



DEPARTMENT OF THE NAVY
COMMANDER NAVY RESERVE FORCE
1915 FORRESTAL DRIVE
NORFOLK VIRGINIA 23551-4615

COMNAVRESFORINST 5210.1
N00
22 Sep 16

COMNAVRESFOR INSTRUCTION 5210.1

From: Commander, Navy Reserve Force

Subj: RECORDS MANAGEMENT PROGRAM

- Ref: (a) SECNAV M-5216.5, Correspondence Manual
(b) SECNAVINST 5210.8E
(c) SECNAV M-5210.1, DON Records Management Manual
(d) DON CIO memo of 10 April 2014, Department of the Navy Task and Records Management Systems
(e) TRIM Desk Guide, version 1.11 of 28 June 2016
(f) OPNAVINST 5210.20
(g) Local Dataset Records Manager Desk Guide, version 1.0 of 6 July 2016
(h) CNO WASHINGTON DC 172044Z MAR 16 (NAVADMIN 066/16)
(i) COMNAVRESFORINST 5239.3A
(j) TRIM Configuration Guide, version 1.00 of 12 September 2014
(k) Title 44 U.S.C., Chapters 29, 31, and 33
(l) Title 36 U.S.C., Chapter 12, Part 1234
(m) DoD Instruction 5015.02 of 24 February 2015
(n) SECNAVINST 5510.36A
(o) SECNAVINST 5720.42F

Encl: (1) Sample TRIM LDRM designation letter

1. **Purpose.** To establish policies and governance to ensure information created throughout Commander, Navy Reserve Forces (COMNAVRESFOR) is properly managed from creation/receipt through final disposition according to federal laws and Department of the Navy (DON) Records Management Program (RMP) requirements, per references (a) through (o). This instruction applies to unclassified records only. Classified records will be processed by the command's security manager per reference (a).
2. **Policy.** COMNAVRESFOR activities will establish, maintain, and dispose of records consistent with the guidance in references (a) through (o) and this instruction. Per reference (a), COMNAVRESFOR activities will use the Total Records and Information Management (TRIM) system as the Records Management Application (RMA) for the storage and management of official DON electronic records. RMA and Electronic Records Management System (ERMS) are synonymous terms.
3. **Applicability and Scope.** This instruction applies to all military, civilian, and contractor personnel assigned to activities within COMNAVRESFOR, Commander, Navy Reserve Forces Command (COMNAVRESFORCOM), Commander, Naval Air Force Reserve (COMNAVAIRFORES), and their subordinate echelon 4 and 5 commands.

4. Definition. Per reference (b), records include all recorded information, regardless of physical form or characteristics, made or received by an agency of the United States Government under 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, procedures, operations, or other activities of the Government or because of the informational value data in them; and does not include library museum material made or acquired and preserved solely for reference or exhibition purposes. See reference (b) for additional definitions.

5. Records Management. In accordance with reference (c), commands are required to maintain an active RMP that provides for the accurate and efficient tracking and retrieval of command records. The RMP is designed to ensure records are created, maintained, and disposed of per references (a) through (o) and this instruction. Records Management is everyone's responsibility. If not otherwise mandated or prohibited by policy, all records should be stored exclusively electronically.

6. Electronic Records Management. Per reference (a), the TRIM program is a Department of Defense certified ERMS. TRIM provides robust search capability. Leveraging embedded records management functions, TRIM enables enterprise users to manage all electronic records for every stage of the record life, and enables compliance with legislative and regulatory requirements. TRIM logs all transactions and stores the information within the record metadata. Although the TRIM software and server platforms are provided for under Navy and Marine Corps Intranet (NMCI), the contents and their management are the responsibility of the individual content owners. TRIM enables DON agencies to proactively capture, classify and manage evidence of their decision making and business activities in a records management system. At the time of this writing, the required use of TRIM does not apply to ONE-NET users and/or those activities who do not utilize NMCI, e.g. NOSC Guam, Seal Team 17 and 18. Once an ERMS is available to those non-NMCI commands, those commands will follow this instruction for electronic records management. It is anticipated that TRIM version 8.3 (which includes web based functionality) will be rolled out in approximately 1 year. Per reference (d), a web based DON enterprise-wide task management and records management system is under development, called the DON Tasking, Records, and Consolidated Knowledge Enterprise Repository (TRACKER). DON TRACKER will provide one auditable and compliant task management and records management system for all DON shore-based commands and organizations. The records management implementation of DON TRACKER is tentatively scheduled for FY-18.

a. Roles in TRIM. Access controls are established by the TRIM administrator per the TRIM User Permission Matrix found in reference (e). The roles that are used for COMNAVRESFOR are:

(1) Dataset Record Manager (DRM) – see subparagraph 12c for DRM responsibilities.

