Department of the Navy (DON) Records Management: Everyone's Responsibility

- DON Records Management: Everyone's Responsibility

- Records Management & Your Responsibilities

- Records Management Basics

- Records Management in the DON: Everyone's Responsibility Resources

Exit   Glossary   ◁ Back   Next ▷

This course provides an overview of the DON Records Management Program and fulfills the annual training requirement for DON military, civilian, and contractor personnel. Please click on the next button above this text to continue.

Click **Next** to continue.

Exit | Glossary

Welcome

Welcome to "Records Management in the Department of the Navy (DON): Everyone's Responsibility" Web-based Training (WBT) course. The purpose of this WBT is to provide an overview of the DON Records Management Program, and to emphasize your legal responsibility to actively support the creation, management and preservation of official records.

Click **Next** to continue.

Course Information

Goal
The goal of this Web-Based Training (WBT) 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 WBT is all Navy and Marine Corps military personnel, active duty and reservist, civilian employees and contractor support.

Length
It will take approximately 45 minutes to complete this WBT.

Glossary
A glossary of terms and definitions is available by clicking on the **Glossary** tab located at the top of the course interface.

Hyperlinks
Hyperlinks are underlined terms or phrases that provide you with access to additional information, glossary terms, or resources. When you select an underlined term, a new window will display containing the corresponding information.

Click **Exit** to select another lesson.

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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.

This lesson will take approximately 10 minutes to complete.

Click **Next** to continue.

Records

Glossary

Records include 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; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved only for convenience(44 U.S.C §3301)

Records Management & Your Responsibilities
- ⊟ Introduction to Records Management & Your Responsibilities
  - Introduction
  - **Objectives**
- ⊞ The DON Records Management Program
- ⊞ Records Management & Your Responsibilities Summary

Objectives

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

Click **Next** to continue.

Exit   Glossary

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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. Click **HERE** to see the legal definition of a record.

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.

Click **Next** to continue.

Records

Glossary

Records include 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; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved only for convenience(44 U.S.C §3301)

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 Essential Records](#)
- [Preserving organizational memory](#)

Click **Next** to continue.

Records Management

Glossary

Records management means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. (44 USC, Section 2901)

Ensuring Statutory and Regulatory Compliance

Records management is more than just a good idea, it is the law.

The National Archives and Records Administration (NARA), the DoD and the DON are responsible for preventing the unauthorized disposition of federal records including unlawful or accidental destruction, defacement, alteration, or removal of records from federal custody.

Unauthorized disposition of federal records is against the law (18 U.S.C. Section 2071) and may lead to a fine, imprisonment or both. Navy Regulations 1990, Article 1127: Control of Official Records states that no person, without proper authority, shall withdraw official records or correspondence from the files, or destroy them, or withhold them from those persons authorized to have access to them.

In the event of any unlawful or unauthorized disposition of a record, NARA shall be notified and appropriate action taken in accordance with 44 U.S.C. Section 3106.

Preserving the Rights of the Government and Its Citizens

Records are critical to documenting the public's interest and ensuring that entitlements and services are appropriately distributed. Proper records management practices protect the legal, financial, and other interests of the Government and its citizens.

Safeguarding Essential Records

Safeguarding Essential Records (formerly vital records) are records the DON needs to meet operational responsibilities during national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the DON and those affected by DON activities.

Preserving Organizational Memory

Proper records management will preserve our work and the thought processes used to create that work. Too often, information resides only in the memory of an individual – be they military, civilian or contractor. Records are not impacted by personnel transfers, retirements or other transitions – they are the constant "memory" of an organization.

Exit   Glossary

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

Click **Next** to continue.

Exit   Glossary   ◁ Back   Next ▷

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:

  1. When authorized, retiring records no longer required for daily business, legal and financial actions to local storage or a Federal Records Center
  2. As directed, transferring permanent records to the National Archives for preservation, reference, and research
  3. 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.
- Completing training such as this WBT, "Records Management in the DON: 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 Portal - https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx
  - USMC Records Manager - Manager–HQMCREC-MGR@usmc.mil

Click **Next** to continue.

Disposition

Glossary   Disposition means those actions taken regarding records no longer needed to conduct the regular current business of the agency. (36 CFR 1220.18)

Permanent Records

Glossary

Permanent Record means any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody (36 CFR 1220.18)

Temporary Record

Glossary

Records that need be retained for a specific period of time or until the occurrence of an action or event but that may then be destroyed, provided the destruction is accomplished under the provisions of SECNAV M-5210.1.

SECRETARY OF THE NAVY   Directives and Records Management (DRMD)

Home ⓘ

Directives and Records Management Division

Welcome to the Department of the Navy Assistant for Administration (DON/AA), Directives and Records Management Division (DRMD) Portal.

DRMD is responsible for the management of the Secretariat and Navy Records Management Program. The Department of Navy Records Management Program utilizes the following federal regulations: Title 44 U.S.C., 36 C.F.R., DODI 5015.02, SECNAVINST 5210.8F, SECNAV M-5210.1, and SECNAV M-5210.2.

▼ DRMD Program Descriptions

Announcements

M365 USN RM Home Site   11/4/2022 2:56 PM
by ☐ Carelock, James A

Records Managers,

Please see overview below for the M365 USN RM Home site that is now available!

