Department of the Navy
Annual Records Management Training Slides

(Face to Face Training)

Version: 6 February 2018
RM Goals

1. Manage records electronically, especially those born digitally

2. Lessen the role of the individual in RM. (automate, auto-categorize)

DON TRACKER is part of the plan...so is TRIM
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
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* records)

- Records include all recorded information and can be in *ANY* format:
  - Electronic files
  - Paper
  - Maps
  - Photographs
  - Email
  - IM
  - CAS
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)

Develop a file plan

Use Your Command File Plan

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 records management 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
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
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) is common to many agencies
Records 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 of these types of actions:

- Applies to records that may otherwise be due for disposal/deletion.
- Applies to documents that may reasonably be expected to be part of a litigation or an investigation.
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).
  - The DON uses TRIM and DON TRACKER
  - RMA can be used for managing any type of record
Electronic Records

Electronic Record definition: 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, etc)
- 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.
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 (e.g., SNI, POM input)
    - General Program
    - Capstone Official emails are permanent records
  - Stage 2:
    - Capstone Officials’ email permanent
    - Other email retained for a set time ~ 3-7 yrs (exceptions)
  - Stage 3:
    - Analytics tool manages email
Capture Email Records from Unofficial Accounts

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

Required to copy DON email account or

Forward copy to DON email with 20 days of send/receipt.
Social Media Records

Capturing social media records is not always easy because the technology changes faster than the policy and 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
Records of Departing Personnel

- Enclosure 5 to SECNAVINST 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 will 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 the chain of command.

- If the threat to records persists, notify

  The DON / Navy Records Manager at
  DON_RECORDS_MANAGEMENT@navy.mil

  The USMC Records Manager at
  HQMCREC-MGR@usmc.mil
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
www.doncio.navy.mil

NARA Website, www.archives.gov