(2) Local Dataset Record Manager (LDRM) – see subparagraph 12f for LDRM responsibilities. A LDRM is also called a Local ERMS Administrator in reference (f).

(3) Advanced End User – Granted the ability to add and view records. This is the most common profile assigned.

(4) Inquiry User – Limited to view only (read-only). This role can be given to auditors or someone needing read-only access.

b. Access to TRIM. Account profiles must be created for individuals who require access to TRIM by the DRM or LDRM under the TRIM dataset entitled “Navy Reserve Forces Command.” Individuals must have a valid Common Access Card (CAC) and access to a NMCI network connection. For Advanced End User TRIM access, please contact your command’s LDRM. LDRM’s needing TRIM access should refer to section 1.2 of reference (g).

c. TRIM Access Controls. Access controls have been configured as follows:

(1) Top-down view access to add and modify records is granted to commands and their subordinate commands.

(2) Command triad (commanding officer (CO), executive officer (XO) and command chief/senior enlisted (CMC/SEL)) has access to add and modify all records for their command and subordinate commands.

(3) LDRMs have access to add and modify all records for their command and subordinate commands. LDRMs can also add and remove access to TRIM for their command and subordinate commands.

(4) DRMs have access to add, modify, and delete all records within the Navy Reserve Forces Command TRIM dataset.

(5) At all levels, access will be limited to users with a need to know in order to perform the duties of their assigned billet and any designated collateral duties.

d. TRIM Servers. There are 10 servers available for TRIM. Each server acts as a redundant backup for records that are stored in TRIM. Once an account has been created under the Navy Reserve Force Dataset, users should select a server that is closest to their geographical location. Server names and locations can be found in reference (e) at https://private.navyreserve.navy.mil/coi/Records_Management/TRIM/Shared%20Documents/

e. Navy Reserve Forces Command TRIM Dataset Structure

(1) Within TRIM, the COMNAVRESFORCOM DRM has already built container levels, nine, eight, seven, and six, using a standardized naming convention. These container levels correspond to the COMNAVRESFORCOM headquarters level down to the Navy Reserve Activity (NRA) department level and only allow an end user to view the specific department containers the end user has been granted access to. For example, if an N1 end user has not been

granted access to N8's containers, the N8 containers will be invisible to the N1 end user. One "General" container exists at each command and is visible to users with access to any container within that command. This allows for the storage of records that apply to all-hands.

(2) For the same reason that physical records are organized, and in a similar fashion, records stored in TRIM must be placed in the defined "cabinet, drawer, folder" storage system. As determined by the chain of command, end users must create three levels of organization within their department container: cabinets, drawers, and folders, in that specific order. A cabinet is a prerequisite for a drawer and a drawer is a prerequisite for a folder. Each department can create 99 cabinets; each cabinet can hold 99 drawers; each drawer can hold 999 folders. After a folder is created, a record can be uploaded into TRIM.

f. TRIM Electronic Filing

(1) Effective 1 October 2016, all key supporting documents (KSD) shall be loaded into TRIM. A listing of KSDs can be found on the COMNAVRESFORCOM N83 Financial Improvement Audit (FIAR) document library:

<https://private.navyreserve.navy.mil/cnr/c/N-Codes/N8/Pages/default.aspx>.

(2) All records that are normally required to be retained in hardcopy format should be saved into TRIM.

(3) All other records should be saved into TRIM as determined by the NRA CO.

(4) Scanned records shall be legible and scanned at a minimum of 200 Dots per Inch (DPI), but 300 DPI or greater is preferred. 200 DPI is the default setting for most multifunction devices and scanners.

