



# CHIEF NATIONAL GUARD BUREAU INSTRUCTION

NGB-ZB-A-RM  
DISTRIBUTION: A

CNGBI 5001.01  
05 December 2016

## NATIONAL GUARD BUREAU RECORDS MANAGEMENT PROGRAM

References: See Enclosure B.

1. Purpose. This instruction establishes policy and assigns responsibilities for the National Guard Bureau (NGB) Records Management Program in accordance with (IAW) references a through q.
2. Cancellation. This instruction cancels NGB Memorandum 25-400-2, 02 December 2005, "Information Management, Records Management Program."
3. Applicability. This instruction applies to the entire National Guard (NG).
4. Policy. It is NGB policy to develop, establish, and maintain an active and continuing Records Management Program IAW reference e by providing full and proper records management coverage. The NGB Army and Air National Guard and the 54 States, Territories and the District of Columbia must continue to adhere to Service-specific records management guidelines IAW references j through q. National Guard Bureau Joint Staff (NGBJS) and Office of the Chief of the National Guard Bureau (OCNGB) will follow processes outlined in this instruction (See Table 1). The NGB Records Management Program will:
  - a. Maintain records reflecting the functions, policies, procedures, operations, and any other actions that have historical, legal, research, or public interest value.
  - b. Preserve permanent records, including unscheduled records, IAW references a and c.
  - c. Maintain records in a safe and dry environment appropriate for the medium.
  - d. Maintain personal papers separately from official files.

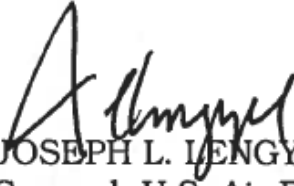
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e. Create, maintain, use, dispose, and preserve records in compliance with references a through i and all other applicable laws, regulations, and policy while protecting the legal and financial rights of the Federal Government and persons directly affected by NGBJS and OCNGB activities.

<b>Records Management Official</b>	<b>Area of Coverage</b>
Chief of the National Guard Bureau (CNGB)	NG
Senior Agency Official (SAO)	NG, NGBJS and OCNGB
NGB Agency Records Management Officer (RMO)	NGB, NGBJS and OCNGB
Records Management Office Personnel	NGBJS and OCNGB
NGBJS and OCNGB Records Coordinator	Directorate or Office
NGBJS Records Manager	Directorate or Office
NGBJS Records Custodian	Division or Branch

**Table 1.** Records Management Coverage

5. Definitions. See Glossary.
6. Responsibilities. See Enclosure A.
7. Summary of Changes. This is the initial publication of CNGBI 5001.01.
8. Releasability. This instruction is approved for public release; distribution is unlimited. Copies are available through <<http://www.ngbpdc.ngb.army.mil>>.
9. Effective Date. This instruction is effective upon publication and must be reissued, cancelled, or certified as current every five years.

  
JOSEPH L. LENGYEL  
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Enclosures:

- A -- Responsibilities
- B -- References
- GL -- Glossary

ENCLOSURE A

RESPONSIBILITIES

1. CNGB. The CNGB will appoint an SAO for the NGB Records Management Program IAW reference f.
2. SAO. The SAO will:
  - a. Promulgate NGB records management policy.
  - b. Appoint a NGB RMO.
  - c. Coordinate with the NGBJS Office of the Chief of Staff, Records Management Branch (NGB-ZB-A-RM) and appropriate agency officials to ensure:
    - (1) NGBJS and OCNGB personnel comply with records management statutes, regulations, and guidance.
    - (2) Permanent records are identified for transfer and reported IAW National Archives and Records Administration (NARA) policy.
    - (3) SAO reporting requirements are met through either the Department of Defense SAO or directly reporting to NARA.
3. NGB-ZB-A-RM. NGB-ZB-A-RM will:
  - a. Preserve information as records that document the role and activities of the NGJS and OCNGB.
  - b. Publish and periodically review, update, and revise NGBJS and OCNGB records management policy and procedures, to include records inventories and disposition schedules.
  - c. Conduct periodic staff assistance visits and program review of NGBJS and OCNGB records management activities and products.
  - d. Provide training, guidance, and records management expertise to NGBJS and OCNGB Records Coordinators.
  - e. Coordinate and communicate with NGBJS and OCNGB designated points of contact, Army National Guard, Air National Guard and State NG Records Management Offices and all other internal and external subject matter experts and stakeholders as needed.

