RECORDS MANAGEMENT TRAINING

“EVERYONES RESPONSIBILITY”

Marine Corps Community Services
MCAS, Cherry Point, North Carolina
**Course Information Goal**
The goal of this training is to provide an overview of the DON Records Management Program, and to emphasize your legal responsibility to actively support the creation, use and management, and preservation of federal records.

**Target Audience**
The target audience for this training is all Navy and Marine Corps military personnel, active duty and reservists, civilian employees and contractor support.
Introduction

• Each day, U.S. Navy and Marine Corps personnel, employees, and contractors create and use official government records to document Navy and Marine Corps organizations, functions, policies, decisions, procedures, operations and other activities.

• In this lesson you will learn about the importance of the Department of the Navy (DON) Records Management Program, and your legal obligation as a federal employee or contractor to support the policies and procedures that create, maintain and preserve official records.
Objectives

- Upon completion of this lesson you will be able to identify how the DON Records Management Program benefits the Navy and Marine Corps.
Introduction

- At its simplest, a record is anything -- papers, memos, presentations, reports, books, maps, e-mails, photographs, or other documentary materials – that documents past, present and future business and operations.

- The National Archives and Records Administration (NARA), the Department of Defense (DoD) and the DON are required by Federal law to create, safeguard, protect and manage official records.

- SECNAV Instruction 5210.8, DON Records Management Program, provides additional detail and directs commands and activities to create, maintain, and preserve information as records sufficient to document the operations, policies and transactions of the Department, and to provide information necessary to protect the legal and financial rights of the DON and of persons directly affected by Navy and Marine Corps activities.
Why Records Management?

• Records management benefits the DON in a number of ways including:
  ◦ Ensuring statutory and regulatory compliance
  ◦ Preserving the rights of the government and its citizens
  ◦ Safeguarding vital information
  ◦ Preserving organizational memory
Your Responsibilities

With a computer on nearly every desk, technology has greatly expanded methods of creating, editing, maintaining, transmitting, retrieving, and identifying records. Without proper procedures and requirements to collect, assess and manage these records, information is in danger of being lost, improperly retained or released, and even destroyed.

Your responsibilities in supporting the DON Records Management Program include:

- Managing records – regardless of their format – to assure proper preservation throughout their lifecycle as required by SECNAV M-5210.1. If in doubt whether material meets the definition of a record -- assume it does and manage it as a federal record.

- Organizing and maintaining records in your custody in an orderly way that allows for the economical, efficient, and reliable filing and retrieval of those records, while complying with security requirements.
Your Responsibilities, Continued

Your responsibilities to support the DON Records Management Program also include:

- Supporting the disposition of records as directed by your Records Manager or Records Officer, to include:
  - When authorized, retiring records no longer required for daily business, legal and financial actions to local storage or a Federal Records Center
    - As directed, transferring permanent records to the National Archives for preservation, reference, and research
    - When authorized, promptly destroying temporary records per the established disposition and retention guidelines
  - When directed, supporting the collection of records (permanent and temporary) for Freedom of Information Act (FOIA) and other legal requests. When responding to a legal request, please be advised any type of documentary material is considered relevant.
Your Responsibilities, Continued

- Completing training such as this, “Records Management - Everyone’s Responsibility,” as a step to understanding your legal responsibilities in the creation, use and preservation of records.

- Asking your supervisor for assistance or clarification on records management requirements.

- Notifying your chain of command when you suspect the actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records. If the threat to the records continues, contact your Service's records manager directly at:
  - Navy Records Manager - SECNAV_OPNAV@navy.mil
  - USMC Records Manager - HQMCREC-MGR@usmc.mil
In this lesson you learned why records management is important. You were provided with an overview of the requirement to manage records and your responsibilities as an employee of the DON to support in the creation, use, management and preservation, and disposition of records.
Central to records management is the concept of recordkeeping requirements. Recordkeeping requirements originate in laws, regulations, and directives that provide for the creation, use and maintenance, and preservation of records. The purpose of this lesson is to review activities done in support of the Department of the Navy (DON) Records Management Program and its basic recordkeeping requirements. It begins by more fully defining a record.
Objectives

Upon completion of this lesson you will be able to:

◦ Identify the difference between records and non-records
◦ Identify your personal responsibilities for creating, maintaining, using and preserving records in accordance with the policies and procedures established by the DON.
Introduction

In this topic you will learn when a letter, memorandum, presentation, photograph, map or audio-visual tape is considered a record. This section also reviews non-records and personal papers, as well as procedures for identifying and preserving e-mail considered an official record.
Proper records management begins with ensuring the creation of records sufficient to document the operations, policies and transactions of the Department, and to provide information necessary to protect the legal and financial rights of the Government and of persons directly affected by DON activities.
Records

44 U.S.C., Section 3301 provides the legal definition of a record as:

- All books, papers, maps, photographs, machine readable materials, or other documentary materials, 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 information value of data in them.
Records include -- but are not limited to -- items that:

