**

Retention period: 1 month after lock is changed, except retain indefinitely records relating to issuance of keys for locks in special (maximum) security areas.

(4) **CARD RECORDS, LISTS, FORMS, OR OTHER RECORDS OF INDIVIDUALS KNOWING SAFE OR PADLOCK COMBINATIONS,** and other similar data used to control access to cabinets or other containers of classified material.

Retention period: 1 month after superseded or cancelled, except retain indefinitely records relating to special (maximum) security containers.

(5) **RECORDS RELATING TO ADMISSIONS TO SECURITY AREAS.**

Retention period: records relating to admissions to special (maximum) security areas—permanent; records relating to admissions to other security areas—2 years.

(6) **AGENCY (NATIONAL) CHECK REQUESTS** (such as OPNAV-5510-397). See para. 3800(5) for intelligence office copies. (See also para. 5521(2).)

5511 CLASSIFIED MATERIAL CONTROL RECORDS

(1) **CLASSIFIED DOCUMENT RECEIPT RECORDS:** records of receipt, transfer, or issue of classified documents.
Retention period: 2 years.

* (2) **RECORDS RELATING TO DISCLOSURE OF TOP SECRET INFORMATION** (such as Record of Disclosure, OPNAV-5511-13).
Retention period: indefinite.

(3) **RECORDS RELATING TO THE DESTRUCTION OF CLASSIFIED DOCUMENTS,** such as destruction certificates.
Retention period: 2 years.

(4) **LOGS, REGISTERS OR LEDGERS,** or other similar records used as inventory or control records of classified documents.
Retention period: 2 years.

(5) **RECORDS RELATING TO CONTROL OF REGISTERED PUBLICATIONS.** See para. 2601.

5512 IDENTIFICATION, ADMISSION, AND VISIT RECORDS (CREDENTIALS, TAGS, PASSES, PERMITS)

These records relate to an individual's accreditation or identification and to the issuance of identification cards, permits, badges, and passes.

- * (1) RECORDS RELATING TO APPLICATION FOR AND ISSUANCE OF PERMANENT IDENTIFICATION BADGES, CARDS, AND PASSES.
Retention period: badges and passes—until badge, card, or pass is surrendered; records of issuance—6 months after new accountable system is established, or until 1 year after final disposition of each issuance record is entered in retained log or similar record.
- (2) RECORDS, INCLUDING CORRESPONDENCE, RELATING TO APPLICATIONS FOR AND ISSUANCE OF TEMPORARY PERSONNEL BADGES, CARDS, AND PASSES.
Retention period: 1 year after surrender of badge, card, or pass, except retain records of admission to special (maximum) security areas.
- (3) CARDS OR SIMILAR RECORDS USED TO VERIFY IDENTITY OF NEW EMPLOYEES AND REQUESTS OR ORDERS FOR BADGES OR PASSES.
Retention period: until verification is accomplished or badge or pass has been prepared and delivered.
- (4) EMPLOYEE PICTURE AND FINGERPRINT FILES used for identification purposes.
Retention period: 1 year after separation of employee.
- (5) MILITARY DEPENDENTS IDENTIFICATION RECORDS.
Retention period: 2 years for applications for identification cards or tags and related papers; retain identification cards or tags until superseded or cancelled.
- (6) RECORDS RELATING TO VISITS and to applications for and issuance of visitors passes or vehicle entry permits.
(a) Records relating to admissions to security areas.
Retention period: 2 years, except retain indefinitely records relating to admissions to special (maximum) security areas.

(b) All other visit or admission records.

Retention period: 1 year, or 1 year after book or log is filled, as appropriate.

(7) IDENTIFICATION RECORDS OF EMPLOYEES OF PRIVATE FIRMS UNDER NAVY CONTRACT and of contractor and other employees working aboard the naval activity.

Retention period: 2 years after completion of contract or separation of employee, except retain indefinitely records of disclosure of security classified data.

(8) PROPERTY PASSES: personal and public property passes and property pass books (such as NAVMED-HF-32 NAVMC-155-SD, etc.)

Retention period: personal property passes authorizing the removal of property or materials—3 months; Government or public property passes—until property is returned or accounted for.

(9) RECORDS RELATING TO THE ISSUANCE OF KEYS. See para. 5510(3).

(10) APPLICATIONS FOR EXCHANGE PERMITS.

Retention period: 2 years after application is cancelled.

(11) PERSONAL EFFECTS TAGS (such as DD-599): identification tags for effects stored.

Retention period: until effects have been returned to individual or otherwise accounted for, except when record is used as a signed receipt for clothing returned to a hospital patient upon discharge, file 1 copy in patient's clinical record.

(12) BAGGAGE TAGS (such as Baggage Tags, DD-600) and Hold Baggage Tags.

Retention period: until delivery of baggage to destination.

(13) BAGGAGE RECORD CARDS (such as NAVMED-25).

Retention period: 6 months.

(14) EMERGENCY MEDICAL TAGS: medical identification tags (such as NAVMED-210).

Retention period: 6 months.

(15) RECORDS RELATING TO ACCOUNTABILITY FOR PROPERTY LOST or stolen, such as building guards records of lost and found property:

(a) Loss statements, receipts, reports, and other similar records relating to lost and found articles.
Retention period: 2 years.

(b) Ledger records reflecting accountability.
Retention period: 3 years.

(16) MOTOR VEHICLE OPERATORS PERMITS: operating permits, such as U.S. Government Operator's Permit (DD-313) and Motor Vehicle Operator's Permit (NAVGEN-53).

Retention period: 3 months after expiration or renewal of permit.

(17) BOAT REGISTRY RECORDS: records of permits or licenses granted civilians for navigation in waters under the jurisdiction of a station or command.

Retention period: 6 months after permit lapses.

5520 INVESTIGATION RECORDS

(1) REPORTS OF INVESTIGATIONS and other records pertaining to felonies. Include any police or other reports, exhibits, statements, correspondence, and other related supporting material.

Retention period: permanent. (Transfer to nearest Federal Records Center 2 years after case is closed.)

Or if records are microfilmed, destroy paper records 2 years after case is closed and retain microfilm permanently.

(2) COMMAND OR ACTIVITY LOCAL INVESTIGATIVE FILES: reports of special investigations into security or related matters, such as violations of police and fire regulations of a minor nature and violations reported by security officers and involving possible disciplinary action; related and supporting papers. Include also copies of reports when case is submitted to higher authority for review or action. (Exclude records relating to security violations classified as felonies and covered in para. 5520(3) below, and exclude also documents required to be filed in official civilian and military personnel folders.)

Retention period: 2 years after final corrective or disciplinary action is completed.

(3) SECURITY VIOLATION INVESTIGATIVE REPORTS and supporting papers and correspondence concerning security violations serious enough to be considered felonies.

Retention period: permanent. Or if microfilmed, destroy paper records 2 years after case is closed and retain microfilm permanently.

5521 NAME CHECKS AND PERSONNEL CLEARANCE RECORDS

(1) PERSONNEL SECURITY CLEARANCE (CASE) FILES: official case files containing all records relating to investigations of civilian personnel under Executive Order 10450 and prior orders. See para. 12732(1). (See also para. 3800(4) for investigation files of district intelligence offices.)

(2) PERSONNEL SECURITY CLEARANCE SUSPENSE OR STATUS FILES: cards, lists, or extra copies of clearance requests accumulated by security offices or units or by other activities as a suspense or control record of the status of personnel security clearances or as a record of clearance status of individuals on board.

Retention period: until transfer or other separation of employee or until superseded or obsolete, as appropriate

(3) CERTIFICATES OF CLEARANCE FOR HANDLING CLASSIFIED MATTER (such as OPNAV-5521-429); related correspondence and papers. (Exclude records of clearances maintained by the Office of Naval Intelligence.)

Retention period: 2 years after transfer or separation of employee.

5522 SECURITY INSPECTION RECORDS

(1) MILITARY SECURITY SURVEY AND INSPECTION PROGRAM RECORDS: correspondence; survey, reinspection, and other reports; related papers. Include correspondence and papers relating to military security and training of security personnel. (Exclude primary program records covered in para. 5500(1) above):

(a) Survey and reinspection reports.

Retention period: until new survey is directed and completed.

(b) Other reports, correspondence, and related papers.

Retention period: 3 years, except retain continuing policy correspondence, instructions, and criteria for 6 months after termination or supersession.

5540 INDUSTRIAL SECURITY RECORDS

This series covers industrial security records accumulated by all naval activities and offices, except for permanent records maintained at the departmental level by the Office of Naval Material (Navy Department) and Office of the Assistant Secretary of the Navy (I & L). Additional security records, such as a central index file of all industrial personnel and facilities security clearances maintained by the Industrial Security Board of the Department of Defense, also are permanent records.

(1) REQUESTS FOR PROPOSALS AND PROPOSED OR BID INVITATIONS (such as DD-746).

Retention period: 6 months after recovery or 6 months after date that disposition of classified matter has been accomplished if contract does not result. If contract does result, file in contract file.

(2) SECURITY REQUIREMENTS CHECK LISTS (such as DD-254): copies maintained by contracting offices. File in contract file.

(3) RECORDS OF DESTRUCTION (such as Classified Matter Destruction Reports, OPNAV-5511-12) or of declassification of classified records furnished private individuals or facilities. (See also para. 5511.)

Retention period: 2 years.

(4) REPORTS OF SURVEYS OF SUBCONTRACTORS LOCATED IN OTHER AREAS, prepared upon request of local contractors.

File in contract file.

5541 FACILITIES SECURITY RECORDS

(1) CENTRAL INDEX FILE CARDS-- Facility (such as DD-265): records of industrial facilities security clearances.

(Duplicated in retained Central Index File of the Industrial Security Board, Department of Defense).

Retention period: 6 months after supersession or termination of facility

(2) CARD RECORDS OF FACILITY CLEARANCE STATUS (such as PID-54).
Retention period: permanent. (Retain on board until disestablishment).

(3) FACILITY CLEARANCE STATUS REPORTS (lists) of subcontractors. These are furnished prime contractors upon request.

Retention period: 6 months.

(4) FACILITY CLEARANCE CASE FILES: records of facilities having security clearances, consisting of copies of Facility Security Clearance Surveys (such as DD-374), Security Agreements (such as DD-441), Letters of Consent (such as DD-560), Letters of Notification of Facility Security Clearances (such as DD-562), and other similar and related papers:

(a) Case Files. (See subpara. (b) below for special handling of Letters of Consent.)

Retention period: 3 years after security clearance is administratively terminated in accordance with para. 2-110.1 of Armed Forces Industrial Security Regulations (AFISR), or 3 years after clearance is withdrawn or revoked in accordance with para. 2-111 of AFISR. (Place in inactive file when clearance is terminated, withdrawn, or revoked; destroy 3 years later.)

(b) Letters of Consent.
Retention period: When Letters of Consent cover interim clearances, retain only until issuance of final clearance. In cases of death or termination of employment or security clearance, remove Letter of Consent from the case file and destroy immediately, provided the CIF card (such as DD-264) has been forwarded to the Central Index File in accordance with para. 5542(2).

(5) INDUSTRIAL DEFENSE SURVEY RECORDS: Industrial Defense Surveys and Check Lists (such as DD-395 and 395-1); other survey and resurvey reports and related correspondence

and other papers concerning the Department of Defense Industrial Security Program for physical protection of key industrial facilities assigned to the cognizance of the Navy, and national and departmental reserve plants under Navy security cognizance. (Exclude primary program records maintained by the Assistant Secretary of the Navy (Installations and Logistics) and the Office of Naval Material, Navy Department. Master files are retained by the Assistant Secretary of Defense.)

Retention period: until 2 years after superseded or 1 year after facility has been deleted from key facility list.

(6) INDUSTRIAL SECURITY INSPECTION CHECK LISTS for Contractors Facilities (such as DD-696). (Form is completed by the Departments of the Navy, Army, and Air Force for facilities under their cognizance and the cognizant security office maintains official permanent file.)

Retention period: until superseded by a more current inspection report.

(7) VISIT RECORDS: visit request cards, correspondence, and other papers:

(a) Records of visits requiring only clearance certification.

Retention period: 6 months.

(b) Records of visits to local facilities requiring both clearance and need-to-know certification, and records of visits of foreign nationals or aliens.

Retention period: 2 years.

(c) Records relating to visits by local contractor representatives to other industrial facilities. Include justifications for visits. (Filed in cognizant security office).

Retention period: 1 year after completion of contract.

5542 INDUSTRIAL PERSONNEL SECURITY RECORDS

(1) INDUSTRIAL PERSONNEL SECURITY QUESTIONNAIRES (such as DD-48), CERTIFICATES OF NON-AFFILIATION WITH CERTAIN ORGANIZATIONS (such as DD-48-1), IMMIGRANT ALIEN QUESTIONNAIRES (such as DD-49), and related correspondence and papers:

(a) Derogatory cases.

Retention period: permanent. (Transfer to nearest Federal Records

Center when 1 year old, provided chronological brief and/or investigative work sheet containing derogatory information is maintained.)

(b) Non-derogatory cases (cases on which access is granted), provided documentation is duplicated in the files of the Office of Naval Intelligence and district intelligence offices.

Retention period: 2 years, or 1 year after issuance of Letter of Consent, as appropriate.

(2) CENTRAL INDEX FILE CARDS (such as DD-264): records of industrial personnel security clearance. (Duplicated in permanent Central Index File of the Industrial Security Board, Department of Defense).

Retention period: until superseded. (Place in inactive file when employment or security clearance of individual is terminated; hold on board for 6 months, then forward with proper notations to Central Index File (CIF), except that in case of death of individual, forward immediately to CIF with notation of demise.)

5560 TRAFFIC CONTROL AND PARKING RECORDS

(1) RECORDS RELATING TO APPLICATIONS FOR AND ISSUANCE OF CAR PARKING PERMITS.

Retention period: 3 months after permit lapses.

(2) RECORDS RELATING TO APPLICATIONS FOR AND ISSUANCE OF TEMPORARY VEHICULAR PASSES.

Retention period: 1 year after surrender of pass, except retain records of admission to special security areas.

(3) RECORDS RELATING TO THE ISSUANCE OF AUTOMOBILE PLATES.

Retention period: 15 months after plate is returned.

5600 PUBLICATIONS AND PRINTING, DUPLICATING, AND REPRODUCTION RECORDS - GENERAL

*The records described in this (5600-5699) series relate to publications and publishing and printing matters, including the preparation, production, procurement, and distribution of publications and blank forms. (See para. 5200 for forms management

records.) They are accumulated by the Director, NPPS, Washington, D.C., by other Navy and Marine Corps departmental and field publications and printing activities and offices (including Publications and Printing Service Offices, the Defense Printing Service, and the branch offices of the Navy Publications and Printing Service), and by activities or organizational units performing printing, publication, or reproduction functions. They are accumulated also by activities preparing publications.

(1) **PRIMARY PROGRAM RECORDS:** general correspondence files and other records of the Director, NPPS, Washington, D. C., and other departmental offices having assigned overall publications and printing or other reproduction program responsibilities, and that document the development, establishment, and execution of overall plans, policies, programs, and procedures pertaining to publications, printing, and other reproduction matters and to the operations of the publications and printing service.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) **GENERAL CORRESPONDENCE FILES** of Publications and Printing Service Offices and of activities and offices and other operating units concerned with publications, printing, and related matters. (Exclude primary program records covered in para. 5600(1) above): correspondence, reports, and other records of the organizational unit relating to its internal operation and administration, including production planning and scheduling, processing, procurement, and distribution functions. Include reports not specifically covered elsewhere in this series.

Retention period: 2 years.

* (3) **REPORTS TO THE JOINT CONGRESSIONAL COMMITTEE ON PRINTING:** these reports (such as JCP Forms 1-6) are required by Congress to be submitted periodically and relate to printing office operations and inventories. They include semi-annual production reports, contract field printing reports, annual inventories of equipment, production reports for plants primarily concerned with map and/or chart production, annual reports of stored equipment, and other reports and related papers.

Retention period: 1 year provided no longer required for local reference for

Navy activities, and 5 years for Marine Corps activities, except that the Director, NPPS, Washington, D.C. will retain one master copy of each report as a permanent record.

(4) **PUBLICATIONS FILES:** master file of naval publications maintained by printing plants or other production units and/or by issuing activity—one copy of each publication (manual, booklet, chart, regulation, etc.) produced.

Retention period: permanent.

(5) **REFERENCE FILES OF PUBLICATIONS.**

Retention period: until obsolete, cancelled, or no longer needed for reference. Return current and usable publications no longer needed to appropriate Cog I stocking segment of the Navy Supply System.

(6) **EXCESS TECHNICAL PUBLICATIONS BINDERS SUITABLE FOR REISSUE.**

Retention period: forward to appropriate Cog I stocking segment of the Navy Supply System, except forward excess aeronautical technical publications and manual binders to Navy Publications and Printing Service, Building 7, Naval Aviation Supply Depot, 700 Robbins Avenue, Philadelphia, Pa.

5602 PREPARATION RECORDS

(1) **SOURCE FILES** of articles, stories, and other materials submitted for official naval publications; related correspondence and papers:

(a) "Unplaceable" (rejected or unused) magazine articles, stories, etc.

Retention period: return to author whenever possible; when not returnable, retain until 1 year after story or article has been rejected.

(b) Other source files.

Retention period: 1 year or until material is no longer needed.

* (2) **PUBLICATION REPRODUCIBLES OR COPY MATERIAL:** original art work, charts or graphics, negatives, and other reproducible; manuscript copies of publications or other printed material. (See also para. 5603(3).)

Retention period: until publication is superseded or obsolete, or until it has been determined that art work,

negatives, or other material or reproducible are no longer usable or needed for further reproductions.

(3) **BACKGROUND MATERIAL, DRAFTS, and other papers used in developing and preparing publications.**

Retention period: until publication is completed and published, or until purpose has been served.

5603 PRODUCTION RECORDS

(1) **PRINTING OFFICE SUPERINTENDENTS (OR OTHER SIMILAR OFFICERS) CORRESPONDENCE FILES and related papers pertaining to production and related matters.**

Retention period: 2 years.

(2) **LOGS, REGISTERS, OR OTHER CONTROL RECORDS OF INCOMING JOBS OR WORK REQUISITIONS.**

Retention period: 1 year.

* (3) **JOB JACKET (CASE OR PROJECT) FILES:** papers accumulated by Publications and Printing Service offices, or similar activity, for each printing, binding, or reproduction job. Consist of such papers as copies of job requests or orders, material withdrawal requisitions, pricing schedules, job cost reports, samples of jobs produced, receipts for completed work, specifications, and other related papers. (See also para. 5602(2).)

Retention period: 6 months after completion, as provided in para. 4235, except Marine Corps activities will retain until publication is superseded or obsolete and no longer required for further publications.

(4) **DELIVERY UNIT COPIES OF SIGNED RECEIPTS for completed work.**

Retention period: 6 months.

(5) **PRODUCTION PLANNING AND SCHEDULING RECORDS:**

(a) Production control or progressing records: control stubs, tickets, or other local forms used as job status records or for posting to pricing schedules.

Retention period: 3 months.

(b) Production reports or other records relating to work production breakdowns, e.g., such as by estimated number of units of production per job in each cost process; planning copies of requisitions.

Retention period: 6 months.

(6) **PRODUCTION COST RECORDS AND REPORTS:**

(a) Time reports: daily military musters, daily time reports, and other similar records prepared daily by each employee; summary time reports; and overtime reports.

Retention period: summary and overtime reports--6 months; daily reports--2 months.

(b) Work-in-process inventories and tabulated or other listings of work in process at end of month; requisition check lists.

Retention period: 6 months.

(c) Cost reports, such as Monthly Labor Cost Reports, Reports of Accrued Annual Salaries and Wages, monthly recapitulation work sheets and reports, and other similar labor or material summary cost reports; records of units produced and billed.

Retention period: 1 year.

(d) Statistical data, including tabulated listings and work papers (such as job cost reports, social security retirement costs, travel requests, etc.) used for compiling data for periodic financial and cost statements and for estimated cash budget reports.

Retention period: 1 year.

(7) **PRODUCTION INVENTORY AND SUPPLY RECORDS:** records relating to printing or other reproduction supplies and equipment of printing offices, such as material inventory control and usage records (issue and receipt cards or other similar records of paper and other supplies, equipment, and repair parts received and issued); copies of withdrawal requisitions used to post to issue and receipt cards; periodic inventory reports; and copies of requisitions, including partial receiving reports and copies of loading reports.

Retention period: 1 year.

(8) **FINANCIAL STATEMENTS OR REPORTS OF THE DEFENSE PRINTING SERVICE AND OF NAVY PUBLICATIONS AND PRINTING SERVICE OFFICES (industrial activities):**

(a) Quarterly estimated cash budgets.

Retention period: 1 year.

(b) Financial and cost statements submitted by Publications and Printing

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Service industrial-type activities to Navy Comptroller and/or other higher authorities; annual operating budgets. Apply para. 7630.

(c) Accounting registers used to record and accumulate financial and cost data on a monthly basis for posting to the general and subsidiary ledger: Cash Receipts and Disbursement Registers, Materials on Order Registers, Accounts Receivable and Payable Registers, Labor and Material Distribution Registers, Journal Vouchers, and other similar registers.
Retention period: 6 years.

(d) General and subsidiary ledgers. Apply para. 7640.

(9) OTHER FINANCIAL MANAGEMENT RECORDS. Apply chapter 7.

5604 PUBLICATION PROCUREMENT RECORDS

(1) REQUISITIONS, PURCHASE REQUESTS, and other similar requisition or procurement documents. Apply para. 4235, except apply para. 4280 to printing procurement contracts or purchase orders.

(2) OTHER SUPPLY AND PROCUREMENT RECORDS. Apply chapter 4.

5605 DISTRIBUTION RECORDS

(1) FORMS INDICATING THE ISSUANCE, RECEIPT, AND DELIVERY OF PUBLICATIONS by divisions of supply centers and other offices.

Retention period: 1 year.

(2) PUBLICATIONS AND FORMS REQUISITION AND SHIPPING ORDER FILES: copies of requisitions, shipping orders, transfer requests, and related papers accumulated by publications supply activities and by activities and offices requisitioning publications and forms from stock. (See para. 4235 for other requisition files).

Retention period: 6 months.

(3) DISTRIBUTION LISTS. See para. 5900(5).

(4) INDEXES, CHECK LISTS, AND OTHER RECORDS OF CURRENT PUBLICATIONS.

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Retention period: until superseded or obsolete or until purpose has been served.

(5) RECORDS RELATING TO DISTRIBUTION OF CODE 4 PUBLICATIONS in the Navy Supply System. See para. 5070.

5700 EXTERNAL RELATIONS RECORDS

The records described in this (5700-5799) series relate to public, legislative, and executive relations, liaison, and programs, to Navy's participation in political military affairs, and to historical matters. They include records accumulated in connection with international relations, public relations (including informational services), community relations, and audio-visual and press relations. They also are accumulated in connection with the conduct of our relations with external (private) organizations.

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records of the Secretary of the Navy, the Chief of Information, the Chief of Legislative Affairs, and the Office of the Chief of Naval Operations documenting the development and execution of plans, policies, programs, and procedures regarding external relations of the Navy Department, including international affairs, public relations, and congressional and legislative matters.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. or other authorized storage area when 4 years old or when file becomes inactive.)

(b) That portion of the files of the Commandant of the Marine Corps and other departmental bureaus and offices that documents the overall accomplishment of assigned external relations program responsibilities and that are not duplicated or essentially documented in the files covered in subpara. (a) above.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old or when file becomes inactive.)

(c) That portion of the files of naval district and river commands, of fleet commands, and of other major shore-based commands documenting policy decisions or

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other unusually significant or important local transactions, or transactions of a highly controversial nature.

Retention period: permanent. (Transfer to appropriate Federal Records Center with activity's permanent correspondence files.)

(2) GENERAL CORRESPONDENCE FILES RELATING TO THE ROUTINE INTERNAL OPERATION AND ADMINISTRATION OF ACTIVITIES AND OFFICES PERFORMING EXTERNAL RELATIONS FUNCTIONS.

Retention period: 2 years.

5710 INTERNATIONAL RELATIONS RECORDS

(1) GENERAL CORRESPONDENCE FILES. Apply para. 5700(1) above.

(2) MILITARY ASSISTANCE AND ADVISORY GROUPS (MAGs and MAAGs) RECORDS. See paras. 4900-4999.

(3) NAVAL ATTACHES RECORDS:

(a) Primary program records: general correspondence files and other records documenting the development and execution of plans, policies, programs, decisions, and procedures, and the performance of essential transactions of the office; records reflecting the organizational history of the office.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 3 years old, except retain on board material that the resident Attache determines is required for continuity or general research purposes.)

(b) File copies of reports.
Retention period: 3 years.

(c) Evaluation slips.
Retention period: 1 year.

(d) Other records. Apply provisions of para. 3900 and other pertinent subject-matter series.

5713 NAVAL MISSION RECORDS

(1) PRIMARY PROGRAM RECORDS: general correspondence files and other records of the chiefs of naval missions that

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document the development and execution of their policies, plans, programs, and procedures, essential transactions, and important decisions of the mission, and its organizational history.

Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old.)

(2) GENERAL CORRESPONDENCE FILES (OTHER THAN PRIMARY PROGRAM RECORDS), including files of divisions, branches, or other organizational units, essentially duplicated or summarized in records covered in para. 5713(1) above.

Retention period: 4 years, except retain records relating to the routine internal operation and administration of the office for 2 years.

5720 PUBLIC RELATIONS RECORDS

(1) GENERAL CORRESPONDENCE FILES, including reports, of activities and offices pertaining to public relations or information matters, including exhibits or exhibitions, guest cruises, fleet home town news services, community relations, and audio, visual, and press relations. (Exclude primary program records covered in para. 5700(1).)

Retention period: 4 years for district and river commands; 2 years for all others.

(2) INFORMATIONAL RELEASES: press releases, publications, transcripts of press conferences, official speeches or other presentations, including graphics or exhibits, television or radio scripts, and other formally presented publicity or informational material:

(a) Master files of the Chief of Information, Washington, D. C.: one copy of each document, together with related index or other records.

Retention period: permanent.

(b) Master files of other officially designated public information offices: one copy of each formally released document that is not forwarded to or duplicated in the files of the Chief of Information, Navy Department, or other higher authority. Include any related index records. (Exclude publicity material that is important or useful in documenting the history of the organization and that relates to specially significant or

historically noteworthy events; these should be handled as provided in paras. 5750(2) and (3).)

* Retention period: 4 years.

(c) Copies of press releases, speeches, presentations, exhibits, communiques, and other public relations materials.

Retention period: 1 year or until purpose has been served. Retain related indexes, check lists, or bibliographies (other than those covered in subpara. (a) above) until superseded, obsolete, or no longer needed.

(3) PUBLIC RELATIONS SERVICES PROJECT (CASE) FILES: correspondence, background material, and other papers (other than master files of formal information releases covered in para. 5720(2) above).

Retention period: 1 year after completion of project.

(4) CASUALTY INFORMATIONAL RECORDS: copies of communiques, casualty lists, Navy Department press releases, and other papers relating to naval casualties.

Retention period: 1 year.

(5) ARMED FORCES DAY RECORDS: correspondence and other records relating to the local observance of Armed Forces Day.

Retention period: 1 year.

* (6) REQUESTS FOR INFORMATION: routine requests for information, material, or data of a nature that requires no special investigation, no special compilation or research, and that involves no policy decisions and no administrative action; related replies.

Retention period: 3 months, or return to requestor with reply whenever possible, except retain requests of a less routine nature but involving no policy decisions or matters of a controversial nature or no unusually important transactions for 2 years.

(7) ANONYMOUS LETTERS, LETTERS OF COMPLAINT OR CRITICISM, OR LETTERS CONTAINING SUGGESTIONS, together with replies thereto, on which no investigation is made or administrative action taken.

Retention period: 3 months.

(8) APPROVALS (AUTHORIZATIONS) FOR INFORMATIONAL (PRESS OR OTHER) RELEASES and for the release of naval films, exhibits, or other materials for public viewing; related papers.

Retention period: 1 year.

(9) RESEARCH REFERENCE FILES: press clippings, newspapers, and other materials accumulated for reference articles, stories, etc. pertaining to or of interest to the Navy and Marine Corps.

Retention period: until purpose has been served.

5724 FLEET HOME TOWN NEWS RECORDS

(1) FLEET HOME TOWN NEWS CENTER RECORDS:

(a) General correspondence files:

1. Correspondence and related records documenting the Center's organizational history and its policies, programs, over-all procedures, and essential transactions.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

2. Correspondence relating to the internal operation and administration of the Center.

Retention period: 2 years.

(b) Photographic prints and negatives accumulated by the Fleet Home Town News Center.

Retention period: 6 months, then whenever possible, return prints and negatives to person portrayed; otherwise apply provisions of para. 3150.

(c) Other public relations records. Apply pertinent provisions in this (5720) series.

5728 AUDIO AND VISUAL (MOTION AND STILL PICTURE, RADIO, AND TELEVISION) RECORDS

(1) RADIO AND TELEVISION SCRIPTS, and related publicity material (other than files of the Chief of Information and master files at public information offices covered in para. 5720(2) above).

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Retention period: 1 year, except retain records used for background data or for source material until no longer needed for reference purposes.

(2) STILL AND MOTION PICTURE FILM. See para. 3150.

5730 CONGRESSIONAL AND LEGISLATIVE LIAISON RECORDS

- * (1) PRIMARY PROGRAM RECORDS: general correspondence files and other records of the Office of Legislative Affairs and other departmental offices having primary program responsibilities for all phases of congressional and legislative liaison matters. These are records that document plans, policies, programs, procedures, accomplishments, and essential transactions.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old or when files become inactive.)

(2) GENERAL CORRESPONDENCE FILES of activities and offices pertaining to the routine internal operation and administration of liaison activities between Congress and other executive agencies. Include routine requests for information from members of Congress and replies thereto. (Exclude primary program records covered in para. 5730(1) above and records documenting Navy or Marine Corps policy, plans, or highly important transactions, including official files relating to changes in location or status of naval facilities.)

Retention period: 2 years.

5750 HISTORICAL RECORDS

(1) PRIMARY PROGRAM RECORDS:

(a) Records of the Office of Naval History, Office of the Chief of Naval Operations; records accumulated or prepared by the Office and documenting the operational history of the Navy and Marine Corps.

Retention period: permanent.

(b) Records of the Office of the Secretary of the Navy and of departmental bureaus and offices and Headquarters Marine Corps, accumulated or prepared in connection with historical and related functions and reflecting the administrative history of the Navy and Marine Corps.

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Consist of reports, correspondence, and other documents.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when no longer needed for frequent on-board reference.)

(2) RECORDS OF FIELD AND FLEET COMMAND ACTIVITIES AND OF CERTAIN OTHER SELECTED FIELD ACTIVITIES whose general correspondence files are designated in the appropriate functional areas of this manual for permanent retention: those records that reflect the administrative and operational history of the activity.

Retention period: permanent. (Handle in accordance with instructions for activities permanent correspondence files contained in pertinent functional (subject) chapters or series in this manual.)

(3) RECORDS OF FIELD ACTIVITIES, including fleet activities, not covered in para. 5750(1) or (2) above and whose general correspondence (program) files are not specifically designated in this manual for permanent retention:

- * (a) Records which the commanding officer determines to be of unusual importance or to have exceptional historical significance or interest because they depict important unique situations of continuing interest or important policy transactions or decisions, unusual noteworthy events, or summarize the organizational and functional history of the activity.

Retention period: permanent. (Retain for local reference purposes. Navy activities will transfer to nearest Federal Records Center when records are no longer needed for frequent local reference, except that Operating Force activities will transfer to Federal Records Center, Mechanicsburg, Pa.; MARCORPS activities will transfer when 3 years old to Federal Records Center, Mechanicsburg, except that Marine Corps Schools, Quantico and FMFLANT will transfer to Federal Records Center, Alexandria, Va.)

(b) Other local records of continuing historical interest to the local activity.

Retention period: until no longer needed for local reference.

(4) ADMINISTRATIVE HISTORIES or other formally prepared histories, including organizational and functional histories:

(a) Master record copies of histories prepared or accumulated by departmental activities.

Retention period: permanent.

(b) Activities copies of histories: copies of histories submitted to higher authority.

Retention period: until no longer needed for reference purposes.

(c) Local activity or office histories: locally prepared histories not required by or submitted to higher authority.

Retention period: retain on board for local reference purposes; transfer to nearest Federal Records Center upon disestablishment or when records are no longer needed for local reference.

(5) STATION JOURNALS recording important information and noteworthy occurrences in the operation and administration of the station and maintained as required by Navy Regulations, Article 0792.

Retention period: permanent. (Transfer to Federal Records Center, Mechanicsburg, Pa. when 4 years old.)

5800 LAW AND LEGAL RECORDS - GENERAL

The records covered in this (5800) series pertain to the administration of law and legal matters, including admiralty law; military justice; the providing of legal assistance to naval personnel and their dependents; the administration of courts of inquiry and investigations; the administrative settlement of claims; the handling of legal and administrative actions and legal processes; the processing and handling of patent, copyright, and trademark matters; and other related functions. These records are accumulated (a) by the Office of the Judge Advocate General, the Office of the General Counsel, and other departmental activities responsible for the development and supervision of legal plans, policies, and programs, and for the administrative review and approval of legal procedures and the establishment of procedures; and (b) by activities and offices engaged in performing legal functions and programs.

(1) PRIMARY PROGRAM RECORDS: general correspondence files and other records that reflect the over-all development and accomplishment of plans, policies,

programs, procedures, and legal processes governing all phases of assigned legal responsibilities. (Exclude internal operation records covered in para. 5800(2) below):

(a) Files accumulated at the departmental level by the Judge Advocate General, the Navy General Counsel, and the legal staffs of the Chief of Naval Operations, the Commandant of the Marine Corps, and other departmental bureaus and offices.

Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old or when file becomes inactive.)

(b) Files accumulated by branch offices of the Office of the Navy General Counsel.

Retention period: permanent. (Transfer to nearest Federal Records Center when no longer required for local reference.)

(c) Files accumulated by the legal staffs of district and river command headquarters, and of fleet commands and other shore command headquarters.

Retention period: permanent. (Transfer with headquarter's general correspondence files to the appropriate Federal Records Center.)

(2) GENERAL CORRESPONDENCE FILES, including reports, of legal offices, including branch offices of the Navy General Counsel, that relate to the routine internal operation and administration of the office.

Retention period: 2 years.

(3) LEGAL OPINION RECORDS: legal decisions or opinions on matters relating to laws, regulations, administrative decisions, and directives affecting the Department of the Navy, and on military justice, claims, and other related matters. Include related cards or other records used as an index or cross reference to opinions or decisions.

Retention period: official (original) copies--permanent (retain on board until disestablishment); other copies--until purpose has been served.

(4) FILES CONCERNING VETERANS' RIGHTS AND BENEFITS and other problems arising from readjustment to civilian life, and consisting of information correspondence with veterans, their beneficiaries, the

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Navy Department, Veterans Administration, and veterans organizations and associations.

Retention period: 1 year.

5801 LEGAL ASSISTANCE RECORDS

(1) LEGAL ASSISTANCE CASE FILES and other records relating to assistance in civil matters rendered by legal assistance officers.

Retention period: 2 years after the matter is closed or until the closing of the legal assistance office, then handle as follows:

(a) Return important or valuable personal papers such as deeds, insurance policies, notes, mortgages, original letters, etc. furnished by the client to him or to the civilian attorney representing him, or to the district legal assistance officer or such other party as he may designate, as appropriate. Make a record for the files of the disposal of such documents.

(b) Destroy unimportant papers such as memoranda, interview cards, and copies of correspondence.

(c) List and index under the name of the client or the adverse party, any remaining papers that in the opinion of the legal assistance officer should be retained and preserved; properly mark and securely fasten these together and send, together with the list and index, to the Office of the Judge Advocate General, Navy Department, Washington, D. C. (Attn: Legal Assistance Program Branch).

(2) GENERAL CORRESPONDENCE FILES OF LEGAL ASSISTANCE OFFICERS. Apply para. 5800(2).

5810 MILITARY JUSTICE RECORDS

(1) GENERAL CORRESPONDENCE FILES, including reports, relating to the internal administration of military justice.
Retention period: 2 years.

(2) CORRESPONDENCE AND OTHER PAPERS RELATING TO COURTS-MARTIAL or other military justice cases and accumulated for information by activities and offices having an interest in the case.

Retention period: 1 year after case is closed.

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5812 NON-JUDICIAL PUNISHMENT RECORDS

* (1) RECORDS, SUCH AS UNIT PUNISHMENT BOOK PAGES, relating to minor infractions of military discipline for which no judicial punishment is imposed. See para. 1620(3).

5813 COURTS-MARTIAL TRIAL RECORDS

* (1) ORIGINAL RECORDS OF PROCEEDINGS HELD BY SHORE AND FLEET SUPERVISORY AUTHORITIES: summary and special courts-martial cases not involving a sentence to a bad conduct discharge:

* (a) Shore supervisory authorities.
Retention period: until 15 years after final action has been taken. (Retain on board until 2 years after final action has been taken, then transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo.)

* (b) Fleet activity supervisory authorities, including Fleet Air and Fleet Marine Force authorities.
Retention period: until 15 years after final action has been taken. (Retain on board for 3 months, then transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo.)

* (2) ORIGINAL RECORDS OF PROCEEDINGS HELD BY THE JUDGE ADVOCATE GENERAL, relating to all general courts-martial cases and to summary and special courts-martial cases involving a sentence to a bad conduct discharge.
Retention period: permanent. (Transfer periodically to Federal Records Center, Alexandria, Va.)

(3) COPIES OF RECORDS OF PROCEEDINGS in courts-martial cases: copies maintained by activities when the originals are forwarded to the Office of the Judge Advocate General or held by supervisory authority as provided in para. 5813(1) above.

Retention period: 2 years after final action has been taken, except retain extra or information only copies until purpose has been served.

5830 COURTS OF INQUIRY AND INVESTIGATION RECORDS

(1) INVESTIGATIONS CASE FILES: reports of investigations and related records regarding investigations into accidents involving Government vehicles or craft or other incidents involving naval activities or personnel (other than courts-martial cases) or claims for personal damage.

When claims arise, these records will become part of other claims case files and will be handled as provided in para. 5890.

Retention period: 2 years, provided no local administrative, judicial, or other action is in process or pending.

5860 LEGISLATION AND CONGRESSIONAL ACTION RECORDS

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records of the Office of Legislative Affairs documenting plans, policies, programs, procedures, and accomplishments relating to its primary program responsibilities for congressional and legislative affairs. (Exclude records covered in para. 5860(2) below. See also para. 5730.)

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) That portion of the files of the Chief of Naval Operations, the Commandant of the Marine Corps, or chiefs of other bureaus or offices that documents essential or important policy transactions relating to legislative proposals and enactments, congressional investigations, and other congressional matters.

Retention period: permanent. (Transfer to center storage when file becomes inactive.)

(2) GENERAL CORRESPONDENCE FILES of activities and offices performing legislative or congressional liaison functions and relating to the routine internal operation and administration of the activity or office.

Retention period: 2 years.

5861 LEGISLATIVE PROPOSALS

(1) LEGISLATIVE PROPOSAL FILES: drafts of proposed legislation and Executive Orders together with supporting

papers and comments reflecting Department of the Navy's position on proposed legislation or legislation already introduced in the Congress. Include related card index records. These are accumulated at the departmental level, principally by the Office of Legislative Affairs, EXOS.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when file becomes inactive.)

(2) LEGISLATIVE REFERENCE FILES: copies of proposed legislation and of Executive Orders accumulated for information. (Exclude files covered in para. 5861(1) above.)

Retention period: until purpose has been served.

5862 LEGISLATIVE ENACTMENTS

(1) REFERENCE FILES of copies of legislative enactments; related index records.

Retention period: until purpose has been served.

5863 CONGRESSIONAL INVESTIGATIONS RECORDS

(1) GENERAL CORRESPONDENCE FILES AND OTHER RECORDS OF THE OFFICE OF LEGISLATIVE AFFAIRS, EXOS, documenting its assigned program responsibilities in regard to congressional investigations and inquiries.

Retention period: permanent. (Transfer to the Federal Records Center, Alexandria, Va. when 4 years old.)

5870 PATENT, COPYRIGHT, INVENTION, AND TRADEMARK RECORDS

(1) GENERAL CORRESPONDENCE FILES OF ACTIVITIES CONCERNED WITH PATENT MATTERS and relating to the internal operation and administration of their functions (other than primary program records of activities covered in para. 5800(1) and correspondence pertaining to specific cases covered in para. 5870(2) below).

Retention period: 2 years.

(2) PATENT (CASE) FILES: all records relating to individual patent cases. These consist of applications for patents, trademarks, or copyrights; disclosures made while awaiting applications; supporting

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specifications and exhibits; records of status of inventories and of actions and amendments of the U. S. Patent Office; other pertinent documents and related correspondence.

Retention period: permanent. (Retain on board until 2 years after case becomes inactive, then transfer to nearest Federal Records Center.)

(3) **CARD INDEX OR SIMILAR RECORDS OF PATENT APPLICATIONS** and/or summary progress records of actions taken.