(5) Bulk archiving of several documents into one electronic record is authorized. Prior to uploading into TRIM, the record must be verified for completeness and accuracy. A page check to ensure the electronic record has the same number of hardcopy pages must be completed (electronic scanners occasionally skip a page). Sorting (e.g. by alphabetizing) the hardcopy records prior to electronically scanning should be completed. Bulk archiving should be limited to the same specific subject and not used for convenience.

(6) A hardcopy record may be destroyed at the CO's discretion; provided the record is properly uploaded in TRIM and a physical copy is not specifically required or mandated by policy.

g. TRIM electronic naming convention for cabinets, drawers, or folders

(1) Each NRA already has the "MANPOWER & PERSONNEL MANAGEMENT" department already built in TRIM. Each NRA must first create a "Personnel Records" cabinet. Second, each NRA must then create a drawer for each Reserve Unit Identification Code (RUIC). The drawer shall be named with the RUIC number vice the unit's name. Third, each NRA shall

create a folder for each reservist as well as a unit folder or folders as necessary. Each individual folder should be named "LastNameFirstNameLast4ofSSN," e.g. SMITHJOHN1234. Ultimately, the number of folders should equal the number of assigned drilling reservists.

(2) Add the phrase "(CONTAINS PII - FOUO PRIVACY SENSITIVE)" at the end of the name of every cabinet, drawer, or folder that has personally identifiable information (PII) in the names of the containers immediately beneath it. If the name of a container contains PII, then the cabinet, drawer, or folder directly above the container shall contain this phrase. This is to serve the same function as a PII coversheet.

For example:

Drawer Name (RUIC)

Folder Name (Member)

Record Name (Record)

12345 (CONTAINS PII - FOUO PRIVACY SENSITIVE)

SMITHJOHN1234 (CONTAINS PII - FOUO PRIVACY SENSITIVE)

FY16_NAVRES1570_IPR_SmithJohn6789_05MAY2016

h. TRIM electronic naming convention for files

(1) For records that have a document number (e.g. Standard Document number, Military Standard Requisitioning and Issue Procedures (MILSTRIP) document number, or Procurement Instrument Identification number), the document number should be included in every record name, per reference (h). Also include any logical combination of alphanumeric characters that can easily help to search, identify and retrieve the individual record at a later time, e.g. the form number, subject, etc.

For example:

N0007216RC54001_NAVCOMPT_FORM_2276

(Refer to Bulk Archiving, subparagraph 6f(5) for archiving the entire hardcopy folder associated with this document number)

(2) Records that involve personnel and have a form number should follow the following naming convention:

[FY]_[Form#]_[FormName]_[LastName][FirstName][last4ofSSN]_[Effective Date]

For example:

FY16_NAVRES1570_IPR_SmithJohn6789_05MAY2016

(3) Records that do not have a form number should generally follow the format in chapter 7 of reference (a), with the following modifications. First, remove special characters, e.g. the '/' character. Second, include the subject in the name of the record. Third, duplicated information does not need to be included in the electronic record name, such as the command name, date, and SSIC. Assuming the correspondence came from the same command that is uploading the electronic record into TRIM, the command name is captured in the TRIM record number. TRIM has the capability to assign SSIC codes to individual records, so the SSIC can be identified with the record. TRIM automatically captures the date the record was electronically created, but the effective date shall be included in the record name.

The following is an example from chapter 7, subparagraph 10d(1) of reference (a),

COMCARSTRKGRU NINE ltr 7200 Ser N00/124 of 17 Apr 15

In the above example, if the correspondence had the subject "RECOMMENDATIONS ON THE USE OF TRIM," and making modifications to the above example, the electronic record name would become:

Ser N00 124 RECOMMENDATIONS ON THE USE OF TRIM 17APR15

(4) When uploading a record into TRIM, the users must identify the record as "NON PII DOCUMENT" or "PII DOCUMENT – FOUO PRIVACY SENSITIVE." See reference (i) for additional information on personally identifiable information.

7. Records Creation. COMNAVRESFOR personnel are responsible for creating, maintaining, and preserving information as records, from any type of media, sufficient to provide evidence of organization, functions, policies, procedures, decisions, or records that document the transactions necessary to protect legal and financial rights of the command and its personnel.

8. Records Filing. Filing procedures and retention schedules constitute an integral part of any records management program. Reference (c) provides guidance for establishing filing procedures for records created and maintained in offices and activities. Reference (c), along with amplifying guidance in this instruction, are to be used by personnel responsible for maintaining command records.