- Contain information developed in preparing briefing papers, reports and studies
- Reflect official actions taken while conducting Navy or Marine Corps business
- Provide data on Navy or Marine Corps programs, policies and essential activities
- Convey statements of policy, or background information or rationale on official decisions or actions

- A record can contain unclassified, as well as classified, information.
- If in doubt whether a document or other material meets the definition of a record -- assume that it does and manage it as a federal record.
Non-Records

- **Non-records** are documentary materials that do not meet the definition of a record. They are usually maintained for reference purposes, and are usually gathered in the process of producing records. Some examples include the following:
  - Stocks of publications and other reproduced documents maintained for supply purposes
  - Material preserved solely for purpose of references or exhibition in libraries or museums
  - Duplicate copies
  - Correspondence and other records of transitory value; usually received for information and do not require action
  - Catalogs and trade journals
  - Charts, diagrams and other graphics prepared for a briefing or training

- Additional information on non-records can be found in SECNAV Manual 5210.1, DON Records Management Program, Records Management Manual, Appendix C
Working Files

- Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documentary materials are working files. In many cases, working files are not considered a record. However, they are records when the information contained in them is essential to understanding the primary record, or is key to the decisions that produced that record. In that case, working files must be stored within the corresponding folder within your command or activity's records management system.

- If in doubt whether a document or other material from a working file meets the definition of a record -- assume that it does and manage it as a federal record. Information on the retention and disposition of working files can be found in SECNAV M-5210.1.
Personal Papers

- Personal papers are documentary materials, or any portion that can be separated, of a private or nonpublic nature that **do not relate to, or have effect upon, the conduct of DON business**. Examples of personal papers include the following:
  - Materials accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business
  - Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business
  - Diaries, journals, personal correspondence or other personal notes that are not prepared or used for, or circulated or communicated in the course of, transacting Government business

- Personal papers are excluded from the definition of federal records, and are not owned by the Government, and should be kept separately from a command or activity’s official records.
With the increased dependence upon e-mail as the everyday means of communicating and doing business, all DON personnel must be especially diligent with how they use, store, and dispose of e-mail. To determine whether an e-mail message is or is not a record, you must consider the **content** of the e-mail. If it contains information that would be considered a record in any other format, then the e-mail message – along with its accompanying transmission data and attachments – **is a record**. E-mail records must be managed per the DoD Records Management Program Guidance on e-mail. This means you should **either**:

- Print a paper copy and file it in the corresponding folder within your command or activity’s record management system
- Store within a DoD 5015.2-STD compliant Electronic Records Management (ERM) application, such as TRIM Context which is available via NMCI
Regardless whether printed or stored within a compliant ERM application, the complete record must be preserved. To ensure this occurs, e-mail records must include the message text, any attachments, sender and recipient names, transmission date, and confirmation of receipt data.

Navy and Marine Corps personnel who are connected to external electronic communications systems, such as Personal Digital Assistants (PDAs) (e.g., Blackberries) and internal e-mail/Web-mail, need to also consider DON Records Management Program requirements and routinely transfer those records into a DoD-approved records management system.
In this topic you will learn about your role in maintaining official records, to include the different types of records, the DON approach to maintaining and retaining records, and disposition actions.
In keeping with the requirements of the DON, records are:

- Identified according to their “series” or category
- Organized via a file plan
- Retained or held for a specified duration
- Destroyed or transferred as directed in the disposition schedule contained in SECNAV Manual 5210.1, DON Records Management Program, Records Management Manual (unless a records hold or freeze is in place)
Identifying Records

A record series is the basic unit for organizing and controlling records. It represents a group, or category, of records or files that are kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, or have some other relationship.

The Navy and Marine Corps use Standard Subject Identification Codes (SSIC) to establish and identify record series. As identified in the SECNAV Manual 5210.2, DON Records Management Program, Standard Subject Identification Code (SSIC) Manual, the SSIC is a four- or five-digit number that indicates the subject grouping of a document. Within the DON, the SSIC system is divided into 13 Major Subject Groups. These Major Subject Groups are further divided to provide additional detail on the particular subject of the document.
Identifying Records (Continued)

- General – 5000
  - General Administration & Management Records

- Primary Subject – 5500
  - General Security Records

- Secondary Subject – 5510
  - Information Security Records

- Tertiary Subject – 5511
  - Classified Records Access Files
A **file plan** is a structure developed to organize records. It provides an identifying number, title or description, and disposition authority of the files held in the office. A file plan helps Navy and Marine Corps personnel select categories in which records are then filed. It also allows personnel to add, edit and delete file categories or file folders as needed to best capture their records. Within the DON, the SSIC provides the categories for organizational file plans.
Retaining Records

- Records are retained to support current Navy and Marine Corps business needs and legal and other regulatory requirements. How long that record is retained – from months to years – is based on its SSIC and per the retention requirements identified in SECNAV M-5210.1.