Retention period: permanent. (Retain on board until activity is disestablished.)

(4) **CARD OR OTHER SIMILAR RECORDS OF INFRINGEMENT OR ROYALTY INVESTIGATIONS** and of action taken.

Retention period: 1 year after completion of action taken or of investigation, as appropriate.

(5) **LICENSE AND ASSIGNMENT RECORDS:** correspondence and other records documenting license matters, including license matters under a specific contract. Include pertinent patent clauses, assignments, and licenses approved thereunder, and signed records of agreements obtained.

Retention period: indefinite. (Transfer to nearest Federal Records Center 2 years after completion of related contract or expiration of patent involved in agreement.)

5880 ADMIRALTY RECORDS

(1) **GENERAL CORRESPONDENCE AND REPORTS MAINTAINED BY LEGAL OFFICES** and relating to admiralty cases arising in the district or river command or other area within the legal officer's jurisdiction. (These records primarily are accumulated at naval district and river command headquarters.)

Retention period: 6 years.

5890 CLAIMS (OTHER THAN CONTRACT CLAIMS) RECORDS

(1) **REPORTS, INVESTIGATIONS, DAMAGE CLAIMS,** and other papers and documents arising from the administration of the General Claims Regulation:

(a) Original records accumulated by the Office of the Judge Advocate General.

Retention period: permanent.

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(b) Records of all other offices or activities.

Retention period: 3 years, provided original reports and all pertinent papers are or have been forwarded to the Office of the Judge Advocate General, Washington, D.C., as required by the General Claims Regulation, and provided no further local action is pending or in process.

(2) **CARD OR OTHER LOCAL RECORDS OF CLAIMS RECEIVED, PENDING, OR IN PROCESS:**

(a) When used as suspense record.

Retention period: until action has been taken.

(b) When used as record of action taken.

Retention period: 1 year after case is closed.

* (3) **COURT OF CLAIMS CASE FILES:** correspondence, petitions, exhibits, and other supporting papers relating to claims, including claims for pay, allowances, travel, and other monies.

Retention period: 6 years after final settlement of claim.

5900 OFFICE SERVICES RECORDS - GENERAL

These records are accumulated throughout the Department of the Navy in connection with the providing of office services to naval activities or offices.

(1) **GENERAL CORRESPONDENCE FILES OF OFFICES AND UNITS RESPONSIBLE FOR THE PERFORMANCE OF OFFICE OR ADMINISTRATIVE SERVICES,** including the providing of supplies and equipment; the handling of office space and maintenance matters; utilization and assignment of parking space; and the furnishing of stenographic, clerical, and other similar services. (Exclude primary program files of departmental offices responsible for the Department of the Navy's overall space planning and utilization; these are permanent records.)

Retention period: 2 years.

(2) **ADMINISTRATIVE OR OFFICE SERVICE COPIES OF REQUESTS OR REQUISITIONS FOR OFFICE EQUIPMENT AND SUPPLIES;** requests for services or work order requests, including building and equipment maintenance service requests;

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other similar records; related correspondence.

Retention period: 6 months.

(3) RECORDS RELATING TO THE ROUTINE REVIEW OF REQUESTS FOR OFFICE EQUIPMENT; equipment requirement and justification records; machine utilization reports.

Retention period: 2 years.

(4) OFFICE (TELEPHONE) DIRECTORIES or other similar personnel listings:

(a) Official record copies: one copy of each.

Retention period: dispose of with the activity or office's general correspondence files, except Marine Corps activities preparing directories will forward annually and upon disestablishment one copy of each issue to the Commandant of the Marine Corps (A03E).

(b) Reproductive master or working copies.

Retention period: until superseded or obsolete.

(5) MAILING OR DISTRIBUTION LISTS AND RELATED MATERIAL:

(a) Cards, addressograph plates, stencils, tapes, or other mailing lists.

Retention period: until individual cards, plates, or other record are superseded or cancelled, or until lists are revised or cancelled.

(b) Correspondence, request forms, and other records relating to changes in mailing lists.

Retention period: 3 months, or until action has been taken, as appropriate.

(6) MAIL, MESSENGER, AND POSTAL SERVICE RECORDS. See para. 2700.

(7) COURIER SERVICE RECORDS.
See para. ~~2360~~

(8) TELEPHONE SERVICE RECORDS. See para. 2305.

(9) PRESENTATION SERVICES AND AIDS RECORDS: records relating to the use of conference rooms, graphic aids, speech aid devices, conference reporting services, and other similar matters.

Retention period: 2 years.

5910 SPACE REQUIREMENTS AND ALLOCATION RECORDS

(1) RECORDS RELATING TO REQUIREMENTS FOR AND UTILIZATION AND RELEASE OF SPACE. (See also para. 5900(1) above):

(a) Building plan files. See para. 11012(1).

(b) Space holdings and requirements reports submitted to higher authority or to other cognizant authority.

Retention period: 2 years, except 1 year for feeder reports and related working papers.

5930 STENOGRAPHIC, CLERICAL, AND MESSENGER RECORDS

(1) STENOGRAPHIC NOTES OR TAPES, DICTAPHONE DISKS, AND DRAFTS OR OTHER TEMPORARY RECORDING MEDIA.

Retention period: until transcribed.

(2) INTERNAL MESSENGER RECORDS, such as logs, assignment or route schedules, and delivery receipts. (See para. 2700 for other mail and messenger records.)

Retention period: 6 months, or until superseded or cancelled, as appropriate.

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CHAPTER 6

MEDICINE AND DENTISTRY RECORDS

6000-6999

The records described in this chapter relate to the administration and performance of medical and dental functions by the medical service of the Department of the Navy, including the administration of civilian health service programs, sanitation programs, and medical and dental services. They include records reflecting the treatment or care of individuals, as well as organizational records accumulated or created in connection with the carrying out of naval medical functions. They are accumulated by hospitals, dispensaries, medical centers, laboratories, district medical and dental offices, and other similar medical and dental activities and units, and by other organizations.

Primary program records of the Bureau of Medicine and Surgery, covered in paragraph 6000(1) below, are permanent records.

6000 MEDICAL AND DENTAL RECORDS--GENERAL

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records of the Bureau of Medicine and Surgery that document the development and execution of medical plans, policies, programs, and procedures pertaining to the performance of the Bureau's assigned mission for the accomplishment of medical functions in support of the Naval Establishment.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) General correspondence files of other medical activities or offices: that portion of the files that documents the organization of the activity and the overall development and accomplishment of significant plans, special programs, studies or projects, and essential transactions of continuing interest. (See para. 3900 for general correspondence files of medical research activities.)

Retention period: permanent. (Transfer to nearest Federal Records Center when 2 years old, provided local reference needs have been met.)

(c) General correspondence files and reports relating to the internal operation and administration of medical functions (other than records covered in subparagraphs (a) and (b) above).

Retention period: 2 years.

(2) COORDINATION AND INSPECTION REPORTS of medical offices of naval districts and river commands: copies of reports forwarded to the Bureau of Medicine and Surgery. (See para. 5040 for other administrative survey and inspection reports.)

Retention period: 5 years.

6010 ADMINISTRATION RECORDS

(1) OFFICER-OF-THE-DAY LOGS of medical and dental activities:

(a) Medical Activities.

Retention period: smooth logs--permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis 32, Mo. when 2 years old.); rough logs--1 year.

(b) Dental Activities.

Retention period: dental commands--permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis 32, Mo. when 2 years old); other than dental commands--2 years.

(2) HOSPITAL LIBERTY LISTS (such as NAVMED-20); leave and liberty logs.

Retention period: lists--6 months; logs--1 year.

(3) APPOINTMENT RECORDS:

(a) Medical and Dental

Appointments--Daily (such as NAVMED-1393 and 1298).

Retention period: 6 months.

(b) Appointment Book--Medical

Department (such as NAVMED-566).

Retention period: indefinite. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page

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Boulevard, St. Louis, Mo. 1 year
after last entry.)

(4) PERSONNEL TABULATING
CARDS (such as NAVMED-1352 and 1352A).
Retention period: 1 year after depar-
ture of individual.

(5) ORDER AND INSPECTION
BLANK (such as NAVMED-23).
Retention period: 3 years.

(6) INTERN RECORDS: Reports of
Interns and Internships (such as NAVMED-
1048); Transcripts of Intern Service (such
as NAVMED-1293).
Retention period: reports—2 years;
transcripts—1 year.

(7) MORNING REPORTS OF SICK
(such as NAVMED-T) and BINNACLE LISTS *
(such as NAVMED-S).
Retention period: until information is
transcribed in NAVMED-H-10).

(8) STAFF LOCATOR RECORDS
(such as NAVMED-1286).
Retention period: 1 year.

(9) PERSONNEL REPORTS: Reports *
of Medical Officer Personnel (Quarterly)
and Medical Officers Under Instruction (such
as NAVMED-1341 and 1949); Combined Re-
port of Enlisted Hospital Corps (such as
NAVMED-590).
Retention period: 1 year

(10) STAFFING REPORTS (such as
NAVMED-1357), Hospital Staffing Report
(such as NAVMED-1353), and Expense Ac-
count Data Sheet (such as NAVMED-1353-H). *
Retention period: 2 years.

(11) LOGS: gear log and valuables log.
Retention period: 1 year.

(12) POSTING ADVICE RECORDS
(such as NAVMED -1382).
Retention period: 2 years.

6100 PHYSICAL FITNESS RECORDS-
GENERAL

(1) PHYSICAL EVALUATION BOARD
RECORDS: *

(a) General correspondence files
relating to the administration of the Board.
Retention period: 2 years.

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Disposal of Navy and Marine Corps Records

(b) Case files of the Board's pro-
ceedings.

Retention period: 1 year after final
action by the Board.

(c) Index cards (alphabetical) of
the Board's cases.

Retention period: permanent.

(2) MILITARY PERSONNEL PHYSI-
CAL DISABILITY APPEAL BOARD, Navy
Department, records. See para. 1000(4).

6120 PHYSICAL EXAMINATION RECORDS

* (1) BOARDS OF MEDICAL SURVEYS
REPORTS (such as NAVMED-M).
Retention period: copy to be filed in
patient's clinical record—permanent;
all other copies—1 year.

(2) REPORTS OF MEDICAL EXAMI-
NATIONS and REPORTS OF MEDICAL HIS-
TORIES (such as Standard Forms 88, 89,
and 506).

Retention period: copy to be filed in
patient's clinical record—permanent;
all other copies—1 year, except copy
may be filed in Health Record in lieu
of written summary on Std-600.

(3) NEUROLOGICAL EXAMINATIONS
(such as Std-530).

Retention period: copy to be filed in
patient's clinical record—permanent;
all other copies—1 year.

* (4) SENSORY EXAMINATIONS (such
as Std-531).

Retention period: copy to be filed in
patient's clinical record—permanent;
all other copies—1 year.

(5) ELECTROCARDIOGRAM AND
ELECTROENCEPHALOGRAM RECORDS:

(a) Electrocardiogram tracings
and Electrocardiographic Reports (such as
Std-520).

Retention period: copy to be filed in
patient's clinical record—permanent;
all other copies—1 year.

(b) Electroencephalogram trac-
ings.

Retention period: normal tracings—1
year; abnormal tracings—5 years.

(6) TISSUE EXAMINATIONS (such as
Std-515).

Retention period: copy to be filed in
patient's clinical record—permanent;
copy to be filed in pathology labora-
tory—indefinite; all other copies—1
year.

* (7) LABORATORY RECORDS:

(a) Laboratory Reports (such as Std-514a through 514q).

Retention period: copy to be filed in patient's jacket or clinical record--permanent; all other copies--1 year.

(b) Laboratory logs.

Retention period: 2 years.

(8) DIAGNOSTIC RECORDS: Diagnostic Summary (such as Std-501), Narrative Summary (such as Std-502), and Notice of Change in Diagnosis (such as NAVMED-53).

Retention period: copy to be filed in patient's clinical record -- permanent; all other copies -- 1 year.

(9) MUSCLE EXAMINATION RECORDS: Muscle Evaluation Records (such as Std-528 and 529); Group Muscle Strength Record (such as Std-527).

Retention period: copy to be filed in patient's clinical record -- permanent; all other copies -- 1 year.

(10) PNEUMOTHORAX-PNEUMOPERITONEUM RECORD (such as Std-532).

Retention period: copy to be filed in patient's clinical record -- permanent; all other copies -- 1 year.

6150 HEALTH AND MEDICAL RECORDS

* (1) OFFICIAL MILITARY PERSONNEL HEALTH RECORD JACKETS, medical and dental (such as DD-722 and DD-722-1), other than dependents dental jackets covered in para. 6600(2).

Retention period: permanent. Handle in accordance with MANMED, chapter 16, section III.

* (2) CLINICAL RECORDS (INPATIENTS' TREATMENT RECORDS) OF MILITARY PERSONNEL AND THEIR DEPENDENTS. (See para. 12792(1) for civilian personnel clinical records.) These are documents authorized by the Bureau of Medicine and Surgery for recording the medical and surgical histories of patients admitted to military medical treatment facilities. They include such records as:

- * Electrocardiogram tracings
- Report of Board of Medical Survey (NAVMED-M)
- Report of Medical Treatment of Navy and Marine Corps Personnel By

Other Than the Medical Department of the Navy (NAVMED-U)
Personal Effects Tag When Used as a Signed Receipt for Clothing and Effects Returned to Patient (NAVMED-22)

Notice of Change of Diagnosis (NAVMED-53)

- * Admission Record (NAVMED-1437)
- Diagnostic Summary (Std-501)
- Narrative Summary (Std-502)
- Autopsy Protocol (Std-530)
- History, Part I (Std-504)
- History, Parts II and III (Std-505)
- Physical Examination (Std-506)
- Doctor's Orders (Std-508)
- Doctor's Progress Notes (Std-509)
- Nurse's Notes (Std-510)
- Temperature-Pulse-Respiration (Std-511)
- Plotting Chart (Std-512)
- Consultation Report, including Electroencephalogram Findings (Std-513)
- * Laboratory Reports (Std-514a through 514q)
- Tissue Examination (Std-515)
- Operation Report (Std-516)
- Anesthesia (Std-517)
- Blood Transfusion (Std-518)
- Radiographic Report (Std-519a)
- Electrocardiographic Report (Std-520)
- Dental (Std-521)
- Authorization for Anesthesia, Operation, etc. (Std-522)
- Authorization for Post Mortem (Std-523)
- Roentgen Therapy (Std-524)
- Roentgen Therapy Summary (Std-525)
- Radium Therapy (Std-526)
- Group Muscle Strength (Std-527)
- Muscle Evaluation-Upper Extremity (Std-528)
- Muscle Evaluation-Trunk, Lower Extremity, Fact (Std-529)
- Neurological Examination (Std-530)
- Sensory Examination (Std-531)
- Pneumothorax-Pneumoperitoneum (Std-532)
- Prenatal and Pregnancy (Std-533)
- Labor and Post Partum (Std-534)
- Newborn Record (Std-535)
- Pediatric Nursing Notes (Std-536)
- Pediatric Graphic Chart (Std-537)
- Pediatric (Std-538)
- Abbreviated Clinical Record (Std-539)

These are permanent records. Handle them as outlined below:

(a) When a patient is transferred from a Naval medical activity:

1. When a Naval member or dependent patient is transferred to another Naval medical activity or to an Army or Air Force medical activity--Transfer, with x-rays, directly to the receiving activity.

2. When an Army or Air Force member or dependent patient is transferred to another Naval medical activity or to an Army or Air Force medical activity--Transfer, with x-rays, to the receiving activity via the cognizant administrative or liaison unit if established; otherwise transfer directly.

* In all cases the transferring medical activity shall make an entry "CR" (Clinical Record) and/or "X" (x-rays) on the Admission Record (such as NAVMED-1437) showing the medical activity to which transferred. When the receiving activity is a Naval medical activity, an entry showing receipt of the record and/or x-rays shall be made on the Admission Record. (A teaching hospital may reproduce any records considered to be of value for use in residency training, research, or clinical investigation before the original records are transferred.)

(b) When a patient is transferred from an Army or Air Force medical activity:

1. When a Naval member or dependent patient is transferred to another Army or Air Force medical activity--Transfer, with x-rays, to the receiving activity via the Naval administrative or liaison unit if established; otherwise transfer directly.

2. When an Army or Air Force member or dependent is transferred to a Naval medical activity--Transfer, with x-rays, directly to the receiving activity.

3. When Naval, Army, or Air Force members or dependent patients are transferred to a Naval medical activity, the receiving activity shall make an entry showing receipt of the records in the "Other" block of "Records received" on its Admission Card.

* (c) Members of any of the military services and their dependents, Coast Guard personnel and their dependents, humanitarian and foreign civilian patients, and other personnel who are discharged from or die in any naval medical activity (except handle records of Veterans Administration, foreign military, and Red Cross personnel

as provided in subparagraphs (d), (e) and (f) below)--Transfer records in numerical (hospital register number) sequence, together with the pertinent alphabetical section of the Register of Patients (DD-739), to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. 2 years after date of last admission. (Teaching hospitals may retain clinical records of separated or deceased personnel when needed for residency training, research, or clinical investigations for a period not to exceed 5 years before transferring them, although preferably copies only should be retained.)

* (d) Veterans Administration beneficiaries--Transfer the records, including x-rays, with the individual when beneficiary is transferred to another medical activity. In other cases, transfer to Federal Records Center, 2306 E. Bannister Road, Kansas City, Mo. when 1 year old. If disposition is made by a naval medical installation in the Philippine Islands, Hawaii, Puerto Rico, or Alaska, transfer records, with x-rays, to the Veterans Administration regional office in those areas.

* (e) Foreign military personnel and their dependents--Retain for 2 months after completion of treatment or action for which the records were created, then forward records as follows: records of personnel attached to naval installations to the Bureau of Medicine and Surgery (for eventual transfer to the cognizant foreign government); records of personnel attached to Army and Air Force installations to Office of the Surgeon General, Department of the Army (Attn: MEDCS-IM) or Department of the Air Force (Attn: AFCSG-35), as applicable (for eventual transfer to the cognizant foreign government).

* (f) American Red Cross personnel--Transfer to Medical Director, American National Red Cross, Washington, D.C. when individual is discharged.

(3) ABBREVIATED CLINICAL RECORD (such as Std-539).

Retention period: copy to be filed in patient's clinical record -- permanent; all other copies - 1 year.

(4) MEDICAL X-RAYS, 70 MILLIMETER: all 70 mm x-ray film, except 70 mm AFES entrance x-rays of Navy and Marine Corps personnel.

- Retention period: until local purpose has been served, then transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo.
- (5) ENTRANCE AND SEPARATION X-RAYS of military personnel.
- * Retention period: until local purpose has been served, then transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. (Armed Forces Examining Stations forward entrance x-rays of military personnel to Federal Records Center, 111 Winnebago Street, St. Louis, Mo.)
- * (6) MEDICAL X-RAYS (and x-ray logs or other index records) other than 70 millimeter x-ray film and entrance and separation x-rays of military personnel covered in paras. 6150(4) and (5) above, relating to military personnel and their dependents. (X-rays of civilian personnel are covered in para. 12792(2).) These x-rays consist of photographic negatives made with the aid of x-rays which are used in medical diagnosis to locate fractures, malformations, and pathological conditions of tissues.
- * X-rays eligible for destruction normally should be disposed of by salvaging. In most instances they should be held at the activity for the designated 5-year retention period; however, when space does not permit this, they may be transferred to the nearest Federal Records Center for storage.
- * (a) X-rays of military personnel and their dependents and of other categories, including Veterans Administration beneficiaries, foreign military personnel and their dependents, and Coast Guard personnel.
Retention period: 5 years.
- * (b) X-rays of civilian personnel.
See para. 12792(2).
- * (c) Unidentified x-rays.
Retention period: until it is determined that they cannot be identified with the persons to whom they pertain.
- * (7) INDIVIDUAL SICK SLIPS (such as DD-689).
Retention period: until appropriate entry is made in individual's Health Record.
- (8) APPOINTMENT BOOK--MEDICAL DEPARTMENT (such as NAVMED-566). See para. 6010(3)(b).
- (9) MEDICAL HISTORIES, Parts I, II, and III.
Retention period: copy to be filed in patient's clinical record -- permanent; all other copies -- 1 year.
- (10) SPECIAL DUTY MEDICAL ABSTRACT (such as NAVMED-1346). See MANMED, section XIV, chapter 16.
- 6200 PREVENTIVE MEDICINE RECORDS--GENERAL
- (1) DOD IMMUNIZATION CERTIFICATE (such as DD-737).
Retention period: permanent.
- 6222 VENEREAL DISEASE RECORDS
- (1) VD EPIDEMIOLOGIC REPORTS, including FSA-PHS-1421: reports and other papers prepared for the purpose of assembling data for control of venereal disease, such as periodic reports of new cases, contact reports, and similar papers.
Retention period: 1 year.
- (2) REQUESTS FOR TREPONEMAL IMMOBILIZATION TESTS FOR SYPHILIS (such as NAVMED-1351).
Retention period: until results of tests are entered in individual's Official Health Folder.
- (3) CASE RECORDS OF TREPONEMAL IMMOBILIZATION TEST LABORATORIES (relating to treponemal immobilization tests for syphilis).
Retention period: until case is completed; destroy incomplete cases when 2 years old.
- 6224 TUBERCULOSIS RECORDS
- (1) INDIVIDUAL REPORTS OF CONVERSION OF TUBERCULIN TESTS from Negative to Positive.
Retention period: 2 years, provided appropriate entry has been made in Health Record.
- (2) ANNUAL TUBERCULIN TEST REPORTS:
- (a) Reports of first tuberculin test after entering naval service and tuberculin retesting reports.
Retention period: 1 year.

(b) Reports of recruits, midshipmen, and other special personnel.

Retention period: BUMED copies-- permanent; all other reports--1 year.

* (3) TUBERCULOSIS CONTACT RECORDS relating to follow-up studies of personnel who were contacts of TB patients.
Retention period: BUMED copies-- permanent; all other copies--1 year.

* (4) PHOTOFLUOROGRAPHIC RECORDS:

* (a) Photofluorographic Chest Surveys (such as NAVMED-618).

Retention period: permanent (forwarded to BUMED (Code 72)).

* (b) Photofluorographic Logs (such as NAVMED-1161).

Retention period: permanent. (Transfer with photofluorographic film to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. at 90-day intervals (quarterly during calendar year), provided review of film has been completed.

(5) PNEUMOTHORAX RECORDS.
See para. 6120(10).

6240 HYGIENE AND SANITATION RECORDS

(1) SANITARY REPORTS: sanitary inspection reports, including food handlers inspection reports, and other similar periodic sanitation reports.

Retention period: 2 years.

(2) SHIPS REQUESTS FOR DISINFECTION.

Retention period: 1 year.

(3) PUBLIC WORKS OFFICES SANITATION REPORTS.

Retention period: 3 years, as provided in para. 11300(5).

(4) BACTERIOLOGICAL EXAMINATION OF WATER (such as DD-686): Physical and Chemical Analysis of Water (such as DD-710).

Retention period: 1 year.

6250 INSECT, PEST, AND RODENT CONTROL RECORDS

Change 1
27 August 1964

* (1) PESTICIDE AND RODENT CONTROL RECORDS, including correspondence, reports (such as pest control activities reports, NAVDOCKS-914), and other related papers.

Retention period: 2 years.

6260 INDUSTRIAL HEALTH RECORDS

(1) INDUSTRIAL HEALTH JACKETS of civilian employees. See para. 12792(1).

(2) INDUSTRIAL HEALTH REPORT DATA SHEETS (such as NAVMED-576).

Retention period: 2 years.

6270 TOXICOLOGY RECORDS

(1) LABORATORY ANALYSIS OF FOOD, REQUESTS FOR (such as DD-389).
Retention period: 1 year.

6300 GENERAL MEDICINE RECORDS

6310 DISEASE AND INJURY RECORDS

(1) DISEASE AND OPERATIONS INDEX CARDS (such as NAVMED-1178).

Retention period: permanent.

(2) GASTROINTESTINAL ILLNESS HISTORIES (such as NAVMED-1168).

Retention period: 5 years.

* (3) MORBIDITY REPORTS (such as NAVMED-1390).

Retention period: 2 years.

6320 TREATMENT AND HOSPITALIZATION RECORDS

These records relate to medical, including surgical, services rendered by medical treatment facilities. They are maintained normally by the medical facilities providing the services. Included also are patient management records.

* (1) ADMISSION RECORDS (such as NAVMED-1285 or 1437).

Retention period: one copy to be filed in patient's clinical record; one copy to be retained on board indefinitely; all other copies--1 year.

* (2) REGISTERS OF PATIENTS (such as DD-739).

(a) Numeric sections.
Retention period: permanent.

- * (b) Alphabetic sections.
Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. with pertinent clinical records. (See para. 6150(2)(c).)
- (3) WARD RECORDS:
 - * (a) Ward Reports (such as NAVMED-9) and Ward Report Books.
Retention period: reports--3 months; books--2 years.
 - * (b) Ward Data Records (such as NAVMED-1359) and Night Reports (such as NAVMED-1367).
Retention period: 30 days.
- 18). (4) DIET SHEETS (such as NAVMED-
 - (5) REPORTS OF MEDICAL, DENTAL, AND HOSPITAL TREATMENT of Personnel of the Navy and Marine Corps by other than the Medical Department of the Navy (such as NAVMED-U).
Retention period: copy to be filed in patient's clinical record -- permanent; all other copies -- 2 years.
 - (6) OUTPATIENTS REPORTS (such as DD-444).
Retention period: 2 years.
 - (7) PATIENT EVACUATION MANIFESTS (such as DD-601).
Retention period: 1 year.
 - (8) LOGS, such as temperature, pulse, respiration and weight logs.
Retention period: 1 year.
 - (9) PERSONAL EFFECTS AND BAGGAGE RECORDS: Patients Effects Storage Tags (such as DD-599); Baggage Record Cards (such as NAVMED-HF-25), and Patients Baggage Tags (such as DD-600). See paras. 5512(11) through (14).
 - (10) MEDICATION AND TREATMENT CARDS (such as NAVMED-1373 and 1374).
Retention period: until medication or treatment is discontinued or until patient is discharged.
 - (11) NOTICES OF CHANGE IN DIAGNOSIS (such as NAVMED-53).
Retention period: copy to be filed in
 - patient's clinical record -- permanent; all other copies -- 1 year.
- * (12) REPORT OF TREATMENT FURNISHED PAY PATIENTS, Hospitalization (such as DD-7); related papers.
Retention period: 2 years.
- * (13) PRESCRIPTION FORMS (such as NAVMED-148).
Retention period: 2 years.
- * (14) DOCTORS ORDERS (such as Std-508); DOCTORS PROGRESS NOTES (such as Std-509); NURSES NOTES (such as Std-510).
Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.
- * (15) OUTPATIENT TREATMENT RECORDS FOR MILITARY PERSONNEL AND THEIR DEPENDENTS. Include electrocardiogram tracings. (Exclude treatment records for civilian employees covered in para. 12792):
 - (a) Naval personnel and their dependents, records of.
Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo. 2 years after date of last treatment.)
 - (b) Army personnel, records of.
Retention period: Transfer to Adjutant General, Department of the Army, Washington, D. C., Attn: Personnel Records Branch, 1 year after date of last treatment.
 - (c) Air Force personnel, records of.
Retention period: Transfer any records not placed in patient's Health Record or not transferred to patient's unit of assignment, to the Air Adjutant General, Headquarters United States Air Force, Washington, D. C., Attn: Military Personnel Records Division. Mark records so forwarded, "Records for locator service and forwarding to unit of assignment."
 - (d) Dependents of Army, Air Force and Coast Guard personnel, records of.
Retention period: Transfer 1 year after date of last treatment, as follows:
 - 1. Army records--Transfer to Federal Records Center, 111 Winnebago Street, St. Louis, Mo.

2. Air Force records--
Transfer to Air Force Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo.

3. Coast Guard records--
Transfer to Commandant, United States Coast Guard, 1300 E Street, N. W., Washington, D. C., Attn: Medical Division.

(e) Foreign military personnel and their dependents, records of:

* 1. Personnel attached to Navy and Marine Corps installations, records of. Forward to Bureau of Medicine and Surgery * 2 months after treatment or action for which records were created is completed, for subsequent transfer to appropriate foreign government.

2. Personnel attached to Army or Air Force installations and treated at Naval medical activities, records of.

Retention period: 2 months after treatment or action for which records were created is completed, then forward to Office of the Surgeon General, Department of the Army (Attn: MEDCS-IM) or to Department of the Air Force (Attn: AFCSG-35), as applicable.

(f) Other categories of personnel, including humanitarian and foreign personnel, records of.

Retention period: permanent. (Transfer to Navy Branch, Federal Military Personnel Records Center, 9700 Page Boulevard, St. Louis, Mo., 1 year after date of last treatment.)

* (16) TEMPERATURE-PULSE-RESPIRATION RECORDS (such as Std-511) and PLOTTING CHARTS (such as Std-512).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

* (17) CONSULTATION RECORDS (such as Std-513).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

(18) RADIUM AND ROENTGEN THERAPY RECORDS. See para. 6470.

* (19) NONAVAILABILITY STATEMENT, DEPENDENTS MEDICAL CARE PROGRAM (such as DD-1251) maintained by BUMED and field activities.

Retention period: 2 years.

* (20) INPATIENT TRANSACTION RECORDS (such as NAVMED-1450).

Retention period: 2 years.

6321 BEDS RECORDS

(1) BEDS AND PATIENTS REPORTS (such as DD-443).

Retention period: 2 years.

6400 SPECIAL MEDICAL FIELDS RECORDS - GENERAL

6401 MEDICAL SPECIALTIES RECORDS

(1) PRENATAL AND PREGNANCY RECORDS (such as Std-533).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

(2) PEDIATRIC RECORDS: Newborn Record (such as Std-535), Nursing Notes (such as Std-536), Pediatric Graphic Chart (such as Std-537), and Pediatric Record (such as Std-538).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

6410 AVIATION MEDICINE RECORDS

(1) NAVAL SCHOOL OF AVIATION MEDICINE RESEARCH RECORDS, such as progress reports, patent records, license agreements, supplements, and related addenda showing name of originating activity, titles of reports, objectives, plans, and history.

Retention period: permanent. (Transfer annually 1 copy of each report, together with appropriate indexes and finding media, to Federal Records Center, East Point, Ga.)

(2) NAVAL AVIATION MEDICAL CENTER RECORDS: general correspondence files documenting over-all plans, policies, and procedures of the Center.

Retention period: permanent. (Transfer to nearest Federal Records Center when 2 years old.)

(3) RESEARCH NOTEBOOKS, TECHNICAL RECORDS AND CASE FILES PERTAINING TO RESEARCH PROJECTS, TESTS, INVESTIGATIONS, CASE STUDIES, and other work performed under the auspices of the Naval School of Aviation Medicine.

Retention period: permanent. (Transfer annually all inactive files to Federal Records Center, East Point, Ga.)

(4) LOW PRESSURE CHAMBER FLIGHT LOGS (such as NAVMED-439).
Retention period: 2 years.

(5) AVIATION PHYSIOLOGY TRAINING REPORTS (such as NAVMED-1349).
Retention period: 5 years.

(6) AEROMEDICAL GROUNDING NOTICES and CLEARANCE NOTICES (such as NAVMED-1380 and 1381).
Retention period: 6 months.

6420 SUBMARINE AND DIVING MEDICINE RECORDS

(1) NAVY EXPERIMENTAL DIVING UNIT GENERAL CORRESPONDENCE FILES: correspondence and related papers pertaining to diving medicine and surgery:

(a) Correspondence relating to projects. See para. 3900.

* (b) Other correspondence.
Retention period: 6 years. (Transfer to Federal Records Center, Alexandria, Va. when 2 years old.)

* (2) CAISSON DISEASE OR DIVING ACCIDENT REPORT (such as NAVMED-816).
Retention period: 2 years, except BUMED copies will be transferred to Experimental Diving Unit when 2 years old.

6460 SURGERY RECORDS

* (1) OPERATION REPORTS (such as Std-516); AUTHORIZATIONS FOR ANESTHESIA, OPERATIONS, etc. (such as Std-522); Anesthesia Record (such as Std-517).
Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

(2) OPERATIONS SCHEDULES or similar records (such as NAVMED-64).
Retention period: 1 year.

(3) OPERATIONS INDEX CARDS (such as NAVMED-1178).
Retention period: permanent.

6470 RADIOLOGICAL MEDICINE RECORDS

(1) RADIOGRAPHIC REPORTS (such as Std-519a).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year, except that one copy is to be attached to film.

* (2) ROENTGEN THERAPY (such as Std-524) and Roentgen Therapy Summary (such as Std-525).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

6490 VISION RECORDS

* (1) OPHTHALMIC DISPENSING AND REFRACTION REPORTS (such as NAVMED-1174).

Retention period: 1 year.

6500 MEDICAL RESEARCH RECORDS

(1) RESEARCH PROJECT FORMS (such as NAVMED-98).

Retention period: 3 years.

(2) R&D PROJECT CARD CONTINUATION SHEET (such as DD-613-1).

Retention period: 1 year.

6510 PATHOLOGY RECORDS

* (1) AUTOPSY PROTOCOL RECORDS (such as Std-503) and AUTHORIZATIONS FOR POST MORTEMES (such as Std-523).

Retention period: copy to be filed in patient's clinical record--permanent; copy to be filed in bound volume by year in pathology library--indefinite; all other copies--1 year

* (2) TISSUE EXAMINATIONS (such as Std-515). See para. 6120(6).

6520 PSYCHIATRY RECORDS

(1) PSYCHIATRIC UNIT REPORTS (such as NAVMED-1317), and NEURO-PSYCHIATRIC REPORTS (such as NAVMED-102).

Retention period: 1 year.

6530 BLOOD AND DERIVATIVE RECORDS

* (1) BLOOD TRANSFUSION RECORDS (such as Std-518).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

(2) BLOOD PLASMA LOGS.
Retention period: 1 year.

6550 NURSING RECORDS

- * (1) PATIENT (OR NURSING) CARE PLANS (such as NAVMED-1350).
Retention period: until patient is discharged.

6600 DENTISTRY RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES OF ACTIVITIES AND OFFICES RELATING TO THE GENERAL ADMINISTRATION AND SUPERVISION OF DENTAL ACTIVITIES. (Exclude primary program records covered in para. 6000(1).)

Retention period: 2 years, except 4 years for files of naval district and river command headquarters.

- * (2) DENTAL HEALTH RECORD JACKETS:

(a) Military jackets (such as DD-772-1). See para. 6150(1).

(b) Dependents jackets.
Retention period: 2 years.

(3) COORDINATING AND INSPECTION REPORTS: accumulated by naval district and river command headquarters. See para. 6000(2).

- * (4) DENTAL SERVICE REPORTS (such as DD-477 and 477-1).
Retention period: 2 years.

(5) DENTAL EXAMINATION AND TREATMENT RECORDS (such as NAVMED-1299).

Retention period: until local purpose is served and all pertinent data is entered on Standard Form 603, but in no instance retain longer than 1 year from date of last entry.

(6) DENTAL APPOINTMENTS, DAILY (such as NAVMED-1298). See para. 6010(3).

(7) COMBINED DENTAL PERSONNEL REPORTS (such as NAVMED-1323).
Retention period: 1 year.

- * (8) DENTAL RECORDS (such as Std-521).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--1 year.

6620 DENTISTRY TREATMENT RECORDS

* (1) REPORTS OF DENTAL TREATMENT OF MILITARY PERSONNEL by other than the Medical Department of the Navy (such as NAVMED-U).

Retention period: copy to be filed in patient's clinical record--permanent; all other copies--2 years.

(2) DENTAL X-RAYS.

Retention period: until no longer needed for current treatment, provided findings are recorded in Health Record (such as DD-722-1).

6630 PROSTHETIC DENTISTRY RECORDS

(1) PROSTHETIC CASE RECORDS (such as NAVMED-952).

Retention period: 2 years.

6700 EQUIPMENT AND SUPPLY RECORDS-GENERAL (see also chapter 4).

(1) PRECIOUS METAL ISSUE RECORDS and Statement and Inventory (such as NAVMED-1300 and 1301).

Retention period: 2 years.

(2) LINEN REPORTS (such as NAVMED-1383), LINEN LOGS, AND LINEN INVENTORY SHEETS (such as NAVMED-1395).

Retention period: reports and logs--1 year; inventory sheets--3 months.

(3) LAUNDRY LISTS (such as NAVMED-21).

Retention period: 3 months.

(4) EQUIPMENT VOUCHER (such as NAVMED-11).

Retention period: until action is completed.

(5) OPEN PURCHASE HIGH-DOLLAR ITEMS REPORTS (such as NAVMED-1378).
Retention period: 2 years.

6710 DRUGS RECORDS

(1) DRUG BOOKS AND NARCOTIC LOGS.

Retention period: books--2 years; logs--1 year.

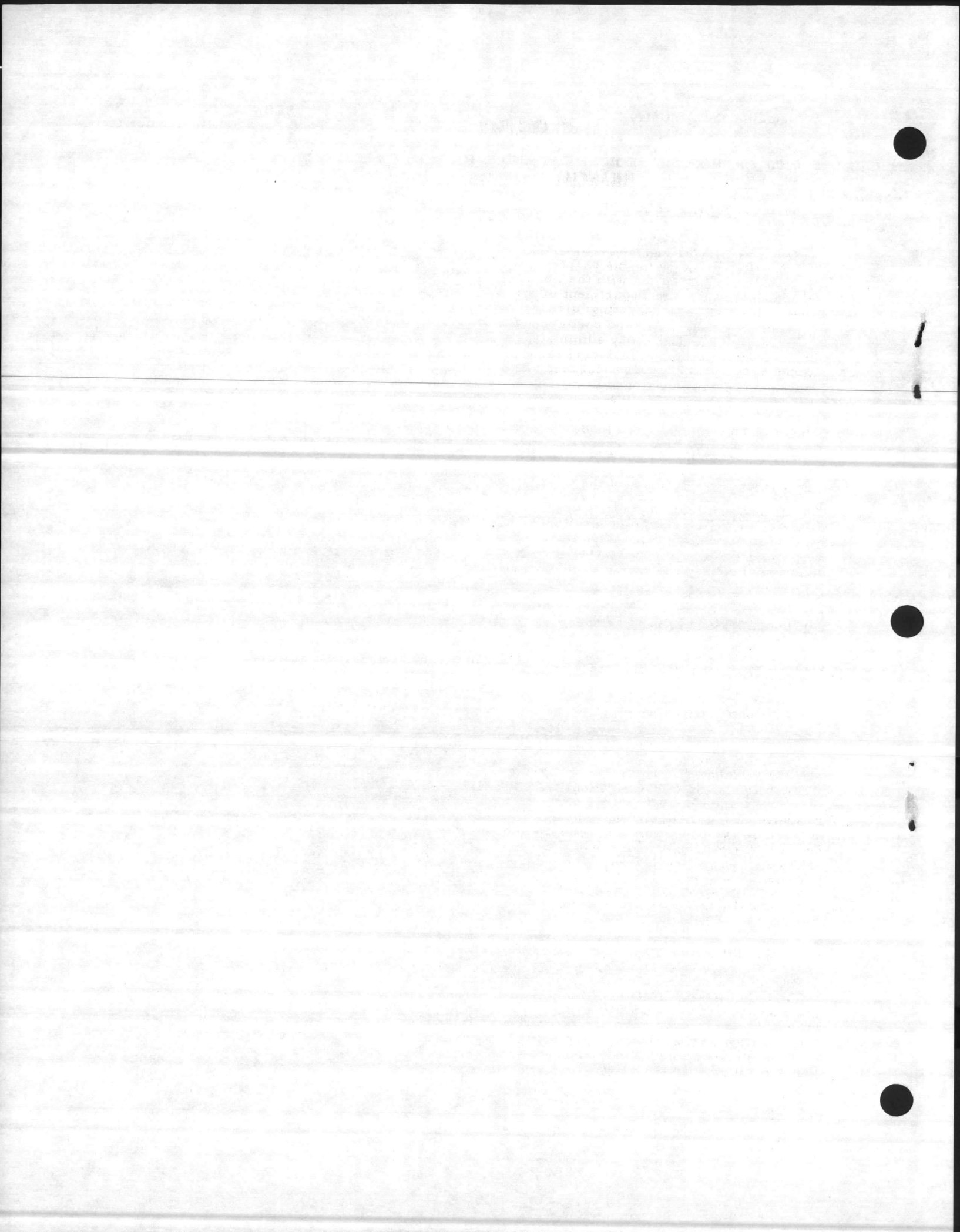
Medicine and Dentistry Records

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6800 ORTHOPEDIC (EQUIPMENT AND SUPPLY) RECORDS - GENERAL

6810 OPTICAL RECORDS

(1) SPECTACLE ORDER FORMS
(such as DD-771 and NAVMED-556).
Retention period: 1 year.