9. Records Freezes and Holds. Records pertaining to unsettled claims for or against the Federal Government, current or pending litigation, preservation orders, Freedom of Information Act (FOIA) and/or Privacy Act requests, exceptions taken by the Government Accountability Office or internal auditors, or incomplete investigations will not be destroyed. These records must be retained until the litigation or action is settled, the investigation is completed, the preservation order is lifted, or the exception is cleared. Records identified as frozen or held may not be destroyed without written notification of their release from your activity Records Manager (RM). Segregate and retain records directly pertinent to the litigation, investigation, preservation orders, or exception until all actions are completed. Before implementing such procedures, coordinate with your activity RM and Office of Counsel to establish the legitimacy of the action and your

proposed implementing actions. After consultation with the COMNAVRESFORCOM RM, the COMNAVRESFORCOM Office of Counsel will be the final authority on records holds/freezes.

10. Personal Records or Papers. Per reference (b), personal papers are documentary materials belonging to an individual that are not used to conduct agency business. Personal records are excluded from the definition of federal records and are not owned by the government. When retaining records that are personal and not federal records, they must be clearly marked "Personal Papers" and kept separate from the activity's official records and not maintained in TRIM.

11. Removal of Records upon Transfer or Retirement. Individuals who are transferring or retiring may not remove official records from their offices. Official records belong to the command at which they were created. Individuals may, however, remove personal records at their discretion without agency permission. They may also remove copies of official records upon approval by the command's RM. Approval may be granted only if all of the following conditions are met:

- a. Removal will not diminish official records.
- b. The materials do not contain national security classified information.
- c. The information removed is not subject to the Privacy Act of 1974, as amended.
- d. Disclosure of the information removed is not otherwise prohibited by law.

12. Responsibilities

- a. COMNAVRESFORCOM chief of staff shall:

(1) Appoint in writing a COMNAVRESFORCOM RM and a COMNAVRESFORCOM DRM. Per reference (f), the RM and the DRM may be the same person, but this is not recommended. Reference (f) has sample RM and DRM appointment letters.

- b. COMNAVRESFORCOM RM will:

- (1) Implement and monitor the DON RMP throughout COMNAVRESFOR.
- (2) Act as liaison with the DON Director of Records and COMNAVRESFOR activities' RMs.
- (3) Ensure compliance with organizational and DON directives for storage of records.
- (4) Review and update this instruction, as required.
- (5) Ensure command RMs and all COMNAVRESFOR personnel are trained on TRIM and in areas such as the creation, maintenance, use, and disposition of records.

(6) Jointly with the CNRFC DRM maintain the CNRF Records Management Portal on the Navy Reserve Homeport at:

https://private.navyreserve.navy.mil/coi/Records_Management/default.aspx

c. The Dataset RM (DRM) is a role within TRIM. The COMNAVRESFORCOM DRM will:

(1) Acquire and maintain sufficient TRIM storage space for centralized electronic Records Management for COMNAVRESFOR records.

(2) Provide TRIM technical assistance to the COMNAVRESFORCOM RM.

(3) Customize the generic core configuration in TRIM to effectively reflect the organization's structure. See references (e) and (j) for an overview of the TRIM dataset.

(4) Set TRIM usage policy and maintain final authority over the organization's TRIM dataset.

(5) Control access to and use of records in the COMNAVRESFOR TRIM dataset. Only a DRM can give LDRM access to a user.

(6) Monitor and troubleshoot COMNAVRESFOR's TRIM dataset.

(7) Monitor the CNRFC_TRIM@navy.mil email address and respond appropriately.

(8) Jointly with the CNRFC RM maintain the CNRF Records Management Portal on the Navy Reserve Homeport at:

https://private.navyreserve.navy.mil/coi/Records_Management/default.aspx

(9) Responsible for deleting records from TRIM. Only the DRM has the authority to delete records from TRIM. After a record is deleted, the record and justification for deleting the record will be removed from TRIM. Prior to deleting a record, the DRM will ensure the end user and justification for deleting the record is archived into TRIM.

d. Echelon 4 commanders and NRA COs will:

(1) Implement the DON RMP at the command level, per references (a) through (o) and this instruction.

