



DEPARTMENT OF THE NAVY
BUREAU OF MEDICINE AND SURGERY
7700 ARLINGTON BOULEVARD
FALLS CHURCH, VA 22042

IN REPLY REFER TO
BUMEDINST 5210.15
M09B1
12 May 15

BUMEDINST 5210.15

From: Chief, Bureau of Medicine and Surgery
To: All internal BUMED Codes

Subj: RECORDS MANAGEMENT PROGRAM

Ref: (a) SECNAV M-5210.2 of 3 July 2012
(b) BUMEDINST 5210.10
(c) 44 U.S.C. Chapters 29, 31, and 33
(d) SECNAVINST 5210.8D
(e) SECNAVINST 5510.36A
(f) SECNAV M-5210.1 of January 2012
(g) SECNAVINST 5211.5E

1. Purpose. To issue Records Management Program (RMP) policy ensuring medical and administrative documents created or acquired by the Bureau of Medicine and Surgery (BUMED) Headquarters (HQ) are properly managed from creation/receipt through final disposition; thereby, complying with federal laws and Department of the Navy (DON) records management requirements established in references (a) through (g).

2. Applicability. Records management procedures discussed in this instruction are applicable to all BUMED HQ personnel (military, civil service, and contractor staff). Records management includes all medical and administrative records and files generated at BUMED HQ.

3. Background Records Management

a. An effective RMP is required by federal law and Navy regulations to ensure the accurate and efficient management of all records. BUMED HQ's RMP is designed to ensure that our records are created, maintained, and dispositioned (destroyed, deleted or transferred) per (a) through (g).

b. Filing. Filing procedures constitute an integral part of RMP. Reference (a), Chapter 1, provides general guidance for establishing a filing process for records created and maintained at BUMED HQ. BUMED HQ will use printed copies of documents until an approved Electronic Records Management application is implemented.

c. Disposition. The disposition guidance contained in reference (b) is mandatory and shall be followed by all personnel.

d. Electronic Records. Electronic documents, files, and e-mail messages are considered records when they meet the definition in reference (c), Chapter 33.

4. Policy. BUMED HQ shall create, maintain and dispose of medical and administrative records as specified in references (a) through (g) under the following provisions:

a. Command Records Manager (CRM). The CRM is a military or civil service staff member and shall be appointed in writing. The CRM will manage the RMP to ensure compliance with this instruction. The CRM shall:

- (1) Train RMP coordinators.
- (2) Approve code file plans.
- (2) Conduct spot checks annually or as directed.
- (3) Authorize records for transfer to the Federal Records Center.
- (4) Maintain and safeguard the command SF 135, Records Transmittal and Receipt.
- (5) Provide oversight of the BUMED RMP.

b. Records Management Coordinator (RMC). Code Deputy Chiefs shall appoint RMC in writing to manage the code's RMP to ensure compliance with this instruction. RMCs shall:

- (1) Ensure that the Codes are following records management policies, as established by references (a) through (g).
- (2) Develop file plans for approval by the CRM using OPNAV 5210/76, File Plan.
- (3) Conduct an annual review of file plans and submit changes to the CRM for approval.

12 May 15

(4) Ensure record disposition (deleted, destroyed, or transferred) is conducted annually.

c. Records Creation

(1) BUMED HQ personnel are responsible for ensuring that records are created, maintained and preserved to document business operations; and to furnish information necessary to protect legal and financial rights of Navy Medicine and persons affected by our mission activity.

(2) Records shall be identified by Standard Subject Identification Codes (SSIC). SSIC classification is the basis for managing records and per reference (d), shall be used on all records created including e-mail, letters, memorandums, messages, directives, forms, and reports.

(3) To minimize the record keeping burden on recipients and to minimize the impact on the electronic communication systems, creators of e-mail messages shall limit distribution of messages to recipients who have "action responsibility" or the "need to know." The creator and/or recipient of an e-mail message determines whether it meets the definition of a record.

d. Filing Procedures. Filing procedures shall be in compliance with reference (b). Personal Storage Table (PST) files are not authorized for use to store record copies of e-mails.

e. Personal Data. All persons having Federal records containing personal data (name, Social Security Number, home address, date and place of birth, etc.) must exercise due caution to ensure that this information is protected. Personal data is subject to protection and must be marked as "FOR OFFICIAL USE ONLY (FOUO) - PRIVACY SENSITIVE. Any misuse or unauthorized disclosure may result in both civil and criminal penalties."

f. Retention and Disposal. Retention and disposal of records shall be per reference (b).

5. Command Security Manager. Shall coordinate with the RMC and provide the technical guidance required to ensure proper classification and management of classified and sensitive records, and to apply the provision of the mandatory declassification program per reference (e).

6. Command Training Manager. Shall ensure annual training is accomplished for all military and civilian personnel. Annual training consists of the web-based Navy Knowledge Online (NKO) training course: "Records Management in the DON: Everyone's Responsibility."

7. Department Heads shall

a. Ensure that all departmental documents are assigned a SSIC, per reference (a), that most accurately reflects the documents content.

b. Segregate official records from "personal papers."

c. Forward any questions regarding the RMP to the Code RMC.

8. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per reference (f).

9. Forms

a. OPNAV 5210/76 (Rev. 6-11), File Plan, is available for download from Naval Forms online: <http://navalformdaps.dla.mil>.

b. SF 135 (Rev 7-85), Records Transmittal and Receipt is available at <http://www.gsa.gov/portal/forms/download/115746>.



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