CHAPTER 7

FINANCIAL MANAGEMENT RECORDS

7000-7999

* The records described in this chapter are accumulated in connection with the financial management of the Department of the Navy. They relate to budgeting; disbursing; appropriation, fund, and cost accounting; property accounting; pay administration accounting; auditing (including internal and contract auditing); industrial fund accounting and financing; financial management reporting and statistics; and other comptroller-type operations of appropriated and nonappropriated funds.

Retention periods prescribed in this chapter are applicable to the described records throughout the Department of the Navy.

Cut-off and Disposal of Fiscal Files. Budgetary records, and appropriation, fund, cost accounting, and other fiscal accounting records should be cut off and disposed of on a fiscal year (rather than on a calendar year) basis.

Exceptions to Disposal Standards. Regardless of retention periods specified in this chapter, records directly relating to matters listed immediately below will not be destroyed until final clearance or settlement of the case:

- An outstanding exception by the General Accounting Office.
- An unsettled claim by or against the United States.
- A case under litigation.
- An incomplete investigation.

In addition, records relating to fund authorizations under which a statutory violation is outstanding will not be destroyed until notification is received that the case has been closed.

7000 FINANCIAL MANAGEMENT RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS: general correspondence files and other departmental records of the Navy Comptroller and the Under Secretary of the Navy that document their responsibilities for the overall development, establishment, and execution of policies, plans, programs, and procedures for the financial management of the Department of the Navy.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) GENERAL CORRESPONDENCE FILES of activities and offices (other than those covered in para. 7000(1) above) relating to the performance of financial management functions. These are accumulated by the comptroller's office and by other organizations performing financial management functions:

(a) Files of departmental bureaus and offices, district and river command headquarters and other shore-based commands, fleet commands, and other major field activities.

Retention period: 4 years, except that any special program records documenting substantive policy decisions or significant developments of the bureau, office, or command should be maintained as part of the organization's permanent program files.

(b) Financial management files of other activities and offices.

Retention period: 2 years, except 4 years for records pertaining to programs or significant transactions.

(c) Files relating to the internal operation of the activity or office.

Retention period: 2 years.

(3) COPIES OF FINANCIAL MANAGEMENT OR PERFORMANCE REPORTS submitted to higher authority and not specifically authorized in this chapter for other disposal.

Retention period: 2 years.

(4) INVESTIGATIVE REPORTS relating to the misuse of funds or monies. Apply para. 5040(5).

7010 NONAPPROPRIATED FUND RECORDS

* These records are accumulated by activities financed from nonappropriated funds. These are morale, welfare, and recreation facilities and activities such as, but not limited to, military messes and clubs, exchanges, hostess houses, civilian clubs, cafeterias, snack bars, stores, and military and civilian recreation activities, etc.

- * (1) **FINANCIAL ADMINISTRATION RECORDS** of nonappropriated fund activities: all records relating to their financial administration, including financial statements and reports, check books, journals, vouchers, balance sheets, and other books and records of accounts.
Retention period: Navy activities-- 3 years; Marine Corps activities-- 4 years, except as follows: upon disbandment of fund or disestablishment forward Exchange records on which audit has not been made to Commandant of the Marine Corps (CHX); forward recreation fund records not yet audited to local area auditor; forward reserve recreation fund records not subject to area audit to Director of appropriate Marine Corps District; forward all other records not yet audited to Commandant of the Marine Corps (DS). (See para. 7401 for tax withholding records.)
- * (2) **CHARTERS, CONSTITUTIONS OR BY-LAWS**, and other records documenting the authorization and establishment of the activity.
Retention period: Apply para. 1746(1).
- * (3) **GENERAL CORRESPONDENCE FILES, INCLUDING REPORTS, MINUTES OF MEETINGS**; and other papers relating to the operation of the activity.
Retention period: 3 years, except 4 years for Marine Corps activities.
- * (4) **EMPLOYEES INDIVIDUAL EARNINGS RECORDS** (such as NAVCOMPT-736) or other similar summary record of earnings of individual employees.
Retention period: 10 years after employment is terminated. Place in inactive file when individual leaves activity's employment; transfer inactive file annually (in blocks) to Federal Records Center, 111 Winnebago St., St. Louis, Mo. as provided in para. 5380.
- * (5) **EXCHANGE RECORDS.** See chapter 4 and para. 4066.
- * (6) **RECREATION FUND AND MESSES AND CLUBS RECORDS.** See paras. 1746 and 4060.
- (7) **PERIODIC LISTINGS OR OTHER REPORTS OF NONAPPROPRIATED FUND** *

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ACTIVITIES. These are submitted periodically to the Office of the Navy Comptroller.
Retention period: 2 years.

7100 BUDGETARY RECORDS - GENERAL

This paragraph (7100) covers budget and apportionment records created or accumulated by bureaus, activities, and offices in connection with the preparation and justification of budget programs for submission to the Office of the Navy Comptroller for preparation of a Navy-wide budget. It provides for disposal of budgetary statements, budget estimates, apportionment records, and work papers of departmental bureaus and offices, as well as the more detailed budgetary statements, estimates, and work papers of other operating units and of field activities and offices. Provision is made for the permanent retention of records of the Office of the Navy Comptroller that reflect its Navy-wide budget responsibilities.

(1) **PRIMARY PROGRAM RECORDS (NAVY COMPTROLLER):** general correspondence files and other records of the Office of the Navy Comptroller that document the Department of the Navy's policies and decisions, and the development, establishment, and execution of budget plans, programs, and procedures.
Retention period: permanent. Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) **GENERAL CORRESPONDENCE FILES OF DEPARTMENTAL BUREAUS AND OFFICES:**

(a) That portion of the files of the Chief of Naval Operations, Headquarters Marine Corps, and other departmental bureaus and offices that reflect substantive policy decisions or significant budget plans or expenditure programs that are not reflected or summarized in reports or other papers submitted to the Office of the Navy Comptroller.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old or when inactive.)

(b) Other files.

Retention period: 4 years for official Budget Division files; 2 years for all others, as provided in para. 7100(3) below.

(3) **ACTIVITIES GENERAL CORRESPONDENCE FILES:** files of departmental

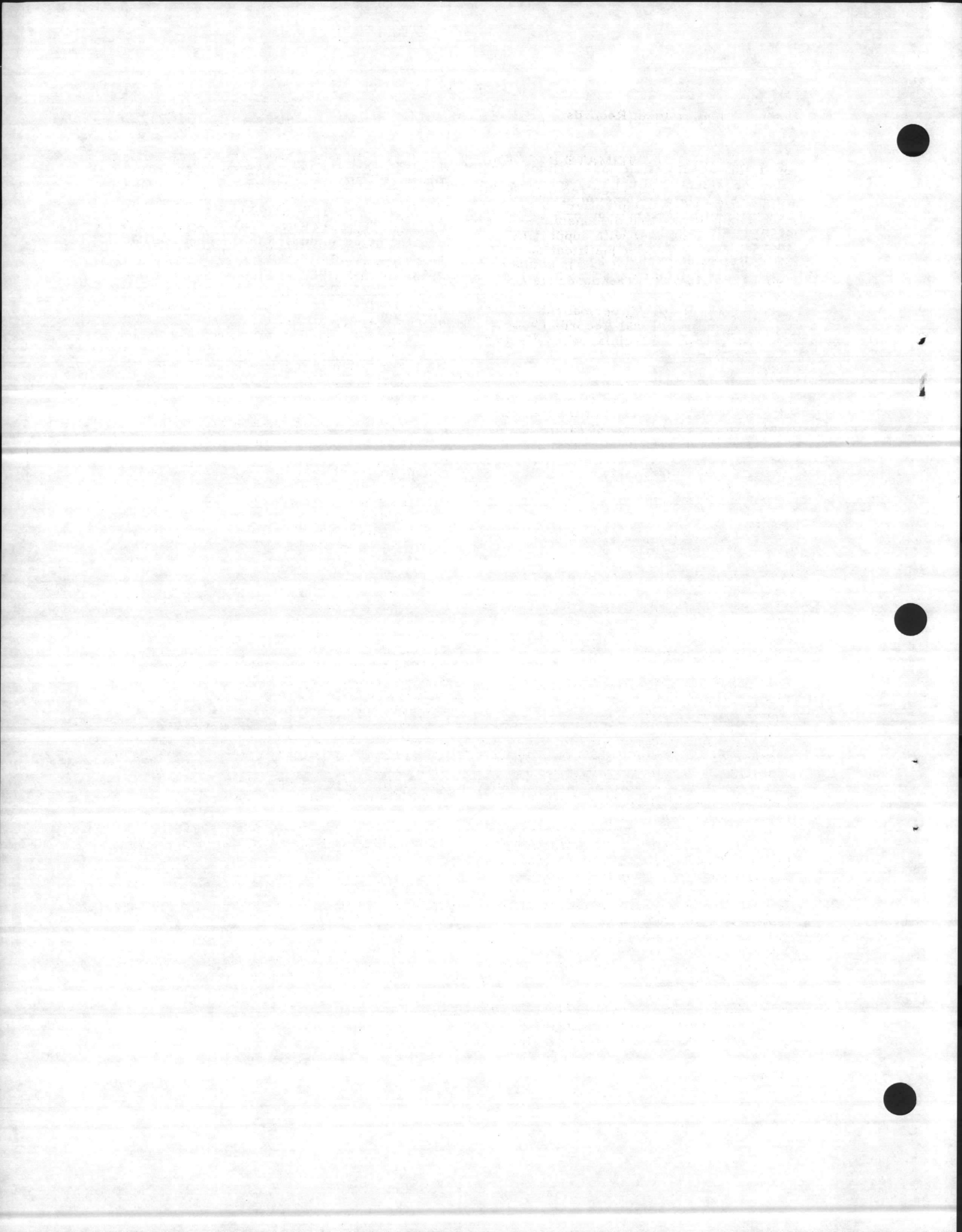
and field budget activities or offices, and of other organizational units performing operations that relate to the administration and execution of budgetary functions (other than records covered in paras. 7100(1) and (2) above).

Retention period: 2 years, except 4 years for Marine Corps activities.

7110 BUDGET ESTIMATE AND BUDGET PREPARATION RECORDS

(1) BUDGET WORKING PAPERS, COST INFORMATION, AND ROUGH DATA created or accumulated in the preparation of budget estimates and justifications or for budget review purposes.

Retention period: 1 year after fiscal year covered.



(2) BUDGET ESTIMATE RECORDS:

(a) Consolidated records of the Office of the Navy Comptroller: budget estimates accumulated or consolidated by NAVCOMPT, together with supporting papers. Include budget justifications (narrative, exhibits, and data), adjustments, and related correspondence and papers.

Retention period: permanent. (Transfer to the Federal Records Center, Alexandria, Virginia, when 4 years old.)

(b) Official summary copies of budget estimate submissions maintained by departmental bureaus and offices and by field activities: one copy of each.

Retention period: 4 years.

(c) All others.

Retention period: 1 year after fiscal year covered.

7120 BUDGET REVIEW RECORDS. Apply paras. 7100 and 7110.

7130 BUDGET EXECUTION RECORDS

(1) GENERAL CORRESPONDENCE FILES, including reports, relating to the administration and execution of approved budgets. Apply para. 7100.

7131 APPORTIONMENT AND ALLOCATION RECORDS

These are apportionment and allocation records relating to requests for funds and to the allocation, apportionment, and reapportionment of funds to bureaus and offices, and to the suballocation of funds to field activities that perform bureau-type appropriation accounting.

(1) APPROPRIATION WARRANTS (such as Treasury-523A) which officially establish appropriation funds available to the Department of the Navy and to bureaus and offices for apportionment and allocation, and Appropriation Transfer Authorizations (such as Std-1151). These forms are used to post availability entries to bureau-type appropriation control ledgers.

Retention period: 4 years after end of fiscal year involved, except the Office of the Navy Comptroller will retain its master file until 5 years after the fiscal year involved.

(2) APPORTIONMENT AND REAPPORTIONMENT SCHEDULES (such as DD-1105, Std-132, (formerly Std-131 and 131A, 132 and 132A); Std-142 (formerly Std-141 and 142): Bureaus and offices submit proposed schedules of rates of obligations and accruals under each appropriation to the Navy Comptroller. The Navy Comptroller officially allocates apportioned amounts and returns approved copies to originating bureau or office, which then uses to post to bureau-type appropriation control ledgers.

Retention period: 2 years after close of fiscal year involved, except that the Office of the Navy Comptroller will retain until 4 years after the fiscal year involved.

(3) LETTERS OF ALLOCATION: letters allocating funds to bureaus and offices when account is exempt from Apportionment System and used by bureaus and offices to post available funds to bureau-type appropriation control ledgers.

Retention period: 2 years after close of fiscal year involved, except the Office of the Navy Comptroller will retain master file until 4 years after the fiscal year involved.

(4) DEPARTMENT OF NAVY BUDGET ACTIVITY ALLOCATIONS (such as NAVCOMPT-2057 and 2058): copies of allocation requests for 1-year, no-year, and multiple-year accounts submitted by bureaus and offices to the Navy Comptroller, who establishes symbols and titles for each budget activity; and approved copies returned by Navy Comptroller to originator who then uses to analyze and post allocated amounts to the appropriate budget activity and project control ledgers maintained for each budget activity.

Retention period: 2 years.

7200 DISBURSING RECORDS - GENERAL

(1) OFFICE OF THE NAVY COMPTROLLER GENERAL CORRESPONDENCE FILES: correspondence and other records relating to the development, establishment, and execution of disbursing plans, policies, operations, and procedures.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Virginia, when 4 years old.)

(2) GENERAL CORRESPONDENCE FILES OF DISBURSING ACTIVITIES and of offices performing disbursing functions relating to their operation and administration (other than Navy Comptroller records covered in para. 7200(1) above).

Retention period: 2 years.

7210 PROCUREMENT, CUSTODY, AND DISPOSITION OF FUNDS RECORDS

(1) PROCUREMENT AND DISPOSITION OF FUNDS RECORDS: forms, correspondence, and other records concerning the procurement, maintenance, and disposition of funds by disbursing officers. Include cash books, records of loans, and check stubs or listings of checks issued.

Retention period: 4 years after period covered by the account.

(2) RECORDS OF SAFEKEEPING OF SAVINGS DEPOSITS.

Retention period: 2 years after all deposits have been withdrawn.

(3) SURETY BOND RECORDS: personal surety bond records purchased for the purpose of placing personnel under surety bond protection. Include individual "name bonds", "position schedule bonds", and "blanket bonds" purchased for military and civilian personnel:

(a) Official copies of the bond and attached powers of attorney maintained by the Office of the Navy Comptroller.

Retention period: 15 years after end of bond premium period or 15 years after bond becomes inactive.

(b) Disbursing officer copies of bonds of supply officers. See para. 7250(8).

(c) Other copies of bonds and related papers.

Retention period: until end of bond premium period or until bond becomes inactive.

7220 MILITARY PAY DISBURSING RECORDS

(1) PAY ALLOTMENT REQUESTS: Requests to Register or Stop Allotments (such as NAVCOMPT-327).

Retention period: until allotment authorization has been signed by applicant and disbursing officer.

(2) MILITARY PAYROLLS, PAY VOUCHERS AND ORDERS, and other similar records supporting disbursing officer returns. Apply 7250 series.

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(3) MILITARY PAY ACCOUNTING RECORDS. See para. 7430.

(4) UNIT DIARIES (such as NAVMC-970-PD); other similar Navy or Marine Corps documents: copies used to make entries on Military Pay Record.

Retention period: until expiration of related pay record cycle.

(5) RECORDS OF MILITARY PAY RECORDS OPENED OR RECEIVED OR OF PAY AUTHORIZATIONS AND STOPPAGES; card or other index or receipt records, including receipted copies of transmittals.

Retention period: 6 months, except 1 year for Marine Corps activities.

* (6) MARINE CORPS RESERVE DRILL AND ATTENDANCE CARD RECORDS: used for pay disbursing purposes.

Retention period: 1 year, except 3 months for EAM 5081 series drill attendance cards.

* (7) MARINE CORPS REPORTS OF DRILLS AND ATTENDANCE. See para. 1050(3).

7230 CIVILIAN PAY DISBURSING RECORDS

(1) CIVILIAN PAYROLLS: summary rolls supporting disbursing officer returns. Apply 7250 series.

7240 PUBLIC VOUCHER RECORDS

(1) PUBLIC VOUCHER FILES AND RELATED LISTINGS OR REGISTERS:

(a) Vouchers supporting disbursing returns. See paras. 7250, 7251, and 7280.

(b) Vouchers supporting plant accounts and stores returns. See paras. 7321(5) and 7323.

* (c) Marine Corps property vouchers, including those for subsistence, commissary stores, and clothing, together with related issue, sales, invoice, and shipping documents.

Retention period: 3 fiscal years.

(d) All others, including copies of substantiating vouchers.

Retention period: 2 years.

7250 DISBURSING RECORDS, REPORTS, AND RETURNS

* These records are accumulated by disbursing officers or other accountable officers,

including authorized selling and collection agents, agent officers, and imprest fund cashiers.

(1) DISBURSING OFFICER MONTHLY RETURNS and related reports. (See para. 7251 for site-audited returns.)
Retention period: 4 years after period covered by the account.

(2) ASSOCIATE DISBURSING OFFICER RETURNS and reports made to navy regional finance centers or other activity for consolidation, etc.
Retention period: 4 years after period covered by the account.

(3) SETTLEMENT RECORDS: forms and other records involved in the settlement of accounts by the General Accounting Office, including statements of differences and copies of certificates of settlements.
Retention period: 4 years after period covered by the account, provided next certificate of settlement has been received; or 2 years after date of settlement certificate and clearance when closed accounts or supplemental and final balance settlements are involved.

* (4) CONTRACT AND PURCHASE ORDER FILES OF DISBURSING OFFICERS (or other sales or accountable officers). Include files on sales of condemned and surplus materials or property. (When exceptions or claims arise pertaining to records that have been transferred to a Federal Records Center, that Center should be informed immediately so that pertinent records in its custody may be withheld from disposal until settlement of the claim or exception.):

* (a) Copies maintained by disbursing officers making payment or collection under the contract or sale or by sales officers:

* 1. Records relating to transactions of \$2500 or less.
Retention period: 3 years after final payment. (Place in inactive file when final payment is made; destroy inactive file 3 years later.)

* 2. Records relating to transactions of more than \$2500.
Retention period: 6 years after final payment. (Place in inactive file when final payment is made; transfer inac-

tive file annually to nearest Federal Records Center when 6 months old.)

(b) Copies maintained by disbursing officers to support returns, exclusive of payment and collection copies described in subparagraph 7250(4)(a) above.
Retention period: 4 years after period covered by the account.

(c) U. S. Government tax exemption certificates.
Retention period: 4 years after period covered by the account.

(5) GOVERNMENT BILLS OF LADING when shipment transaction has taken place outside the continental United States.
Retention period: 4 years after period covered by the account.

(6) GENERAL ACCOUNTING OFFICE NOTICES OF EXCEPTIONS, and related correspondence or control records.
Retention period: 1 year after notification that exception has been cleared by the General Accounting Office.

(7) FACSIMILE SIGNATURE FILES: receipts for signature plates, notices of issuance, specimen signatures, and related correspondence and papers.
Retention period: 2 years after plate is cancelled or superseded. Destroy by burning or shredding.

(8) BONDS OF SUPPLY OFFICERS: copies of bonds and powers of attorney supporting disbursing officer returns. (See also paragraph 7210(3) for other copies.)
Retention period: 4 years after period covered by related account.

(9) PAY VOUCHER FILES:

(a) Copies of pay vouchers and related forms submitted for administrative review as supporting documents to substantiate pay adjustments, and acknowledgements of receipts.
Retention period: 4 years after period covered by the account.

(b) Original pay vouchers (such as Group R substantiating vouchers) and related certification or substantiating pay record orders or other forms. These are accumulated by the disbursing officer when

the original subvoucher is not required to be submitted to the General Accounting Office, or in the case of contractual documents to the Navy Finance Center, Cleveland, in lieu of GAO. (The records are retained on board by the disbursing officer and made available to the General Accounting Office, the Navy Finance Center, Headquarters Marine Corps, or others, upon request.)

Retention period: 10 years. Transfer to nearest Federal Records Center 4 years after period covered by the account. Fleet activities, including Fleet Marine Force activities, may transfer vouchers 1 year after period covered by the account and other Marine Corps activities when 3 years old, if local storage space is not available.)

(10) HELD CHECKS, RECORDS OF: control records reflecting final disposition (re-mailing, release, or cancellation) of pay checks held or returned undelivered.

Retention period: 1 year.

(11) PAYROLLS REQUIRED TO SUPPORT DISBURSING OFFICER RETURNS. Apply paras. 7250(1) and (2) above.

7251 SITE-AUDITED RETURNS

* (1) ORIGINAL RETURNS: original records maintained at the audit site by the disbursing or accountable officer for the General Accounting Office subject to General Accounting Office comprehensive on-site audit. Include original vouchers, original or other certified copies of contracts, original payrolls when required, and other supporting documents that the disbursing or accountable officer would be required to submit to the General Accounting Office if an on-site audit were not performed. These site-audited returns are accumulated by the Navy Finance Center, Headquarters Marine Corps (CDB), industrial and commercial-type activities, and other activities specifically designated by the Secretary of the Navy for General Accounting Office comprehensive site audit.

Retention period: Hold on board until 2 fiscal years old or until 1 year after official notice of completion of audit has been received from the General Accounting Office, whichever period is later, then transfer to the

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nearest Federal Records Center. (Centers will destroy in accordance with instructions of the General Accounting Office.)

(2) ORIGINAL MILITARY PAY VOUCHERS: original military pay record orders and substantiating vouchers or certifications. These are original records that are not required to be submitted to the General Accounting Office but are required to be accumulated and retained on board by the disbursing officer subject to General Accounting Office request. See para. 7250(9).

(3) CIVILIAN PAY RECORDS subject to General Accounting Office on-site audit. See paras. 7420 and 7421.

7270 RECEIPT (COLLECTION) RECORDS

* (1) CASH AND CASH RECEIPT BOOKS OR JOURNALS AND LEDGER ACCOUNTS, including records of deposits, loans, and sales, and other accountability records, maintained by disbursing officers or collection or sales agents, including Receipts for Deposits and Withdrawals (such as NAVCOMPT-399). Include also sales officers bid books containing such data as names of bidders, amounts of bids and bid deposits, and certificates.

Retention period: 4 years after period covered by the account.

* (2) RECORDS OF COLLECTIONS AND REFUNDS, including related internal log records or reports of collections and refunds. (Exclude cash books or journals and records of deposits and loans covered by paras. 7270(1) immediately above and 7210(1).)

Retention period: 1 year

7280 REGIONAL CONSOLIDATION RECORDS

These records are maintained in connection with consolidation procedures performed by navy regional Finance Centers or by Headquarters Marine Corps or other activities designated to perform consolidation functions.

(1) STORES RETURNS RECORDS: returns prepared or accumulated by consolidating offices. (See para. 7323 for stores returns maintained by reporting activities.) Include returns, reports, sup-

porting vouchers, tapes or listings, and other related papers:

(a) Consolidated stores returns.
Retention period: 2 years.

(b) Plant property returns.
Retention period: 2 years.

(c) Ships stores and commissary stores returns.

Retention period: 5 years. (Transfer to nearest Federal Records Center when 2 years old.)

(d) Stores returns folders not covered in subparagraphs (a) through (c) above.

Retention period: 1 year.

- * (2) **ADVISORY NOTES** and related papers used in connection with administrative audits, accumulated by such activities as navy regional finance centers, and other activities concerned with administrative audits.

Retention period: 2 years, except 3 fiscal years for Marine Corps activities.

(3) **ABSTRACT AND ALLOTMENT LISTINGS OF PUBLIC VOUCHERS AND LISTINGS OF EXPENDITURES.** (See para. 7302(6) for reporting activity copies.)

Retention period: 1 year for daily abstracts and listings; 3 years for monthly abstracts and listings.

7300 APPROPRIATION, FUND, COST, AND PROPERTY ACCOUNTING RECORDS - GENERAL

The records described in this (7300) series are accumulated throughout the Department of the Navy by activities and offices in connection with the financial control of monies appropriated, expended, and collected, including the performance of appropriation, fund, cost, and property financial accounting functions.

(1) **GENERAL CORRESPONDENCE FILES** relating to appropriation, fund, cost, and property accounting. Apply paras. 7000(1) and (2).

(2) **RECORDS, INCLUDING ANNUAL FINANCIAL REPORTS, MASTER COPIES OF INSTRUCTIONS AND MAN-**

UALS, correspondence, and other records of the Office of the Navy Comptroller or of other departmental activities or offices that document the Department of the Navy's overall appropriation, fund, cost, and property accounting procedures and policies. (Official master files only).

Retention Period: permanent. (Transfer to Federal Records Center, Alexandria, Va., when file becomes inactive.)

- * (3) **MASTER GENERAL ACCOUNTS LEDGERS:** ledgers maintained by the Navy Comptroller or by the Navy Finance Centers when they perform central accounting functions for the Department. These ledgers show debit and credit entries and summarize Department of the Navy expenditures of appropriated funds.

Retention period: indefinite.

- * (4) **GENERAL ALLOTMENT LEDGERS** of the Office of the Navy Comptroller and other general ledgers reflecting the over-all control of allotments. These ledgers reflect the status of obligations and allotments under each authorized appropriation.

Retention period: 10 years after close of the fiscal year involved.

(5) **OFFICE OF THE NAVY COMPTROLLER RECORDS USED AS POSTING MEDIA** and subsidiary to the general accounts and allotment ledgers.

Retention period: 4 years.

7301 APPROPRIATION ACCOUNTING RECORDS (BUREAU-TYPE)

Bureau appropriation accounting records described in this paragraph are accumulated by organizational units of the Navy and Marine Corps (at field and departmental levels) to which appropriations or subdivisions thereof are allocated or suballocated.

- * Included are bureau-type expenditure accounting records accumulated at the bureau level and by field activities performing suballocation (bureau-type) accounting. These records (a) summarize the financial status of activity and program allotments, (b) reflect the specific source and nature of expenditures, (c) detail these financial transactions, and (d) reflect in bureau-type ledgers the status of specific budget project or activity allocations.

- * Excluded from this paragraph are Navy's central appropriation accounting records

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maintained by the Office of the Navy Comptroller or the Navy Finance Center, Washington, D. C. These records that document Navy's over-all fiscal and accounting procedures and policies and reflect Navy's central accounting operations are covered in paragraph 7300.

- * (1) **BUREAU-TYPE APPROPRIATION CONTROL LEDGERS** (such as NAVCOMPT-2031, 2031-1, 2031-2, 2032, 2032-1, and 2032-2): ledgers maintained by responsible bureaus and offices for each appropriation under their financial cognizance or by field activities responsible for suballocations.

Retention period: Annual appropriations--4 years; continuing year and successor appropriations--1 year after the account is finally closed out for accounting purposes.

- (2) **BUDGET ACTIVITY CONTROL LEDGERS** (such as NAVCOMPT-2033, 2033-1, and 2033-2, formerly NAVEXOS-3434): allotment, commitment, obligation, and expenditure summaries derived from the project control ledgers are posted to these activity control ledgers. (Ledger sheets are established for each budget activity.)

Retention period: Annual appropriations--4 years; continuing year and successor appropriations--1 year after the account is finally closed out for accounting purposes.

- (3) **PROJECT CONTROL LEDGERS** (such as NAVCOMPT-2034, 2034-1, 2034-2) and **JOURNALS OF POSTINGS**, (such as NAVCOMPT-2034-1A and 2034-2A): contain data posted from detailed registers of expenditures and allotments, commitments, and obligations.

Retention period: Annual appropriations--4 years; continuing year and successor appropriations--1 year after the account is finally closed out for accounting purposes.

- (4) **APPROPRIATION REPORTS:** Reports on Budget Status (Obligation Basis) (such as Std-133); Reports on Budget Status (such as DD-1176); Analyses of Appropriation Status by Activity and/or Project (such as DD-690-N); Statements of Reimbursement by Budget Activity (such as NAVCOMPT-2056); Budget Categories and SubCategories (such as NAVEXOS-3750 and 3750A), and other similar reports.

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Retention period: 4 years after close of fiscal year involved.

- (5) **FUND AUTHORIZATIONS**, detail expenditure and reimbursement documents, and obligation, commitment, expenditure and reimbursement status reports prepared and/or received by bureaus and activities performing appropriation accounting functions. Include such records as:

- * (a) Unfunded Accounts Receivable Reports (such as NAVCOMPT-2026 and 2027).

- (b) Funded Accounts Receivable Reports (such as NAVCOMPT-2029)

- (c) Status of Fund Authorization Reports, formerly Allotment Reports (such as NAVCOMPT-2025)

- * (d) Status of Project Orders (such as DD-412).

- * (e) Allotment Reports for Management - by Object Classes (such as NAVCOMPT-175).

- * (f) Reconciliation Reports-Expenditure/Collections (such as NAVCOMPT-2036).

- * (g) Allotment/Suballotment Authorizations (such as NAVCOMPT-372).

- * (h) Project Orders (such as DD-411 and NAVCOMPT-2053).

- * (i) Vouchers (such as Std-1012, 1034, 1047, 1048, and 1080).

Retention period: 1 year after completion of all budget projects under a particular budget activity.

- (6) **MONTHLY STATEMENTS (LISTINGS)** received from navy regional Finance Centers.

- (a) Obligation and Payment Statements (such as NAVCOMPT-616).

- (b) Schedules of Legal Obligations (such as NAVSANDA-610).

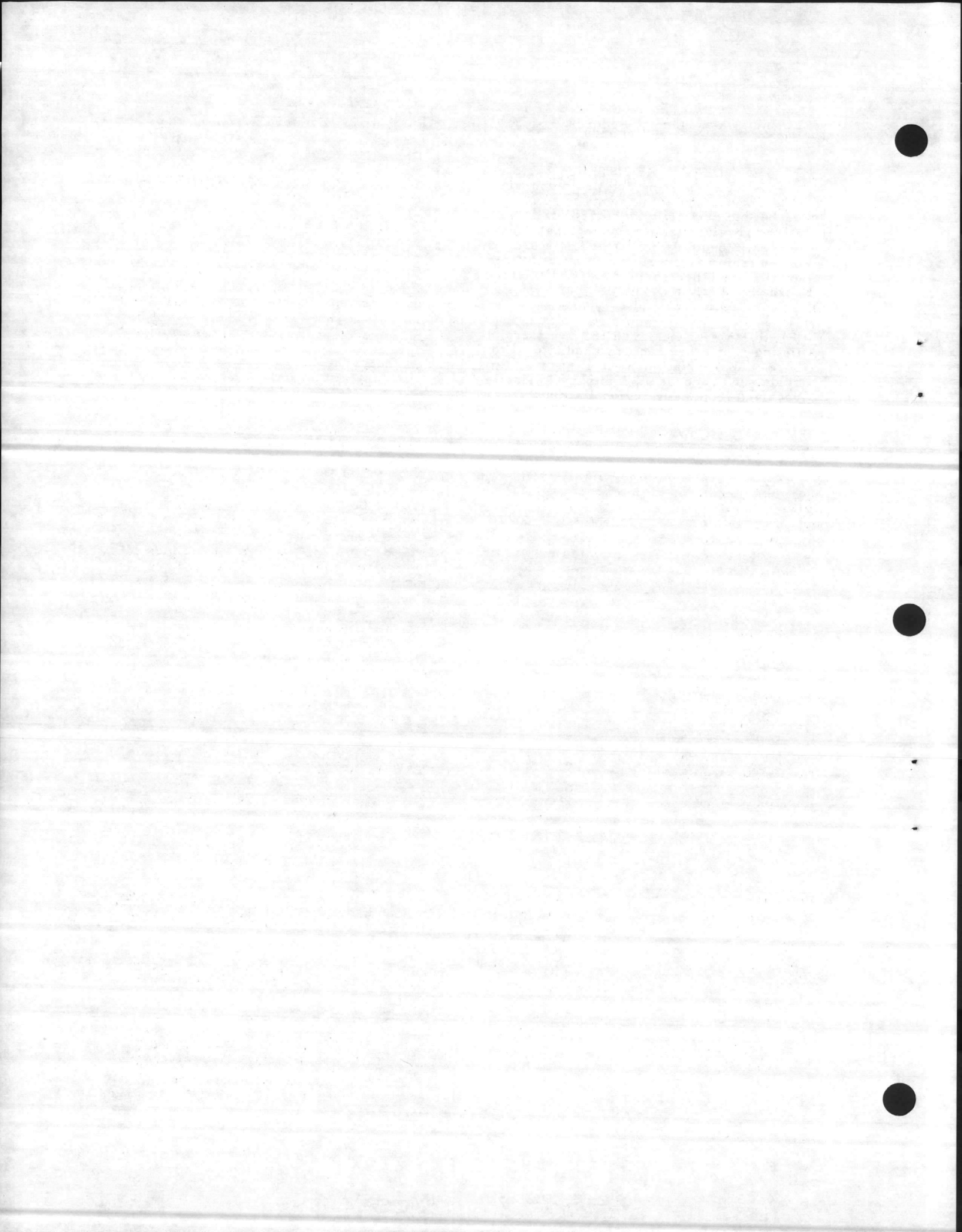
- (c) Summary Statements of Transactions by Appropriation and Subhead (such as NAVCOMPT-629), and other similar records.

Retention period: 1 year after close of the fiscal year in which forms are received.

(7) **DETAIL REGISTERS:** registers and listings reporting detailed disbursing transactions and adjustments to administering bureau or activity. Include Detail Registers received from navy regional accounts offices, Consolidated Detail Registers prepared from navy regional accounts offices' detail, and other registers of administering bureau or activity.

Retention period: 4 years.

(8) **SUMMARY REGISTERS:** registers, listings, or other records used to post to bureau appropriation control ledgers. Include such records as Summary Registers received from navy regional accounts



offices, Consolidated Summary Registers prepared from navy regional accounts offices' summaries, and other registers of responsible bureau or activity.

Retention period: 4 years.

(9) DETAIL CARD AND TAPE RECORDS: detailed tabulated punched card or taped (magnetic or other) records of expenditures and obligations used to support detailed registers received from regional accounts offices and used to accumulate data for cost reports:

(a) Detail card records:

1. Detail cards received from regional accounting offices, and

2. Summary detail cards prepared by administering bureaus or activities from regional accounts office cards, and other detail cards of administering bureaus or activities.

Retention period: 6 months except when data is converted from detail card records to punched or magnetic taped records, detail cards will be retained only until data has been transferred to tape and the resulting tapes have been balanced.

(b) Detail tapes (when data has been converted from detail cards to tape).
Retention period: 6 months. (Destroy magnetic tapes by erasing data.)

(10) SUMMARY CARD OR TAPE RECORDS: summary tabulated punched card or equivalent taped records of obligations and expenditures. These cards or tapes are used to support summary registers received from regional accounts offices:

(a) Summary card records: summary cards received from navy regional accounts offices, consolidated summary cards prepared by responsible bureau or activity from navy regional accounts office cards, and other summary cards of responsible bureau or activity.

Retention period: 1 year, except when data is converted from summary card records to punched or magnetic taped records, retain cards only until data has been transferred to tape and the resulting tapes have been balanced.

(b) Summary tapes (when data has been converted from summary cards to tape).

Retention period: 1 year (Destroy magnetic tapes by erasing data.)

(11) TRIAL BALANCES: copies of balances prepared monthly by bureaus after ledgers are closed, and of final annual trial balance submitted to the Navy Comptroller, Central Accounts Division. These are used to balance bureau ledgers within each appropriation and to reconcile appropriation cash balances to master control accounts maintained by the Navy Comptroller. (Information also is used as basis for reports required by Budget-Treasury and by administrative directives.)

Retention period: 2 years, except Navy Comptroller copies -- 4 years.

(12) COST ANALYSIS REPORTS: cost data records accumulated by bureaus and activities in order to apply expenditures made from appropriated and other funds to the purpose or end use for which expended. These cost data records are accumulated from such documents as analysis of expenditures submitted by allottees, registers of public vouchers, military pay, labor, material issues, reimbursements, and miscellaneous adjustments. (Data is journalized by the Navy Comptroller to the Master General Ledger - see paragraph 7300 - and used to prepare Navy's annual financial report.) Include such records as:

(a) Analysis of Expenditures (such as NAVCOMPT-2050)

(b) Analysis of Appropriation Charges (tabulated listing)

(c) Analysis of Appropriation Reimbursements (tabulated listing)

(d) Recapitulation - Analysis of Appropriation Costs by Expenditure account (such as NAVEXOS-3450-1)

(e) Recapitulation - Analysis of Appropriation Reimbursements - by Expenditure Account (such as NAVEXOS-3450-2)

(f) Recapitulation - Analysis of Appropriation Statistical Costs - by Expenditure Account (such as NAVEXOS-3450-3)

Retention period: 2 years after period covered.

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(13) INTERNAL ALLOTMENT ACCOUNTING RECORDS OF BUREAUS AND ACTIVITIES. Bureaus and offices as well as field activities maintaining allotment account records will handle them in accordance with pertinent instructions contained in paragraphs 7302 - 7399.

7302 FUND ACCOUNTING RECORDS

(1) OBLIGATION COPIES OF REQUISITIONS: requisitions and other documents used for obligating purposes and involved in the issue of stocks and materials and other prospective charges; related listings reflecting obligations and balances to funds.

Retention period: 2 years, or 1 year after submission of final report of funds concerned; except retain outstanding copies of requisitions.

(2) ACCOUNT LEDGERS: ledger summaries of fiscal data used as posting and control media for accounting (fiscal) data:

(a) Subsidiary ledgers: obligating, receipt and expenditure ledgers; control ledgers; journal vouchers; other subsidiary ledgers.

Retention period: 2 years.

(b) Trial balance ledgers from which trial balances are prepared for submission to navy regional accounts offices and departmental bureaus and offices for posting to general ledgers.

Retention period: 2 years.

(c) General accounts ledgers maintained by navy regional accounts offices or Office of the Navy Comptroller (and by other activities and offices when trial balances are not submitted to navy regional accounts offices or departmental offices).

Retention period: 10 years.

(3) INSPECTION REPORTS (accounting copies) on material received:

(a) Reports used for matching with vouchers when matched inspection reports are filed with disbursing officer vouchers.

Retention period: 2 years after matching.

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(b) Other accounting copies of inspection reports.

Retention period: 1 year.

(4) MACHINE MATCHINGS OF VOUCHERS WITH INSPECTION REPORTS: inspection report cards or other similar records matched with vouchers.

Retention period: 1 year after matching, except retain monthly unmatched voucher tabulations only until new tabulation is made.

(5) VOUCHER FILES and related tabulated listings (other than navy regional accounts office copies covered in paragraph 7280(3)). (See Paragraph 7323 for vouchers used in stores returns, and paragraph 7321 for vouchers covering plant account items.)

Retention period: 2 years.

(6) ABSTRACTS OF VOUCHERS received from navy regional accounts offices.

Retention period: 1 year, provided all public vouchers included in the abstract have been matched with inspection reports.

(7) SUMMARIES OF INVOICES.

Retention period: 1 year after all invoices are matched against summary listings.

(8) UNLIQUIDATED OBLIGATION FILE: work papers, such as adding machine tapes, applicable notations, and other similar papers indicating that the activity has reviewed its "unliquidated obligations" file.

Retention period: until reviewed by internal auditor.

(9) CASH TRANSACTION REPORTING RECORDS: records maintained to report cash transactions, such as imprest funds, to disbursing and fiscal officers.

Retention period: 2 years.

7303 ALLOTMENT AND PROJECT ORDER RECORDS

The records described in this paragraph relate to allotment authorizations, allotment orders, and other expenditure authorization records used in accumulating expenditure authorization and accounting data. They cover records accumulated in connection with allotment and expenditure authorizations for the maintenance and construction of

facilities, ships, and of aeronautical, astronautical, ordnance, and other materials. (See also paragraph 7302.)

(1) ALLOTMENT REQUESTS (such as NAVSANDA-73).

Retention period: 1 year.

(2) ALLOTMENT AUTHORIZATION AND PROJECT ORDER FILES: authorizations (grants) and project orders (such as NAVCOMPT-2053 and DD-411) and related job or work orders or requests, production and service orders or requests, requisitions, or other obligating documents. Include Allotment-SubAllotment Authorizations (such as NAVCOMPT-372).

Retention period: 1 year after completion. (Place in completed file upon completion or cancellation and/or submission of final reports thereon; destroy completed file when 1 year old.)

(3) ALLOTMENT AND FUND AUTHORIZATION STATUS REPORTS: appropriation allotment and fund authorization status reports, project order status reports (such as DD-412), and other expenditure authorization and accounting reports reflecting the status of allotments (other than bureau-type accounting appropriation reports covered in paragraph 7301 and consolidated reports accumulated by the Navy Comptroller and covered in paragraph 7300).

Retention period: 1 year after submission of final report.

(4) OTHER RECORDS used in the accumulation of return cost data. See paragraph 7310(1).

7310 COST ACCOUNTING RECORDS

These records are created or accumulated by departmental and field activities for cost accounting purposes and reflect their expenditures and receipts. These records document direct and indirect costs incurred in the production, administration, or performance of activity or program operations. They consist of accounting ledgers, forms, and machine records (cards, tabulated listings, tape records, etc.) used to accumulate cost data for use in accounting (fiscal) reports and returns. (Exclude bureau and suballocation appropriation accounting records covered in para. 7301 and consolidated control accounts records of the Office of the Navy Comptroller, Washington, D. C.)