- f. Liaise with the NARA.
- g. Provide required reports.
- h. Coordinate the determination of the appropriate disposition action for all NGJS and OCNGB records.
- i. Report unauthorized destruction of records to the NARA, including any unscheduled records.

4. NGB RMO. The NGB RMO will:

- a. Lead the development, implementation, and overall supervision of the NGB Records Management Program.
- b. Maintain NARA Records Officer certifications.
- c. Delegate authority as appropriate or required.

5. NGBJS and OCNGB Directors and Office Chiefs. NGJS and OCNGB Directors and Office Chiefs will:

- a. Appoint a military or civilian Records Coordinator in each directorate or office with sufficient authority to make decisions on behalf of the Director or Office Chief of that office or directorate.
- b. Provide a copy of the appointment and contact information to NGB-ZB-A-RM.
- c. Direct personnel to manage records in all media formats and forms IAW references a through i and this instruction.

6. Records Coordinators. Records Coordinators will:

- a. Designate two people with knowledge of the directorate or office's records—active and inactive—and functional mission to serve as a Records Manager and a Records Custodian.
- b. Provide NGB-ZB-A-RM with the names, ranks or grades, and contact information for the designated Records Manager and Record Custodian.
- c. Disseminate a current copy of this instruction to NGB Staff and to all new hires to inform them of their records management responsibilities.

- d. Inform the NGB-ZB-A-RM office immediately in writing of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.
- e. Serve as the point of contact, within their area of responsibility, for NGB-ZB-A-RM.
- f. Advise their directorates or offices on all records management matters.
- g. Conduct records management training, assistance, and program review of subordinate offices.
- h. Provide required reporting information to NGB-ZB-A-RM.
- i. Review all records slated for destruction, submission for storage, or transfer to NARA and coordinate with NGB-ZB-A-RM for approval of the designated disposition.
- j. Notify NGB-ZB-A-RM when requesting records management guidance and assistance before the creation or discontinuation of an office, completion of an activity, or termination of a function.

7. Records Managers. Records Managers will:

- a. Provide expertise on the directorate or office's mission and records created by the directorate or office.
- b. Provide safeguards for the maintenance and custody of all records that their directorate or office creates or receives.
- c. Properly protect, maintain, and dispose of records and obtain approvals for action from the Records Coordinator within their supervisory chain and NGB-ZB-A-RM.
- d. Assist Records Coordinators and Records Custodians with records management compliance activities as needed.

8. Records Custodians. Records Custodians will:

- a. Maintain and dispose of the division or branch's active and inactive records IAW NGB policy.
- b. Serve as an expert on the functional mission and know the purposes the records serve.

c. Assist the division or branch's Records Coordinator and Records Manager with records management compliance activities as needed.

ENCLOSURE B

REFERENCES

- a. 44 U.S.C., “Public Printing and Documents”
- b. 18 U.S.C. § 2071, “Concealment, Removal or Mutilation Generally”
- c. 36 Code of Federal Regulations, Chapter XII, Subchapter B, “Records Management”
- d. DoD Instruction 5015.02, 20 February 2015, “DoD Records Management Program”
- e. DoD Directive 5105.77, 30 October 2015, “National Guard Bureau (NGB)”
- f. OMB Memorandum M-12-18, 24 August 2012, “Managing Government Records Directive”
- g. OMB Memorandum M-14-16, 15 September 2014, “Guidance on Managing Email”
- h. OMB Circular A-123, 21 December 2004, “Management’s Responsibility for Internal Controls”
- i. OMB Circular A-130, 28 November 2000, “Management of Federal Information Resources”
- j. AR 25-400-2, 02 October 2007, “The Army Records Information Management System (ARIMS)”
- k. DA Pam 25-403, 11 August 2008, “Guide to Recordkeeping in the Army”
- l. AR 600-8-104, 07 April 2014, “Army Military Human Resource Records Management”
- m. AF Instruction 33-321, 03 August 2011, certified current 13 March 2015, “Authentication of Air Force Records”
- n. AF Instruction 33-322, 04 June 2012, incorporating change 1, certified current 09 April 2015, “Records Management Program”
- o. AF Instruction 33-364, 22 December 2006, Incorporating Change 1, 06 November 2014, certified current 09 April 2015, “Records Disposition-Procedures and Responsibilities”

