



DEPARTMENT OF THE NAVY

NAVAL FACILITIES ENGINEERING COMMAND
WASHINGTON NAVY YARD
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WASHINGTON DC 20374-5065

IN REPLY REFER TO

NAVFACINST 5212.9E
FAC AHS
6 May 2003

NAVFAC INSTRUCTION 5212.9E

From: Commander, Naval Facilities Engineering Command

Subj: RECORDS MAINTENANCE

Ref: (a) SECNAVINST 5212.5D "Navy and Marine Corps Records Disposal Manual"
(b) SECNAVINST 5210.11D "Standard Subject Identification Codes" (SSIC)
(c) NAVFACINST 5510.11 "Information and Personnel Security Program"
(d) SECNAV 5510.30A, "Information and Personnel Security Program"

Encl: (1) Standard Form 135 "Records Transmittal and Receipt"
(2) Optional Form 11 "Reference Request - Federal Records Centers"

1. Purpose. To delegate authority for establishment of policy on records maintenance; and to prescribe procedures for the transfer, retention, retrieval and destruction of Naval Facilities Engineering Command Headquarters (NAVFACENGCOMHQ) records.

2. Cancellation. NAVFACINST 5212.9D of 12 June 1996.

3. Authority. The Director, Administrative Headquarters Services Division, Code AHS, will establish policy on and direct management of the Headquarters records maintenance program. Code AHS has approval authority for Headquarters records maintenance decisions. The Director, Code AHS has delegated the position of Records Officer to the Program Analyst for Budget within AHS.

4. Scope and Applicability. This instruction applies to all records in the custody of NAVFACENGCOMHQ.

5. Definition of Custodian of Records. A custodian of records is one who has been delegated responsibility for maintaining control of records. Custodians of records reside in the Directorates.

6. Transfer of Records.

- (a) Custodians of records will contact the records officer, who will consult reference (a) to determine if the records are unclassified and if they will have a sufficient retention period at the Federal Records Center (FRC).

(2) If the records are classified, the records officer will contact the Headquarters Security Manager who will possess the records in accordance with reference (d)

(3) If the retention period is not deemed satisfactory, the records will not be transferred.

(4) If the records are in a form other than paper, such as microfilm or tapes, the records officer will follow the procedures outlined in reference (a).

(b) Custodians will put records approved for transfer to a FRC in records center cartons available the Administrative Headquarters Services Division, Code AHS.

(1) All cartons of records will be full. A partially filled box is not satisfactory and will not be accepted by the FRC.

(2) After the cartons are packed, custodians will forward a memo to the records officer with a list of the contents of each box with inclusive dates of records in each box. ALL CARTONS WILL BE KEPT IN THE OFFICE OF THE CUSTODIAN OF RECORDS UNTIL NOTIFIED BY THE RECORDS OFFICER FOR PICK-UP.

(3) Custodians will mark the box number on each with large BOLD writing of black ink on the front of the box (opposite the staples) in the upper right corner as follows: 1 of __ (i.e., 1 of 6), 2 of __, etc. The accession number will also be marked opposite the box number in the upper left corner with BOLD writing of black ink. Mailing labels will be typed by the custodian with the address of the FRC and secured on top of the box.

(4) The records officer will complete enclosure (1). The original and two copies will be forwarded to the appropriate FRC. One copy will be retained and filed with the memo received from the code. Upon acceptance of enclosure (1) by the FRC for the records to be stored, two validated copies will be returned to the records officer for filing with the list of records.

c. When the custodian is notified by the records officer to send boxes to the mailroom for transfer to the FRC, or to have the boxes picked up by the FRC instead of mailing directly, Box One will be put on top with a copy of enclosure (1) inside, which will be provided by the records officer.

d. If records relate to asbestos or nuclear weapons, custodians will notify the records officer and follow mandatory procedures outlined in reference (a).

7. Retention of Records.

- a. Reference (a) provides prescribed retention periods for all categories of records.
- b. Custodians of records will not destroy or order the destruction of any records through the duration of their prescribed retention periods.

8. Retrieval of Records.

- a. Custodians of records stored at a FRC will send a memo to the records officer with a copy of enclosure (1) originally sent to the FRC requesting retrieval of any desired records.
- b. The records officer will fill out enclosure (2) and send it to the FRC.
- c. The records officer will file a copy of enclosure (2) with a copy of the custodian's retrieval memo.

9. Destruction of Records.

- a. When records stored at a FRC approach the end of their retention periods, the records officer will notify custodians of their imminent destruction, with the exception of those pertaining to asbestos and/or nuclear material, which will be retained permanently in accordance with reference (a).
- b. Custodians may request retrieval of any such records rather than allow records to be destroyed.

10. Action. Addresses will comply with references (a) through (d) and the provisions of this instruction.



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Assistant Commander for Engineering Resources

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1. TO (Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)
Federal Records Center

5. FROM (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)

2. AGENCY TRANSFER AUTHORIZATION TRANSFERRING AGENCY OFFICIAL (Signature and title) DATE

3. AGENCY CONTACT TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)

4. RECORDS CENTER RECEIPT RECORDS RECEIVED BY (Signature and title) DATE

Fold Line

6. **RECORDS DATA**

ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	R E T I R I N G	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	S H E L F	C O U N T E R	A D J U S T P O S T
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)

INSTRUCTIONS FOR COMPLETION OF STANDARD FORM 135

FOR COMPLETION BY THE TRANSFERRING AGENCY

Items 1, 2, 3 and 5 are self-explanatory. Specific instructions for item 6 are as follows:

Col.