(1) FORMS AND COST AND OTHER RELATED REPORTS USED IN THE ACCUMULATION OF RETURN COST DATA.

Retention period: 1 year after completion or cancellation and/or submission of final report thereon.

(2) SUBSIDIARY BOOKKEEPING RECORDS: journals of legal obligations, appropriation control account journals and listings, journals and postings--obligation and payment ledgers, and summary statements of transactions by appropriation and subhead:

(a) Consolidating activities (navy regional accounts offices or their equivalents) records.

Retention period: 3 months.

(b) Other activities and offices records.

Retention period: 1 year.

(3) COST ACCOUNTING LEDGERS and related forms:

(a) Stock class ledgers.

Retention period: 2 years.

(b) All others.

Retention period: 1 year.

(4) JOB, LABOR, AND COST DISTRIBUTION RECORDS: job cards and labor and cost distribution records (cards, EAM punched cards, tapes, and other records) used for cost accounting and statistical purposes:

(a) Detail labor and cost cards.
Retention period: 3 months when hard stub is not used, provided listings have been prepared and verified; 1 year when hard stub is used).

(b) Summary job and cost distribution cards, tapes, or other records:

1. For standing orders--3 months after end of fiscal year in which orders are completed, provided summary listings have been prepared and verified.

2. For other than standing orders--3 months after completion of job project, provided summary listings have been prepared and verified.

3. For daily labor distribution data--3 months.

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(c) Summary labor cost cards, tapes, or other records (exclusive of MARCORPS records covered in subpara. (d) below).

1. For standing orders--3 months after end of fiscal year in which the orders are completed.

2. For other than standing orders--3 months after completion of project.

(d) MARCORPS Foremen's

*Labor Distribution Cards and Job Time Record Cards (such as NAVMC-DQP-34) of MARCORPS Supply Activity, Philadelphia.

Retention period: 1 year for labor distribution cards; 2 years for job time record cards.

(5) MACHINE RECORDS USED AS POSTING MEDIA for cost accounting reports data:

(a) Detail stores returns and other detail cards and taped records.
Retention period: until completion and verification of final listings or reports.

(b) Summary stores returns and other summary cards and taped records.
Retention period: until completion and verification of final listings and reports.

(c) Tabulated listings.
Retention period: 2 years.

(6) TABULATED DATA FOR SPECIAL FISCAL PURPOSES, such as unmatched summary invoice files and unmatched invoices received from other supply officers.

Retention period: 1 year after matching or other adjustment is made.

(7) RECEIPT AND EXPENDITURE INVOICES AND REPORTS OR LISTINGS, together with related requisitions and tabulated (punched) or other card or taped records. Used for cost accounting purposes and involved in the transfer of material between supply officers and in end use expenditures. Include:

(a) Invoices and requisitions:

1. When used as expenditure records to end use expenditure accounts--2 years.

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2. When used as receipt invoices--2 years after invoices have been matched with summaries of adjustment invoices.

3. When used and reported as expenditures to other supply officers (end use invoices--one copy only)--2 years.

4. Receiving activities' summaries of invoices--2 years after summaries have been matched with receipt or adjustment invoices.

5. Accounts receivable paid bills file when accounts receivable ledgers are maintained in the fiscal office--2 years after date of collection.

6. All other copies--1 year.

(b) Tabulated reports or listings of receipts and expenditures and other cost accounting reports.

* Retention period: 2 years,

(c) Electric accounting machine tabulated (punched) cards, or other mechanized source records, used in connection with processing and preparing of items described in subparagraphs (a) and (b) above.
Retention period: until superseded or obsolete.

7320 PROPERTY ACCOUNTING RECORDS

(1) CORRESPONDENCE, REPORTS, and related records concerning the operation and administration of property accounting functions.

Retention period: 2 years, except authorized selling activities will retain for 5 years.

7321 PLANT PROPERTY ACCOUNTING RECORDS

(1) PROPERTY RECORD CARDS (such as NAVCOMPT-262 through 278); and Property Disposition Reports (such as NAVSANDA-154); other similar reports and related papers.

Retention period: until superseded, or 1 year after property is reported as disposition.

(2) PROPERTY RECORD CARD CHANGE ORDERS for Class 3 property.
Retention period: 3 months.

(3) INCIDENTAL RECORDS used for plant property accounting purposes.
Retention period: 1 year after equipment item is removed from the plant property account of the activity.

(4) PLANT ACCOUNT REPORTS (such as Reconciliation of Plant Account, NAVCOMPT-167); related papers.
Retention period: 2 years.

* (5) VOUCHERS covering plant account items, and related papers.
Retention period: 1 year after vouchers have been applied to a plant property record card, except 3 fiscal years for Marine Corps activities.

(6) PLANT PROPERTY RETURNS.
See paras. 7330(1) and 7280.

(7) SURVEY RECORDS used to substantiate entries to Plant Property Accounts (exclusive of those for Class 1 and 2 property which are to be retained).
Retention period: 2 fiscal years.

7322 MINOR PROPERTY IN USE RECORDS

(1) CUSTODY RECEIPTS for issues, receipts for loaned equipment, and other similar records.

Retention period: until material or equipment is returned.

7323 STORES ACCOUNTS RECORDS

These records are maintained to provide personal accountability for the receipt and custody of equipment and materials and to provide data on the monetary values of materials. They are used to post to reports and returns consolidated by navy regional Finance Centers, Headquarters Marine Corps, and other designated activities for submission to the Office of the Navy Comptroller.

* (1) STORES RETURNS AND REPORTS, including consolidated subsistence, clothing, etc. returns, ships stores and commissary stores returns, other returns, and related stores account papers. (Exclude consolidated returns covered in para. 7280(1).)

Retention period: 2 years in accordance with para. 7330, except 3 fiscal years for Marine Corps activities.

(2) VOUCHERS MATCHED WITH INSPECTION REPORTS and used in stores returns.

Retention period: 2 years after matching. (Place in completed file after matching; destroy completed file 2 years later.)

(3) RECEIPT AND EXPENDITURE INVOICES AND REQUISITIONS, together with listings (including tape printouts) thereof, used to support stores returns and involved in the transfer of material between supply officers and in end use expenditures. (See also para. 7310(7).)

Retention period: 2 years.

7330 ACCOUNTING REPORTS AND RETURNS

(1) PERIODIC (FINANCIAL) ACCOUNTING RETURNS AND REPORTS made to navy regional Finance Centers Headquarters Marine Corps, other departmental bureaus and offices, or to other higher authority. Include financial statements, stores returns reports, reconciliations, summaries and recapitulations of receipts and expenditures, and gains and losses (receipts and issues). (See para. 7280 for consolidated returns of navy regional Finance Centers and of Marine Corps activities performing similar functions.)

Retention period: 2 years.

7331 INDUSTRIAL ACCOUNTING REPORTS AND RETURNS

(1) PERIODIC ACCOUNTING RETURNS AND REPORTS made to Navy Regional Finance Cen., Headquarters Marine Corps, other departmental bureaus and offices, or to other cognizant higher authority. Include financial statements, reconciliations, summaries and recapitulations of receipts and expenditures, and gains and losses (receipts and issues). (See also para. 7630.)

Retention period: 2 years.

(2) MASTER NAVY INDUSTRIAL FUND (NIF) LEDGERS (when not submitted to navy regional Finance Centers.

Retention period: 10 years after fiscal year involved.

(3) COMMERCIAL (QUARTERLY OR OTHER PERIODIC) CASH OPERATING BUDGETS and estimated cash budgets; related papers. See para. 7630.

7400 PAY ADMINISTRATION AND PAY-ROLL AND LABOR ACCOUNTING RECORDS - GENERAL

The records described in this series are accumulated by activities and offices re-

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responsible for the administration of civilian and military pay. They include not only pay administration records, payrolls, payroll authorizations and controls, and payroll accounting records, but also records incidental to the payrolling process, such as tax withholding records.

(1) GENERAL CORRESPONDENCE FILES, including reports and related records, of activities, offices, or other organizational units responsible for pay administration and payroll preparation and processing functions, pertaining to the operation and administration of the office or unit.

Retention period: 2 years.

7401 TAX WITHHOLDING RECORDS FOR CIVILIAN AND MILITARY PERSONNEL

(1) EXEMPTION CERTIFICATES.
Retention period: 4 years after superseded or 4 years after close of calendar year in which individual leaves activity's employment.

(2) STATEMENTS FOR CIVILIAN AND MILITARY PERSONNEL and reports of Federal taxes withheld; related papers.
Retention period: 4 years.

* (3) EDP WITHHOLDING TAX RECORDS AND FICA CARDS FOR RESERVE ACTIVITIES.

Retention period: until 3 months after preparation of W-2 forms.

7410 CIVILIAN LABOR ACCOUNTING RECORDS. See para. 7310 for labor cost accounting records and para. 7420 for civilian pay accounting records.

7420 CIVILIAN PAY ACCOUNTING RECORDS

These records are accumulated in the performance of civilian pay administration and accounting functions and are used to collect pay and earnings data. They include records accumulated in manual-type payroll operations as well as tapes and punched cards accumulated in mechanized payroll operations. (Tapes or punched cards accumulated in the payroll process should be handled the same as similar documents created in a manual payroll operation.)

(1) WORK PAPERS AND PAYROLL PROCESSING RECORDS: tapes, tabulated

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punched cards, EDP printouts, and other records or work papers created and used incidental to payroll operations (other than records specifically covered elsewhere in this section).

Retention period: 3 months, until superseded or obsolete, or until no longer needed for local processing or reference purposes.

(2) PAYROLL CONTROL REGISTERS AND RELATED RECORDS: Payroll Control Registers (such as NAVCOMPT-289) and all subsidiary (supporting) documents, including weekly and bi-weekly payroll work sheets (such as NAVCOMPT-295) or cards or rough payrolls in other form; EDPM printouts and audit trails that are used in reconciling punched cards and taped record data with payroll control registers. (Exclude time cards covered in para. 7421(2).)

Retention period: 2 years after completion of on-site audit by the General Accounting Office; if no on-site audit is performed, retain for 4 years.

(3) CIVILIAN PAYROLLS:

(a) Accounting copies only.

Retention period: 2 years, then transfer to Federal Records Center, 111 Winnebago Street, St. Louis, Mo. The Center will destroy 10 years after date of last entry on card.

(b) Payrolls required to support disbursing officers returns. (See para. 7250(1).)

(c) Informational copies of payrolls.

Retention period: 1 year.

(4) FORMS USED IN ACCUMULATING CIVILIAN PERSONNEL COST AND PAYROLL DATA: distribution tally sheets, muster check or other process cards, payroll messages, and other related or similar papers or cards.

Retention period: 1 year.

(5) SUMMARY INDIVIDUAL EARNING RECORDS, leave record cards, and related listings: summary card records of individual leave and earnings and retirement pay, such as Individual Earnings and Retirement Deduction Records (NAVCOMPT-474 and 205); Service Cards (NAVCOMPT-206 or Std-1127); Individual Leave Record Cards (NAV-SANDA-970 or Std-1137); or their equivalents.

Retention period: 2 years after on-site audit has been completed by the General Accounting Office, then transfer to Federal Records Center, 111 Winnebago St., St. Louis, Mo.; if no on-site audit is performed, transfer to the Center when 4 years old. Center will destroy earnings records 56 years after date of last entry and leave record cards 10 years after last entry.

(6) FORMS AND REPORTS RELATING TO DECEASE OR RETIREMENT OF CIVILIAN PERSONNEL: retirement registers and other registers or summaries of personnel actions; Statements of Unpaid Wages (such as NAVCOMPT-204). (Exclude individual retirement records, such as Standard Form 2806, which are to be forwarded to the Civil Service Commission.)

(a) Retirement registers.

Retention period: 2 years after completion of on-site audit by the General Accounting Office; if no on-site audit is performed retain for 4 years.

(b) Other records.

Retention period: 4 years.

(7) CIVILIAN PERSONNEL STATISTICAL REPORTS: copies of reports (such as Reports of Civilian Personnel on Board by Appropriation, etc., NAVEXOS-695 and 1126 and NAVSANDA-928) relating to civilian personnel and submitted to the Office of Industrial Relations, the Office of the Navy Comptroller, or other higher authority.

Retention period: 1 year, except Marine Corps activities will retain NAVEXOS-1126 until 3 years old.

(8) REPORTS OF INSURANCE DEDUCTIONS and related records.

Retention period: 4 years.

7421 CIVILIAN PAY AUTHORIZATION AND CONTROL RECORDS

(1) PAY AUTHORIZATION RECORDS:

(a) Records relating to individual pay authorizations, deductions, and adjustments for civilian employees. Include notifications of personnel actions, payroll change slips, work or overtime authorizations, official garnishment, deduction, or levy notices or authorizations, and other documents used in the payroll accounting process and used to support individual pay

actions. (Exclude copies of these records maintained in civilian personnel offices and covered in chapter 12 and waivers of life insurance coverage and income tax withholding receipts and statements covered in para. 7401.)

Retention period: 2 years after on-site audit by the General Accounting Office, or until data is superseded, whichever is later. If no General Accounting Office on-site audit is performed, retain for 4 years or until data is superseded, whichever is later.

(b) Records relating to group pay authorizations and adjustments, including group work, additional pay, and overtime authorizations.

Retention period: until on-site audit has been completed by the General Accounting Office or until data is superseded, whichever is later. If no General Accounting Office on-site audit is performed, retain for 4 years or until data is superseded, whichever is later.

(2) TIME CARDS FOR CIVILIAN EMPLOYEES.

Retention period: 3 months, provided General Accounting Office on-site audit has been completed and there are no outstanding exceptions. If no on-site audit is performed, retain for 4 years.

(3) FORMS RELATING TO CIVILIAN LEAVE AND ATTENDANCE ON DUTY and accumulated for accounting purposes. (Exclude time cards covered in para. 7421(2) and Summary Leave or Service Records (such as Std-1137 and NAVCOMPT-206 covered in para. 7420(5)). Exclude also copies of leave authorizations used for pay authorization purposes and filed in the individual pay authorization files covered in para. 7421(1).)

Retention period: 1 year.

(4) LOCAL CONTROL RECORDS and working papers. See para. 7420(1).

7430 MILITARY PAYROLL ACCOUNTING RECORDS

These records are accumulated in the performance of military pay administration and accounting functions, including centralized accounting and review operations performed

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by the Navy Finance Center, Cleveland, Ohio, and Headquarters Marine Corps (Central Disbursing Branch).

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files of the Military Pay Division, Office of the Navy Comptroller. Apply para. 7000(1).

(b) General correspondence files of the Navy Finance Center and of Headquarters Marine Corps (CDB): that portion of the files that documents the establishment and development of the Navy and Marine Corps pay system and operating policies and procedures for assigned military pay program responsibilities.

Retention period: permanent.

(2) GENERAL CORRESPONDENCE FILES RELATING TO THE INTERNAL OPERATION AND ADMINISTRATION OF MILITARY PAY ACCOUNTING AND REVIEW FUNCTIONS (other than records covered in para. 7430(1) above).

Retention period: 2 years.

(3) CORRESPONDENCE OF A ROUTINE NATURE with individuals, activities (including ships), or others, relating to military pay matters, military pay procedures, or other pay information. This correspondence is usually filed alphabetically.

Retention period: 1 year.

* (4) CERTIFICATIONS OR ORDERS TO OPEN, ADJUST, TRANSFER, OR CLOSE ACCOUNTS (such as Military Pay Orders, DD-114 and 115, and other records used for similar purposes); related logs. These are certifying offices or commanding officers' administrative copies. (For certified copies forwarded to disbursing officers, see para. 7250(9).)

Retention period: 1 year.

* (5) RECEIPTS FOR TRANSFERRED PAY RECORDS: receipts, transmittals, and other records of military pay accounts received or transferred, such as Pay Record Index Cards (DD-141), and Allotment Authorizations (NAVCOMPT-545). Apply para. 1070(8).

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(6) SAVINGS BOND RECORDS. See para. 5120.

(7) MILITARY PAY RECORDS (such as DD-113) and related papers: individual (case) files for active-duty, reserve, and retired Navy and Marine Corps personnel. These records are maintained by activities responsible for centralized military pay accounting and review (examination) functions (Navy Finance Center and Headquarters Marine Corps (CDB)).

(a) Active-duty Navy personnel records.

Retention period: 10 years after individual's final separation from the service. (Transfer to Federal Records Center, Mechanicsburg, Pa. 18 months after close of fiscal year in which separation occurred.)

(b) Active-duty Marine Corps personnel records.

Retention period: 10 years after individual's final separation from the service. (Transfer to Federal Records Center, Alexandria, Va. 6 months after close of calendar year in which separation occurred provided General Accounting Office audit has been completed, except in case of death, transfer 1 year after close of the last pay record period involved.)

(c) Reserve and retired Navy personnel records.

Retention period: 10 years after individual's final separation from the service. (Transfer to Federal Records Center, Mechanicsburg, Pa. upon completion of audit by the General Accounting Office.)

(d) Reserve and retired Marine Corps personnel records.

Retention period: 10 years after individual's final separation from the service. (Transfer to Federal Records Center, Alexandria, Va. 1 year after close of last pay record cycle involved provided General Accounting Office audit has been completed, except transfer records of reserve personnel when 4 fiscal years old.)

(e) Master microfilm copies of regularly closed military pay records (other than film copies of intermittently closed pay records for Navy personnel covered in para. 7430(17)(j)); related index or control records.

Retention period: permanent.

(8) PAY ADJUSTMENT AUTHORIZATIONS (such as DD-139): acknowledgment copies relating to errors discovered in military pay audits or in travel vouchers.
Retention period: Navy Finance Center copies--2 years; Headquarters Marine Corps (CDB) copies--until receipt of "accomplished pay adjustment authorization" from disbursing officer.

* (9) DEATH GRATUITY (CASUALTY) CASE FILES: individual case files consisting of Report of Casualties (such as NAVPERS-2059); Public Voucher for Six Months Death Gratuity Pay (such as NSA-506a); Arrears of Pay Claim in Deceased Cases (such as NAVPERS-2047); other supporting papers and related correspondence. Include related card indexes. These records are accumulated by the Navy Finance Center and Headquarters Marine Corps.

Retention period: 10 years after date casualty occurred.

(10) MUSTERING OUT PAYMENT RECORDS:

(a) Applications for Mustering Out Payments (such as NAVCOMPT-550-FC-679 and FC-680): basic file of original authorizations for mustering out payments and related papers; related index records (such as Mustering Out Payment Master Card (FC-900)).

Retention period: indefinite.

(b) Navy Finance Center Uniform Gratuity Mustering Out Payment Files:

* 1. Uniform Gratuity Claims Files: forms, such as NAVPERS 3091 and 3096; letter claims and related correspondence, orders, and memoranda substantiating Uniform Gratuity Payments to USNR officers; other related correspondence and papers.

Retention period: 4 years.

2. Mustering out payment and uniform gratuity check record listings: master listings only.

Retention period: permanent.

3. Correspondence, records of investigations, and other records relating to mustering out payments.

Retention period: 4 years.

(11) FLEET RESERVE AND RETIRED NAVAL PERSONNEL (CASE) FILES: individual case folders consisting of authorizations for transfer to the Fleet Reserve; retirement orders; disability retirement election forms; Employees' Withholding Exemption Certificates (such as TREAS-W-4); Powers of Attorney (such as TREAS-6569); Statements of Accounts (such as FC-1583); Claims for Arrears of Pay (such as GAO-2304 and NAVPERS-2047); requests for checkages; notices of credits due; transcripts or statements of service; releases from active duty orders; recall orders; transfer pay accounts; USO Elections (copies) (such as NAVPERS-591); birth certificates, affidavits, and other documents required under the Uniformed Contingency Option Act of 1953.

Retention period: 10 years after final settlement of the account when member is deceased, discharged, or removed from the temporary disability retired list, except in cases where annuity payments are being made to beneficiaries of a deceased member under the Uniformed Services Contingency Option Act of 1953, retain for 4 years after the termination of annuity payments or 10 years after death of the member, whichever is later.

(12) FEDERAL HOUSING ADMINISTRATION JACKETS: individual case files for FHA accounts (mortgage insurance premium payments) for Navy and Marine Corps personnel being paid under the Housing Act of 1954 (P. L. 560, 83rd Congress). Consist of copies of Certificates of Eligibility (such as DD-802), Certificates of Termination (such as DD-803), Master Control Cards, and records of premium payments and certificates of continued ownership; related papers and correspondence.

Retention period: 3 years after termination of payments (entitlement), except 4 years after termination or 4 years after completion of accounting adjustments (whichever is later) for Marine Corps cases.

* (13) ALLOTMENT AND FAMILY ALLOWANCE ACCOUNTS FILES for Navy and Marine Corps personnel: consolidated individual case files consisting of applications, authorizations, records of adjustments,

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overpayments, collections, suspensions, stoppages of payments, documentary evidence, and related papers and correspondence concerned with the individual account.

Retention period: 10 years after discontinuance or until microfilmed.

(Navy Finance Center and Family Allowance Activity, Cleveland will transfer case files to Federal Records Center, Mechanicsburg, Pa. 3 years after discontinuance.)

(14) NAVY FINANCE CENTER ALLOTMENT RECORDS (other than case files covered in para. 7430(13) above):

(a) Microfilm of listings of payments of family allowances, allotments, National Service insurance, Government insurance.

Retention period: master or summary listings—permanent; other listings—3 months.

(b) Navy Finance Center listings of allotment accounts by payment type (other than National Service insurance and Government insurance).

Retention period: 3 months, except retain monthly historical listings of discontinuances for 10 years.

(c) Block registers: control records of block numbers of documents processed.

Retention period: 1 year.

(d) Account control records (machine posted) of documents processed for allotments for each serviceman.

Retention period: 1 year after account is closed.

(e) Records of foreign disbursements: letter reports of cash transactions abroad and details of payments made in foreign countries.

Retention period: 1 year.

(15) HEADQUARTERS MARINE CORPS (CDB) ALLOTMENT RECORDS (other than case files covered in para. 7430(13) above):

(a) Allotment Authorizations (such as NAVCOMPT-545).

Retention period: until microfilmed. Retain master microfilm.

(b) Microfilm copies of inactive allotment cards (exclusive of family allowances and savings bond allotments).

Retention period: indefinite.

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(c) Abstracts of allotment payments and of savings bonds issued; microfilm copies of checks covering payments of allotments.

Retention period: 10 years.

(d) National Service Life Insurance abstracts of new and discontinued allotments, and related adjustments.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 10 years old.)

(e) Account control record (ACR) cards showing allotment action of individual military personnel on active duty or on retired and Fleet Marine Corps reserve rolls.
Retention period: File in inactive file upon death or discharge of individual and destroy when microfilmed. Retain master microfilm.

(f) Correspondence relating to allotment checkages for National Service Life Insurance, and investigation sheets on histories of allotments.

Retention period: 1 year, provided duplicated in individual's personnel jacket.

(16) NAVY FINANCE CENTER SPECIAL PAYMENTS RECORDS NOT COVERED ELSEWHERE IN THIS SERIES:

(a) Control card file for payment of USCO annuities.

Retention period: 4 years after termination of payments.

(b) Machine accounting card file (such as IBM-5081), used in submitting to USCOA Board of Actuaries annual report of statistical data covering members and annuitants covered by the USCO Act.

Retention period: 3 years after termination of account.

(c) Retired officers Federal civil employment certification cards.

Retention period: 3 years. (Re-establish file upon receipt of subsequent certification cards.)

(d) Foreign check records: records (such as FC-580XR) of retired and fleet reserve pay checks forwarded via Navy officers at distant points.

Retention period: 2 years.

(e) Appropriation control ledger postings showing adjustments in retired and retainer pay involving appropriation accounting (such as FC-1326).

Retention period: 18 months after date of adjustment.

(f) Quarterly reports of cash transactions abroad: letter reports and supporting listings of payments made to individuals in foreign countries.

Retention period: 1 year.

(g) Federal Housing Administration insurance account EAM cards (such as IBM-5081 blue stripe card): used to prepare monthly report on FHA mortgage insurance accounts.

Retention period: 1 year after termination of account.

(h) Monthly Reports of Existence (such as FC-128), submitted by certain retired members to establish their right to receive retired/retainer pay.

Retention period: 6 months.

(17) NAVY FINANCE CENTER
CENTRAL ACCOUNTS RECORDS:

(a) Summary registers or listings, such as transaction ledgers (NRAO) documenting Navy Deposit Fund pay transactions (NAVCOMPT-633(2C)); pay record registers by disbursing officers symbol numbers showing pay records received and microfilm reel number assigned; consolidated record of total cash and check payments on military rolls compiled from NRAO registers.

Retention period: indefinite.

(b) Naval Reserve Payment Files: copies of vouchers for pay and allowances of naval reservists.

Retention period: vouchers that have been microfilmed--until end of subsequent fiscal year; microfilm copies--10 years.

(c) Navy Finance Center Summary Ledgers: periodic summarizations of military pay group totals shown on pay group distribution ledgers; expenditure account classification adjustment ledgers.

Retention period: 4 years.

(d) Money list activity control records: records of receipt of payrolls and pay records.

Retention period: 3 years.

(e) Wage and pay reports: FICA wage reports and records of corrections; periodic reports of data from military pay records required by Social Security Administration under the Federal Insurance Contribution Act.

Retention period: 3 years.

(f) Pay record analysis and group distribution records: reports of pay record analysis--totals of charges and credits by expenditure account taken from pay records for posting to distribution ledgers; pay group distribution ledgers--accumulations by pay groups of amounts shown on reports of pay record analysis.

Retention period: 18 months.

(g) Machine accounting card files used to request reconciliation of leave records of members being discharged.

Retention period: 1 year.

(h) Machine accounting card files of active-duty personnel.

Retention period: until member's discharge or release from active duty.

(i) Records of discrepancies reported following periodic reconciliation of allotment payments and pay record check-ages, tabulating cards and machine listings of accounts involved, reports of action taken, and related memoranda.

Retention period: until completion of all operations for the succeeding reconciliation period, then destroy records for the previous reconciliation period.

(j) Microfilm copies of closed pay records.

Retention period: those of intermittently closed pay records--2 years; those of regularly closed pay records--permanent, as provided in para. 7430(7)(e).

(18) RECORDS RELATING TO DISBURSEMENTS FOR MILITARY PAY, accumulated by the Navy Finance Center and Headquarters Marine Corps (CDB). (See also 7200 series): military pay reimbursement files containing accomplished money lists; retained copies of payrolls required to support disbursing returns; records of remittances received; savings deposit slips, deposit

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record books, and ledger account cards; pay adjustment records (summaries and supporting vouchers, adjustments, item reports, etc.); total cash and check payment records; other disbursing records.

Retention period: 4 years after period covered by the account in accordance with para. 7250.

(19) "ADVANCE COPY" MONEY LISTS OF Army, Navy, Air Force, and State Department disbursing officers covering payments to Marine Corps personnel: Navy Payroll Money Lists (such as NAVCOMPT-503a and NAVMC-815-SD), Military Payroll Certification Sheets (such as DD-116), Public Vouchers for Purchases and Services other than Personal, and other similar forms.

Retention period: 1 year.

(20) HEADQUARTERS MARINE CORPS (CDB) MONTHLY ANALYSES OF OBLIGATIONS AND EXPENDITURES relating to retired and Fleet Marine Corps reserve pay accounts.

Retention period: 1 year.

(21) OTHER RECORDS OF THE NAVY FINANCE CENTER AND OF HEADQUARTERS MARINE CORPS (CDB). Apply pertinent instructions throughout this manual.

7500 AUDIT RECORDS - GENERAL

These auditing records are accumulated in connection with the direction and performance of the Department of the Navy audit program and functions and its participation in the Department of Defense coordinated audit programs. When Navy, Army, or Air Force performs an audit service for other departments at a particular activity or site, the audit agency having cognizance of and performing the audit of the contract will have custody of the audit records. Such cross-servicing audit records under Department of the Navy custody will be handled in accordance with provisions of this series (paras. 7500-7599).

(1) PRIMARY PROGRAM RECORDS: general correspondence files of the Office of the Navy Comptroller, the Assistant Comptroller for Audit, the Commandant of the Marine Corps, and other departmental offices that document the development and execution of Department of the Navy audit plans, policies, programs and procedures.

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(Exclude internal operating records covered in para. 7500(2) below.)

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

* (2) GENERAL CORRESPONDENCE FILES of activities and offices relating to the operation and administration of their audit functions (other than primary program records covered in para. 7500(1) above).

Retention period: 2 years, except retain effective correspondence pertaining to the establishment of the area auditor's office and instructions received from higher authority in regard to audit procedures until superseded or cancelled.

(3) AUDITORS TIME AND ACCOMPLISHMENT REPORTS:

(a) Individuals Bi-Weekly Time Reports (such as NAVCOMPT-896) and audit assignments (such as NAVCOMPT-895); related local forms.

Retention period: 1 year.

(b) Internal Auditors Weekly Time Reports (such as NAVCOMPT-0-18) and Organizational Time and Attendance Reports (such as DD-594); related local forms and copies of consolidated reports made to the Navy Comptroller.

Retention period: 1 year.

(4) AUDIT REFERENCE FILES: manuals, directives, instructions, decisions, memoranda, authorities, precedent data, and other reference or informational material relating to inspection and audit functions.

Retention period: until superseded, cancelled, obsolete, or no longer needed for reference.

(5) CONTRACT AUDIT CONTROL OR INDEX RECORDS: cards or other similar records maintained as a control record of contracts and subcontracts, or of activities, subject to Navy audit.

Retention period: until superseded or cancelled, or until 1 year after final audit report under the contract or subcontract or internal audit, as appropriate.

(6) AUDIT PRECEDENT FILES: cards, indexes, or other records summarizing and/or indexing important decisions relating to contract audit or internal audit matters, such as "Unallowable Costs," "Contract Audit Decisions," briefs and

decisions of review boards, the Comptroller General, and the Assistant Navy Comptroller (Audit), and others.

Retention period: until superseded or obsolete, or no longer needed for local reference purposes.

7510 INTERNAL AUDIT RECORDS

(1) AUDITORS WORKING PAPERS: papers prepared and assembled during the course of internal audits of fiscal operations at Navy and Marine Corps activities. These consist of copies of directives and organization charts, sample forms, conference notes, auditors notes on findings, and comments or statements regarding procurement procedures, disbursing procedures, and fiscal management and practices; extracts from journals, ledgers, cash books, or other similar records; related correspondence. (These papers are prepared or accumulated to assist the auditor in evaluating fiscal operations and to support his findings and recommendations as presented in formal audit reports.)

Retention period: until completion of next audit, or until 3 years old if no subsequent audit will be made.

7540 INTERNAL AUDIT REPORTS

(1) INTERNAL AUDIT REPORT FILES:

(a) Audit report files of activities performing internal audits: copies of reports and revisions (drafts) thereof, including copies of final audit reports as submitted to the Office of the Navy Comptroller or other authority for review; related correspondence; bureau or office concurrences, comments, or objections; and reports concerning bureau or activity implementation.

Retention period: 6 years.

(b) Final audit report files maintained by the Office of the Navy Comptroller.

Retention period: permanent. (Transfer to the Federal Records Center, Alexandria, Virginia, when 3 years old.)

(c) Informational copies of reports of audits performed by other activities or offices and received for reference or informational purposes only.

Retention period: until superseded or no longer needed for local reference purposes.

7560 CONTRACT AUDIT RECORDS

(1) GENERAL CORRESPONDENCE (DEPARTMENTAL) FILES, studies, and other records of the Office of the Navy Comptroller (Contract Audit Division) relating to the development and execution of contract audit policies, plans, programs, and procedures:

Retention period: permanent. Apply para. 7500(1).

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES relating to the operation and administration of contract audit programs and functions. (Exclude records covered in para. 7560(1) above.)

Retention period: 2 years.

(3) CONTRACT CASE FILES maintained by contract auditors: copies of contracts, subcontracts, and amendments and changes thereto, letters of intent, and correspondence relating directly to the contract document or to changes and amendments thereto, involving cost-type, cost-plus-fixed-fee, fixed-price incentive, and fixed-price redeterminable contracts.

Retention period: 3 years after submission of contract audit closing statement.

(4) PUBLIC VOUCHER FILES: contract auditors' copies of vouchers filed by contractor and numerically thereunder by contract number.

Retention period: 2 years.

(5) VOUCHER REGISTERS: summary records of voucher transactions used for contract audit purposes and maintained by contract auditors.

Retention period: 2 years.

7561 CONTRACTORS CONTROL AND PROCEDURES RECORDS

(1) COMPANY CORRESPONDENCE FILES maintained by contract auditors: alphabetical files of copies of correspondence with individual companies.

Retention period: 6 years, provided information is no longer required for current audit purposes.

(2) SURVEYS OF CONTRACTORS INTERNAL CONTROLS AND ACCOUNTING PROCEDURES (such as DD-673).

Retention period: 2 years after submission of contract audit closing

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statement under the contract, then transfer to nearest Federal Records Center, provided no longer required for current audit purposes.

7580 CONTRACT AUDIT REPORTS

(1) CONTRACT AUDIT REPORTS (not specifically covered elsewhere in paras. 7550-7599): audit reports and all documents comprising a part thereof; related correspondence and working papers. Include such reports as contract audit closing statements, advisory accounting reports, and reports on special audits and cross-servicing audit assignments:

(a) Preparing activity copies: copies of reports maintained by activities and offices performing the contract audit. Include working papers used in developing reports and other related papers and correspondence.

Retention period: 2 years after submission of contract audit closing statement or advisory accounting report.

(b) Official (original) reports maintained by the Office of the Navy Comptroller.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 3 years old.)

(c) Other copies: all other copies, including reference copies of reports of other activities or agencies that are received or maintained for information or reference purposes only.

Retention period: until superseded or until no longer needed for reference.

(2) CONTRACT AUDIT WORKING PAPERS:

(a) Working papers prepared in conjunction with audit reports.

Retention period: dispose of at the same time and in the same manner as related contracts (see para. 4280(1)), or retain until superseded or obsolete, as appropriate.

(b) Working papers pertaining to a specific contractor.

Retention period: until superseded or obsolete (e.g., company becomes defunct, contractor's controls and sys-

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tems are revised or superseded, or contractor no longer performs contracts for the Federal Government).

7582 ADVISORY ACCOUNTING REPORTS.
See para. 7580.

7584 CONTRACT AUDIT CLOSING STATEMENTS. See para. 7580.

7600 INDUSTRIAL FUND FINANCING RECORDS - GENERAL

These records are accumulated by industrial or commercial type activities, including the Guaranteed Loan Fund, specifically designated by the Secretary of the Navy as an industrial funded activity subject to site audit by the General Accounting Office (GAO). The records are accumulated by these activities in connection with their utilization of funds in payment for costs or services, repair, manufacture, etc. Original disbursement records are retained at the site of operations where they are site audited by GAO. The original returns are held on board long enough to satisfy Navy and Marine Corps administrative needs and the audit requirements of GAO.

Special instructions for these original disbursing records of industrial funded activities are contained in para. 7251. In addition, charters, commercial budgets, and other financial records peculiar to industrial funded activities are listed in this (7600) series. Apply pertinent subject matter provisions throughout this manual to other records of industrial activities.

(1) PRIMARY PROGRAM RECORDS: general correspondence files, reports, and other records of the Office of the Navy Comptroller, Navy Department that document its program responsibilities for the development and execution of plans, policies, programs, and procedures for industrial fund financing.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) GENERAL CORRESPONDENCE FILES, including reports relating to the internal financial administration and operation of industrial or commercial fund financing operations. (See appropriate subject-matter series for other correspondence files.)

Retention period: 2 years.

7610 CHARTERS

(1) CHARTERS OF NAVAL INDUSTRIAL FUND OR COMMERCIAL-TYPE ACTIVITIES:

(a) Master charters maintained at departmental or command levels; related papers.

Retention period: permanent

(b) Industrial activities official file copies.

Retention period: until activity is disestablished. (Retain on board).

(c) Other copies.

Retention period: until superseded or cancelled or until purpose has been served.

7630 FINANCIAL CONDITION RECORDS

(1) PERIODIC FINANCIAL STATEMENTS of navy industrial fund or commercial-type activities (such as Std-220):

(a) Statements received by the Navy Comptroller.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) Statements received and/or prepared by departmental bureaus and offices or other cognizant activity for submission to Navy Comptroller.

Retention period: 4 years, except retain 30 June statements on board.

(c) Copies maintained by other submitting activities.

Retention period: 2 years, in accordance with para. 7331(1).

(2) COMMERCIAL CASH BUDGETS, operating and estimated, together with back-up reports and data.

Retention period: 1 year after end of fiscal year covered.

7640 INCOME AND EXPENSE RECORDS

(1) GENERAL LEDGERS OF NAVAL INDUSTRIAL FUND ACTIVITIES: summary record of activity's financial transactions (manual or mechanized).

Retention period: 10 years after close of fiscal year involved, as provided in para. 7331(2).

(2) SUBSIDIARY ACCOUNTING LEDGERS: accounting ledger records subsidiary to and used as control and posting media to the General Ledger. These consist of such documents as cash receipts and disbursement ledgers, issue and turn-in ledgers, voucher registers, journal vouchers, materials on order ledgers, etc.

Retention period: 4 years after fiscal year involved.

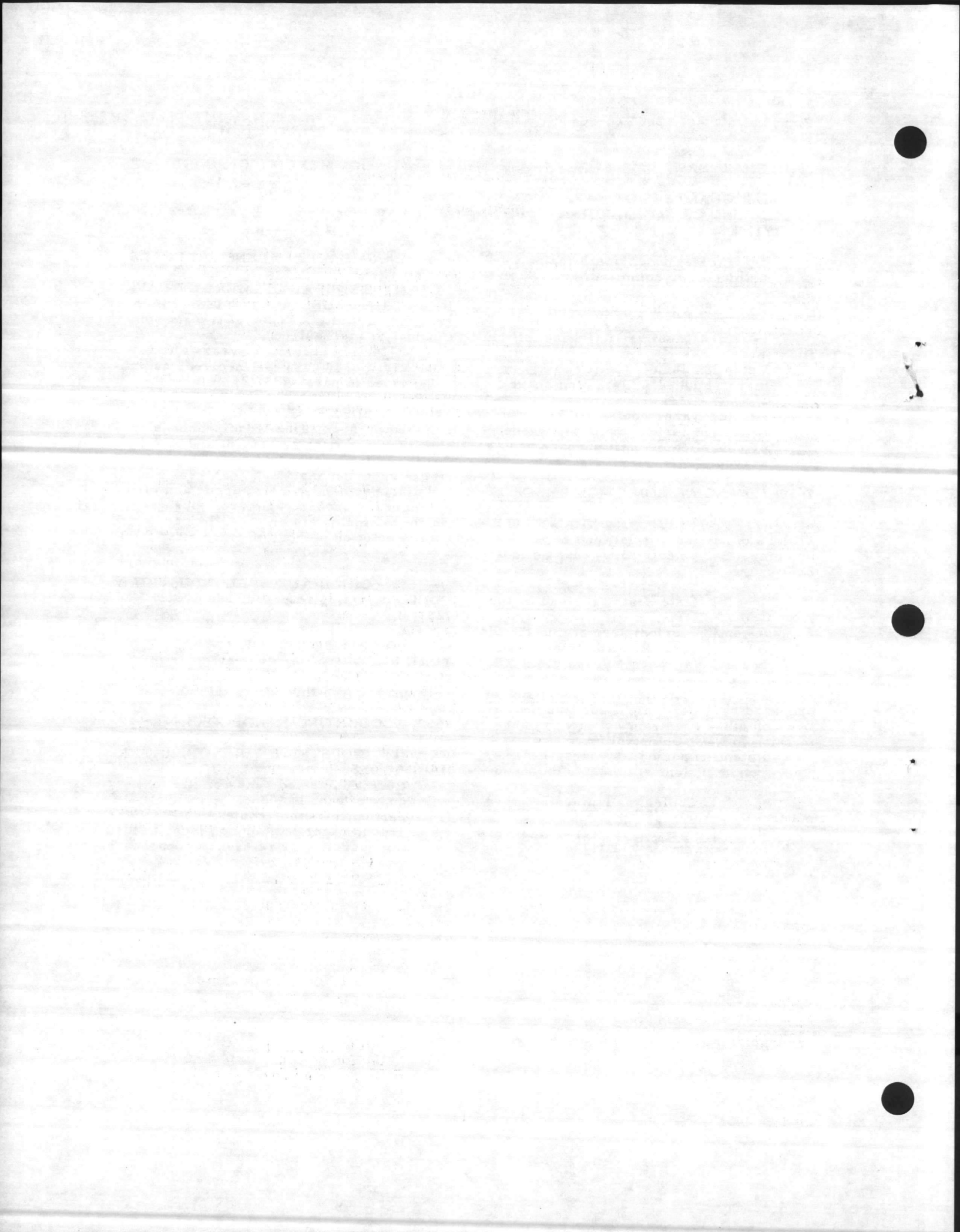
(3) ORIGINAL NAVAL INDUSTRIAL FUND disbursing returns. See para. 7251(1).