p. AF Instruction 36-2608, 26 October 2015, "Military Personnel Records System"

q. AF Manual 33-363, 01 March 2008, Incorporating Change 1, 28 January 2015, Certified current 09 April 2015, "Management of Records"



## GLOSSARY

### PART I. ACRONYMS

CNGB	Chief of the National Guard Bureau
IAW	In accordance with
NARA	National Archives and Records Administration
NG	National Guard
NGB	National Guard Bureau
NGBJS	National Guard Bureau Joint Staff
NGB-ZB-A-RM	National Guard Bureau Joint Staff Office of the Chief of Staff, Records Management Branch
OCNGB	Office of the Chief of the National Guard Bureau
RMO	Agency Records Management Officer
SAO	Senior Agency Official

### PART II. DEFINITIONS

Digitized Records -- A series of activities that result in a digital copy of a record that is accessible to end users via the Internet or other means for a sustained length of time.

Disposition -- Actions taken regarding records no longer needed for current Government business to include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives and Records Administration, and disposal of temporary records.

Electronic Record -- Any combination of text, graphics, and data, audio, pictorial or other information created, modified, maintained, archived, retrieved or distributed by a computer system.

National Guard Federal Record – A record that reflects or contains information with short- or long-term impacts on the Federal government. These records contain information on business practices, decision making processes and outcomes, financial status, and personnel issues. Regardless of medium, all Federal records stored on, or communicated through, federally funded information systems are presumed to be Federal records. Federally funded information systems include records maintained on hard drives, network storage spaces, e-mail, Guard Knowledge Online, Army Knowledge Online, Air Force Portal or similar systems. (See definition of a Record for more details)

Machine Readable Record (other than electronic records) -- Records containing coded data or information translated by a mechanical device, which may be stored on microfilm, microfiche, magnetic tape, audio visual tapes, films and other similar formats.

Media (plural of medium) -- The format of a record, such as a book, paper, map, photograph, blueprint, or machine-readable material, including e-mail, electronically stored information, social media, or other documentary materials.

National Archives and Records Administration -- An independent Federal agency that is legally responsible for issuing regulations, guidance, and assistance to Federal agencies on ensuring adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the Government and ensuring proper records disposition, including standards for improving the management of records.

Permanent Record -- Any record or an unscheduled record that has been determined by the National Archives and Records Administration to have sufficient value to warrant its preservation in the National Archives of the United States.

Physical Record -- Paper based or non-machine readable documents whether text, books, pictures, blueprints, laminated information or similar.

Record -- All recorded information, regardless of form or characteristics, made or received by a Federal agency 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 United States Government or because of the informational value of data in them.

Recorded Information -- Includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form.

Records Schedule -- A document describing agency records, establishing a period for their retention and providing mandatory instructions for what to do with them when they are no longer needed for current Government business.

Transfer of Records -- Act or process of moving physical or electronic records from one location to another, usually from the National Guard Joint Staff and the Office of the Chief of the National Guard Bureau storage to the National Archives and Records Administration, from one Federal agency to another, or from an office or storage facility to the National Archives and Records Administration for permanent preservation.

Unscheduled Record -- A record that is considered permanent until the National Archives and Records Administration approves a disposition schedule.