Accession Number. A separate accession number is required for each series of records listed on the form. A series consists of records having the same disposal authority and disposal date that are transferred together to the records center. The accession number is entered in three parts, consisting of:

- (a) The NARA record group number assigned to the records of the agency making the transfer:
- (b) The last two digits of the current fiscal year; and
- (c) A four digit sequential number obtained in advance from the records center. (Arrangements may be made with the center to have these numbers assigned by the agency records officer or other official.)
- (d) *Volume.* Enter the volume in cubic feet of each series of records being transferred.
- (e) *Agency Box Numbers.* Show the inclusive box numbers for each series of records being transferred. The agency shall number each carton sequentially as follows: 1 of 25, 2 of 25, 3 of 25, etc. (Each new series of records should begin with carton number 1.) To facilitate control of the records and future reference service, the agency also shall mark each container with the assigned accession number prior to shipment.
- (f) *Series Description.* Describe the records in sufficient detail to allow the records center to check for proper application of the disposal schedule. Inclusive dates of the records should be indicated. Show the organizational component that created the records when it is other than that shown in item 5.
- (g) *Restriction.* Enter one of the following codes to show a restriction on use of the records. Restrictions other than (or in addition to) security classifications, such as limiting access to certain agency officials, are to be specified by a statement in the Series Description column (f).

<i>Code</i>	<i>Restrictions</i>
Q	Q security classification
T	Top Secret security classification
S	Secret security classification
C	Confidential security classification
R	Restricted use--witnessed disposal <i>not required</i> (specify in column (f))
W	Restricted use--witnessed disposal <i>required</i> (specify in column (f))
N	No restrictions

- (h) *Disposal Authority.* For each series of records, cite the agency schedule and specific item number authorizing disposal. Cite the NARA disposal job and item number if it has not been incorporated into an updated agency schedule.
- (i) *Disposal Date.* Applying the disposal authority previously cited in column (h), enter the month and year in which the records may be destroyed.

FOR COMPLETION BY THE RECORDS CENTER

Item 4 is self-explanatory. Specific instructions for item 6 are as follows:

Col.

- (j) *Location.* The records center annotates the shelf location of the first carton for each series of records.
- (k) *Shelving Plan.* The records center enters the appropriate code from Chap. 7-10e, HB, Records Center Operations (NAR P 1864.1A), to reflect the shelving system.
- (l) *Container Type.* The records center enters the appropriate code from Chap. 7-10h, NAR P 1864.1A, to reflect the type of container in which the records are retired.
- (m) *Automatic Disposal.* The records center enters either Y (yes) to indicate automatic disposal applies or N (no) indicating that the agency wishes to receive disposal concurrence notice prior to destruction of the records. Automatic disposal is applied only when previously agreed upon by the agency.

Use Standard Form 135-A, Records Transmittal and Receipt Continuation, when additional space is required for listing records data.

REFERENCE REQUEST—FEDERAL RECORDS CENTERS

NOTE: Use a separate form for each request.

SECTION I—TO BE COMPLETED BY REQUESTING AGENCY

ACCESSION NO.	AGENCY BOX NUMBER	RECORDS CENTER LOCATION NUMBER
	OF	

DESCRIPTION OF RECORD(S) OR INFORMATION REQUESTED

BOX

FOLDER (include file number and title)

REMARKS

NATURE OF SERVICE

FURNISH COPY OF RECORD(S) ONLY PERMANENT WITHDRAWAL TEMPORARY LOAN OF RECORD(S) REVIEW OTHER (Specify)

SECTION II—FOR USE BY RECORDS CENTER

<input type="checkbox"/> RECORDS NOT IN CENTER CUSTODY <input type="checkbox"/> RECORDS DESTROYED <input type="checkbox"/> WRONG ACCESSION NUMBER—PLEASE RECHECK <input type="checkbox"/> WRONG BOX NUMBER—PLEASE RECHECK <input type="checkbox"/> WRONG CENTER LOCATION—PLEASE RECHECK <input type="checkbox"/> ADDITIONAL INFORMATION REQUIRED TO IDENTIFY RECORDS REQUESTED <input type="checkbox"/> MISSING (Neither record(s), information nor charge card found in container(s) specified) <input type="checkbox"/> RECORDS PREVIOUSLY CHARGED OUT TO (Name, agency and date):	REMARKS
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DATE	SERVICE	TIME REQUIRED	SEARCHER'S INITIALS

SECTION III—TO BE COMPLETED BY REQUESTING AGENCY

NAME OF REQUESTER	TELEPHONE NO. <input type="checkbox"/> FTS DATE	RECEIPT OF RECORDS
NAME AND ADDRESS OF AGENCY <small>(include street address, building, room no. and ZIP Code)</small> 		Requester please sign, date and return this form, for file item(s) listed above, ONLY if the block to right has been checked by the Records Center. <input type="checkbox"/> SIGNATURE _____ DATE _____