(4) OTHER INCOME AND EXPENDITURE RECORDS. Apply provisions for similar non-Industrial Fund financial management records throughout this chapter.

7650 ACCOUNTING HANDBOOKS

(1) INDUSTRIAL FUND OPERATING HANDBOOKS.

Retention period: master file (one copy of each handbook or manual)--permanent; other copies--until superseded, cancelled, or no longer needed for operating or reference purposes.



CHAPTER 8

ORDNANCE MATERIAL RECORDS

8000-8999

The records described in this chapter relate to ordnance materials and functions. They are accumulated by ordnance activities and offices and by internal units or departments of activities or offices that are concerned with ordnance-type functions and weapons, including guided missile weapons, and with the development, manufacture, and readiness of ordnance for all naval forces.

8000 ORDNANCE MATERIAL RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records of the Bureau of Naval Weapons that document the establishment, development, and accomplishment of policies, plans, and programs for naval ordnance weapons.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) General correspondence files of ordnance activities and offices: that portion of the files (centralized or decentralized) that documents the activity or office's organizational history and the overall development and accomplishment of essential and significant transactions, plans, special programs, studies, or projects (except see para. 3900 for records relating to research and development matters).

Retention period: permanent. (Transfer to nearest Federal Records Center when 5 years old.)

(2) GENERAL CORRESPONDENCE FILES of ordnance activities and offices or other organizational units performing ordnance functions (other than those covered in para. 8000(1) above):

(a) That portion of the files of ordnance activities and offices that relates to the performance of essential programs, transactions, and procedures.

Retention period: 6 years, except 10 years for ordnance plants.

(b) Files relating to the routine internal operation and administration of ordnance functions.

Retention period: 2 years.

(c) Other files, including program records of internal departments, divisions, or other organizational units of ordnance activities that are essentially duplicated or summarized in records described in subpara. (a) above.

Retention period: 3 years.

(3) ORDNANCE TECHNICAL INSTRUCTIONS. Apply para. 13000(6).

(4) ORDNANCE REPORTS AND RELATED PAPERS: copies of reports submitted to Bureau of Naval Weapons or other higher authority and not specifically covered elsewhere in this chapter. (See chapter 4 for ordnance supply and material reports.)

Retention period: 2 years.

(5) ORDNANCE PLANS AND DRAWINGS for all ordnance weapons and materials (including underwater ordnance, ordnance tools, spare parts, etc.). Consist of tracings, vandykes, outline sketches, photo-prints, blueprints, signed line sketches of ordnance materials, signed lists of spare parts and tools bearing line sketch numbers, history card index or other index records, and engineering data reflecting the development and history of equipment or material:

(a) Master file of drawings, tracings, and/or photographic or microfilm negatives. These are accumulated by the Bureau of Naval Weapons and by activities originating or having design cognizance over the plans.

Retention period: permanent. (Transfer to Naval Ordnance Plant (Central Technical Documents Office), Louisville, Ky. when obsolete or no longer needed for reference.)

(b) Other copies.
Retention period: until obsolete or superseded by revised drawing or

list; or until weapon or material is disposed of, except that when disposal is by sale or transfer, transfer plans with weapon or material. When design cognizance or manufacturing facility is transferred, transfer current plans to new location or to new cognizant facility. Destroy extra copies used for local reference purposes when no longer needed. Destroy folios of prints of drawings (complete set of detail and assembly for ordnance equipment) when obsolete and when design cognizance is transferred.

(6) **ORDNANCE SPECIFICATION RECORDS.** Apply para. 8000(5).

(7) **COMMERCIAL ORDNANCE CATALOGS** (other than those that are made a part of a case upon which action has been taken).

Retention period: until superseded or obsolete.

(8) **ORDNANCE EQUIPMENT HISTORY CARDS.**

Retention period: until disposal of equipment.

(9) **ENGINEERING DATA (CASE) FILES** for ordnance materials. These are accumulated by activities having design or manufacturing or procurement cognizance. Consist of copies of drawings or plans, detailed engineering data, copies of related instructions, correspondence, defect classifications (OCDs), and other papers pertaining to the engineering development of the ordnance item.

Retention period: 5 years after superseded or obsolete, provided master file described in para. 8000(5) above is maintained as a permanent record. If manufacturing cognizance is transferred to another activity, transfer file to new cognizant activity.

(10) **FILES RELATING TO STANDARD PATTERNS** for ordnance equipment. See para. 4121.

(11) **DESIGN REPORTS:** reports (such as Report Symbol 4121-1) prepared or accumulated by design departments of ordnance activities. Include reports covering new drawings and revisions for ordnance items under a cognizant activity and submitted to Naval Ordnance Plant, Louis-

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ville, Ky. or other designated naval activity.

Retention period: 1 year.

(12) **ORDNANCE MATERIAL PERFORMANCE EVALUATION RECORDS.**

Retention period: 3 years.

(13) **BUREAU OF NAVAL WEAPONS TECHNICAL LIAISON OFFICES RECORDS:**

(a) General correspondence files and other records of BUWEPS Technical Liaison Offices (other than reports covered in subparas. (b) and (c) below). Apply para. 8000(2).

(b) Monthly reports of activities. Retention period: 3 years, provided reports are no longer needed for reference purposes.

(c) Technical Reports and Publications Files: copies of technical ordnance reports and publications submitted to and/or duplicated in the files of the Bureau of Naval Weapons or other higher authority; copies of technical reports or publications originated by other Government agencies or by private organizations or firms. (See also para. 3900.)

Retention period: 5 years after completion or termination of related project or contract.

8010 AMMUNITION AND EXPLOSIVE (GENERAL) RECORDS

(1) **AMMUNITION (INCLUDING GUN AMMUNITION) REPORTS.**

Retention period: 1 year or until activity is disestablished, whichever is earlier.

(2) **SMOKELESS POWDER TEST SHEETS-SURVEILLANCE REPORTS** (such as NAVORD-67); related papers.

Retention period: 20 years. (Transfer to nearest Federal Records Center when no longer needed for local reference.)

8020 AMMUNITION AND EXPLOSIVE SAFETY RECORDS

(1) **ARMED SERVICES EXPLOSIVE SAFETY BOARD REPORTS** and related papers pertaining to inspections to determine the safety of ammunition storage and storage facilities; naval activities copies.

Retention period: until two subsequent reports have been prepared and submitted to the Bureau of Naval Weapons.

(2) MAGAZINE TEMPERATURE LOGS or other similar records, including daily records.

Retention period: 1 year.

(3) OCCUPATIONAL VISION TESTS, including vision performance profiles of employees.

Retention period: until transfer or other separation of employee.

(4) OTHER SAFETY RECORDS. See para. 5100.

8050 PYROTECHNIC RECORDS

(1) PYROTECHNIC TEST RECORDS, including laboratory reports, and related data cards.

Retention period: 2 years after item is declared obsolete.

8200 FIRE CONTROL AND OPTICS RECORDS - GENERAL

(1) FIRE CONTROL CARDS (such as NAVORD-51a and b) for ordnance equipment and materials; related or similar documents.

Retention period: until equipment is declared obsolete.

8300 GUNS AND MOUNTS RECORDS - GENERAL

(1) GUNS AND MOUNTS HISTORY RECORDS: master Gun and/or Mount Life History Record cards, gun manufacturing cards, or other similar records. These are accumulated primarily by ordnance production activities.

Retention period: until equipment is disposed of by sale, loss, or scrapping.

(2) ORDNANCE ACTIVITIES REPORTS OF ACCEPTANCE AND REJECTION of gun barrels, guns, mounts, etc.

Retention period: 3 years.

8370 SMALL ARMS AND LANDING FORCE EQUIPMENT RECORDS

(1) CUSTODY CARDS FOR SMALL ARMS.

Retention period: until item is returned or expended.

(2) SMALL ARMS AND INVENTORY REPORTS: copies of reports submitted to Bureau of Naval Weapons or other higher authority.

Retention period: 1 year.

8500 UNDERWATER ORDNANCE RECORDS - GENERAL

(1) ACOUSTIC RECORDINGS OF MAGNETIC TAPES of ships ranged at ordnance laboratory facilities: used to study and evaluate underwater acoustics and defense systems.

Retention period: until passive acoustic mine mechanisms are abandoned permanently.

(2) RECORDS (TAPES) OF PRESSURE SIGNATURES OF SHIPS and tape recordings of wave backgrounds, accumulated by ordnance laboratories.

Retention period: 10 years after vessel or class of ship is stricken.

(3) SUMMARIZED MINE ACTUATION DATA for new or stockpile mines on all classes of ships; range tapes and related summary sheets showing ships magnetic field measurements: accumulated by ordnance laboratories in connection with calibrating or check-ranging vessels and consolidating mine actuation data.

Retention period: permanent.

(4) RECORDS RELATING TO MAGNETIC FIELDS OF SHIPS OR SHIP MODELS (types). These are accumulated by ordnance laboratories or other similar activities:

(a) Blueprints, drawings, specifications, and other construction details for ship model and its degaussing installation (equipment).

Retention period: until equipment becomes obsolete or 1 year after issuance of final report on each ship model investigated.

(b) Recorder tapes of magnetic fields of ships.

Retention period: 1 year after issuance of final NAVWEPS report.

(c) Summarized tabulated data.
Retention period: until ship model becomes obsolete.

8510 TORPEDO RECORDS

(1) TORPEDO (CASE) FILES: jackets for individual torpedoes consisting of such records as Torpedo Examination Sheets, Gyro Run Cards, Torpedo Overhauling Sheets, other similar forms, and related correspondence and papers. These are maintained by activities responsible for manufacturing, inspecting, proofing, and overhauling torpedoes.

Retention period: until torpedo is scrapped or declared obsolete and the Central Torpedo Office has been furnished a complete numerical listing of each torpedo's Mark, Mod, and register numbers and the serial numbers of components scrapped with the torpedo, except that files relating to active torpedoes will be handled as follows:

(a) Manufacturing activity files.
Retention period: until receipt of the group proofing reports or completion of the procurement document, whichever is later, provided no further analysis is required and the Central Torpedo Office has been furnished the required recapitulation of official register and serial numbers for applicable torpedoes and components.

(b) Proofing activity files.
Retention period: 2 years after completion of required analysis and evaluation of ranging runs, provided pertinent data has been transferred to permanent card file.

(c) Overhauling activity files.
Retention period: 3 months after entries are made in applicable Torpedo Record Book.

(2) TORPEDO RECORD BOOKS:

(a) Central Torpedo Office (CTO) books: forwarded by activities to CTO when torpedo is lost, damaged beyond repair, scrapped or declared obsolete.

Retention period: 2 years after torpedo is obsoleted or scrapped; 1 year after torpedo is fired and lost or damaged beyond repair, provided required data has been recorded on EAM card.

(b) Other activities books.
Retention period: retain or board until torpedo is scrapped, obsoleted,

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or lost or damaged beyond repair, then handle as follows:

1. When torpedo is obsoleted or scrapped, destroy as soon as the Central Torpedo Office has been furnished a numerical listing of each torpedo's Mark, Mod, and register numbers and the serial numbers of components scrapped with the torpedoes.

2. When torpedo is fired and lost or damaged beyond repair, forward with Report of Lost or Erratic Torpedoes (RUDTORPE) to Central Torpedo Office. (CTO will destroy when 1 year old as provided in subpara. (a) above.)

(c) Naval Tank Record (such as NAVORD-1838) accumulated by the Central Torpedo Office. (Forwarded to CTO by activities either separately or with Torpedo Record Book when torpedo is obsoleted.)
Retention period: 2 years.

(3) RUDTORPES: reports of lost and erratic torpedoes.
Retention period: originals maintained by Central Torpedo Office—10 years; other copies—2 years.

(4) BATTERY RECORD CARDS AND EXPLODER HISTORY CARDS (such as NAVORD-2120 and 2410), accumulated by the Central Torpedo Office.
Retention period: 2 years.

(5) TORPEDO DATA (EAM) CARDS: records of torpedo location, date of manufacture, register number, Mark, Mod, exercise runs, overhauls, and expenditure data. (Data is extracted from Record Data Book.)
Retention period: 1 year after final disposition of torpedo.

(6) PERIODIC TABULATIONS OF LOST TORPEDOES: listings (IBM) prepared monthly and annually. Contain such data as registered number of lost torpedo and components, title of losing activity, and requests for disposition.
Retention period: monthly listings—until compilation and issuance of annual summaries; annual summaries—permanent.

(7) SPECIAL TOOLING MANUFACTURING DATA FILE. Apply para. 4870(4) provided master microfilm negative has

forwarded to the Naval Ordnance Plant,
Forest Park, Illinois.

8530 DEPTH CHARGE RECORDS

(1) REPORTS OF DEPTH CHARGE
RELEASE GEAR MATERIAL.
Retention period: 1 year.

8800 GUIDED MISSILE WEAPONS
RECORDS - GENERAL

(1) ENGINEERING PLANS AND
DRAWINGS FOR GUIDED MISSILES. See
para. 13000.

(2) TEST AND DEVELOPMENT
RECORDS. See para. 3900.

8900 MISCELLANEOUS ORDNANCE
MATERIAL RECORDS

8950 DEPERMING AND DEGAUSSING
RECORDS

(1) GENERAL CORRESPONDENCE
FILES relating to the internal operation
and administration of deperming and de-
gaussing functions.
Retention period: 2 years.

(2) DEPERMING REPORTS, to-
gether with related correspondence and
papers.
Retention period: 1 year or until
activity is disestablished, whichever
is earlier.

(3) ORDERS AND INSTALLATION
INFORMATION relating to deperming and
degaussing procedures.
Retention period: until superseded,
cancelled, or obsolete.

(4) SHIPS DEPERMING (CASE) FILES
for merchant marine and naval craft. Con-
sist of deperming and degaussing reports
and data, copies of related specifications,
material inspection records, correspond-
ence, and other papers.

Retention period: 3 years, except
retain deperming and degaussing data
and related specifications for 1 year.

(5) RANGING AND DEPERMING IN-
SPECTION LOGS, work sheets, and other
related papers and logs.
Retention period: 1 year.

(6) DEGAUSSING INSTALLATION
SPECIFICATIONS drafted by local activities.
Retention period: 1 year.

(7) ACTIVITIES LOCAL OPERAT-
ING FORMS AND PAPERS, such as re-
ceipts for degaussing folders; degaussing
inspection and action reports; preliminary
inspections of compass material.
Retention period: 6 months.

(8) RANGE TAPES:

(a) Range tapes of active, reserve,
or inactive vessels.

Retention period: 1 year or until su-
perseded or activity is disestablished,
whichever is earlier, except when
vessels are stricken from the Navy
Register retain for 6 months after
degaussing has been discontinued or
vessel stricken.

(b) Range tapes for degaussed
foreign naval and merchant vessels.

Retention period: 1 year, provided
no new degaussing data have been
taken; 6 months after vessels are no
longer depermed; or until activity is
disestablished.

(c) Range tapes that are invalid
because of (a) the presence of other ships
fields, (b) predeperm ranging of new ships,
(c) rangings with grossly mis-set coils; or
because vessel missed range or passed
over inoperative instrument.

Retention period: 1 month.

(9) RECORDS OF ORDNANCE LABO-
RATORIES relating to degaussing equipment
aboard ships. See para. 8500(4).



CHAPTER 9

SHIP DESIGN AND SHIPS MATERIAL RECORDS

9000-9999

The records described in this chapter relate to ships design and ships material and related functions. They are accumulated by shipyards, ship facilities, industrial managers, supervisors of shipbuilding, and by other activities and offices concerned with the design, construction, and maintenance of naval ships, including internal units or departments of activities and offices concerned with the technical and liaison phases of ships design and material. Records relating to the operation of naval vessels are covered in chapter 3; records relating to research and development matters are covered in paragraph 3900; records relating to the construction, maintenance, and conversion of vessels and other logistical records are covered in chapter 4.

9000 SHIP DESIGN AND SHIPS MATERIAL RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS:

(a) General correspondence files and other records accumulated by the Bureau of Ships that document its organization and the establishment, development, and accomplishment of plans, policies, programs, and procedures relating to the Bureau's assigned primary mission responsibilities. These consist of correspondence, reports, studies, and other records relating to the Bureau's primary mission.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 2 years old.)

* (b) General correspondence files of shipyards; ship repair facilities; industrial managers and assistant industrial managers; the Naval Unit, Edgewood Arsenal, Md. and all other BUSHIPS activities and offices: that portion of the files of the commander or commanding officer (centralized or decentralized) that contains the official documentation of the organization, policies, and essential or precedent program transactions of the activity.

Retention period: permanent. (Transfer to nearest Federal Records Center when 4 years old.)

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES (other than primary program records covered in para. 9000(1) above):

(a) Files relating to the routine internal operation and administration of the activity and of individual departments or other organizational units.

Retention period: 2 years.

(b) Other correspondence files of individual departments.

Retention period: 4 years.

(3) SHIPYARD OR STATION JOURNALS (or logs): maintained by stations in accordance with Navy Regulations. See para. 5750(5).

(4) SHIPS SEALS, WAX SEALS, AND HAND PRESS SEALS.

Retention period: until obsolete, worn out, or broken. (Destroy immediately. Do not turn in or forward such seals to another naval activity or to a Federal Records Center for disposition.)

(5) SUPERVISORS OF SHIPBUILDING, USN, AND NAVAL INSPECTORS OF MATERIAL. Apply para. 4355.

9010 SHIPS CHARACTERISTICS RECORDS

(1) SHIPS CHARACTERISTICS DATA: reference files maintained by activities. (See also para. 4700(3) and see para. 9020 for ships plans.)

Retention period: until superseded, or no longer needed, or vessel is stricken from Naval Vessel Register.

9020 VESSEL DESIGN RECORDS

(1) MASTER (DEPARTMENTAL) SHIPS PLANS FILES: accumulated by the Bureau of Ships for all naval vessels and ships machinery. Consist of plans prepared by the Bureau of Ships and plans forwarded to the Bureau by other originating activities and by contractors:

(a) Original plans and/or master microfilm (negatives): booklets of general plans, faired lines plans, inboard and outboard profile plans, and general arrangement plans (including machinery); related index cards.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when ship or all ships in a class are stricken from Naval Vessel Register.)

(b) All other plans.

Retention period: until ship or all ships in a class are stricken from Naval Vessel Register.

* (2) ACTIVITIES SHIPS PLANS, including tracings and reproductions, maintained by field activities.
Retention period: until obsolete or superseded, except when vessel is stricken handle as follows:

(a) forward tracings of faired lines plans, inboard and outboard plans, and all selected record plans or corrected work plans having titles the same as selected record to the Bureau of Ships (Code 237.);

(b) destroy reproductions of tracings described in (a) above, provided they are no longer needed locally;

(c) destroy tracings and reproductions of all other hull, machinery and electrical plans, provided they are no longer needed locally.

Notify the Bureau of Ships when (a) obsolete plans assigned a BUSHIPS number are destroyed, and (b) when superseded plans that have been replaced by plans assigned new BUSHIPS numbers are destroyed. The Bureau need not be notified when superseded plans that have been replaced by plans assigned the same BUSHIPS numbers are destroyed.

(3) REFERENCE FILES OF SHIPS PLANS (departmental and field).

Retention period: until superseded, obsolete, or no longer needed for reference.

(4) REQUESTS FOR DESIGN ACTION
Retention period: 6 months after request is filled.

(5) RECORDS OF WEIGHT AND MOMENT CHANGES for each vessel, including Weight Reports of New Construction of Vessels and daily planning reports: maintained by Planning Departments of BUSHIPS activities.

Retention period: 1 year.

(6) SHIPS CONSTRUCTION, MAINTENANCE, AND REPAIR (CASE) FILES. See para. 4700(3).

9030 SHIP READINESS RECORDS

(1) ACCEPTANCE TRIAL REPORTS AND UNDERWAY TRIAL REPORTS OF VESSELS. See para. 9080.

(2) OFF-HIRE AND ON-HIRE INSPECTION REPORTS.

Retention period: 2 years.

(3) RECORDS RELATING TO READINESS, INSPECTION, AND MAINTENANCE OF SERVICE CRAFT. See para. 4780.

9060 LAUNCHING RECORDS

(1) CORRESPONDENCE and related papers concerning the launching of newly constructed vessels. See paras. 9000(1) and (2).

9070 DOCKING RECORDS

(1) DOCKING REPORTS.

Retention period: 2 years.

9080 SHIP TRIALS RECORDS

(1) ACCEPTANCE TRIAL REPORTS AND UNDERWAY TRIAL REPORTS for newly constructed vessels: copies of reports of boards or sub-boards of inspection and survey maintained by BUSHIPS activities. Include related correspondence and papers.

Retention period: 3 years, or until superseded by new report, as provided in para. 4730(4).

9290 SEAWORTHINESS RECORDS

(1) REPORTS ON STABILITY, WATERTIGHT INTEGRITY, AND INCLINING VESSELS maintained by the Planning Department of BUSHIPS activities.

Retention period: permanent. (Transfer to nearest Federal Records Center when no longer needed for local reference or when activity is disestablished.)

9400 MACHINERY PLANT AND SYSTEMS RECORDS - GENERAL9440 PROPELLER RECORDS

(1) PROPELLER INSPECTION REPORTS for naval vessels.

Retention period: 3 years or until superseded, whichever is earlier.

9670 ELECTRONICS RECORDS

(1) GENERAL CORRESPONDENCE FILES of the Electronics Divisions or units of activities relating to their responsibilities for the inspection, repair, and installation of electronics equipment on naval vessels. Consist of equipment and test data, copies of station directives, and other records relating to shipboard electronics matters and shipboard integrated electronics systems.

Retention period: 4 years.

(2) ELECTRONIC EQUIPMENT INSTALLATION RECORDS; related or similar records.

Retention period: until superseded, until equipment is transferred to other control, or until final disposition of equipment.

9730 ARMAMENT OF SHIPS RECORDS

These records relate to the armament of ships and the maintenance and repair of ordnance material aboard ships. They are accumulated by the Ordnance Division of shipyards, facilities, and other activities concerned with the construction and maintenance of naval vessels.

(1) GENERAL CORRESPONDENCE FILES and reports relating to the installation, repair, and maintenance of ordnance aboard vessels.

Retention period: 3 years, or 6 months after the next succeeding

regular overhaul of vessel concerned, whichever is earlier.

(2) JOB PROGRESS AND CONTROL FILES relating to the planning, scheduling, progress, and completion of each ordnance job. Include data relating to workload calculations, job orders, shop completion reports, stock reports, delivery schedules, authorizations for ordnance work, and copies of inspections and tests conducted by inspectors of ordnance.

Retention period: 3 years, or 6 months after next succeeding regular overhaul of vessel concerned, whichever is earlier.

(3) CARD RECORDS SHOWING TECHNICAL STEPS TAKEN (or methods used) in the completion of each ordnance job.

Retention period: 3 years, or 6 months after next succeeding regular overhaul of vessel concerned, whichever is earlier.

(4) ARMAMENT DATA FOR MERCHANT VESSELS, comprising equipment cards, inspection and machinist reports, and storehouse receipts.

Retention period: 3 years after vessel is disarmed.

(5) GUN AND MOUNT CARDS, reporting on transfers, changes of guns and mount assemblies (such as NAVORD-40-A1, 40-A2, 40-A3) aboard vessels.

Retention period: 2 years.

(6) GENERAL AMMUNITION REPORTS, STAR GAUGE REPORTS, AND ANNUAL REPORTS of inventories of ordnance equipment at the activity.

Retention period: 2 years.

(7) 20MM AA GUN REPORTS, AA MACHINE GUN REPORTS, and other similar reports relating to ordnance equipment for naval vessels.

Retention period: 2 years.

(8) ORDNANCE PLANS AND DRAWINGS. Apply para. 8000(5).

(9) ALLOWANCE LISTS. See para. 4441.

(10) REPORTS, CORRESPONDENCE, AND OTHER RELATED RECORDS CONCERNING THE INSPECTION OF ORDNANCE ABOARD VESSELS. Apply para. 4355(1).

9790 SMALL ARMS AND LANDING FORCE
EQUIPMENT HANDLING AND STOWAGE
RECORDS

(1) SMALL ARMS REPORTS relating to equipment aboard naval vessels.
Retention period: 2 years.

9810 MINE, TORPEDO, AND BOMB PROTECTION RECORDS

(1) DEGAUSSING WATCH LISTS FOR VESSELS (other than copies in ship (case) files covered in para. 4700(3)).
Retention period: 1 year or until superseded, whichever is later.

(2) TORPEDO EQUIPMENT REPORTS, including inventory reports, relating to torpedo equipment aboard naval vessels.

Retention period: 2 years.

9820 SMALL BOAT RECORDS

(1) SEMI-ANNUAL INVENTORIES OF SMALL BOATS (such as NAVAER-1993) prepared and accumulated by aeronautical activities; records, including reports and correspondence, relating to the use of small boats.

Retention period: 2 years.

9930 FIRE FIGHTING EQUIPMENT RECORDS

(1) FIRE PROTECTION AND FIRE FIGHTING RECORDS relating to vessels, buildings, and other facilities. Apply para. 11320.

9940 SHIP SALVAGE AND RELATED
EQUIPMENT RECORDS

(1) SHIP SALVAGE FILES:

(a) General correspondence files of activities or units relating to the operation and administration of ship salvage functions.

Retention period: 2 years.

(b) Daily reports of civilian salvage vessels: letter reports from contractors showing daily locations of salvage vessels belonging to and operated by private contractors.

Retention period: 1 year.

(c) Reports of operations of USN salvage vessels operated by private contractors under contractual terms; and reports of USN ARS class (Repair Salvage Ships) under charter to private concerns.

Retention period: 6 years after termination of contract.

(d) Reports of ship salvage claims cases, including status reports and semi-annual reports of current status of claims outstanding.

Retention period: 5 years, except retain final reports on salvage claims cases for 6 years after settlement or cancellation of case.

CHAPTER 10

GENERAL MATERIAL RECORDS

10000-10999

The records described in this chapter relate to general materials not covered in the specialized material series (such as ordnance, ships, aeronautical). They relate to personnel materials, general tools and machinery, electronic and electrical equipment, building materials, fuels, metals, photographic equipment and accessories, and other miscellaneous materials. They are accumulated throughout the Department of the Navy by activities performing specialized, technical, or other functions relating to these materials.

10000 GENERAL MATERIAL RECORDS - GENERAL

(1) BLUEPRINTS AND DRAWINGS of general equipment and material items. (See also para. 4121 for specification files):

(a) Original tracings or drawings (master copies only).

Retention period: indefinite, or until microfilmed and identification and mounting is completed.

(b) Master microfilm negatives.
Retention period: indefinite.

(c) Other Copies.

Retention period: until superseded, obsolete, or no longer needed for reference.

10100 PERSONNEL MATERIAL RECORDS - GENERAL

10110 PROVISIONS AND RATIONS (SUBSISTENCE) RECORDS

(1) ACTIVITIES PROVISIONS AND SUBSISTENCE REPORTS: reports and related records concerning the receipt, issue, inventory, and storage of provisions and rations. Include General Mess Operating Statements (such as NAVSANDA-45) used for reporting mess statements and receipt expenditures of general mess items; Provisions Ledgers (such as NAVSANDA-335) used to record, by quantity only, receipts, expenditures (transfers, surveys, sales,

and issues) and running balances on hand for each subsistence item; Combined Quarterly Invoice Returns of Provisions and Statements of Over and Under Issues (such as NAVSANDA-36); Stock Ledgers (such as NAVSANDA-305); and quarterly packaged operational records. (See para. 7280 for disposal of copies maintained by Navy regional accounts offices and para. 7323(1) for subsistence stores accounting returns and reports.)

(a) Subsistence Reports (such as * NAVSANDA-1059, requirement estimate reports, and quarterly packaged operational reports.

Retention period: 1 year.

(b) All other records.
Retention period: 2 years.

(2) SUBSISTENCE OPERATIONAL ANALYSIS REPORTS (such as NAVMC-10369-SD) and related papers. Apply para. 7323(1).

(3) RATION MEMORANDA, MESS RATION CREDITS, DAILY RATION REGISTERS, and other similar records, including Personnel Recapitulation and Mess Ration Credits and other forms used to report daily and monthly mess credits and to account for rations and monies (such as NAVSANDA-27, 925 and 926, and NAVMC-565-SD, 10298-SD and 584-SD).

Retention period: 6 months.

(4) FOOD SERVICE ADVISORY COMMITTEE RECORDS:

(a) Food Service Advisory Committee's (Official) File: maintained by the Navy Subsistence Office. Includes charter, organizational documents, membership lists, minutes of meetings, and official committee reports.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) All other papers.
Retention period: 1 year.

(5) GENERAL MESS MENUS (such as NAVSANDA-1080), bills of fare, and cooks work sheets (such as NAVMC-36-SD), and other similar forms used for local subsistence management purposes; related papers.

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Retention period: 6 months, except the Navy Subsistence Office will retain master menus for 1 year. (If needed, holiday menus may be retained for 1 year.)

(6) REFERENCE FILES: copies of uniform ration laws, Navy Food Service publications, Quartermaster Food and Container Institute reports, subsistence specifications and food standards, Navy recipes, menus, and other publications, catalogs, bulletins, pamphlets, brochures, and papers relating to provisions, rations, and subsistence: used only for reference or to facilitate local operations.

Retention period: until superseded, cancelled, obsolete, or no longer needed for reference.

10120 CLOTHING AND UNIFORM RECORDS

(1) CLOTHING REQUISITION AND RECEIPT RECORDS (such as Requests for Issue or Turn-in, DD-1150). See paras. 4235 and 1070(22).

(2) CUSTODY RECEIPTS FOR CLOTHING ISSUES.

Retention period: until clothing is returned.

(3) CLOTHING STORES RETURNS. See paras. 7330(1) and 7280.

(4) NAVAL UNIFORM SHOP RECORDS. These are records accumulated only by the Naval Uniform Shop, Brooklyn, N. Y.:

(a) Customer correspondence.
Retention period: 1 year.

(b) Remittance correction requests: records of return of checks to individuals because of irregularities.

Retention period: 1 year.

(c) Daily records of packages shipped, used as records of reconciliation for outgoing packages to invoices; copies of.
Retention period: 2 years.

(d) Invoices submitted by individuals (customers) and used to verify payment; adding machine tapes verifying checks received; and daily records of completed orders reflecting turnover production and details of what has been produced.

Retention period: 2 years.

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(e) Cash register tapes of cash sales in Uniform Shop.

Retention period: 6 months after completion of internal audit.

(f) Financial analysis reports: summary records pertaining to forecasting, analysis of sales, and cost of manufacturing.
Retention period: 10 years.

(g) Clothing measurement records, used for naval personnel reordering purposes.

Retention period: 4 years, except retain permanently records of distinguished personnel; e. g., Fleet Admiral Halsey.

(h) Returned merchandise credit invoices showing readjustments to individual accounts.

Retention period: 6 months.

(i) Uniform and Equipment Adjustment Records (such as 3ND-NUS-10123-5): records of alterations, defects, and adjustments.

Retention period: 6 months.

(5) CLOTHING ISSUE RECORDS maintained by military personnel departments. See para. 1070(22).

10170 INSTRUCTION AND TRAINING EQUIPMENT RECORDS

(1) INSTRUCTION AND TRAINING COURSE MATERIALS.

Retention period: until superseded, obsolete, or no longer needed, except originating training activities will retain master copy of each official training course, syllabi, or other materials when they relate to general training programs or techniques and not local, routine training operations.

10171 TRAINING AIDS AND DEVICES RECORDS

(1) DRAWINGS, REPRODUCIBLES, BLUEPRINTS, VANDYKES, AND TRACINGS of technical training devices and aids:

(a) Originals (master file).
Retention period: permanent. (Transfer to nearest Federal Records Center when device becomes obsolete or is no longer needed for local reference purposes.)

(b) All others.

Retention period: until superseded, obsolete, or no longer needed.

(2) TRAINING DEVICES CENTER PRIMARY PROGRAM RECORDS. See para. 3900.

10290 TOOL EQUIPMENT RECORDS

(1) RECORDS RELATING TO USE, MAINTENANCE, AND REPAIR OF TOOLS AND GAUGES; calibration records; related papers.

Retention period: 3 years.

(2) SPECIFICATION FILES. See para. 4121.

(3) TOOL REPAIR HISTORY CARDS: these cards list major repairs to each tool.

Retention period: until tool is reported as disposition.

(4) SPECIAL ORDNANCE TOOLING (PRODUCTION) RECORDS. See para. 4870.

10310 METALS RECORDS

(1) PHOTOMICROGRAPHS OF METALS used in the manufacture of naval weapons and materials and accumulated by naval ordnance plants.

Retention period: permanent.

10330 CHEMICAL AND GAS RECORDS (OTHER THAN WARFARE RECORDS)

* (1) TECHNICAL CHEMICAL REPORTS: official copies of reports maintained by the Naval Unit, Edgewood Arsenal, Md. One copy of each.

Retention period: permanent.
(Transfer to Federal Records Center, Alexandria, Va. when no longer of local research or training value.)

* (2) GENERAL CORRESPONDENCE FILES OF THE COMMANDING OFFICER, NAVAL UNIT, EDGEWOOD ARSENAL, Md. Apply para. 9000(1).

10332 CONCRETE RECORDS

(1) STRENGTH AND OTHER TEST RECORDS for concrete used in construction work by public works activities. See para. 11013(2).

10340 FUEL RECORDS

(1) FUEL REPORTS: copies of reports relating to the receipt, issue, inventory, replenishment, consumption, and requirements of fuel products submitted to higher authority. Include fuel loading and discharge reports.

Retention period: 2 years, except retain fuel requirements estimate reports for 1 year.

(2) SLATES (listings) showing fuel inventories, storage, consumption, requirements, and planning data for petroleum.

Retention period: 1 year, except retain bulk petroleum products slates for 2 years.

(3) OTHER FUEL REPORTS received for informational purposes or used as local working papers. Include local statistical reports.

Retention period: until superseded or cancelled or until purpose has been served.

10342 PROPELLANTS RECORDS

* (1) PERFORMANCE TEST RECORDS, including manufacturing test sheets, for lots or batches of powder or other propellants. These are accumulated by plants, laboratories, or manufacturing facilities. (See para. 4430 for inspection receipt (acceptability) records.)

Retention period: until material involved is withdrawn from service.

(2) NAVAL PROPELLANT PLANT, INDIAN HEAD, MARYLAND RECORDS:

(a) General correspondence files of the commanding officer that document the Plant's organizational history and the overall development and execution of plans, policies, programs, procedures, and essential transactions relating to its assigned responsibilities for the development and manufacture of propellants.

Retention period: permanent, as provided in para. 8000(1).

(b) Other correspondence files.
See para. 8000(2).

10460 OFFICE EQUIPMENT AND SUPPLY RECORDS

(1) MACHINE UTILIZATION REPORTS and other records relating to requirements and justifications for office machines and equipment:

Retention period: 2 years.

10500 NAVIGATIONAL AND MOORING AIDS RECORDS - GENERAL

10550 ELECTRONICS RECORDS

(1) ELECTRONICS MATERIAL AND COMPONENTS EQUIPMENT LOG BOOKS OR EQUIPMENT HISTORY CARDS.

Retention period: transfer with equipment; destroy when equipment is expended.

(2) ELECTRONIC ENGINEERING EQUIPMENT DRAWINGS AND PLANS FILES or microfilm copies thereof. See para. 10000(1).

* (3) AVIATION ENGINEERING SERVICE UNIT RECORDS:

* (a) General correspondence files, including assignment planning records of the Aviation Engineering Service Unit (NAESU) and its field engineers. These records pertain to the furnishing of on-the-job technical assistance and instructions to naval aviation activities in the installation, repair, and maintenance of electronic and electrical equipment.

Retention period: 3 years.

(b) Technical electronics reports prepared by NAESU field engineers.

Retention period: 2 years, provided any required corrective action has been taken.

(c) NAESU field engineers qualification and data card records.

Retention period: until superseded or obsolete.

CHAPTER 11

FACILITIES AND ACTIVITIES ASHORE RECORDS

11000-11999

The records described in this chapter relate to the planning and design, construction, acquisition, development, maintenance, administration, and disposition of structures and facilities ashore, including fleet facilities, heavy equipment and transportation facilities, real estate and housing, and power and other utilities and services for activities and structures. These records are accumulated by public works activities and by other activities and offices responsible for or performing public works type or related functions described in this chapter.

11000 FACILITIES AND ACTIVITIES ASHORE RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS:

* (a) Departmental files, including general correspondence files, master shore station development and military construction plan files with supporting papers, and other records accumulated by the Assistant Secretary of the Navy (I & L) the Office of Naval Material, and the Bureau of Yards and Docks relating to their assigned primary program responsibilities for the development, execution, and accomplishment of plans, policies, programs, and procedures for the planning, design, acquisition or development (construction), maintenance, and management of structures and facilities ashore, including fleet facilities, plant facilities, housing, transportation, and utilities and services. Include also records of the Chief of Naval Operations, Headquarters Marine Corps, and other departmental material bureaus and offices relating to assigned program responsibilities in this area.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. or to other authorized storage area when 2 years old.)

(b) Military Construction Review Board's (formerly Shore Station Development Board), Washington, D. C., program files: general correspondence files and other records documenting the overall development and execution of plans, policies, procedures, and the performance

of essential transactions. Include master development and construction plan files and supporting records. (See para. 11010 for records of district military construction review boards.)

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 5 years old.)

(c) Records of civil engineers offices, headquarters naval districts and river commands, and other major commands relating to the construction program of the district or command and to overall planning aspects of civil engineering matters.

Retention period: permanent. (Merge with district or command headquarters general correspondence files covered in para. 3000(1) or transfer to nearest Federal Records Center when 4 years old.)

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES: correspondence and related records of public works offices and of other activities and offices performing public works type functions:

(a) Files that document the overall operation of the activity or office and the accomplishment of its assigned public works mission.

Retention period: 5 years.

(b) Files relating to the routine internal operation and administration of the office.

Retention period: 2 years.

(3) STATION FACILITIES REPORTS submitted to departmental bureaus or offices or other higher authority. Include Quarterly Station Reports of Aviation Facilities and On-Board Aircraft and Personnel (such as BUDOCKS report symbol 11000).

Retention period: 2 years.

(4) FACILITIES HISTORY CARDS. Retention period: until building or facility is reported as disposition.

(5) ADVANCE PLANNING REPORTS AND DESIGN FILES. See para. 11012(2).

11010 SHORE STATION DEVELOPMENT AND MAINTENANCE RECORDS

(1) MILITARY CONSTRUCTION REVIEW BOARDS (FORMERLY SHORE STATION DEVELOPMENT BOARDS) GENERAL CORRESPONDENCE FILES (other than those at the Washington, D. C. office covered in para. 11000(1) above): correspondence, reports, and other records that document the accomplishments of the boards' assigned responsibilities:

(a) That portion of the files that documents the overall accomplishment of military construction plans, policy transactions or decisions, and essential transactions of unusual importance.

Retention period: permanent, as provided in para. 11000(1)(b) above.

(b) Correspondence files and other records relating to routine internal operations.

Retention period: 2 years.

(c) Other files.

Retention period: 5 years.

(2) SHORE STATION CONSTRUCTION AND DEVELOPMENT MASTER PLAN FILES: military construction review boards and shore station development boards master development plans and supporting papers:

(a) Official master plan files accumulated at the departmental (bureau and office) level. Include master set of all plans and supporting documentation and related index records.

Retention period: permanent, as provided in para. 11000(1)(b) above.

(b) Other plan files.

Retention period: until plan is superseded or cancelled.

(3) INDEX OR LISTINGS OF YARDS AND DOCKS NUMBERS ASSIGNED CONSTRUCTION CONTRACTS, PLANS, AND MISCELLANEOUS DRAWINGS.

Retention period: permanent.

(4) CONTRACTORS QUALIFICATION RECORDS: reports and other records of military construction review boards and others relating to evaluation of the financial, physical, and other qualifications of contractors. See para. 4335(1).

11011 REAL ESTATE PROPERTY RECORDS

* (1) CORRESPONDENCE AND OTHER RECORDS DOCUMENTING THE ACQUISITION OF LAND AND APPURTENANCES acquired with the land. Consist of such records as preliminary reports of title; letters of approval; declarations of taking or of condemnations; certificates of titles, deeds, easement records; transfer of title papers; site maps and plot plans; sketches; records relating to naming of buildings, streets, and areas, the assignment of numbers to buildings, and the use/designation of buildings; other pertinent papers.

Retention period: permanent. (Transfer to nearest Federal Records Center upon disestablishment of activity.)

(2) REAL ESTATE RECORDS NECESSARY OR CONVENIENT FOR THE USE OF PROPERTY OR EQUIPMENT SOLD OR TRANSFERRED to other custody. Include such records as copies of site maps and surveys, plot plans; architect's sketches, working diagrams, preliminary drawings; blueprints; copies of utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records; copies of title papers; and other similar or related papers needed by new custodian for proper maintenance and management of property.