- The retention of a record may involve a number of different events. For example, a record may be retained for local use until its cut-off date – either the end of the calendar year (31 December), or the end of the fiscal year (30 September). At cut-off date, records with the same cut-off date are retired to a local storage facility or a Federal Records Center, where they are retained for the duration indicated in the SECNAV M-5210.1.
Some records are destroyed at the end of their retention period, while others are forwarded as part of their disposition to the National Archives, where they may be made part of the public record. The fate of a record is determined by whether the record is considered “permanent” or “temporary”:

- **Permanent records** have long-term value and represent only one to three percent of all records ever created. They have sufficient historical, cultural, research or other value to justify their continued preservation after they have served the Navy’s needs for administrative, legal, or fiscal purposes. Permanent records are transferred to the custody of the National Archives where they will become part of the public record.

- **Temporary records** are retained for a required period of time. At the end of this retention period, they are destroyed per the disposition guidance in SECNAV M-5210.1.
A records freeze or hold identifies specific records or categories of records whose disposition has been suspended in response to a court order, legal investigation or other inquiry. Freezes and holds also include **documentary material** that falls within the subject of the records freeze or hold.

Frozen or held records and other documentary materials may not be legally disposed of without written notification of release of that freeze or hold.

You may receive notice of a legal requirement to preserve and collect official records in your custody from the Secretary of the Navy, your respective Navy or Marine Corps Records Manager, or directly from your local command Records Officer. Should you receive notice of an official records freeze or records hold, you are responsible to:

- Identify records in your custody
- Preserve records to avoid accidental destruction
- Forward records as directed
A significant and ever increasing portion of the Department’s records are created, used, and/or stored electronically. An electronic record is information that is recorded in a form that only a computer can process and that satisfies the definition of a federal record.

Record Management Applications (RMA) provide an opportunity for the DON to significantly improve records management processes. Advantages include improved business processes, reduced records management burden on DON personnel, and reduced costs associated with storing and servicing Department records at Federal Records Centers.
Also known as Electronic Records Management (ERM) software, these applications automate categorizing and locating records. They also store, retrieve and identify electronic records eligible for further disposition.

The ERM application TRIM Context meets these requirements and when deployed to your command is available for use via NMCI.
Records management professionals are ready to support you in performing your local records management responsibilities. Within your command or activity, these professionals include:

- The Records Officer (Navy Commands) or Command Designated Records Managers (Marine Corps), who monitor, maintain and implement records management policies and procedures in support of the overall DON Records Management Program requirements. This position also ensures command personnel create and maintain records appropriately and oversees basic records management training for all hands.
- Administrative Officers, who create and maintain command files and monitor recordkeeping activities.
- Records Custodians, Record and File Clerks, who create and maintain office files and command and activity file plans.

See SECNAVINST 5210.8, or NAVMC Directive 5210.11, Marine Corps Records Management Program, for additional information on these responsibilities.
SECNAVINST 5210.8 has identified other records management roles in support of the overall DON Records Management Program. Within the DON, they include:

- DON Chief Information Officer (CIO), who on behalf of the Secretary of the Navy, provides strategic direction and oversight of the DON Records Management Program, and issues DON Records Management policy
- Chief of Naval Operations (CNO) who supports the DON CIO in the DON Records Management Program, including developing and maintaining records disposition schedules in coordination with NARA; maintains the DON SSIC and filing procedures, and implements the DON Records Management Program within the Navy
- Commandant of the Marine Corps (CMC) who has the overall responsibility for implementing the DON Records Management Program within the Marine Corps
- Navy and Marine Corps Records Managers who are responsible for the implementation of the DON Records Management Program within their respective Service
Contact your command or activity’s records management professional for additional guidance and information. Your command’s Judge Advocate General (JAG) officer or counsel can also be of assistance.

Additionally, personnel may direct specific DON Records Management Program inquiries to:
- SECNAV_OPNAVrecords@navy.mil
- HQMCREC-MGR@usmc.mil

You may also contact:
- DON Director of Records @ 202.433.2434
- Navy Records Manager @ 202.433.4217
- USMC Records Management Office at @ 703.614.1081
Summary

- In this lesson, you learned about the following:
  - The basics of records maintenance
  - Your role in supporting records maintenance
Resources

Department of Defense Records Management Program (DoD Directive 5015.2)

Department of the Navy Records Management Program (SECNAVINST 5210.8)

Department of the Navy Records Management Program, Records Management Manual (SECNAV M-5210.1)

Department of the Navy Standard Subject Identification Code (SSIC) Manual (SECNAV M-5210.2)

Records Management Program for the Marine Corps Records (MCO 5210.11)

NAVMC Directive 5210.11, Marine Corps Records Management Program

44 U.S.C. – Public Printing and Documents, Chapters 29, 31 and 33


Navy Regulations 1990, Article 1127

Design Criteria Standard for Electronic Records Management (ERM) Software Applications (DoD Standard 5015.2-STD)
Congratulations!

You have completed your

Records Management (RM) Training

PRINT GIVEN NAME
No Nicknames

SIGNATURE

COMPLETION DATE

NAF EMPLOYEE ID NUMBER

By signing and submitting this certificate, I certify that I have read and understand the content in the training presentation.

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