(2) Appoint in writing a command RM and a command LRDM to ensure records are maintained per this instruction and other relevant instructions, regulations, and laws. Reference (f) has a sample RM appointment letter. Enclosure (1) is a sample LRDM appointment letter. Commands should designate two LDRMs per command.

e. Command RM will:

- (1) Maintain a listing of, and act as a liaison with, RMs at the next higher and lower levels.
- (2) Ensure RMP implementation at all levels within their activity and provide appropriate level of guidance to ensure effective continuity of the command's RMP.
- (3) Ensure command compliance with RM policies and guidelines as set forth in references (a) through (o) and this instruction.

f. LDRM. The LDRM is a role within TRIM that is granted access by the DRM. LDRMs are responsible for controlling all aspects of TRIM within their command or departments, as well as implementing the policies put in place by the COMNAVRESFORCOM DRM. LDRMs shall:

- (1) Be proficient in the use of computers and recommended to be a PO1 or above or civilian equivalent. The CO is authorized to waive this requirement based on the trustworthiness of the selected individual.
- (2) Request LRDM access by referring to section 1.2 of reference (g).
- (3) Serve as first line of support to TRIM end users within the command/departments.
- (4) Create profiles and grant access for employees who need access to the TRIM dataset. LDRMs will limit access to each department to users with a need to know for the respective department.
- (5) Remove access from TRIM for employees who transfer/retire.
- (6) Provide configuration support to the users in order to establish connectivity to the TRIM software using reference (e).

g. End Users. This role is called "Advanced End User" in TRIM. End Users will:

- (1) Add, retrieve, search, and view records in TRIM.
- (2) Understand the definition of a record and appropriately add records to the command dataset when required.
- (3) Designate records that need to be deleted by placing a checkmark on the "Add to Recycle Bin" box and provide a justification as to why the record needs to be deleted.

(4) End users should contact their LDRM to gain access to TRIM.

h. COMNAVRESFORCOM security manager. The COMNAVRESFORCOM security manager will provide technical support for issues pertaining to the proper classification and management of classified records.

13. Information Management Control. Additional information can be found on the DON Chief Information Officer Records Management Web site, <http://www.doncio.navy.mil/tagResults.aspx?ID=37>

14. Review and Effective Date. Per OPNAVINST 5215.17A, COMNAVRESFOR will review this instruction annually on the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, DoD, Secretary of Navy, and Navy policy and statutory authority using OPNAV 5215/40. This instruction will automatically expire 5 years after effective date unless reissued or canceled prior to the 5-year anniversary date, or an extension has been granted.


T. W. LUSCHER
Deputy

Releasability and distribution:

This instruction is cleared for public release and is available electronically only via COMNAVRESFOR Web site, <https://www.private.navyreserve.navy.mil>

SAMPLE TRIM LDRM DESIGNATION LETTER

From: Commanding Officer
To: Nominated Sailor

Subj: TRIM LDRM DESIGNATION LETTER

Ref: (a) TRIM Desk Guide, version 1.11 of 28 June 2016
(b) LDRM Desk Guide, version 1.0 of 6 July 2016
(c) OPNAVINST 5210.20
(d) SECNAVINST 5210.8E
(e) SECNAV M-5210.1
(f) SECNAV M-5210.2

1. Per references (a) thru (f), you are hereby appointed as the Command's Local Dataset Record Manager (LDRM) for the Total Records and Information Management (TRIM) system. Your appointment is effective immediately and will remain in effect until such time that you are debriefed or relieved of your responsibility by a competent authority.

2. You are assigned the following responsibilities:

- a. Control all aspects of TRIM within this command, as well as implementing the policies put in place by the COMNAVRESFORCOM DRM.
- b. Serve as the first line of support to TRIM end users within the command/departments.
- c. Create profiles and grant access for employees who need access to the TRIM dataset. LDRMs will limit access to users with a need to know for that department.
- d. Remove access from TRIM for employees who transfer/retire.
- e. Provide configuration support to users in order to establish connectivity to the TRIM software using references (a) and (b).

3. As the LDRM, you will have access to all of the command's sensitive and non-sensitive records. This designation is based on your proven trustworthiness.

4. You shall become thoroughly familiar with references (a) thru (f) in carrying out your assigned duties.

(Signature)

Enclosure (1)