Retention period: until completion of sale or transfer to other custody or until acceptance of purchase money mortgage, then transfer to new custodian, provided that

(a) those documents designated as permanent Navy records can be readily segregated without harm from the records to be transferred; and

(b) no responsibility attaches to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance; and

(c) if the property or equipment is released for historical use or purpose the user agrees to preserve the records and return them to the Federal Government immediately upon the discontinuance of the use of the property or equipment for historical purposes.

(3) PLOT PLANS, SITE MAPS AND SURVEYS, AND OTHER DRAWINGS OF

NAVY REAL ESTATE. These are prepared and accumulated by the Bureau of Yards and Docks, Headquarters Marine Corps, district, overseas, and area public works offices, and other activities responsible for the acquisition or administration of real estate. Include copies of pertinent maps of the Department of the Interior, the Coast and Geodetic Survey, and State Highways, or other state or local maps.

Retention period: permanent, except when property is sold or transferred to other custody see para. 11011(2) above for disposal of records needed by new custodian for proper use and maintenance of property.

(4) REAL ESTATE PLANNING FILES: papers relating to the preliminary plans for real estate acquisition, such as copies of preliminary appraisal reports, activities recommendations or justifications regarding acquisitions, pertinent engineering and cost data, and other background or planning data essentially summarized or documented in permanent real estate acquisition files.

Retention period: 1 year after completion of acquisition.

(5) INDEX CARD RECORDS OF NAVAL REAL ESTATE: reflect such information as location, parcel numbers, acreage, or brief description of property.

Retention period: permanent.

(6) PROJECT REFERENCE OR WORKING FILES: copies of plot plans, appraisal assignments, engineering and other reports and data, contracts, and other working or information papers accumulated for convenience of reference while project is in progress.

Retention period: 1 year after project is completed.

11012 DESIGN AND PLANNING RECORDS

(1) DRAWING OR PLAN FILES: drawings, plans, and/or master microfilm negatives, together with pertinent engineering data, for the layout and design of naval activities ashore, and for the development, redesign, or improvement of structures (buildings) or other facilities or services (electrical wiring, machinery, etc.):

(a) Original or master drawing or tracing and/or master microfilm negative thereof, and required engineering data. These are accumulated by departmental and field activities having design cognizance.

Retention period: permanent. (Transfer to nearest Federal Records Center when no longer needed for frequent local reference.)

(b) All other copies.

Retention period: until superseded or obsolete, or until purpose has been served, except when plans become obsolete because structures or facilities are disposed of by sale or transfer, transfer one copy of pertinent plans with the building or machinery (see para. 11011(2) above.)

(c) Assignment logs: records of plan file serial numbers assigned to the Bureau of Yards and Docks and BUDOCKS field activities; and index cards to permanent plan files.

Retention period: permanent.

(2) ADVANCE PLANNING REPORTS: preliminary schematic drawings, outline specifications, and cost estimates pertaining to the scope, general features, utilities, and cost of proposed military construction or public works projects.

Retention period: 10 years.

(3) DEVELOPMENT PLANNING FILES:

(a) General Development Plans for major naval activities of the districts. (These usually form Part III, Section 2, of the Military Construction Review Report or the Master Shore Station Development Plan Report.)

Retention period: until superseded, as provided in para. 11010(2).

(b) General (Annual) Plans. These consist of copies of recommended or approved drawings or plans for the future development of or improvements to existing Navy and Marine Corps facilities. (See para. 3010 for civil defense emergency and mobilization plans.)

Retention period: until superseded or obsolete, as provided in para. 11010(2) above.

(4) TECHNICAL DATA REFERENCE FILES: catalogs, charts, copies of technical reports and data, and other background papers used in developing plans and specifications.

Retention period: until superseded or until data becomes obsolete.

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(5) FACILITIES SUMMARIES FOR OVERSEAS BASES (such as NAVDOCKS-1880-1 through 1880-82).

Retention period: until superseded.

(6) DESIGN COMPUTATIONS: essential design data contained in computation books or folders and developed in connection with the design of facilities or structures.

Retention period: permanent. (See also para. 11012(1).)

(7) DESIGN COST ESTIMATORS PROJECT (CASE) FILES: detailed breakdown computations and data for facilities construction and design projects. May include basic calculations and summary labor and material cost data, detail construction material breakdowns, internal memoranda, blueprints, and other similar data and correspondence pertinent to project cost determinations.

Retention period: 5 years after completion of project.

11013 SHORE STATION CONSTRUCTION RECORDS

(1) CONSTRUCTION CONTRACT DRAWINGS:

(a) Original, endorsed reproduction, or other master copy of essential contract construction drawings, or master microfilm negatives when drawings are filmed. Include approved contractors dimensional drawings and pertinent design computation data (books or folders). These are accumulated and/or prepared by the Bureau of Yards and Docks, district public works offices, area public works offices, BUDOCKS Overseas Divisions, and Marine Corps and other activities having construction cognizance of projects.

Retention period: permanent. (Transfer in annual blocks to nearest Federal Records Center when no longer needed for frequent local reference.)

(b) Blueprints and other copies, including drawings prepared for other than construction purposes, and construction, alteration, and repair drawings not used.

Retention period: until superseded or purpose has been served, e. g., it is determined drawings will not be needed for local construction or re-design purposes.

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(2) FIELD SURVEY, TEST, AND EXPLORATION DOCUMENTS: field survey notes or reports and other summary records of exploration data, including pile driving data; soil density data; summary concrete and other material test and strength evaluation records; other exploration data having continuing scientific or technical research value.

Retention period: permanent. (Transfer to nearest Federal Records Center when activity is disestablished or when no longer needed for frequent local reference.)

(3) CIVIL WORKS AND CONSTRUCTION STATUS REPORTS: copies of reports and related papers pertaining to status of construction work projects. (See para. 4200 for construction procurement reports.)

Retention period: 1 year after termination of contract.

(4) LABOR STANDARD INSPECTION REPORTS, AND CONTRACTORS WEEKLY PAYROLL AFFIDAVITS (such as NAVDOCKS-118); copies of. See para. 4350.

(5) CIVIL WORKS AND CONSTRUCTION CONTRACT RECORDS, including correspondence relating to the administration of the contracts. See para. 4280.

(6) INSPECTION REPORTS. See para. 4355 for material inspection copies; see para. 4280 for copies supporting contract files.

(7) ALL PHOTOGRAPHS AND NEGATIVES in the possession of officers in charge of construction and resident officers in charge of construction of (1) closed construction contracts for which a final decision of the contracting officer on a dispute has been received, or (2) construction contracts in which a final release reserving a claim has been received, or (3) construction contracts for which a decision of the Armed Services Board of Contract Appeals has been received.

Retention period: 2 years in accordance with para. 3150, except as follows: forward one construction progress photograph and negative of each construction print to the Chief, Bureau of Yards and Docks (Code A-364). The Chief, Bureau of Yards and Docks (Code A-364) will retain until 6 years after final decision and then destroy,

unless the DPWO or the OICC specifically requests the negatives be returned at the expiration of the 6-year period or until the Bureau determines that they have continuing documentary or historical value.

(8) CONSTRUCTION (COST REIMBURSEMENT-TYPE) CONTRACT RECORDS.

Retention period: apply para. 4280 except that original payrolls and certain other records similar to those listed below may be forwarded to the General Accounting Office when transfer is requested by the GAO and is directed by the Bureau of Yards and Docks:

Weekly Payrolls, Summary Sheets, and Contractors Weekly Payroll Affidavits (such as NAVDOCKS-FC-110, 110a, 118)
Certificates of Evidence of Payment (such as NAVDOCKS-FC-123)
Purchase Orders and Purchase Change Orders (such as NAVDOCKS-FC-204, 212)
Reimbursement Requests (such as NAVDOCKS-FC-308)
Petty Cash Vouchers (such as NAVDOCKS-FC-408)
Equipment Rental Schedules and Equipment Rental Agreements with Recapture Provision (such as NAVDOCKS-508, 513)

Supporting cost records, such as those listed below, are to be transferred to nearest Federal Records Center 6 months after completion and upon receipt of shipping instructions from the Bureau of Yards and Docks:

Hiring Slips (such as NAVDOCKS-FC-102)
Changes of Rates (such as NAVDOCKS-FC-103)
Transfer Slips (such as NAVDOCKS-FC-104)
Discharge Slips (such as NAVDOCKS-FC-105)
Daily Time Check Sheets (such as NAVDOCKS-FC-107)
Daily Overtime Reports (such as NAVDOCKS-FC-115)
Unclaimed Wages Registers (such as NAVDOCKS-FC-117)
Weekly Time Sheets (such as NAVDOCKS-FC-119)

Daily Office Time Sheets (such as NAVDOCKS-FC-120)
Requests for Bids (such as NAVDOCKS-FC-202)
Bid Comparisons (such as NAVDOCKS-FC-203)
Receiving and Inspection Reports (such as NAVDOCKS-FC-205)
Memorandum Invoices (such as NAVDOCKS-FC-217)
CPFF Subcontract Ledgers (such as NAVDOCKS-FC-306)
Leave Records (such as NAVDOCKS-FC-307)
Price Control Cards (such as NAVDOCKS-FC-309)
Annual Leave Records (such as NAVDOCKS-FC-313)
Transmittal Summaries (such as NAVDOCKS-FC-411)
Reports of Expenditures through Naval Procurement Fund (such as NAVDOCKS-FC-415)
Memorandum Statement of Transfers between Appropriations (such as NAVDOCKS-FC-415a)
Individual Equipment Receiving and Inspection Reports (such as NAVDOCKS-FC-501)
Equipment Registration Records (such as NAVDOCKS-FC-517)
Summary Cost and Progress Reports (such as NAVDOCKS-FC-1001)
Status of Public Works Projects (such as NAVDOCKS-FC-1006)
Progress Reports—Civil Works (such as NAVDOCKS-FC-1007)

11014 SHORE STATION MAINTENANCE RECORDS

(1) GENERAL CORRESPONDENCE FILES of activities and offices relating to shore station maintenance programs. Include engineering survey reports and related data and papers.

Retention period: 2 years.

(2) LOCAL CONTROL OR PROGRESS RECORDS relating to shore station maintenance work: local equipment operation and installation logs; other similar records.

Retention period: 1 year.

(3) EQUIPMENT UPKEEP AND PREVENTIVE MAINTENANCE LOGS AND RECORDS. See para. 4750.

(4) OTHER MAINTENANCE, UPKEEP, AND REPAIR RECORDS. See 4700-4799 series.

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(5) PREVENTIVE MAINTENANCE
WORKSHEETS

Retention period: until superseded
or purpose has been served.

11015 SOIL CONSERVATION AND
EROSION RECORDS

(1) SOIL DENSITY AND OTHER RE-
PORTS accumulated in connection with con-
struction design and planning. Apply para.
11013(2).

11016 PLANT PROPERTY RECORDS

(1) GENERAL CORRESPONDENCE
FILES, including reports and other papers,
relating to the maintenance of machinery
and equipment and other plant property.

Retention period: 2 years.

(2) PLANT PROPERTY ACCOUNT-
ING RECORDS. See para. 7321.

11090 DAMAGE CONTROL RECORDS

(1) PEST CONTROL AND OTHER
ENTOMOLOGICAL REPORTS AND REC-
ORDS, including local records relating to
pest control and the collection or identifi-
cation of insects and anthropoids.

Retention period: 2 years.

11100 STRUCTURE AND FACILITY
RECORDS - GENERAL

(1) DRAWINGS OR PLANS (including
blueprints, etc.) of structures (buildings):
copies of drawings or plans for each build-
ing or other structure at a naval activity or
other installation, including plans for lay-
out, machinery, and electrical wiring.
Apply para. 11012(1).

(2) STRUCTURE OR FACILITY
(HISTORY) RECORDS: cards or other sim-
ilar records that document the physical
features, placement, and nature of Gov-
ernment structures—master file (one copy
only).

Retention period: permanent. (Retain
on board until activity is disestab-
lished.)

(3) FACILITIES REFERENCE FILES:
information copies of publications, photo-
graphs, charts, engineering drawings and
data, brochures, plans, and other docu-
ments relating to available facilities and
structures. Used as a ready reference

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file in connection with facilities planning,
management, control, or other similar
purpose.

Retention period: until superseded by
later information or until facility is
disestablished.

11101 HOUSING RECORDS

(1) GENERAL CORRESPONDENCE
FILES of activities and offices concerned
with the performance of housing manage-
ment functions, including the maintenance
and administration of housing projects and
related matters. (Exclude records relating
to the acquisition, construction, or dispo-
sition of housing facilities and records doc-
umenting general housing policies or
precedent-setting decisions or transactions
that may have historical significance.
These are permanent records.)

(a) Files relating to the routine
internal operation and administration of
housing matters, including the assignment
of housing or quarters.

Retention period: 2 years.

(b) Other correspondence files,
including those relating to the overall man-
agement of housing programs and to the
alteration, extension, or improvement of
local housing.

Retention period: 5 years.

(2) RECORDS PERTAINING TO THE
DESIGNATION OF HOUSING FOR SPECIFIC
BILLET OCCUPANCY, including related
correspondence or papers.

Retention period: until superseded or
appropriate action has been taken.

(3) TENANT (HOUSING OCCUPANCY)
FOLDERS: records relating to rental and
occupancy of individual housing units (in-
cluding public quarters, rental housing,
trailers and trailer sites) and containing
papers such as applications for housing,
assignment slips or quarters occupancy
notices, vacating notices, memoranda and/
or property receipts, tenants requests
for permission to install personally-owned
equipment and replies thereto, clearance
sheets, unit and furniture inspection docu-
ments submitted by tenants, notices of
termination of agreements, and related
correspondence and papers.

Retention period: 4 years after ten-
ant vacates, provided no litigation is
pending.

(4) REPORTS OF EXCESSIVE WEAR AND DAMAGES TO MARRIED OFFICERS AND ENLISTED MENS QUARTERS: copies of reports submitted to Bureau of Yards and Docks or other higher authority.

Retention period: 4 years.

(5) INDIVIDUAL HOUSING UNIT HISTORY (CASE) FILES: records documenting the occupancy, maintenance, and repair of individual rental housing units and of public quarters. Consist of individual unit record cards (occupancy history cards, major maintenance history cards, and recurring maintenance history cards); summary records of alterations, improvements, and extensions to quarters, including dates, brief descriptions, and costs; other similar or related papers.

Retention period: 4 years after unit is removed from Naval cognizance.

(6) ACCOUNTABILITY RECORDS for dollar allowance limitations for structural maintenance and for repair and replacement of furniture and furnishings of married officers quarters.

Retention period: 4 years.

(7) INDIVIDUAL AGREEMENTS FOR HOUSING (such as NAVDOCKS-1662) and supporting papers.

Retention period: 4 years after tenant vacates, provided no litigation is pending.

* (8) TENANT LEDGER ACCOUNT CARDS or other similar records containing summaries of occupancy and rental data for each tenant.

Retention period: 2 years after tenant vacates, except 4 years for Marine Corps activities.

(9) RECEIPT AND COLLECTION RECORDS for naval housing. See para. 7270(1) and other appropriate provisions of chapter 7.

(10) MASTER INVENTORY RECORDS of Government-owned equipment and furniture, by individual unit or centralized pool (such as NAVDOCKS-15 and 15a).

Retention period: permanent.

* (11) LOCAL HOUSING CONTROL RECORDS: card, log, or other records of applicants or of housing (occupancy) assignments; waiting lists; and other similar local control records.

Retention period: waiting lists and applicant data cards--until applicant is transferred; other records--until superseded or no longer needed for

local control purposes, except Marine Corps activities will retain log books of applicants for 2 years.

(12) REPORTS RELATING TO HOUSING MANAGEMENT, including housing units, public quarters, rental housing, trailers, and trailer sites: copies of reports submitted to higher authority, such as Navy Title VIII Housing Monthly Occupancy Reports (such as NAVDOCKS-1886 and NAVMC-10215-SD).

Reports on Operations under Bureau of Budget Circular #A45 relating to rental policy for Government quarters, and other rental housing reports (such as NAVDOCKS-367, NAVMC-10232-SD, and NAVMC-10081-SD).

Shore Based and Fleet Family Housing Requirements (such as NAVEXOS-3948)

Reports to Public Housing Authority on Defense Housing (such as PHA-1235D, 621D, 2009D).

Reports of Personnel Housing Facilities (such as NAVDOCKS-1113)

Reports of billeting capacities
Other similar reports; related papers and correspondence.

Retention period: 2 years.

11130 AVIATION STRUCTURES AND FACILITIES RECORDS

(1) REPORTS OF STATION AVIATION FACILITIES AND PERSONNEL (such as NAVAER-1790 series): copies of reports submitted to higher authority.

Retention period: until superseded.

11140 ORDNANCE STRUCTURES AND FACILITIES RECORDS

(1) CORRESPONDENCE, PLANS, AND OTHER RECORDS PERTAINING TO THE DEVELOPMENT, DESIGN, AND CONSTRUCTION OF ORDNANCE FACILITIES, including guided missile and ballistic ranges, wind tunnels, and other ballistic or aeroballistic facilities. Apply pertinent provisions of this chapter.

11200 TRANSPORTATION FACILITIES, HEAVY EQUIPMENT/TACTICAL VEHICLE RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES of activities and offices pertaining to the performance of functions relating to the

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use, procurement, and maintenance of transportation facilities and equipment, including automotive vehicles and railroad equipment, and automotive, construction and materials handling equipment. (Exclude primary program records covered in para. 11000(1).)

Retention period: 6 years, except that construction force activities may destroy when 3 years old.

- * (2) **OPERATION AND MAINTENANCE REPORTS** submitted to higher authority: copies of reports relating to the utilization and performance of operation and maintenance functions for transportation equipment and construction and other heavy equipment, including motor vehicles.

(a) School Bus Facilities Operating Reports (such as NAVDOCKS-1820).

Retention period: 3 years.

(b) All others.

Retention period: 2 years.

(3) **LOCAL REPORTS AND RECORDS RELATING TO EQUIPMENT ALLOWANCES** (such as NAVDOCKS-1697 and 1806) for construction, firefighting, railroad, utility and weight-handling and other equipment. (See para. 4423(2) for allowance lists.)

Retention period: 3 months or until superseded, whichever is later.

- * (4) **MOTOR TRANSPORT VEHICLE FILES:** vehicle record folders and other records pertaining to the maintenance and operation of tactical vehicles. Consist of such records as Dispatch Control Cards (NAVDOCKS-1952); copies of property record cards and work orders; vehicle and equipment operational records (DD-110); preventive maintenance schedules and records (NAVDOCKS-1949); and other similar or related documents:

* (a) Vehicle and equipment operational records (such as DD-110).

Retention period: 1 month, provided vehicle has not been involved in an accident. Retain preventive maintenance service portion of record until corrective action has been taken.

* (b) Preventive maintenance service and inspection records (such as NAVMC-10490-SD and 10491-SD).

Retention period: until completion of next 12,000 mile/1200 hour inspection.

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* (c) Limited technical inspection reports (such as NAVMC-10284-SD).

Retention period: until superseded, or until vehicle is overhauled or reported as disposition.

* (d) Work requests or orders and shop and tactical equipment repair orders (such as NAVDOCKS-1948 and NAVMC-10245-SD)--copies of; check-off sheets; other related or similar records.

Retention period: repair orders--until vehicle is reported as disposition, except 1 year for Marine Corps activities; other records--1 year, or 6 months after completion of work. (See also paras. 4235(1) and (2) for other copies.)

* (e) Property record cards. See para. 7321.

* (f) Other motor vehicle records, including Marine Corps Motor Vehicle Record Folders (NAVMC-696d-SD), Vehicle PM Schedule and Record (such as DD-314 and NAVDOCKS-1949); and Automotive Vehicle Dispatch Control Cards (such as NAVDOCKS-1952); records of loans of vehicles; maintenance report summary sheets. (See para. 11230(1) for Railroad and Construction Equipment Dispatch Control Cards.)

Retention period: until vehicle is reported as disposition, except 1 year after disposition for MARCORPS activities. When vehicle is transferred, transfer with vehicle.

* (5) **ENGINEER EQUIPMENT (CASE) FOLDERS** for engine or motor driven engineer equipment (wheeled, tracked, skid mounted, engine or electric driven):

* (a) Equipment Record Folders and related Engineer, Item, Age, and Cost Records (such as NAVMC-10332-SD and 696d-SD).

Retention period: until disposition of equipment, except Marine Corps activities will forward Cost Record (NAVMC-10332-SD) to Commandant of the Marine Corps (CSX-4) when equipment is ordered to redistribution and disposal.

(b) Unsatisfactory Equipment Report.

Retention period: until corrective action has been taken. If equipment is transferred before corrective action

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has been completed, transfer Report and Equipment Record Folder with equipment.

- * (c) Operational logs (such as DD-110).
Retention period: until completion of next quarterly preventive maintenance service.

- * (d) Work requests, job orders, and turn-in and issue slips: copies used to post to Engineer, Item, Age, and Cost Record.

Retention period: until material is received and cost data recorded. See para. 4235 for other copies.

- * (e) Work sheets pertaining to maintenance of equipment.
Retention period: until completion of next quarterly preventive maintenance service.

- * (6) VEHICLE SPEED-TIME FACTOR ANALYSES (such as NAVDOCKS-1995) and Vehicle Speed-Time Factor Summaries (such as NAVDOCKS-1996); related papers.
Retention period: 3 months, or until superseded, whichever is later.

- * (7) LOCAL VEHICLE INVENTORY AND COST DATA REPORTS and related records: maintained to provide operating, maintenance cost, and utilization information to the Bureau of Yards and Docks, Headquarters Marine Corps, or other higher authority.

Retention period: 2 years, except 1 year for inventories and 3 years for cost and utilization reports.

- * (8) AUTOMOTIVE/CONSTRUCTION EQUIPMENT TECHNICAL CONTROL EAM CARDS (such as NAVDOCKS-1975).

Retention period: until vehicle is transferred or sold.

- * (9) PREVENTIVE MAINTENANCE FILES: PM Service and Inspection—Inspection Construction and Allied Equipment Forms (such as NAVDOCKS-2009); PM Service and Inspection-Railroad Card Forms (such as NAVDOCKS-2010); PM Service and Inspection Weight-Lifting Mechanical Records (such as NAVDOCKS-2014); and PM Service and Inspection—Construction and Allied Equipment, Gasoline and Diesel Engine Records (such as NAVDOCKS-2161).

Retention period: 1 year or 6 months after inspection, whichever is later.

- * (10) TRANSPORTATION FACILITIES FILES: Activity Transportation Analyses (such as NAVDOCKS-1962) and related correspondence.

Retention period: 1 year after termination of facility.

11230 RAILWAY AND ROLLING STOCK RECORDS

- * (1) CONSTRUCTION AND RAILROAD EQUIPMENT DISPATCH RECORDS: Construction and Railroad Equipment Dispatch Control Cards (such as NAVDOCKS-1952) and related records such as Dispatchers' Work Sheets, Conductors' Records, copies of Records of Shipments (Railroad) Received; other similar records.

Retention period: 6 months, except Construction Force activities will retain for 3 months.

- (2) CORRESPONDENCE FILES of activities and offices relating to the assignment, procurement, and maintenance of railroad equipment. Apply para. 11000(2).

11240 AUTOMOTIVE (MOTOR/COMMERCIAL VEHICLE) RECORDS

- * (1) AUTOMOTIVE UTILIZATION, OPERATION, AND MAINTENANCE RECORDS: correspondence and other records relating to the utilization, operation, and maintenance of automotive vehicles. Include such records as Automotive Vehicle Utilization Summaries (NAVDOCKS-2040); Maintenance and Running Cost Reports for Automotive, Materials Handling Equipment, and Construction and Allied Equipment (NAVDOCKS-2056, 2061, and 2068); Transportation Maintenance—Overhead Analyses (NAVDOCKS-2057); Maintenance Cost Reports (NAVDOCKS-2059); Materials Handling Equipment Cost Reports (NAVDOCKS-2060); daily Vehicle Trip Reports, mileage reports; records pertaining to gasoline usage; credit cards; other similar or related papers and correspondence. (See also paras. 11200(4) and 11240(10) for Marine Corps tactical and other motor vehicle folders.)

Retention period: 1 year, except 3 months for records relating to individual vehicles and 3 years for operating/maintenance cost and utilization reports pertaining to Marine Corps commercial vehicles.

- (2) U. S. GOVERNMENT CERTIFICATES OF RELEASE OF MOTOR VEHICLES (such as Std-97).

Retention period: 1 year after disposition of vehicle.

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(3) DISPATCH RECORDS:

(a) Requests for "Self Driven" Passenger Vehicles (such as NAVDOCKS-1057).

Retention period: 6 months after return of vehicle or inspection of Vehicle Dispatch Card, except 3 months for Construction Force activities.

* (b) Dispatchers' logs and work sheets: Dispatcher's logs, Truck Dispatcher's Logs (such as Daily Dispatching Record of Motor Vehicle, NAVDOCKS-1247), assignment logs, work sheets, and other similar logs or control records.

Retention period: 6 months, except 1 year for Marine Corps activities.

* (c) Operators Inspection Guides and Trouble Reports (such as DD-1358); Vehicle and Equipment Operational Records (such as DD-110), other similar operational reports.

Retention period: 1 month, provided vehicle has not been involved in an accident. Retain preventive maintenance portion of record until corrective action has been taken.

(d) Operators' Permits (such as U.S. Government Operators Permits (DD-313) and Motor Vehicle Operators Permits (NAVGEN-53).)

Retention period: 3 months after permit expires or is renewed.

* (e) Shop repair orders: dispatchers' copies of.

Retention period: 1 year.

(f) Other daily operating reports for individual vehicles.

Retention period: 3 months.

(4) DAILY GASOLINE REPORTS (such as NAVDOCKS-2051).

Retention period: 3 months, or until cost data is summarized and submitted in next cost and inventory report, whichever is later.

(5) CORRESPONDENCE AND OTHER RECORDS RELATING TO THE ISSUING AND REVOKING OF DRIVERS PERMITS. (See para. 5100(7) for examination and test records for drivers.)

Retention period: 2 years.

Disposal of Navy and Marine Corps Records

(6) LIMITED TECHNICAL INSPECTION REPORTS OF MOTOR VEHICLES.

Retention period: until superseded or until vehicle is overhauled or reported as disposition.

* (7) MOTOR VEHICLE STOCK ACCOUNT RECORD CARDS (such as NAVMC-10242-SD). (Exclude plant and organic account records forwarded to the Navy Department or to the Commandant of the Marine Corps when vehicle is modified or transferred from Navy or Marine Corps custody.)

Retention period: until card is superseded or until vehicle is transferred from Navy or Marine Corps custody.

(8) MOTOR VEHICLE DISPATCH CONTROL CARDS (such as NAVDOCKS-1952) and Vehicle Preventive Maintenance Record (such as NAVDOCKS-1949).

Retention period: until vehicle is reported as disposition, as provided in para. 11200(4).

(9) MOTOR VEHICLE ACCIDENT REPORTS: transportation offices copies of reports (such as Std-91) together with copies of pertinent investigating officers reports (such as Std-93) and other supporting papers.

Retention period: 6 years after case is closed. (See paras. 5830 and 5890 for investigative and claims case files.) (When accidents result in death or injury to persons or privately-owned property, special care should be taken to insure that all pertinent records are reserved for forwarding to the legal office and the Judge Advocate General, as required.)

* (10) MOTOR VEHICLE RECORD FOLDERS (such as NAVMC-696-SD) for Marine Corps commercial vehicles: Preventive Maintenance Schedule and Record (such as DD-314), Vehicle Maintenance and Cost Report Summary (such as NAVMC-10246-SD), records of loans of motor vehicles.

Retention period: until 1 year after disposition or 1 year after vehicle is removed from property account.

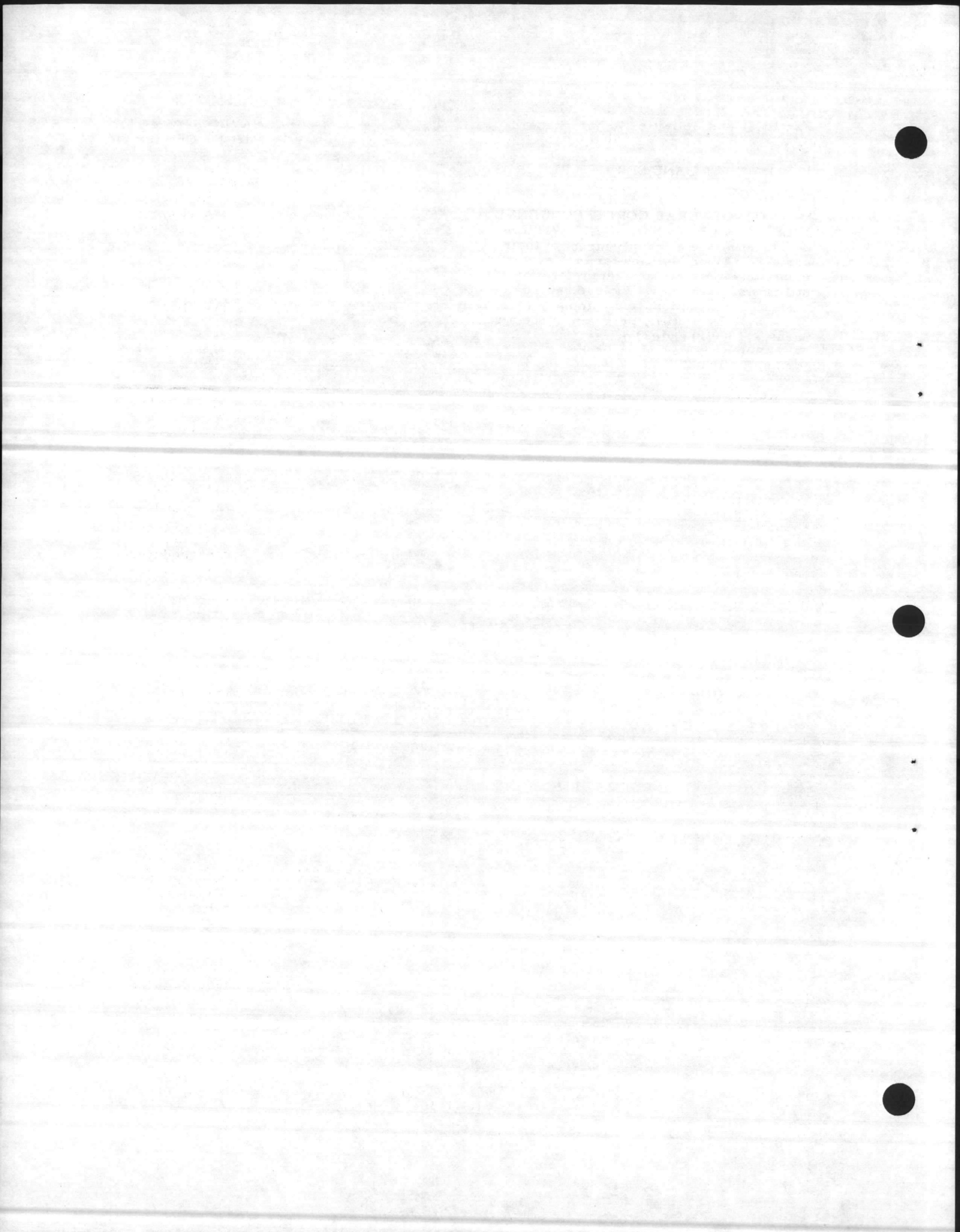
* (11) OPERATING/MAINTENANCE COST AND UTILIZATION REPORTS pertaining to Marine Corps commercial vehicles.

Retention period: 3 years.

11300 UTILITY AND SERVICE RECORDS -
GENERAL

(1) GENERAL CORRESPONDENCE
FILES OF PUBLIC WORKS ACTIVITIES
documenting the accomplishment of their
assigned responsibilities for the develop-
ment, maintenance, and administration of
utilities and services. Include records of
essential transactions and summary records
of the activity's utility program. (See also
paras. 11000(1) and (2).)

Retention period: 5 years.



(2) RECORDS RELATING TO THE ROUTINE INTERNAL OPERATION OF UTILITIES SERVICES AT NAVAL ACTIVITIES.

Retention period: 2 years.

(3) UTILITY AND UTILITY SERVICES CONTRACTS. See para. 4280.

(4) SPECIAL CONSOLIDATED UTILITY COST REPORTS: copies accumulated by public works activities or offices. (See chapter 7 for other cost accounting records.)

Retention period: 4 years.

(5) SANITATION RECORDS: correspondence, reports, and other records pertaining to sanitation matters:

(a) Records of public works and other activities documenting the development and accomplishment of their program responsibilities for sanitation matters within the district or command. Include correspondence with local or federal health departments, U. S. Geological Survey, and others concerned with sanitation problems within the area.

Retention period: 5 years.

(b) Sanitation reports.
Retention period: 3 years.

(c) Other files.
Retention period: 2 years.

11310 POWER RECORDS

(1) BOILER INSPECTION CERTIFICATES AND TEST REPORTS: Boiler Inspection Certificates (such as NAVDOCKS-1910), Summary Boiler Inspection Reports (such as NAVDOCKS-15630), Reports of Boiler Water Check Samples (such as NAVDOCKS-1470), Boiler Water Test and Treatment Records (such as NAVDOCKS-1471), and Boiler Reports (such as NAVDOCKS-90). (Exclude Boiler Survey Reports covered in para. 11310(2) below.)

Retention period: 2 years.

(2) BOILER SURVEY REPORTS: reports relating to boiler feedwater conditioning (such as NAVDOCKS-1431). Show design data for boilers and related equipment.

Retention period: until superseded.

(3) TREATMENT RECORDS FOR BOILER WATER: records of check anal-

yses by Bureau of Mines and district public works offices, including comments and recommendations concerning the operation of boiler water treatment facilities at activities; related data.

Retention period: 2 years.

(4) OPERATIONAL (LOCAL) LOGS, CHECK SHEETS, CHARTS, ETC. See para. 4750.

11320 FIRE PROTECTION AND FIRE FIGHTING RECORDS

These records are maintained by bureaus, commands, activities and offices that create or accumulate fire protection and fire fighting records.

(1) PRIMARY PROGRAM RECORDS of the Office of the Chief of Naval Operations: general correspondence files and other records relating to the development and execution of Navy's fire protection plans, policies, programs, and procedures.
Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(2) ACTIVITIES GENERAL CORRESPONDENCE FILES: correspondence, reports, and other records of commands, activities, and offices. (Exclude primary program records covered in para. 11320(1) above):

(a) Files that document the development, execution, and accomplishment of significant transactions or projects and of plans, policies, and programs.

Retention period: 5 years.

(b) Files relating to the routine internal operation and administration of the activity or office. Include copies of periodic reports submitted to higher authority and not specifically authorized for other disposal in this series.

Retention period: 2 years.

(3) BUILDING AND VESSEL (CASE) FILES: jackets containing records relating to a particular building or vessel, such as copies of inspection reports, drawings, correspondence, and other papers regarding the condition of the building or vessel, etc.

Retention period: 5 years or until building or vessel is surveyed,

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demolished, or scrapped, whichever is earlier.

(4) DRAWINGS showing water distribution, supply systems, test locations, recommended additions, fire alarm circuits, boxes, and code numbers, and general and technical information regarding fire prevention.

Retention period: until superseded by more current data or until structure or facility is demolished.

(5) BUILDING RECORD CARDS: summary records of building fire inspections and of deficiencies uncovered.

Retention period: until superseded by new card.

(6) DAILY LOG RECORDS OF OPERATIONS, showing personnel assignments, drills, inspections, alarms, and responses.

Retention period: 3 years.

(7) FIRE REPORTS: copies of incoming Fire Reports (such as NAVDOCKS-1163) with accompanying Fire Prevention EAM Transmittal Sheets (such as NAVDOCKS-2000).

Retention period: 1 year.

(8) REPORTS OF FIRE PROTECTION SURVEYS AND RESURVEYS (such as OPNAV Report Symbol 11320-2, NAVDOCKS-2080, 2080A).

Retention period: 6 years.

(9) REPORTS OF FIRE INVESTIGATIONS (such as OPNAV Report Symbol 11320-3).

Retention period: 3 years.

(10) FIRE PROTECTION AND FIRE FIGHTING TRAINING REPORTS: reports, correspondence and related papers regarding the operation and administration of fire protection and fire fighting training programs. Include correspondence and other papers pertaining to student training classes, demonstration and training materials, issuance of training certificates, and other similar or related matters.

Retention period: 2 years.

(11) FIRE ALARM RECORDS, such as fire alarm ledgers, voice recordings of conversations between switchboard operators at fire alarm headquarters and callers, and punched tape records of alarms and times of signals.

Retention period: 1 year.

Disposal of Navy and Marine Corps Records

(12) REPORTS OF STANDBY OPERATIONS DURING HAZARDOUS WORK.

Retention period: 1 year.

(13) FIRE HOSE RECORD CARDS: cards, or other similar records, reflecting the age and serial number of each piece of hose and the results of periodic tests.

Retention period: until hose is removed from service.

(14) HYDRANT AND AUTOMATIC SPRINKLER SYSTEM INSPECTION REPORTS.

Retention period: 1 year.

(15) FIRE APPARATUS INSPECTION RECORDS: card summaries reflecting periodic inspections of fire department vehicles.

Retention period: until card is filled.

(16) HOT WORK PERMITS: copies of permits to perform work involving heat applications (such as welding, cutting and burning).

Retention period: 1 year.

(17) SUMMARY RECORD OF TRAINING CLASS ATTENDANCE and of training certificates issued.

Retention period: 5 years.

(18) LEDGER RECORDS OF FIRE FIGHTING AND PROTECTIVE CLOTHING ISSUES (such as boots, helmets, coats, etc.) to fire department personnel.

Retention period: 5 years.

(19) CUSTODY RECEIPTS FOR FIRE FIGHTING CLOTHING ISSUES.

Retention period: until clothing is returned.

(20) EQUIPMENT INVENTORIES: stock cards or other records of materials and equipment on hand in fire department shops.

Retention period: 1 year after superseded or reconciled with current inventory.

11450 WEIGHT HANDLING (FLEET FACILITIES) RECORDS

(1) INSPECTION SHEETS for weight-handling equipment and unfired pressure vessels, including control sheets for inspection summaries (such as NAVDOCKS-1947). Apply para. 4730(5).

CHAPTER 12

CIVILIAN PERSONNEL RECORDS

12000-12999

* The records described in this chapter relate to the administration of civilian personnel functions throughout the Department of the Navy. The instructions apply to all civilian personnel records maintained by departmental and field civilian personnel or industrial relations offices, area wage and classification offices, or other organizational units, and by Boards of U. S. Civil Service Examiners, and to civilian personnel records maintained by medical departments and dispensaries. When pertinent, records which are the property of the Civil Service Commission have been so indicated, together with a reference to the Commission's instructions for their disposal. Authorizations for the disposal of certain records listed in "General Schedule No. 1", referred to in the Federal Personnel Manual, Page R1-2.01, are contained in this chapter when pertinent to naval records and requests for that Schedule should not be made. Instructions for the disposal of civilian pay records maintained by accounting or fiscal officers are contained in para. 7420.

12000 CIVILIAN PERSONNEL RECORDS -- GENERAL

* (1) PRIMARY PROGRAM RECORDS: general correspondence files, including reports and other papers, of the Under Secretary of the Navy and the Office of Industrial Relations, Navy Department, Washington, D.C., that document the development, establishment, and execution of policies, plans, and procedures for the organization and administration of industrial relations functions within the Naval Establishment. Include records relating to employee relations, safety matters, legal activities, loyalty and security matters, Naval Reserve programs, training and employee development, performance evaluation, personnel studies, civilian personnel plans and practices, employment, and wage and classification matters.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 2 years old.)

(2) GENERAL CORRESPONDENCE FILES:

(a) Files of civilian personnel and other offices relating to their personnel operations and procedures and involving their functions of employment, placement, allowances, employee services, training and employee development, performance evaluation, utilization, safety, insurance and annuities, and other personnel matters. (Exclude files covered in para. 12000(1) above and subpara. (b) below.)

Retention period: 4 years.

(b) Correspondence and related papers concerning the routine internal administration of civilian personnel offices or functions.

Retention period: 2 years.

12200 PERSONNEL PROVISIONS (GENERAL) RECORDS

12213 OVERSEAS PERSONNEL RECORDS

(1) CIVILIAN PERSONNEL RECORDS FOR NON-CITIZEN OVERSEAS PERSONNEL. See para. 12293(2).

12280 PERSONNEL STATISTICAL RECORDS

(1) ALL COPIES OF FORMS SUBMITTED REGULARLY FOR STATISTICAL PURPOSES to divisions of the Office of Industrial Relations, Navy Department, by activities providing statistical data (except see para. 5100 for those relating to safety).

Retention period: 2 years.

(2) CIVILIAN PERSONNEL STATISTICAL REPORTS required by departmental bureaus and offices or other authority from their sponsored field activities, but not required by the Office of Industrial Relations:

(a) Departmental bureaus and offices copies.

Retention period: 3 years.

(b) Field activities copies.

Retention period: 2 years.

(3) STATISTICAL REPORTS USED FOR ACCOUNTING PURPOSES. See para. 7420(7).

