Department of the Navy
Annual Records Management
Training Slides

Train the Trainer Version

(This is the instructor notes version. Use Face to Face slides to conduct training.)

Version: 6 February 2018
Agenda

- Resources
- Training Material
- RM Policy / Tips
- NARA Bulletin Training Topics
- RM Annual Training Slides w/ Notes for Trainer
RM Resources

1. Echelon II / Command Records Manager (USN) / Command Designated Records Manager (USMC)

2. DON and USN Records Officer
   Mr. Maurice King (DON/AA DRMD)

3. USMC Records Officer
   Ms. Elena Drayer (HQMC ARDB)
   www.marinenet.usmc.mil

4. www.doncio.navy.mil

5. National Archives and Records Administration (NARA)
   www.archives.gov
Training Material

- **DON CIO Website**
  - Annual RM Training Guide
  - Annual RM training slides
  - RM policy documents

- **DON/AA DRMD Website**

- **MarineNet**

- **DON RM Mobile App.** (Android/Apple – download Records Management)

- **eLearning (GMT – RM)**

- **NARA Website**
  - NARA RM Training Certificate Program
  - NARA YouTube Channel
Policy Documents Re: RM Training

- 36 CFR requires annual training in RM duties
- NARA Bulletin 2017-01 lists minimum annual training topics
- DoDI 5015.02 is generic; follow NARA guidance
- SECNAVINST 5210.8 requires annual training

Training Tips

- Use DON Records Officer, EII RMs, USMC RMs, Command RMs
- Use Command examples
- Can use RM Training Guidance on DON CIO website
- Can use RM Training PowerPoint on DON CIO website
- RM App counts as annual training. Can use information to train
Minimum for Annual RM Training:

1. Define Federal records.

2. Describe how records management supports the agency's mission and business processes, and public access to government information.

3. Provide an overview of government-wide and agency-specific records management policies and recordkeeping requirements.

4. Explain legal responsibilities for creation, maintenance, and disposition of Federal records.

5. Describe the stages of the records management lifecycle, including creation, maintenance, use, disposition, and the difference between temporary and permanent records; all of which are addressed in the agency's disposition schedule.
Minimum for Annual RM Training:

6. Describe how to distinguish records from non-record materials and personal materials.

7. Describe how records are maintained and filed in the agency, including:
   a. What is a record schedule, a schedule’s legal authority, and where to find their agency's schedules;
   b. Why it is important to follow records schedules or file plans; and
   c. How record schedules or file plans are implemented and updated.

8. Explain how legal holds (sometimes called record “freezes”) and the discovery phase of litigation affect records handling, retention, and disposition.

9. Describe how and where to store agency Federal records.
NARA Bulletin 2017-01

Minimum for Annual RM Training:

10. Describe how agency information technology (IT) systems are used for records management (if applicable, how to use agency records management technologies).

11. Describe how to manage record and non-record materials in email, social media, and other electronic messages; including the statutory requirement that all emails and other electronic messages constituting records that are sent or received using a personal or non-official account must be copied or forwarded into agency recordkeeping systems within 20 days of creation or receipt.

12. Describe what to do with record and non-record materials when an employee leaves the agency.
Minimum for Annual RM Training:

13. Describe what to do when records are removed, lost, or destroyed without proper authorization.

14. Describe where to get more information about records management (e.g., websites, manuals, agency's records schedule, file plans, and agency Records Officer contact information).

15. Provide agency contacts for records management questions. Include information for the field and/or headquarters points of contact for retiring records to storage, transferring permanent records, destruction of records, and answering records management questions.
Start of Annual Records Management Training Slides with Notes
RM Goals

- Manage records electronically, especially those born digitally
- Lessen the role of the individual in RM. (Automate, auto-categorize)

- DON TRACKER is part of the plan...so is TRIM

NARA’s plan is to no longer accept transfer of records in analog format “to the fullest extent” by 31 Dec 2022.
Agenda

- What is a record?
- Why manage records?
- RM Policies
- RM Responsibilities and Life Cycle
- Storing Records
- Electronic Records
- Records of Departing Personnel
- Unlawful Removal

Combined the 15 minimum training topics in NARA Bulletin.
What is a Record?

- 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 of data in them.

- Library and museum material made or acquired and preserved solely for reference or exhibition purposes, or duplicate copies of records preserved only for convenience are not included. *(44 USC §3301, PL 113-187)*
Three Key Points about Records

- Records include, but aren’t limited to, material or information that is evidence of our:
  - Operations
  - Procedures
  - Policies
  - Decisions
  - Functions
  - Organization

- Records can be made or received
  (Many times documents we receive aren’t our record)

- Records include all recorded information and can be in ANY format:
  - Electronic files
  - Paper
  - Maps
  - Photographs
  - Email
  - IM
  - CAS
What records are required to provide for adequate documentation of agency business?

- 36 CFR § 1222.22:
  
  (a) Document the persons, places, things, or matters dealt with by the agency.

  (b) Facilitate action by agency officials and their successors in office.

  (c) Make possible a proper scrutiny by the Congress or other duly authorized agencies of the Government.

  (d) Protect the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions.

  (e) Document the formulation and execution of basic policies and decisions and the taking of necessary actions, including all substantive decisions and commitments reached orally (person-to-person, by telecommunications, or in conference) or electronically.