12290 PERSONNEL AND PERSONNEL
PROCESSING RECORDS

12293(2) and (3) below for Folders for
non-citizen employees):

(1) EMPLOYEE PICTURE AND
FINGERPRINT FILES used for identifica-
tion purposes (personnel office copies).
Retention period: 1 year after
separation of employee.

(2) REQUESTS FOR PERSONNEL
DATA, LEAVE TRANSCRIPTS, and other
similar routine correspondence relating to
individual employees (and not maintained in
official personnel folder or covered else-
where in this chapter); all copies.
Retention period: 6 months.

12293 PERSONNEL RECORDS

(1) OFFICIAL PERSONNEL
FOLDERS. These Folders comprise the
official record of each civilian employee
of the Federal Government during his or
her tenure of service with the Government.
They contain (a) long-term (so-called
permanent) records (as designated by
NCPI 290, Enclosure 10) which are filed on
the right or permanent side of the Folder,
and (b) temporary records which are filed
on the left side of the Folder. Naval ac-
tivities and offices maintain these Folders
as long as the employee remains on board.
Upon separation by transfer to another
naval activity or Government agency or
upon separation from the Government serv-
ice by resignation, retirement, removal,
or death, activities will transfer the Folder
from the active to an inactive file.

* (a) Temporary material.
Retention period: until separation of
employee by resignation, retirement,
removal, or death, or by transfer to
another Government agency, then re-
move temporary material and destroy
when final separation action is com-
pleted. (When an employee is trans-
ferred to another naval activity or
furloughed for military service or to
accept temporary service, leave the
temporary material in the Folder.)

* (b) Permanent material.
Retention period: until 75 years after
date of birth, provided employee has
been separated for a minimum period
of 5 years. Remove from active file
upon separation of employee and
handle as follows (except see paras.

* 1. Upon separation of em-
ployees by transfer to another Govern-
ment agency, forward to receiving agency
within 5 days after receipt of notification
from the receiving agency of address to
which Folder is to be sent. (Prior to
transfer of the Folder, remove and de-
stroy all material except one copy of
each permanent document filed on the
right side of the Folder.)

* 2. Upon separation of em-
ployees for military service, or to accept
temporary employment, retain Folder on
board.

3. Upon other separation of
employees, transfer to Federal Records
Center, 111 Winnebago St., St. Louis, Mo.
as follows:*

When separation is by resignation, retire-
ment, removal, or death, transfer in
monthly groups 30 days after final separa-
tion action.

When separation is from a disestablished
activity, transfer immediately upon dis-
establishment.

When separation is due to reduction in
force, transfer Folders for Retention
Group I employees 2 years after separa-
tion and Folders for Retention Group II
employees 1 year after separation.

*Before transferring folders to the Federal
Records Center, activities will take the
following action:

1. Note the date of separa-
tion on the tab beneath the employee's name
on the Folder. Review the material in the
Folder to insure that all permanent papers
(such as separation documents, the originals
of Record of Leave Data Transferred (SF-
1150) and Certificate of Medical Examina-
tion (SF-78), and other permanent papers)
have been filed and securely fastened on the
right (permanent) side of the Folder. Make
every effort to locate any permanent loose
papers and file them in the Folder at this
time. If loose papers must be forwarded to
the Center later in spite of these efforts,
transmit each individual Folder via Stand-
ard Form 127 (Request for Official Person-
nel Folder - Separated Employee). Give
the following information on the Form: the

name of the individual in item 2, the date of birth in item 4, name and address of submitting agency and date of separation in item 5, and a check mark in item 6. Destroy all material on the left (temporary) side of the Folder.

2. Make notation of Folders being transferred to the Center on card record (SF-7 or similar card) which will be maintained for record purposes. Arrange Folders alphabetically by name and forward them with a short transmittal letter that indicates the number of Folders enclosed and inclusive separation dates. When forwarding Folders by mail, use regular rather than registered mail; however, observe provisions of the Navy Security Manual pertaining to mailing of classified matter.

(2) OFFICIAL PERSONNEL FOLDERS FOR NON-CITIZEN EMPLOYEES at activities located outside the 50 United States and the District of Columbia.

Retention period: indefinite. (Transfer to Federal Records Center, 111 Winnegabo St., St. Louis, Mo. (see para. 12293(1)(b) above) 1 year after separation, except that Folders for non-citizen employees under the Canal Zone Merit System may be retained until (but not more than) 2 years after separation.

(3) OFFICIAL PERSONNEL FOLDERS FOR NON-CITIZEN INDIGENOUS INDIRECT-HIRE EMPLOYEES at activities located outside the 50 United States and the District of Columbia.

Retention period: 2 years after separation (services of employee no longer utilized by the Naval Establishment).

(4) INVESTIGATIVE MATERIAL PERTAINING TO CIVILIAN EMPLOYEES. See para. 12732.

(5) PERSONNEL SUMMARY CARD RECORDS:

(a) Optional Form OF-4B.
Retention period: until transfer or separation, except that form may be transferred with the Official Personnel Folder when employee moves within the Naval Establishment.

(b) Service Record Cards (such as SF-7):

1. Those maintained by overseas naval activities for indigenous indirect-hire employees.

Retention period: 5 years after separation (services of employee no longer utilized by the Naval Establishment).

2. Those maintained by departmental bureaus and offices for key personnel with Federal experience who have returned to private life, together with listings of the names of these individuals arranged according to occupational areas (mobilization rosters).

Retention period: permanent.

3. All others.

Retention period: 5 years after employee's transfer or other separation or retain on board until no longer needed for activity reference.

(6) LOCATOR CARD FILES (punched or other) for civilian personnel on board.

Retention period: until separation of employee from the activity.

(7) RECORDS RELATING TO BADGES AND PASSES and to the identity of employees. See para. 5512.

12296 PROCESSING PERSONNEL ACTION RECORDS

(1) PERSONNEL ACTION FORMS:

(a) Chronological journal copies.
Retention period: 2 years or until copies have been used in inspection audit, whichever is later.

(b) Other copies, exclusive of fiscal copies covered in para. 7421 and Official Personnel Folder copies (such as SF-50) covered in para. 12293(1).

Retention period: 1 year.

12300 EMPLOYMENT RECORDS - GENERAL

(1) CIVIL SERVICE COMMISSION RECORDS. These are Boards of U. S. Civil Service Examiners records accumulated by naval activities. They consist of such records as:

(a) Civil Service applications, examination papers, and related papers for Federal employment in the field which were cancelled or submitted by ineligible applicants, applicants whose eligibility has expired, or applicants on expired eligible registers; (b) original Civil Service Commission registers established after open competitive examinations for positions in all groups; and (c) notices to establish or dispose of Civil Service Commission registers (such as CSC-3911).

Retention period: consult appropriate Civil Service Regional Director for disposal instructions.

(2) CERTIFICATES OF ELIGIBLES certified by the Civil Service Commission and containing notification of action taken by appointing officers (such as CSC-1844).

Retention period: 1 year.

(3) UNSUCCESSFUL APPLICATIONS FOR EMPLOYMENT and related correspondence and other papers, exclusive of Boards of U. S. Civil Service Examiners files covered in para. 12300(1).

Retention period: 6 months, provided the requirements of pages X-1-21 and 22 of the Federal Personnel Manual are observed.

(4) REQUESTS FOR PERSONNEL ACTION (such as SF-52), copies of, and related papers pertaining to actions not consummated. (Exclude any copies required to be filed as permanent records in Official Personnel Folder.)

Retention period: requesting office copies—until completion of action; all other copies—1 year.

(5) REQUESTS FOR CERTIFICATION (such as SF-39).

Retention period: 1 year.

(6) "DO-NOT-EMPLOY" RECORDS OF MSTs ACTIVITIES: card, listing, or other record of individual determined to be "undesirable" for hiring as civilian marine employee; copies of United States Coast Guard's Marine Suspect List.

Retention period: until superseded or cancelled.

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12303 MILITARY SERVICE (SELECTIVE SERVICE) RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to military service matters, including Selective Service.

Retention period: 4 years.

(2) CORRESPONDENCE AND FORMS RELATING TO THE MILITARY SERVICE OF INDIVIDUALS (other than copies in Official Personnel Folders).

Retention period: 1 year.

12330 RECRUITMENT AND SELECTION RECORDS

(1) INTERVIEW AND EVALUATION RECORDS. (Exclude examination papers filed in Official Personnel Folders.)

Retention period: 2 years.

12340 PROMOTION, REASSIGNMENT, AND DETAIL RECORDS

(1) APPLICATIONS AND TEST PAPERS, together with supporting documents, of ineligible employees applying for promotion:

(a) Applications.

Retention period: until individual is rated ineligible, then return to applicant.

(b) Test papers and supporting documents.

Retention period: 6 months.

(2) APPLICATIONS AND EXAMINATION PAPERS of employees who qualify in competitive promotion examinations for positions under the Plan A - Navy Merit Promotion Program.

Retention period: until register is terminated, provided 2 years have elapsed since last selection was made from that register and there has been a regularly scheduled Civil Service Commission inspection since the last selection date.

(3) TERMINATED REGISTERS OF ELIGIBLES under the Plan A - Navy Merit Promotion Program.

Retention period: 1 year.

12350 JOB RETENTION AND SEPARATION RECORDS

(1) RETENTION REGISTERS, including card files and related papers, on which no reduction-in-force actions have been taken.

Retention period: until superseded.

12351 REDUCTION-IN-FORCE RECORDS

(1) RETENTION REGISTERS on which reduction-in-force actions have been taken.

Retention period: 10 years.

(2) CARD RECORDS and related papers on which reduction-in-force actions have been taken.

Retention period: 2 years.

12400 EMPLOYEE DEVELOPMENT, PERFORMANCE, AND UTILIZATION RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES, including reports and other related papers concerning civilian personnel training and development, and the performance and utilization of personnel. See paras. 12000(1) and (2).

12410 EMPLOYEE TRAINING AND DEVELOPMENT RECORDS

(1) TRADE TRAINING PLANS, including authorizations to establish apprentice and shop trainee training under such plans; related papers.

Retention period: until discontinuance of trade training plan at the activity and until no longer needed for reference or program purposes.

(2) SHOP AND SCHOOL CONTINUOUS RECORDS OF PERFORMANCE of individual apprentices and shop trainees.

Retention period: 1 year after apprentice or shop trainee drops out of or completes training program.

(3) NOTICES AND WARNINGS OF UNSATISFACTORY PROGRESS:

(a) Notices of marginal or unsatisfactory progress of apprentices and shop trainees.

Retention period: until satisfactory completion of apprenticeship or shop trainee year involved or until individual is dropped from training, whichever is earlier.

(b) Warnings of unsatisfactory progress to apprentices or shop trainees.

Retention period: until satisfactory completion of apprenticeship or shop trainee year involved or until 1 year after individual is dropped from the training program, whichever is earlier.

(4) WORK EXPERIENCE SCHEDULES AND PROGRESS RECORDS (such as NAVEXOS-2107) and other similar records.

Retention period: 1 year after apprentice or shop trainee completes his training or is dropped from training program.

(5) QUARTERLY PROGRESS APPRAISALS (such as NAVEXOS-2594) and other similar records.

Retention period: until apprentice or shop trainee completes his training or is dropped from training program, then file on permanent side of Official Personnel Folder.

(6) REQUESTS FOR NON-GOVERNMENT TRAINING (such as Request-Civilian Training in Non-Government Facilities, NAVEXOS-3556) or other similar forms; related papers.

Retention period: 2 years after completion of training or until all obligated service requirements have been satisfied, whichever is later.

(7) TRAINING ASSIGNMENT AGREEMENTS. These are filed on the temporary side of the Official Personnel Folder, except they may be filed on the permanent side of the Folder when special circumstances warrant, e.g., when employee is separated without fulfilling his obligated service agreement or without being released therefrom.

Retention period: 2 years after fulfillment of obligated service, except handle those filed on permanent side of Folder as provided for in para. 12293(1).

(8) PERMANENT TRAINING RECORDS: advanced credit authorizations for apprentices and shop trainees; training agreements—records of satisfactory completion of training under a training agreement approved by the Civil Service Commission; scholarship or award authorizations—written authorizations to accept scholarships or awards (in cash or in kind) incident to training in non-Government facilities; acceptances of payments in connection with attendance at meetings—written authorizations to accept payment from

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non-Government facilities in connection with attendance at meetings and records of payments made and accepted; waivers on limitations on training in non-Government facilities—copies (preferably pen-signed copies) of authorizations by the Civil Service Commission to waive numerical limitations of training in non-Government facilities (other than waivers published in NCPI 410); cumulative records of training (such as NAVEXOS-2328A and B); and correspondence giving recognition to employees for participation in or completion of training.

Retention period: file on right (permanent) side of Official Personnel Folder and handle as provided for in para. 12293(1).

- * (9) OTHER FORMS AND CORRESPONDENCE RELATING TO TRAINING AND DEVELOPMENT OF EMPLOYEES and not authorized for filing on permanent side of the Official Personnel Folder.

Retention period: file on left (temporary) side of Official Personnel Folder upon completion or discontinuance of training and dispose of in accordance with para. 12293, except destroy without filing papers of a transitory nature and dispose of routine requests for training information in accordance with para. 12290(2). (See also para. 4066(2)(b).)

12430 PERFORMANCE APPRAISAL AND RATING RECORDS

- (1) OFFICIAL PERFORMANCE RATINGS, except those made as lists of "Satisfactory" ratings.

Retention period: upon approval of rating, file official record copy on right (permanent) side of Official Personnel Folder; if other copies are maintained destroy them within 2 years.

- (2) LISTS OF OFFICIAL "SATISFACTORY" PERFORMANCE RATINGS.

Retention period: 2 years after approval of the ratings.

- (3) UNOFFICIAL PERFORMANCE RATINGS:

(a) When attached to and made a part of an official performance rating, file with the official rating on the right (permanent) side of the Official Personnel Folder.

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(b) When prepared only for discussion with, and information to, the employee concerned.

Retention period: until action is completed, then deliver to employee, except if of current reference value the supervisor may retain for not longer than 1 year.

(c) When prepared as interim record. These may be retained by supervisor, transferred to another supervisor concerned, or filed with the Personnel (Industrial Relations) Officer.

Retention period: not more than 2 years, except when appropriate, the record may be filed on the left (temporary) side of the Official Personnel Folder and disposed of as provided in para. 12293(1).

- (4) PERFORMANCE RATING WARNINGS:

(a) When the warning becomes a supporting part of an official "Unsatisfactory" performance rating, file with the rating on the right (permanent) side of the Official Personnel Folder and dispose of as provided in para. 12293(1). If the warning is subsequently determined not to be a correct record, remove from Personnel Folder and destroy immediately.

(b) When the warning does not become part of an official "Unsatisfactory" performance rating but is retained for temporary reference by those concerned with evaluating the employee's performance. (These will not be filed on the left (temporary) side of the Official Personnel Folder except for good and sufficient reason why it should be so maintained).

Retention period: not more than 2 years, except dispose of those filed in Official Personnel Folder as provided in para. 12293(1). However, if it is determined that the warning is not a correct record, remove from Personnel Folder or other file where kept and destroy immediately.

- (5) PERFORMANCE RATING APPEALS CASE FILES (exclusive of appeal decisions in Official Personnel Folders).

Retention period: 2 years after case is closed.

12450 EMPLOYEE RECOGNITION AND INCENTIVE RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to the Navy employee recognition and incentive programs, involving program standards, organization, procedures, and awards.

Retention period: 2 years.

(2) INCENTIVE AWARDS CASE FILES (other than beneficial suggestion case files covered in para. 12452 below):

(a) Incentive Awards Files of the Office of Industrial Relations, Navy Department: case files of employee recognition and incentive awards granted civilian employees and naval activities and offices by awards committees. Include recommendations for awards, briefs of accomplishments, copies of job descriptions, records of committees actions, and related correspondence and other papers. (Record copies of the Secretary of the Navy awards are filed in retained official files of the Secretary. Records of individual awards are filed in employee's Official Personnel Folder when appropriate.)

Retention period: 2 years.

* (b) Incentive Award Recommendations Case Files maintained by Navy Incentive Awards Boards.

Retention period: 2 years after date of final closing action. (Place in inactive file upon completion of final closing action and destroy 2 years later.)

* (c) Incentive Award Recommendations Case Files maintained by originating departmental bureaus and offices and by field activities.

Retention period: 2 years after initial receipt of award recommendation, provided 60 days have elapsed since last closing action (final action--approval or disapproval--taken by originating activity as a result of field, departmental, or Navy Incentive Awards Board recommendation or decision).

12452 SUGGESTION SYSTEM RECORDS

(1) GENERAL CORRESPONDENCE FILES relating to the Navy beneficial suggestions program, involving program standards, organization, procedures, and awards.

Retention period: 2 years.

(2) BENEFICIAL SUGGESTION CASE FILES:

* (a) Beneficial suggestion case files of the Office of Industrial Relations, Navy Department: official case files of beneficial suggestions submitted under the Navy's beneficial suggestion program, including management improvement suggestions. Include accepted suggestions forwarded to the Office of Industrial Relations by activities and accepted and rejected departmental and other cases considered by the Office of Industrial Relations for Navy-wide application. (See para. 12450(2) above for other incentive award case files.)

Retention period: 2 years.

* (b) Beneficial suggestion case files maintained by Navy Incentive Awards Boards.

Retention period: 2 years after date of final closing action. (Place in inactive file upon completion of final closing action and destroy 2 years later.)

* (c) Beneficial suggestion case files maintained by originating departmental bureaus and offices and by field activities.

Retention period: 2 years after initial receipt of the recommendation or suggestion, provided 60 days have elapsed since last closing action (final action--approval or disapproval--taken by originating activity as a result of field, departmental, or Navy Incentive Awards Board recommendation or decision).

12500 CLASSIFICATION, PAY, AND ALLOWANCE RECORDS - GENERAL

(1) WAGE AND CLASSIFICATION CONTROL CARD RECORDS: progress or control records reflecting action taken on requests for wage rates and on reports for classification action.

Retention period: until end of calendar year following that in which action was taken.

(2) RECEIPTS FOR CHECKS:

(a) Divisional check receipts for blocks of checks for operating units.

Retention period: 1 month.

(b) Receipts for other checks and for savings bonds.

Retention period: 3 months.

(c) Records of or receipts for checks mailed to employees.

Retention period: 1 year.

(3) VISIBLE INDEXES OF ALL EMPLOYEES, giving names, divisions, and check distribution code numbers, or other similar information.

Retention period: until individual index record is superseded or obsolete.

12510 POSITION CLASSIFICATION RECORDS

(1) CLASSIFICATION SURVEY REPORTS: Group IVb position classification survey reports and analyses; related correspondence and papers. (Submitted to the Office of Industrial Relations when classification surveys are conducted in major activities).

Retention period: 1 year.

12511 CLASSIFICATION RECORDS, DEPARTMENTAL

(1) DEPARTMENTAL POSITION DESCRIPTIONS.

Retention period: until position is abolished or superseded, except that master files of position descriptions accumulated by the Office of Industrial Relations, Navy Department, are permanent records.

12512 CLASSIFICATION RECORDS, FIELD

(1) FIELD POSITION DESCRIPTIONS.

Retention period: 2 years after position is abolished or superseded, except that master files of position descriptions accumulated by the Office of Industrial Relations, Navy Department, are permanent records.

12531 PREVAILING WAGE RATE SYSTEM (WAGE FIXING AND UNGRADED RATING) RECORDS

(1) WAGE SURVEY FILES: files of field activities consisting of wage survey reports and data, background and working papers, and other records concerning area wages paid for each employment class; related correspondence (other than file copies of authorized wage schedules).

Retention period: until completion of 2 subsequent full-scale wage surveys.

(2) RATING AUTHORIZATIONS: forms (such as NAVEXOS-3473), correspondence, and related papers (departmental and field):

(a) Authorizations containing valuable occupational or standards information.

Retention period: permanent.

(b) Authorizations of a routine nature.

Retention period: 2 years after rating is deleted from activity wage schedule.

12550 PAY ADMINISTRATION (GENERAL) RECORDS

(1) INFORMATIONAL COPIES OF PAYROLLS.

Retention period: 1 year. (See also para. 7420.)

12552 WAGE AND SALARY CHANGE RECORDS

(1) RECORDING COPIES OF WITHIN GRADE SALARY ADVANCEMENT NOTICES (such as NAVEXOS-2073).

Retention period: until employee has been notified of salary advancement.

12600 ATTENDANCE AND LEAVE RECORDS - GENERAL

* (1) TIME AND ATTENDANCE REPORTS (such as SF-1135 and 1136).

Retention period: 1 year, except apply para. 7421(1) to pay authorization copy used for accounting audit purposes.

12610 ATTENDANCE (HOURS OF WORK) RECORDS

(1) OVERTIME AUTHORIZATION REQUESTS (such as NAVEXOS-246); semi-monthly Reports of Excess Overtime for Payment (such as NAVEXOS-246).

Retention period: 1 year.

(2) REPORTS OF ATTENDANCE (such as NAVCOMPT-206A).

Retention period: 3 months.

12630 ABSENCE AND LEAVE RECORDS

(1) ABSENCE AND LEAVE RECORDS: all applications for leave and supporting papers, including reports of

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absence without authority and tardiness reports; Requests for Extended Leave (such as SF-71); Notifications of Transfers of Leave (such as SF-1150); other similar records.

Retention period: 1 year.

(2) LEAVE RECORD CARDS (such as SF-1137) maintained by departmental personnel offices. Apply provisions of para. 7420(5), except place cards for employees separated for military service on right (permanent) side of Official Personnel Folder.

12700 EMPLOYEE RELATIONS AND SERVICES RECORDS - GENERAL

(1) GENERAL CORRESPONDENCE FILES relating to employee relations and services. See para. 12000(2).

12710 EMPLOYEE RELATIONS RECORDS

(1) COUNSELORS CASE RECORDS providing briefs of interviews with employees and pertinent personal data.

Retention period: 2 years after transfer or separation of employee.

12713 DISCRIMINATION RECORDS

(1) COMPLAINT CASE FILES: all pertinent records relating to the individual case.

Retention period: 2 years after separation of complainant.

(2) SURVEY RECORDS.

Retention period: 4 years.

12732 EMPLOYEE SECURITY PROGRAM RECORDS

(1) PERSONNEL SECURITY CLEARANCE (CASE) FILES: official case files of all records accumulated in connection with investigations of personnel under Executive Order 10450 and prior Orders. Consist of investigative reports and supporting documents, records of action taken, and all other related papers, including material returned by the Civil Service Commission (see NCPI 290.5-5c) in connection with pre-employment National Agency Checks or other personnel investigations conducted by the Civil Service Commission under specific legislative authority. (Copies of each administrative action taken by the activity in connection with each security case also are filed in the activity's classified correspondence files.)

Retention period: 30 years after date of last action. (Place in inactive file upon completion of all action. If not required for reference, transfer

inactive file to nearest Federal Records Center when 5 years old.)

(2) CERTIFICATES OF CLEARANCE FOR HANDLING CLASSIFIED MATTER (such as OPNAV-5521-429). See para. 5521.

12750 DISCIPLINARY RECORDS

(1) RECORDS RELATING TO DISCIPLINARY ACTIONS taken against individual employees (other than those that must be filed on the right (permanent) side of employee's Official Personnel Folder as provided in NCPI 290).

Retention period: 2 years.

(2) SURVEYS AND STUDIES.

Retention period: 4 years.

12770 GRIEVANCE RECORDS

(1) HEARING RECORDS and related correspondence.

Retention period: 2 years after employee's separation.

(2) SURVEYS AND STUDIES.

Retention period: 4 years.

12790 SERVICES TO EMPLOYEES RECORDS

(1) PERSONNEL RECORDS OF NON-FEDERAL EMPLOYEES of morale, welfare, and recreation facilities and activities. See para. 5380.

(2) CIVILIAN CLUBS RECORDS: financial and other records of social and recreation facilities operated for the use of civilians by an association or concessionaire. Apply para. 7010.

12792 HEALTH PROGRAM RECORDS

(1) INDUSTRIAL HEALTH (CLINICAL) RECORD (CASE) FILES: industrial health jackets of civilian employees (including non-U. S. citizens) of the Navy or Marine Corps, including copy of Certificate of Medical Examination (SF-78) (original is to be filed in employee's Official Personnel Folder) and certain x-rays as specified in para. 12792(2) below.

Retention period: permanent. (Transfer to Federal Records Center, 111 Winnebago St., St. Louis 18, Mo., in annual installments, records of

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employees separated from the naval service over 30 days. When separation date is not known transfer 2 years from date of last treatment or examination.)

(2) X-RAYS OF CIVILIAN EMPLOYEES.

Retention period: 5 years, except that x-rays of positive pathological findings that are not static in nature and one representative x-ray of those that are static in nature will be filed in and retained with employee's industrial health (clinical) jacket.

(3) INDUSTRIAL HEALTH REPORT DATA SHEETS (such as NAVMED-576).

Retention period: 2 years.

12800 INSURANCE AND ANNUITY RECORDS - GENERAL

(1) CARRIER COPIES OF HEALTH BENEFITS REGISTRATION FORM (such as SF-2807) of non-enrolled employees.

Disposal of Navy and Marine Corps Records

Retention period: destroy immediately upon receipt.

(2) PAY ACCOUNTING AND DISBURSING COPIES OF HEALTH BENEFIT AND INSURANCE RECORDS. Apply pertinent provisions of chapter 7.

12810 INJURY COMPENSATION RECORDS

(1) COMPENSATION FORMS and related correspondence (other than copies in Official Personnel Folders).

Retention period: 2 years, except if files relate to a compensation claim transfer them to Federal Records Center, 111 Winnebago St., St. Louis 18, Mo. upon settlement of claim.

12910 EMERGENCY PROGRAM RECORDS.
See para. 3050.

CHAPTER 13

AERONAUTICAL AND ASTRONAUTICAL MATERIAL RECORDS

13000-13999

The records described in this chapter relate to aeronautical and astronautical weapons and materials and to the development and readiness of these weapons and materials for all naval forces. They are accumulated by aeronautical activities and offices and by units and departments of activities and offices that are concerned with aeronautical and astronautical materials and related functions. Records relating to research matters and to flight and space operations are covered in chapter 3.

13000 AERONAUTICAL AND ASTRONAUTICAL MATERIAL RECORDS - GENERAL

(1) PRIMARY PROGRAM RECORDS:

* (a) General correspondence files of the Bureau of Naval Weapons and of other departmental bureaus and offices that document the development, execution, and accomplishment of plans, policies, programs, and procedures pertaining to the development and readiness of aeronautical and astronautical materials for the naval forces and to related functions for which the bureaus and offices have been assigned primary program responsibilities. These files consist of correspondence, reports, plans, studies, data, and other records. They are maintained either in the bureau's centralized files or in officially authorized decentralized division or other office files. (Exclude routine operating records covered in para. 13000(2) below.)

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when 4 years old.)

(b) Air stations and facilities outside continental United States general correspondence (primary program) files.

Retention period: permanent, as provided in para. 3000(4).

(c) Continental United States air stations general correspondence (primary program) files, including files of auxiliary air stations and air facilities within continental U. S.

Retention period: 6 years, as provided in para. 3000(4).

(d) Air base headquarters general correspondence (primary program) files.

Retention period: 6 years, as provided in para. 3000(2).

(e) Aviation squadrons records. Apply para. 3100(2).

(f) Aeronautical research and development activities records. See para. 3900.

(2) INTERNAL OPERATING RECORDS: correspondence, reports, and other records relating to the routine internal operation and administration of activities or offices performing functions relating to aeronautical and astronautical matters.

Retention period: 2 years.

(3) PERIODIC REPORTS RELATING TO AERONAUTICAL AND ASTRONAUTICAL MATERIALS AND EQUIPMENT AND THEIR OPERATIONAL READINESS: activities copies of reports submitted to higher authority and not specifically authorized for other disposal in this manual. Include reports such as monthly and quarterly aircraft, engine, and parachute reports; monthly aircraft radio material reports, etc.

Retention period: 2 years.

(4) AERONAUTICAL ENGINEERING DRAWINGS OR PLANS:

(a) Master file of all aeronautical engineering drawings or plans (one set of each): vandykes (when available) or master drawing or plan, and/or microfilm negatives; related required engineering data instructions. These generally are accumulated by such activities as the Naval Air Engineering Center, the Naval Air Development Center, the Naval Air Station, Johnsville, Pa., and other activities having development or design cognizance of aeronautical or astronautical equipment, craft, or components.

Retention period: permanent. (When aircraft is removed from inventory or when drawing of equipment is no longer needed, transfer drawing or plan (vandyke, if available) originated

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at activity to Federal Records Center, Mechanicsburg, Pa., except that the Naval Air Engineering Center, the Naval Air Development Center, and the Naval Air Station, Johnsville, Pa. will forward one copy of each regardless of originator.

- * (b) All other engineering drawings or plans, including blueprints, microfilm (other than master negatives), etc.
Retention period: drawings or plans received from contractors or from the Naval Air Engineering Center--until aircraft is obsolete; all others--until superseded, obsolete, or no longer needed.

(5) NAUTICAL CHARTS OR MAPS AND NAVIGATIONAL PUBLICATIONS.
See 3160 series.

(6) TECHNICAL INSTRUCTIONS RELATING TO WEAPONS, including aeronautical and ordnance material.
Retention period: Bureau of Naval Weapons master copies accumulated at the Federal Records Center, Alexandria, Va.--permanent; all other copies--until obsolete, cancelled, or no longer needed for reference.

(7) BUREAU OF NAVAL WEAPONS FLEET READINESS REPRESENTATIVES RECORDS:

(a) General correspondence files relating to the performance of the representatives assigned aeronautical and ordnance material (fleet) readiness functions.
Retention period: 5 years, except retain records relating to the routine operation of the office for 2 years.

(b) Project Case Files for types of aircraft. See para. 4700(2).

(c) Structural defects inspection reports accumulated by BUWEPS fleet readiness representatives.
Retention period: positive reports--6 months; negative reports--until number of inspections made has been reported to the Bureau of Naval Weapons.

(d) Progress and workload reports: copies of activities reports accumulated by BUWEPS fleet readiness representatives.
Retention period: 1 year.

13050 CONFIGURATION CONTROL RECORDS

(1) AERONAUTICAL ENGINEERING REPORTS and engineering investigation reports.

Retention period: 3 years, provided action has been completed.

(2) ENGINEERING INSTRUCTION SHEETS AND ORDERS relating to aeronautical equipment and materials.

Retention period: master copy--permanent; all others--6 months or until superseded, obsolete, or purpose has been served.

13051 ENGINEERING CHANGE PROPOSAL RECORDS

(1) ENGINEERING CHANGE PROPOSALS. These are recommendations made by the Navy and/or Navy contractors or other interested parties for changes in procedures for the upkeep, maintenance, repair, or improvement of aeronautical or astronautical equipment or materials:

(a) Proposals and related correspondence.

Retention period: 3 years or until issuance of revised instruction, except master set of proposals are permanent records. (These generally are filed and handled as master technical instruction or plans files (see paras. 13000(4) and 5215(1).)

(b) Copies filed with contract case files. Apply para. 4280(1).

(c) Reference copies of proposals.

Retention period: until proposal is implemented (revised instruction issued and other required action taken), provided copies are no longer needed for local reference.

13052 ENGINEERING CHANGE KITS

(1) AIRCRAFT SERVICE CHANGE FOLDERS (such as contractors service changes); copies of.

Retention period: until superseded, obsolete, or no longer needed.

13070 MATERIAL RELIABILITY PROGRAM RECORDS

These records are accumulated by aeronautical activities in connection with the execution of their material reliability programs and related efforts to obtain optimum utilization of comprehensive material reliability data.

(1) REPORTS OF FAILURE, UNSATISFACTORY, OR DEFECTIVE MATERIALS (such as DD-787, NAVAER-306); related papers. These are copies used for material reliability purposes only.

Retention period: reporting activity—6 months; receiving activity—1 year, except that when record is micro-filmed or data is converted to EAM or data processing records, reports may be destroyed when data has been recorded and verified.

(2) PUNCHED OR OTHER EAM CARD RECORDS PREPARED FROM FAILURE AND UNSATISFACTORY EQUIPMENT REPORTS (such as FURs, AMFURs, EFRs) or related material reliability records (accumulated by Failure, Unsatisfactory and Reliability (FUR) Center or other similar activity).

Retention period: 1 year.

(3) AIRCRAFT MATERIAL RELIABILITY TABULATIONS OR LISTINGS prepared in connection with the Material Reliability Program; related papers. These are accumulated by the Failure, Unsatisfactory and Reliability (FUR) Center or other similar activity.

Retention period: 1 year.

(4) MICROFILM (MASTER FILE ONLY) OF FAILURE OR UNSATISFACTORY MATERIAL REPORTS and related tabulated listings or other records containing valuable engineering data, narrative comments, or other data determined to have research or informational value. (See para. 3900 for other research records.)

Retention period: 10 years.

13090 AIRCRAFT LOGS AND OTHER RECORDS

(1) AIRCRAFT LOG BOOKS (such as NAVAER-418), including Aeronautical

Equipment Service Record (aircraft, engine, propeller, or other aeronautical equipment) and Handbooks of Weights and Balance Data, exclusive of (1) books covering experimental aircraft, engines, or propeller, (2) books covering aircraft and engines that have made outstanding records considered of historical value, (3) books recording tests of experimental material or equipment, and (4) books of aircraft or engines stricken from Navy List and recommended for sale.

Retention period: until craft or engine is stricken from Navy List or propeller is surveyed, as appropriate.

(2) LOG BOOKS AND HANDBOOKS OF WEIGHT AND BALANCE DATA, including (1) experimental aircraft, engines, or propellers, (2) books covering aircraft and engines that have made outstanding records considered of historical value, (3) books recording tests of experimental material or equipment, and (4) books of aircraft or engines stricken from Navy List and recommended for sale.

Retention period: permanent. (Transfer to Federal Records Center, Alexandria, Va. when aircraft or engine is stricken from Navy List or when propeller is surveyed, except transfer books of craft or engines recommended for sale (category (4)) to purchasers.)

(3) AIRCRAFT INVENTORY RECORDS: Aircraft Inventory Record (including Certificate and Record of Transfer and Shortages Form such as DD-780-2); used to maintain a continuous chain of custodial responsibility incident to the transfer and acceptance of aircraft. Also covered by the below retention instructions is the Standard Aircraft Inventory Log (including Receipt Endorsement Log and Report of Inventory Form), and Standard Inventory Log Supplement (such as NAVWEPS-4440/1) maintained for continuous in-use knowledge of Selected Item Reporting (SIR) of aeronautical items.

Retention period: until Aircraft Inventory Record or Standard Aircraft Inventory Log is superseded or reissued or until aircraft or equipment is disposed of, except as follows:

(a) When Aircraft Inventory Record is superseded—retain until second transfer has been recorded on new form; when Log is reissued—remove last Report of Inventory Form and merge with new Log.

(b) When aircraft is disposed of by transfer to other Government agencies or to foreign Governments—transfer Record or Log with craft.

(c) When aircraft is disposed of by sale to a private party—forward Record or Log, together with Form DD-780-2, to Bureau of Naval Weapons immediately. The Record or Log may be duplicated for buyer, provided no classified information is included.

(d) When accident causes strike of aircraft—striking or salvaging activity will retain Record or Log until no longer needed by investigating authorities.

(4) AIRCRAFT ACCOUNTING SYSTEM RECORDS: status of aircraft and other reports (such as OPNAV-5442 series and NAVAER-1385). Include reports of status of research and development aircraft. Apply para. 5442.

(5) MAGAZINE TEMPERATURE LOGS FOR AERONAUTICAL CRAFT. Retention period: 6 months after log is filled.

(6) SPECIFICATIONS FOR THE DEVELOPMENT AND MANUFACTURE OF AIRCRAFT AND AERONAUTICAL AND ASTRONAUTICAL EQUIPMENT. See para. 4121.

13100 AIRCRAFT MATERIAL RECORDS - GENERAL

(1) AIRCRAFT AVAILABILITY REPORTS.

Retention period: 1 year.

(2) RECORDS RELATING TO THE ALTERATION AND REPAIR OR OVER-

Disposal of Navy and Marine Corps Records

HAUL OF AIRCRAFT OR AERONAUTICAL EQUIPMENT. Apply para. 4700.

(3) AIRCRAFT CHECK LISTS. These relate to the periodic (30, 60, 90, 120, 240 hours, etc.) inspection of individual aircraft. Include check-off sheets, safety or other equipment checks, etc.

Retention period: 1 year.

(4) AIRCRAFT ACCOUNTABILITY AND STATUS RECORDS. See para. 5442.

(5) AIRCRAFT WORK STATUS RECORDS: show status of work performed on individual craft or equipment. (See also 4700 series.)

Retention period: 2 years.

13300 ASTRONAUTIC VEHICLE RECORDS - GENERAL

(1) PLANS AND DRAWINGS FOR ASTRONAUTIC VEHICLES. See para. 13000(4).

13700 ENGINE AND ENGINE SYSTEM (INCLUDING COMPONENTS AND ACCESSORIES) RECORDS - GENERAL

(1) MONTHLY AIRCRAFT ENGINE ACCOUNTABILITY REPORTS (such as NAVAER-5058).

Retention period: copies, maintained by reporting activities—1 year; originals, maintained by controlling custodians—until data is machine processed and punched IBM cards are submitted to the Bureau of Naval Weapons.

(2) AIRCRAFT ENGINE RECORD (work sheet) (such as NAVAER-5059).

Retention period: 6 months after transfer or disposition of engine.

Appendix A

NAVY REGULATIONS

Art. 1250.

"No person, without proper authority, shall withdraw official records or correspondence from the files, or destroy them, or withhold them from those persons authorized to have access to them."

Art. 1251.

"1. Unless authorized by the Secretary of the Navy, persons in the naval service are prohibited from producing official records or copies thereof, or from producing classified matter or copies thereof, in answer to subpoenas duces tecum or otherwise, and from disclosing any information pertaining to classified matter, in a civil court. In all cases where official records or copies thereof are requested by or on behalf of parties to a suit, whether in a court of the United States or of a State, such parties shall be informed that it is the practice of the Navy Department to decline to furnish at the request of the parties litigant, official records or copies thereof or other information to be used in the course of the proceedings, or to grant permission to such parties or their attorneys to make preliminary or informal examination of the records, but that the Navy Department will promptly furnish copies of official records in such cases upon call of the court before which the litigation is pending. This article does not apply to cases in which a subpoena duces tecum or other process is issued by a court of the United States requiring the production in any suit or proceeding therein pending, of files, records, reports, or other paper or documents pertaining to any

claim for the benefits prescribed under the World War Veterans Act, 1924 (act of June 7, 1924, ch. 320, 43 Stat. 607 as amended; 38 U.S.C. 421); and any such subpoena duces tecum or process shall be obeyed without prior authorization of the Secretary of the Navy in specific cases.

2. In all cases where the producing of official records in civil courts is authorized, the original records shall be retained in the custody of the person producing them, but copies of such records may be delivered for use as evidence."

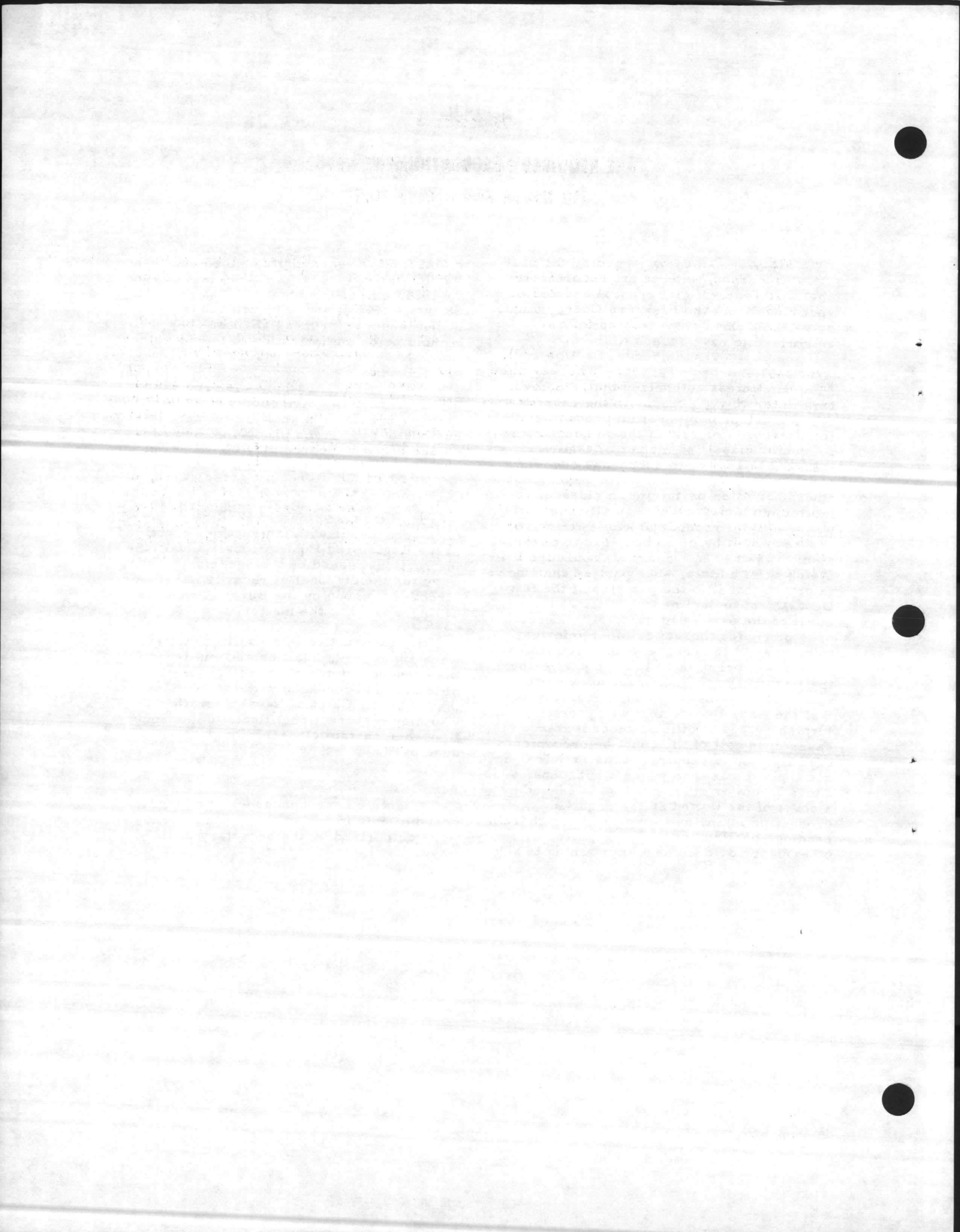
Art. 1519. Disposition of Classified Matter

1. Classified matter shall be disposed of in accordance with instructions contained in the Registered Publications Manual, the instructions issued by the Secretary of the Navy for the disposal of records, or instructions issued by the Bureau or Office having control of the matter.