  (f) Document important board, committee, or staff meetings.
Record vs. Non-Record

- **Examples of Records:**
  - Final original documents (hardcopy/electronic)
  - Official correspondence
  - Senior official email
  - Record copy of publication
  - Signed policy
  - Historical files
  - Legal/Financial records

- **Examples of Non-Records:**
  - Stock of publications or reference copies
  - Personal papers
  - Temporary records migrated to electronic
  - Blank forms
Develop a file plan

General Records Schedule (GRS):

- IT Program Planning Records
- CIO Committee Records
- CIO Subject and Office Records
- CIO Schedule of Daily Activities
- Enterprise Architecture Records
- IT Capitol Investment Records
- Legal and Regulatory Compliance Records

(SSID 2600.1-7)

New bucket schedule: CIO Program Planning SSIC 2000-010 that covers all as 7 year records. DON Policy is still permanent.
Why Manage Records/Information/Data?

Effective management of records provides the information foundation for:

- Decision making at all levels,
- Mission planning and operations,
- Personnel and veteran services,
- Legal / FOIA inquiries,
- Business continuity, and
- Preservation of the nation’s history.

“…provide the prism through which future generations will understand and learn from our actions and decisions.”
RM Policies

- 44 USC, 36 CFR
- OMB Circular A-130
- NARA Bulletin 2017-01: Agency RM Training Requirements
- DoDI 5015.02, *DoD RM Program*, 24 Feb 15
- SECNAVINST 5210.8E, *DON RM Program*, 17 Dec 15
- SECNAV Manual 5210.1, DON RM Program, May 12

See slide notes to get brief description of each
RM Responsibilities and Life-Cycle

- DON personnel are required to create, maintain, and properly dispose of records that document the Department’s transaction of business and mission in wartime and peacetime.
RM Responsibilities and Life-Cycle

- Creation
  - Created or received
  - Keep non-records and personal papers separate from agency records

- Maintenance and Use

- Disposition
  - DON RM Manual for records
  - Don’t need NARA approval for non-records

Start at bottom of picture and work way up slide.
RM Responsibilities and Life-Cycle

- **Types of Records**
  - Temporary (could be 1 day, could be 99 years)
  - Permanent (for the life of the Republic)

- **Records Schedules (Description and disposition)**
  - DON Records Officer submits to NARA, Archivist of US makes final decision
  - SECNAV M-5210.1 DON RM Manual (In process of moving to a bucket schedule, 10 of 13 chapters approved by NARA)
  - NARA General Records Schedule (GRS) (common to many agencies)
Record Freeze

Record Holds, Litigation, Investigations, Claims

- DON personnel may not destroy, discard, or delete any record or other documentary material that is subject to any type of these actions
  - This applies to records that may, otherwise, be properly due for disposal/deletion
  - This applies to documents that may be reasonably expected to be part of litigation or an investigation.

May or may not be asked to eventually produce records.
Storing Records

- OMB/NARA RM Directive: Agency must manage electronic records in electronic format. (No print and file)

- DON records should be stored in an RM application (RMA).
  - DON uses TRIM and DON TRACKER
  - RMA can be used for managing any type of record
Electronic Records

Electronic Record: Any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record in 44 USC §3301

Types of electronic records
- Structured (Database, spreadsheet, or system)
- Unstructured (Word, PowerPoint, ...)
- Email (Treated differently)
Electronic Information Systems (EIS)

- An EIS is an information system that contains and/or generates records.

- For each EIS:
  - The records must be scheduled
  - The system must have basic RM capabilities or migrate to RMA

- RM compliance is tracked in Defense IT Portfolio Repository – DON (DITPR-DON).
  - Records Managers work with PMs.
  - RMs usually fill out the RM tab capturing types of records.
  - PMs usually fill out the records capability section.

Some systems don’t contain or generate records or they are a pass through to another system.
Email is Different

- NARA allows agencies to use a Capstone Approach
- DON is using Capstone in stages.
  - Stage 1:
    - Generally: Manage email if meets definition
    - Case file (SNI, POM input, …)
    - General Program
    - Capstone Official email are permanent records
  - Stage 2:
    - Capstone Officials permanent
    - Other email for set time ~ 3-7 yrs (exceptions)
  - Stage 3:
    - Analytics tool manages email

NARA's Version: Capture all Senior Official email as permanent records. Rest of email must be held for specific period.
Capture Non-official Email Account Records

- Allowed when authorized and DoD accounts are unavailable. (See paragraph 3 of enclosure 2 of DON CIO Memo, Acceptable Use of DON Information Technology of 12 Feb 2016. (DON CIO website))

- Required to copy DON email account or

- Forward copy to DON email with 20 days of send/receipt.

This is what to do if members of your command are using non-official email accounts to conduct DON business.
Social Media Records

- Capturing social media records is not always easy because the technology changes faster than policy and the tools to capture it.

- In general, if the content meets the definition of a Federal record it needs to be captured
  - If a tool exists in the DON, capture the record in original format
  - Copy record to a format you can manage
  - Option to not use social media for anything considered to be a record

- NARA still working on social media policy

Are there any records in the social media or is it posting copies? If contains records, do you have a tool or need to capture another way?
Records of Departing Personnel

- Enclosure 5 of SNI 5210.8, DON RM Program
- No records are to be removed from any office as personal property
- Personal papers are not owned by the government
- Non-records are still government-owned and must be protected. Must have approval of command RM/Counsel and meet following conditions:
  - Removal not diminish official records of agency
  - Copy costs not excessive
  - Not classified
  - Information not subject to Privacy Act
  - Disclosure of information not prohibited by law
Unlawful Removal

Inform appropriate officials of any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

If suspected, notify chain of command.

- If the threat to records persists, the person should notify

  - The DON / Navy Records Manager at DON_RECORDS_MANAGEMENT@navy.mil
  - The USMC Records Manager at HQMCREC-MGR@usmc.mil

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NARA #13
Thank you!

You have completed the Records Management Annual Refresher Training.

For more information on RM:

DON and USN Records Officer
Mr. Maurice King (DON/AA DRMD)

USMC Records Officer
Ms. Elena Drayer (HQMC ARDB)
www.marinenet.usmc.mil
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