2. Destruction of classified matter, when authorized, shall be accomplished in the presence of one or more responsible officials in accordance with instructions issued by the Chief of Naval Operations, who may require a certificate of destruction when certain classes of matter are destroyed.

Art. 1614.

Obsolete correspondence shall be disposed of only in accordance with instructions authorized by the Secretary of the Navy.



Appendix B

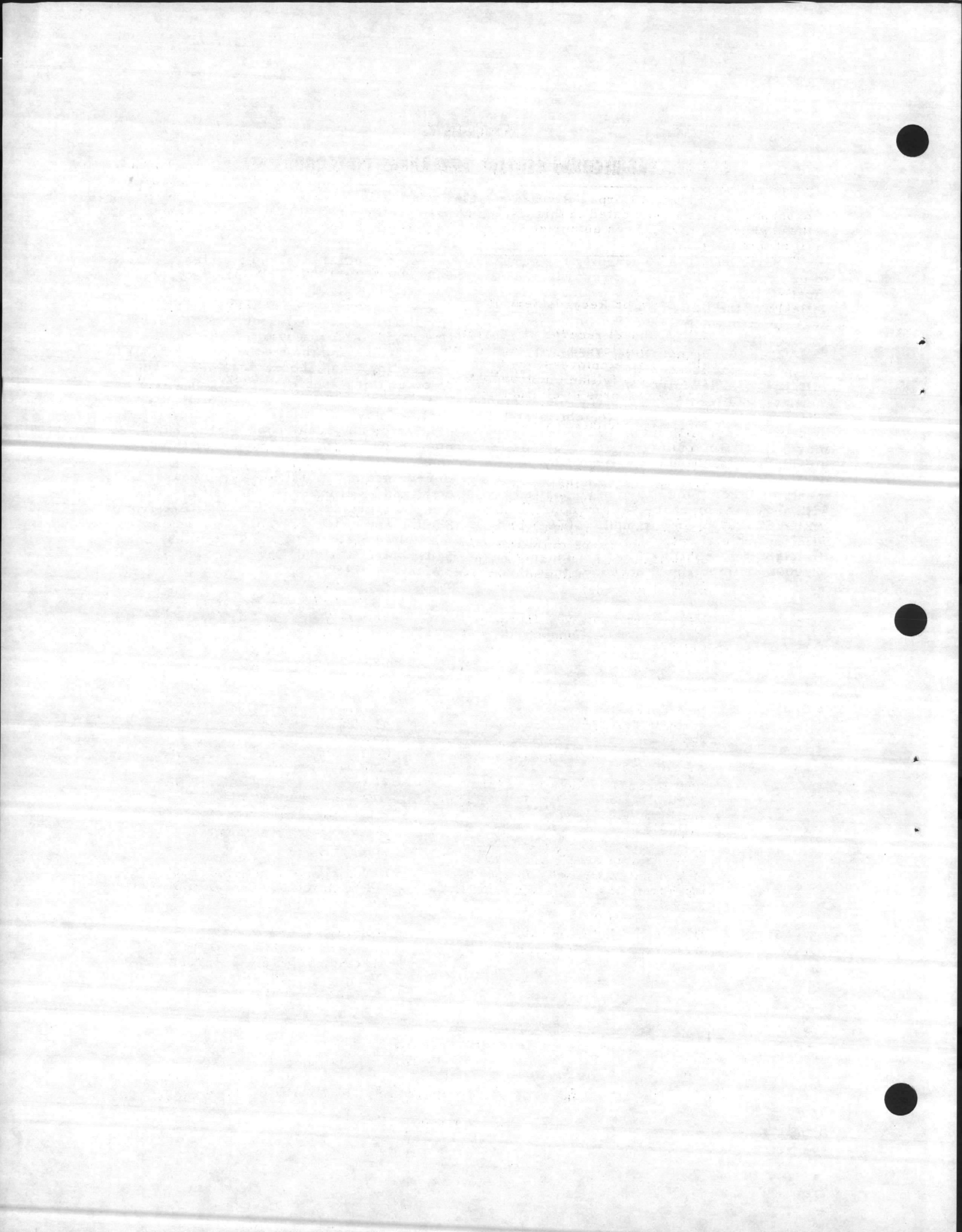
CARE REQUIRED FOR GOVERNMENT RECORDS (18 United States Code 2071)

Provisions of law regarding the care to be accorded Government records are most stringent. Sections 234 and 235 of Title 18 of the United States Code, which bear upon this point, read as follows:

"234. (Criminal Code, Section 128). Destroying public records. -- Whoever shall wilfully and unlawfully conceal, remove, mutilate, obliterate, or destroy, or attempt to conceal, remove, mutilate, obliterate, or destroy, or, with intent to conceal, remove, mutilate, obliterate, destroy, or steal, shall take and carry away any record, proceeding, map, book, paper, document, or other thing, filed or deposited with any clerk or officer of any court of the United States, or in any public office, or with any judicial or public officer of the United States, shall be fined not more than \$2,000, or imprisoned not more than three

years, or both. (Revised Statutes, Sec. 5403; Mar. 4, 1909, Ch. 321, Sec. 128, 35 Stat. 1111.)

"235. (Criminal Code, Section 129). Destroying records by officer in charge. -- Whoever, having the custody of any record, proceeding, map, book, document, paper, or other thing specified in Section 234 of this Title, shall wilfully and unlawfully conceal, remove, mutilate, obliterate, falsify, or destroy any such record, proceeding, map, book, document, paper, or thing, shall be fined not more than \$2,000, or imprisoned not more than three years, or both; and shall moreover forfeit his office and be forever afterward disqualified from holding any office under the Government of the United States. (Revised Statutes, Sec. 5408; Mar. 4, 1909, Ch. 321, Sec. 129, 35 Stat. 1112)."



Appendix C

GSA FEDERAL RECORDS CENTERS AND AREAS OR RECORDS SERVED

Navy and Marine Corps activities shall transfer their records to the nearest or appropriate Center as indicated in this listing unless specific authority for an exception to these general provisions is authorized in specific paragraph items listed in Parts II and III of this Instruction.

<u>GSA Region</u>	<u>Area or Records Served</u>	<u>Mailing and Shipping Address</u>
	All personnel records of separated civilian employees; pay records of all civilian employees; medical records of civilian employees; and medical records of civilian employees of the Army, Navy, and Air Force accumulated by naval activities.	Federal Civilian Personnel Records Center, GSA 111 Winnebago Street St. Louis, Missouri 63118 (622-5722)
	Service records of separated military personnel (other than service records for Navy officer personnel which are to be serviced by FRC, Alexandria, Va.); all other Navy and Marine Corps military personnel records, including training, medical, and dental, and court-martial records.	Federal Military Personnel Records Center, GSA 9700 Page Boulevard St. Louis, Missouri 63132 (427-6100, ext. 201)
* 1	Maine, Vermont, New Hampshire, Massachusetts, Connecticut, and Rhode Island	Federal Records Center, GSA Section A, 6th floor Boston Army Base Boston, Massachusetts 02210 (223-2657)
* 2	New York, New Jersey (areas north of Trenton only), Atlantic Ocean and other overseas activities outside the Pacific Ocean and Asiatic areas.	Federal Records Center, GSA 641 Washington Street New York, New York 10014 (927-1000, ext. 257)
*	New Jersey (Trenton and areas south of Trenton only), Delaware, and Pennsylvania east of Lancaster	Federal Records Center, GSA 5000 Wissahickon Avenue Philadelphia, Pennsylvania 19144 (438-5200, ext. 378)
	Pennsylvania except areas east of Lancaster; records of Operating Force Commands and of NFC, Cleveland	Federal Records Center, GSA Naval Supply Depot, Bldg. 308 Mechanicsburg, Pennsylvania 17055 (Poplar 6-8511, ext. 477)
3	District of Columbia, Maryland, West Virginia, and Virginia	Federal Records Center, GSA Cameron and Union Streets Alexandria, Virginia 22314 (Temple 6-1200, ext. 342 Government dial code 1253)

<u>GSA Region</u>	<u>Area or Records Served</u>	<u>Mailing and Shipping Address</u>
* 4	North Carolina, South Carolina, Tennessee, Mississippi, Alabama, Georgia, Florida, Louisiana (except Shreveport), Cuba, Puerto Rico, and Virgin Islands	Federal Records Center, GSA** 1557 St. Joseph Avenue East Point, Georgia 30044 (767-9717)
5	Kentucky, Illinois, Wisconsin, Michigan, Indiana, and Ohio	Federal Records Center, GSA 7201 South Leamington Avenue Chicago, Illinois 60638 (LUdlow 2-2175)
6	Missouri, Kansas, Iowa, Nebraska, North Dakota, South Dakota, and Minnesota	Federal Records Center, GSA 2306 E. Bannister Road Kansas City, Missouri 64131 (361-0860, ext. 7272)
* 7	Texas; Oklahoma; Arkansas; and Shreveport, Louisiana	Federal Records Center, GSA 4900 Hemphill Street P.O. Box 6216 Fort Worth, Texas 76115 (335-4211, ext. 2112)
8	Colorado, Wyoming, New Mexico, and Utah	Federal Records Center, GSA Bldg. 48, Denver Federal Center Denver, Colorado 80225 (233-3611, ext. 6856)
* 9	Nevada (except Clark County), California (except Southern California), Pacific Ocean and Asiatic areas.	Federal Records Center, GSA** Bldg. 1, 100 Harrison Street San Francisco, California 94105 (415-5556, ext. 3484)
*	Arizona; Clark County, Nevada; and Southern California	Federal Records Center, GSA 5555 Eastern Avenue Bell, California 90201 (AN 8-2548)
* 10	Washington, Oregon, Idaho, Montana, and Alaska	Federal Records Center, GSA 6125 Sand Point Way Seattle, Washington 98115 (682-3300, ext. 1384)

**Records formerly serviced by the Federal Records Center, New Orleans, La. are now serviced by the Federal Records Center, East Point, Ga.; those formerly serviced by the Federal Records Center Annex, Honolulu, Hawaii are now serviced by the Federal Records Center, San Francisco, California.

Appendix D

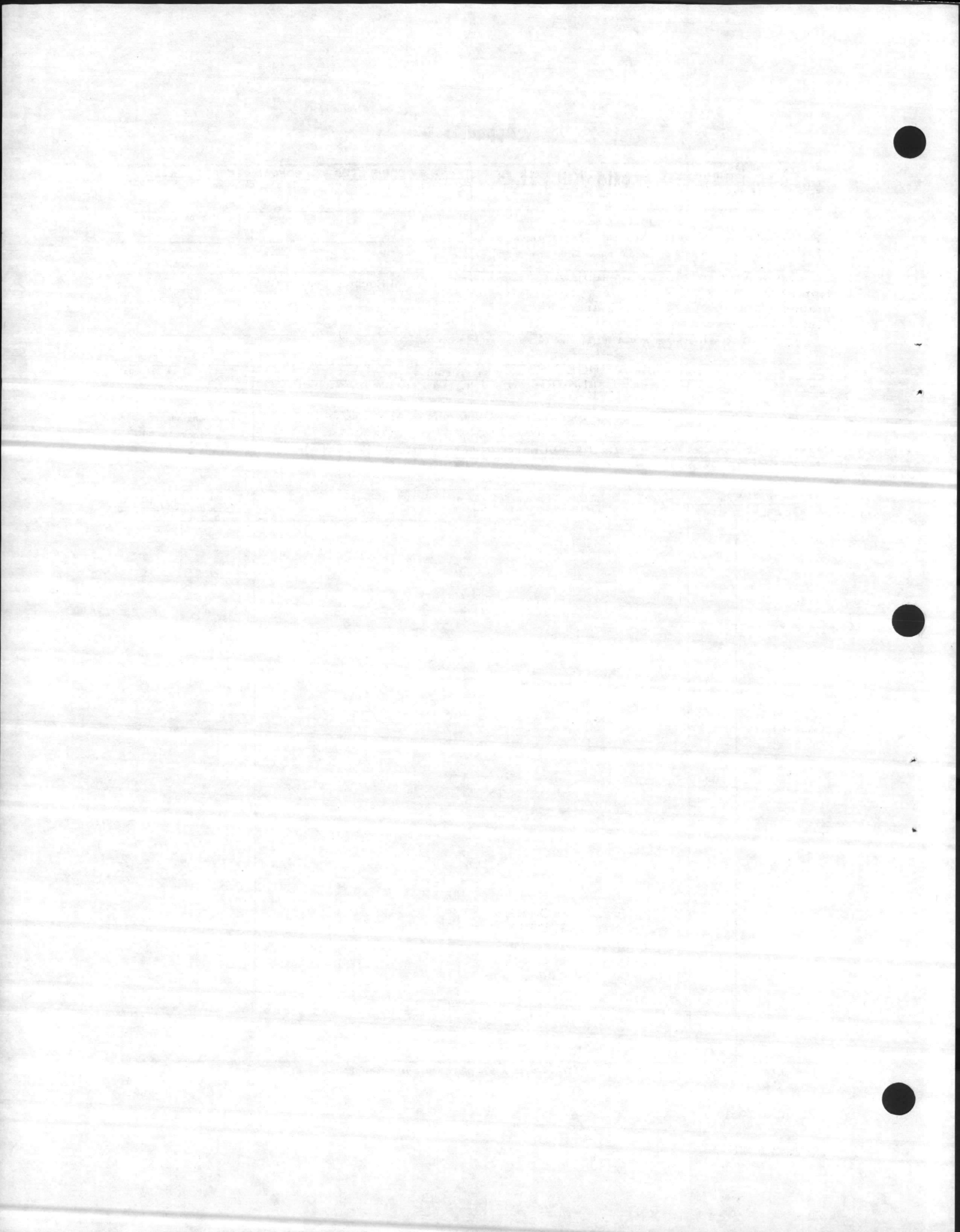
STANDARD FORM 135 EDITION GENERAL SERVICE ADMIN. REG. 3-1V-302.00	RECORDS TRANSMITTAL AND RECEIPT	TO BE COMPLETED AT FEDERAL RECORDS CENTER		
INSTRUCTIONS Send original and two copies to appropriate Federal Records Center. <i>EXCEPTION</i> - Send original and three copies to the Alexandria, Virginia Center.		ACCESSION NO.	RECORD GROUP NO.	
		SIGNATURE		DATE RECORDS RECEIVED
FROM: (Name and address of Agency transferring records)		TITLE		
		TO: Federal Records Center, GSA		
1. CITE SECURITY CLASSIFICATION AND/OR RESTRICTION ON USE OF RECORDS, IF ANY				
2. SQUARE FEET OF SPACE CLEARED		3. FILING EQUIPMENT EMPTIED		4. CUBIC FEET OF RECORDS TRANSFERRED
A. OFFICE	B. STORAGE	A. FILE CABINETS (No.)	B. TRANS. FILES (No.)	C. SHELVING (Lin. Ft.)
5. NAME OF AGENCY CUSTODIAN OF RECORDS		6. BUILDING AND ROOM NO.	7. TELEPHONE NO.	
8. MAY THE RECORDS BE DESTROYED AS SCHEDULED WITHOUT FURTHER AGENCY CONCURRENCE? <input type="checkbox"/> YES <input type="checkbox"/> NO				
9. AGENCY OFFICIAL (Signature)		10. TITLE	11. DATE	
12. BOX NUMBERS		13. DESCRIPTION OF RECORDS WITH INCLUSIVE DATES (Show organizational component creating records)		14. DISPOSAL AUTHORITY (Schedule and Item No.)
FRC ONLY	AGENCY			

STANDARD FORM 135

(If necessary, use plain paper as a continuation sheet)

21 June 1961

D-1



Appendix E

SAMPLE LABELS FOR FILE FOLDERS, FILE DRAWERS, CABINETS, OR FILE SERIES

Labels should contain: subject classification number and/or file title, a brief description of the records, inclusive period (dates) covered by the records, retention period and disposal actions to be taken, and authority for disposal (paragraph number in SECNAV Instruction 5212.5B).

7110-BUDGET ESTIMATES

Date of File: Fiscal Year 1962 (This is the period during which the file accumulates.)

Retention Period: 1 year after close of fiscal year.

Authority: 7110(2)(c) of SECNAVINST 5212.5B

Disposal Action: Cut off at end of fiscal year 1962 and remove to lower file drawer; destroy 30 June 1963.

**4000-GENERAL CORRESPONDENCE FILE:
SPECIAL LOGISTICS PROGRAMS AND PLANS (SDCP)**

Date of File: 1962

Retention Period: 5 years

Authority: 4000(2) of SECNAVINST 5212.5B

Disposal: Cut off 30 Dec 1962; retire locally 31 Dec 1963; transfer to FRC, Mech. 31 Dec 1965; destroy 30 Dec 1967.

These may be abbreviated, such as follows:

7110-BUDGET ESTIMATES

July 1961-June 1962

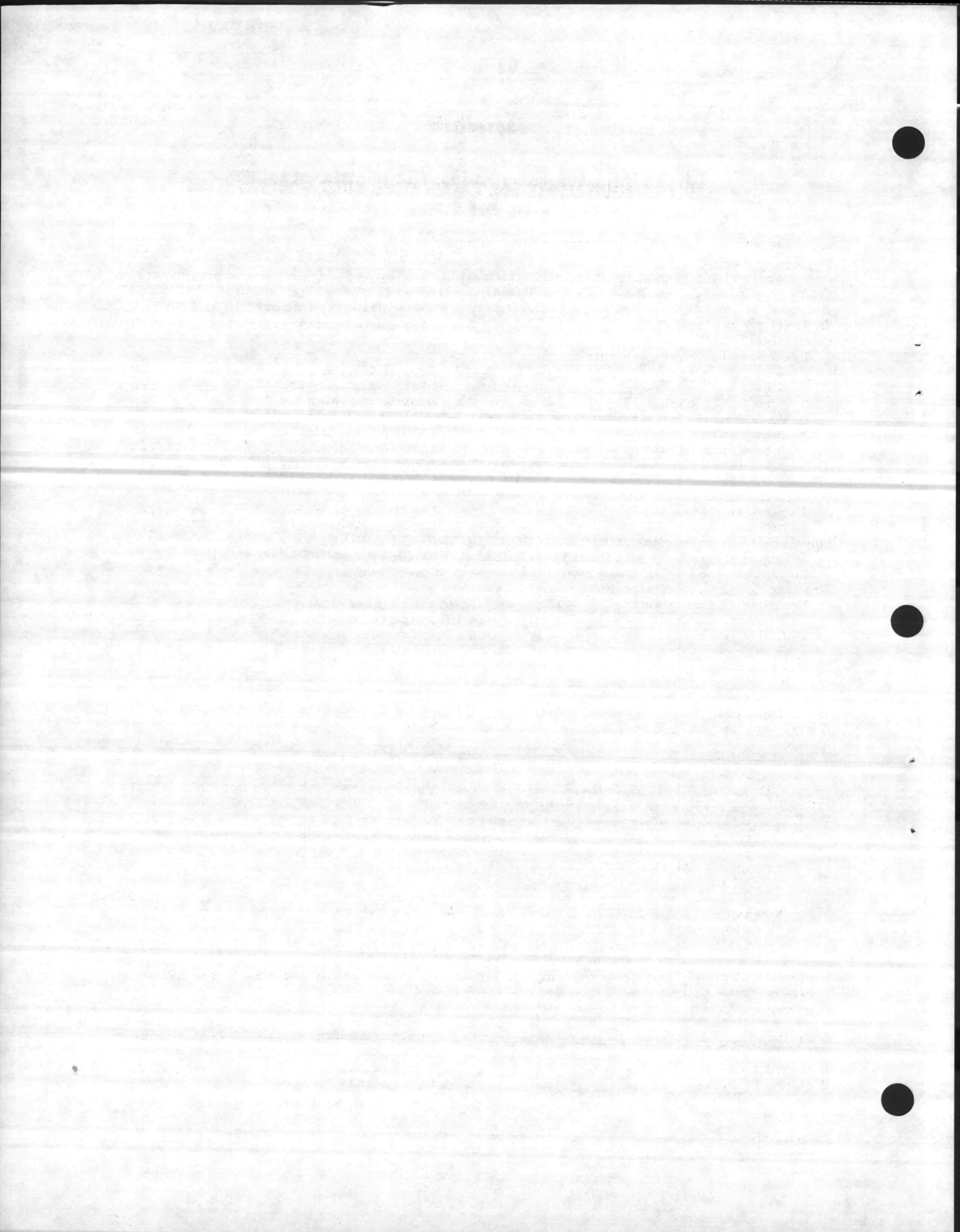
Retention: 1 yr. at end of FY,
per 7110(2)(c) of SecNav 5212.5B

Cut Off 6/30/62; destroy 6/30/63

**4000-GEN'L CORRES: SPEC. LOGISTICS PROGRAMS
FILE (SDCP) FY 1962**

Retention: 5 yrs, per 4000(2) of SecNav 5212.5B

Cut Off 6/30/62; retire locally 6/30/63
destroy 6/30/62



Appendix F

TABLE OF EQUIVALENTS FOR CALCULATING CUBIC FOOTAGE

Type of material	Unit of measurement	Cubic feet
E. A. M. tabulating cards	Tray (3, 900 cards)	.36
Card files:		
In standard vertical cabinets		
3 by 5 inch cards	Drawer (12 inch)	.10
4 by 6 inch cards	Drawer (12 inch)	.16
5 by 8 inch cards	Drawer (12 inch)	.25
In visible files		
3 by 5 inch cards	1, 000 full pockets	.07
4 by 6 inch cards	1, 000 full pockets	.11
5 by 8 inch cards	1, 000 full pockets	.18
8 by 10-1/2 inch cards	1, 000 full pockets	.36
Miscellaneous file material:		
Legal size material	Legal size drawer	1.6
Letter size material	Letter size drawer	1.25
Open shelf file material:		
Office shelving (36 by 12 inches)	Single shelf	2.25
Stock shelving (42 by 15 inches)	Single shelf	3.
Drawings, maps, plan files, etc.:		
Unfolded (1 inch plan file drawer)	Drawer	.36
Unfolded (2-1/2 inch plan file drawer)	Drawer	.9
Hanging files:		
Closed cabinet with hangers (36 by 39 by 72 inches)	Unit	24.
Open frame with hangers (48 by 36 by 60 inches)	Unit	7.8
Rolled files:		
Cabinet with bins and tubes (36 by 18 by 78 inches)	Unit	2.
Cabinet with bins and tubes	Tube	.017
Vertical files in cabinets:		
Top access with pockets and compressors	Unit	20.
3 drawer cabinet with follower block (23.5 by 24.6 by 17.3 inches)	Drawer	3.
5 drawer cabinet with follower block (15 by 28.5 by 11.6 inches)	Drawer	1.2

If number of plans, maps, or drawings is known, or can be easily estimated, the following measurements will be used regardless of method of filing:

Size drawing	Unit of measurement	Cubic feet
A (8-1/2 by 11 inches)	1, 000 plans	.25
B (11 by 17 inches)	1, 000 plans	.5

Size of drawing	Unit of measurement	Cubic feet
C (17 by 22 inches)	1,000 plans	1.
D (22 by 34 inches)	1,000 plans	2.
E (34 by 44 inches)	1,000 plans	4.
F (28 by 40 inches)	1,000 plans	3.
H (28 by 50 inches)	1,000 plans	3.5
J (34 by 50 inches)	1,000 plans	4.5
K (40 by 50 inches)	1,000 plans	5.
Film:		
35 millimeter (100 ft. reels)	72 reels	1.
16 millimeter (1200 ft. reels)	12 reels	1.

Adjustments for partially filled cabinets will be made.

APPENDIX G

GLOSSARY OF TERMS

The definitions and explanations contained in this Appendix apply to terminology or names as used in this Instruction.

1. **CUBIC FEET OF RECORDS:** Records measuring one foot long, one foot wide, and one foot high; used as a yardstick to indicate volume of records on hand, transferred, or destroyed. See Appendix F for table for calculating cubic footage for various physical types of records.
2. **DEPARTMENTAL BUREAUS AND OFFICES:** All headquarters activities and offices at the Seat of Government, including offices of the Secretary of the Navy (SECNAV, UNDERSECNAV, and Assistants), Offices of the Chief of the Naval Operations and the Commandant of the Marine Corps, all independent departmental boards and committees, and technical material bureaus and offices, whether or not any such individual activities or offices are specifically designated.
3. **DISPOSAL:** Sometimes used to refer to the physical destruction of records by burning, macerating, or other appropriate means such as sale as waste paper. In the Department of the Navy it is used interchangeably with the term "disposition".
4. **DISPOSITION:** The destruction, retirement, transfer, or microfilming of records, or their donation to non-Federal recipients. It may include two or more of these actions, such as retirement after one year, transfer after five years, and destruction after ten years.
5. **DISPOSAL CONTROL INSTRUCTIONS:** File labels used as local disposal controls for each records series an activity or other organizational unit accumulates, and providing for the breaking (cut-off), retirement and/or transfer, and destruction of each temporary records series after specified retention periods, and the designation of records for permanent retention. Labels sometimes are supplemented by centralized control cards or listing maintained by the person assigned records disposal responsibility for the organization. Disposal control instructions are prepared locally by each activity or by designated organizational units within the activity. They are based on the provisions of Navy and Marine Corps general standards contained in this Instruction. They are established for all file series, whether they comprise record or nonrecord material and whether classified or unclassified.
6. **FEDERAL RECORDS CENTER:** A records storage facility operated by the National Archives and Records Service, General Services Administration (GSA), for housing and servicing noncurrent records of the Federal Government. GSA operates regional Federal Records Centers located at strategic points in the continental United States. These Centers house and service general record material. GSA also operates two national Federal Records Centers in St. Louis, Missouri. These house and service noncurrent personnel records and payroll records. One, located at 111 Winnebago Street, houses inactive records of civilian Federal employees; the Federal Military Personnel Records Center, located at 9700 Page Boulevard, houses inactive military personnel records.
7. **FILE CUT-OFF:** The breaking, or cutting off, of a file series in order to facilitate reference to current files and permit the orderly disposal of inactive records in "blocks". To cut off or break files, a file series is terminated arbitrarily after a given period of time (or on a given date) or after a specified action or event. A new file series then is begun.
8. **FILE DOCUMENT:** A single document, such as a piece of correspondence, a report, a completed form, a map or drawing, a bound volume, a photograph, or a sound recording.
9. **FILE OR RECORDS SERIES:** Identical or equivalent file documents or file units characterized by a consistent method of arrangement and handling, a common arrangement of the component items, and uniform as to subject, type of data recorded, or kinds of transactions reflected. A file series or unit also may include related elements physically separated from it—such as finding aids or bulky material. Examples of file series are:

a. An entire voucher file, arranged numerically by voucher number and consisting of copies of paid vouchers together with attached supporting papers such as purchase orders, receiving reports, invoices, bills of lading, and correspondence. (Each individual voucher together with its supporting papers is a file unit.)

b. A complete official personnel file, arranged alphabetically by name of employees, and consisting of separate personnel folders, each containing records pertaining to an individual employee. (Each separate folder with its contents is a file unit.)

c. A purchase order file, arranged numerically by purchase order number or alphabetically by name of vendor, and consisting of copies of all the purchase orders issued or received by the organization. (Each separate purchase order and its supporting papers is a file unit.)

d. A general correspondence file.

10. **FILE UNIT:** A case file, or a series of papers documenting a single transaction and comprising part of a file series, such as a voucher with attached supporting papers, a personal history folder with included papers relating to an employee, or an incoming letter with internal comments and official reply attached.

11. **FLEET (OR FLAG) COMMAND:** See paragraph 3100, Operating Force Records.

12. **GENERAL CORRESPONDENCE FILES:** A group of related records accumulated by most activities of any size, consisting of correspondence, memoranda, messages, reports, and other records. These files are created in connection with the principal functions the activity performs. Since a variety of material is involved, it is best filed by subject so that relationships may be perceived readily. The use of the Navy-Marine Corps Standard Subject Classification System (contained in SECNAV Instruction 5210.11) is prescribed for these files. Under this system, subject classification (numerical) codes are designated for primary subjects to fit the need of the individual activity or office. These, in turn, are subdivided into secondary and tertiary breakdowns, as necessary. Instructions for disposing of general correspondence files are found under the subject-matter classification code relating to the principal functions

Change 1
27 August 1964

the activity performs.

13. **GENERAL FILE:** A collection of papers or documents, usually arranged by subject and covering a variety of types of transactions. Some of the component segments of a general file may constitute file series, such as a folder of monthly activity reports or a classification breakdown consisting of travel vouchers. A typical general file is an office correspondence file.

14. **GENERAL RECORDS SCHEDULE:** A listing of records common to several or all Government agencies with retention periods for each series of records, developed by the General Services Administration and published in Title 3, Federal Records, Regulations of the General Services Administration. Use of these schedules is optional with each Federal agency and they are to be used only after approval by the head of the agency. When the Secretary of the Navy considers these provisions applicable to naval records, they are incorporated in the retention and disposal standards issued in this Instruction. Unless so incorporated, they are not to be used by naval activities.

15. **HOUSEKEEPING AND ADMINISTRATIVE FILES:** A group of similar documents--correspondence, messages, memoranda, reports, and related documents--that relate to the "running" of an activity or office. They deal with matters over which another activity or office has primary responsibility for documenting and for establishing policies and procedures. These records are referred to in this manual as "housekeeping" or "administrative" records, since these terms provide a definitive description of the types of records involved.

16. **INDEFINITE RETENTION PERIOD:** Generally used when file does not necessarily possess permanent values but a disposal date cannot be established in the foreseeable future and file is therefore retained. All records with indefinite retention periods are subject to re-evaluation for the possible establishment of definite retention periods of temporary duration.

17. **NAVAL ACTIVITIES:** Navy and Marine Corps activities.

18. **NAVAL RECORDS:** Navy and Marine Corps records; in some instances retention and disposal standards specifically designate Navy and/or Marine Corps records,

but where "naval" is used it is intended to include both.

19. NONCURRENT OR INACTIVE RECORDS: Those files not needed in the conduct of current business and which may be removed from office space and equipment without impairing current operations.

20. NONRECORD MATERIAL: Materials that have no documentary or evidential value and that need not be filed. These are accumulated in the process of producing records, but they never acquire a "record" character:

a. stocks of publications and other reproduced documents maintained for supply purposes;

b. materials preserved solely for purposes of reference or exhibition in libraries or museums;

c. duplicate copies of material maintained within the same organization when serving the same functional purpose;

d. copies of reproduced or processed materials when other copies are retained elsewhere for official record purposes;

e. extra copies of papers preserved solely for convenience of reference, e. g., reading files, and "follow-up" or "tickler" or "suspense" copies of materials that may be destroyed after a brief period; abstracts or briefs of material maintained for tickler purposes;

f. privately purchased books and other papers relating to private personal matters and kept in an office only for convenience;

g. correspondence and other records of transitory value that have neither evidential nor informational value after action has been completed or that are received for information and require no action. Some examples of this nonrecord category are:

1. published materials received from other activities or offices requiring no action and not required for documentary purposes, provided official record copies are retained by the originating office or activity;

2. letters or other transmitting papers that add no significant information to the material submitted;

3. catalogs, trade journals, and other documents or papers received from other Government agencies, commercial firms, or private institutions, that require no action and are not a part of a case upon which action is taken;

4. working papers, preliminary or intermediate drafts, reports and related papers, memoranda, preliminary worksheets or notes and similar materials that are summarized in final or other form and that have no evidential or informational value once action has been completed since they do not relate to significant steps taken in preparing record copies of documents;

5. reproduction materials such as stencils, hectograph masters, and offset plates;

6. shorthand notes, stenographic notebooks, and stenotype tapes that have been transcribed;

7. information copies of correspondence, and memoranda and other papers that require no administrative action;

8. notices or other papers that are not the basis for official action;

9. charts, diagrams, and other graphic materials, prepared from source material and used for briefings or training activities;

10. statistical tabulating aids used incidentally in the documenting process;

11. routine records used to control or facilitate actions;

12. personal work papers, such as notes, rough drafts, cards, etc.

13. library material: publications and other materials maintained by libraries exclusively for reference purposes. (Some activities transfer their "record" copies of publications or research reports to their libraries where they are retained for the activities and may also be used for reference purposes. The fact that these are maintained in libraries rather than in the official files does not change the record character of publications so transferred; these still remain "record" material.)

21. PERMANENT RECORDS: Records that have been appraised as having enduring

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values—historical, research, legal, scientific, cultural, or other values. Navy's permanent records are those that will protect the Navy's interests and that document its primary missions, functions, responsibilities, and significant experiences and accomplishments.

22. PRIMARY PROGRAM FILES: Files of an activity or office having primary responsibility for the establishment and development of general policies, plans, programs, and procedures in designated functional areas. Activities creating or accumulating these records are formulating and prescribing procedures to be followed by other activities and offices. Most primary program records are accumulated by departmental activities; but Operating Force (Flag) commands, district and river commands, and some other major field commands also accumulate primary program files. Primary program files generally are permanent records.

23. PROGRAMMING RECORDS: The process of developing instructions spanning the complete life cycle of a records series from its creation to eventual destruction or preservation.

24. RECORDS: Those documentary materials that may not be destroyed without Congressional authority and the approval of the Secretary of the Navy promulgated in this Instruction. The statutory definition of records contained in the Records Disposal Act of 1943 reads as follows: "books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, made or received by any agency of the United States Government in pursuance of 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, operations, or other activities of the Government or because of the informational value of the data contained therein." Some evidence or information concerning these matters is contained in practically all records. The immediate or future reference needs decide the relative importance of this documentation. Determination of those records which contain sufficient evidence or information to justify continued preservation is a principal part of the records disposal program. Guidance for making these determinations is provided in this Instruction.

Disposal of Navy and Marine Corps Records

25. RECORDS CENTER: A facility equipped for the concentrated economical storage of noncurrent or inactive records and staffed to perform required reference, processing, disposal, and related services.

26. RECORDS DISPOSAL SCHEDULES: The administrative media used by the Navy Management Office to obtain legal disposal authority for general categories of naval records. When legally authorized by the Archivist of the United States and the Congress, provisions of these schedules grant continuing authority to dispose of identifiable categories of naval records that already have accumulated and that will accumulate in the future. This authority is issued to naval activities by this Instruction.

27. RECORDS STORAGE AREA: Space set aside, without specialized equipment or personnel, for the economical local storage of noncurrent records that are inactive, or relatively inactive, but that must be retained near at hand for an additional period before destruction or before transfer to a records center or other permanent storage.

28. RETENTION PERIOD: The period of time that records must be kept before they may be destroyed. The period usually is stated in terms of years or months, but often is expressed as contingent upon the occurrence of an action or event. A retention period is to be distinguished from a retirement period (see definition 31 below).

29. RETENTION STANDARD: A description of a series of records and a retention period approved by the Secretary of the Navy for such records in accordance with established procedures. The retention period may be of temporary, indefinite, or permanent duration.

30. RETIREMENT: Removal of records from usable office-type space and equipment to less desirable office space or to authorized local records storage areas.

31. RETIREMENT PERIOD: The period of time which records are to be retained before being removed from a current files area to less desirable office space or to an authorized local storage area. A retirement period is to be distinguished from a retention period (see definition 28 above).

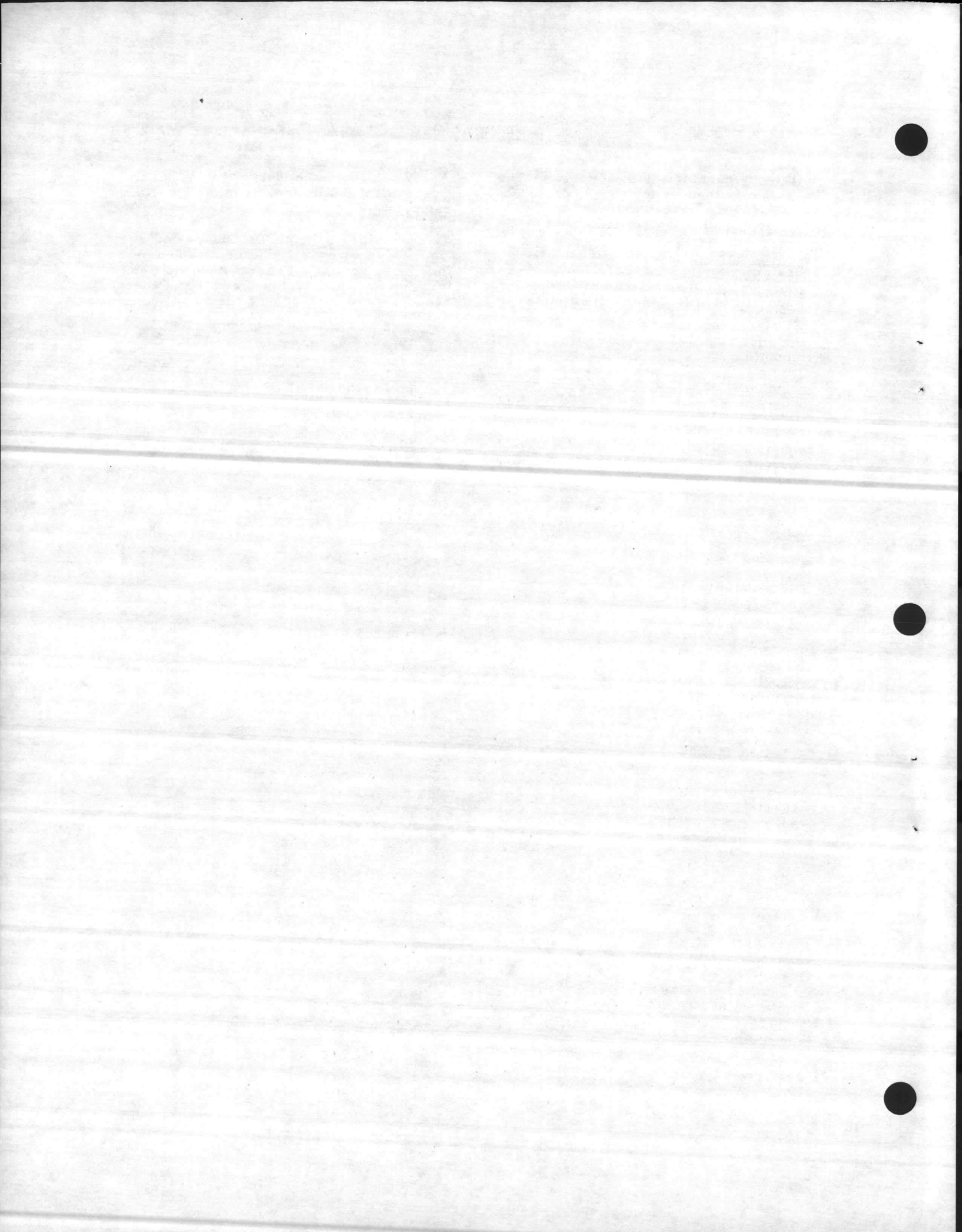
32. TEMPORARY RECORDS: Records that need be retained for a period of time or

until the occurrence of an action or event but that may then be destroyed, provided the destruction is accomplished under the provisions of this Instruction.

33. **TRANSFER:** Change of custodial responsibility for records by removal or assignment to another activity or office, or to a Federal Records Center, the National

Archives, another Federal agency, a non-Government institution, or other non-Navy recipient.

34. **TRANSFER PERIOD:** The period of time which records are to be retained before being sent to a Federal Records Center, the National Archives or other Federal agency, or to another new custodian.



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