Site linked here: https://flankspeed.sharepoint-mil.us.mcas-gov.us/sites/RM_Home

Leadership

Helena Gilbert

Director

Directives and Records Management Division

Popular Links

| Records Freezes | Records Management Homepage | Records Information and Resources | Navy Records Managers | Capstone Schedules | Newly Approved Records Schedules | Records Management Training | DRMD Frequently Asked Questions |

Exit   Glossary   ◀ Back   Next ▶

Practice Exercise

Q: Select the correct response and click **Check**.

A record is considered anything – papers, memos, presentations, reports, books, maps, e-mails, photographs, or documentary materials – that documents past, present and future business and operations.

○ True

○ False

Check

Tries Remaining: 1

Click **Next** to continue.

Exit   Glossary   ◁ **Back**   **Next** ▷

Practice Exercise

Q: Select the correct response and click **Check**.

A record is considered anything – papers, memos, presentations, reports, books, maps, e-mails, photographs, or documentary materials – that documents past, present and future business and operations.

✓   ● True

○ False

Check

Tries Remaining: 0

Click **Next** to continue.

Exit   Glossary   ◀ Back   Next ▶

Summary

In this lesson you learned <u>why records management is important</u>. 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.

Click **Exit** to select another lesson.

Why Records Management Is Important

In this topic, you learned about the importance of records management as well as your responsibility to support the overall DON Records Management Program. Proper records management supports the creation, use and maintenance, and preservation of records that document the operations, policies and transactions of the Navy and Marine Corps.

The management of records is also required by law. Willfully and knowingly destroying records, or failing to follow the appropriate retention and disposition schedule, are federal offenses. All Navy and Marine Corps military and civilian personnel and support contractors are required to maintain records per the policies and procedures contained in SECNAV Manual 5210.1 *DON Records Management Program, Records Management Manual*.

Introduction

Central to <u>records management</u> 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**.

This lesson will take approximately 25 minutes to complete.

Click **Next** to continue.

Glossary

Records Management

Records management means the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. (44 USC, Section 2901)

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

Click **Next** to continue.

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.

Click **Next** to continue.

Identifying Records, Non-records, Working Files, and Personal Papers

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   **Non-Records**   **Working Files**   **Personal Papers**

Click **Next** to continue.

Records

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

- 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.
- 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.
- Does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved only for convenience.

Click **Next** to continue.

Records, Continued

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.

Click **Next** to continue.

Non-Records

Non-records are Federally owned informational materials that do not meet the criteria of Federal records found in 44 U.S.C §3301. 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

Click **Next** to continue.

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.

Click **Next** to continue.

Documentary Material

Glossary
A collective term referring to recorded information, regardless of medium; or the method or circumstances of recording (36 CFR 1220.18).
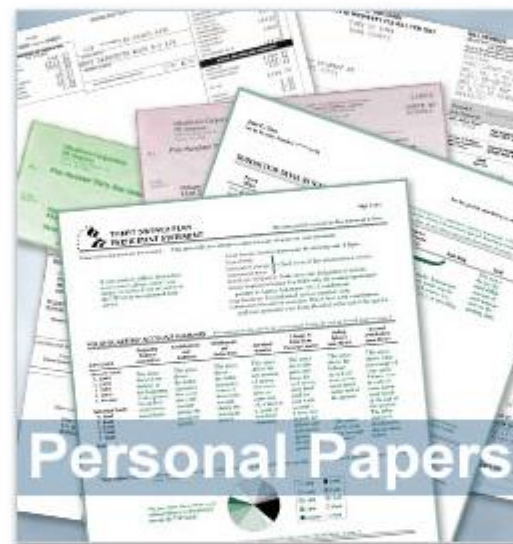
Personal Papers

Personal Papers (also called Personal Files) are documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the government (36 CFR §1220.18). 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.

Click **Next** to continue.

Personal Papers

E-Mail as a Record

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 DON TRACKER

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.

Click **Next** to continue.

◁ **Back**   **Next** ▷

E-Mail as a Record, Continued

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.

Click **Next** to continue.

Exit   Glossary   ◁ **Back**   **Next** ▷

Practice Exercise

Select the correct response and click **Check**.

Q: A non-record is documentary material that doesn't meet the definition of a record, and is usually maintained for reference purposes. Examples of non-records include: stocks of publications and other copies, library and museum reference material, catalogues and journals, and a . . . .

○ Photograph taken by the Command Master at Arms identifying the damage to the government's 15 passenger van

○ Duplicate copy of SECNAV Instruction 5210.8, *Department of the Navy Records Management Program* maintained in the Administrative Office

○ E-mail documenting the Commanding General's approval of the establishment of the new Comptroller office code

○ Calendar representing the Chief of Staff's daily meeting schedule

Check

Tries Remaining: 2

Click **Next** to continue.

Practice Exercise

Select the correct response and click **Check**.

Q: A non-record is documentary material that doesn't meet the definition of a record, and is usually maintained for reference purposes. Examples of non-records include: stocks of publications and other copies, library and museum reference material, catalogues and journals, and a . . . .

○ Photograph taken by the Command Master at Arms identifying the damage to the government's 15 passenger van

✔ ◉ Duplicate copy of SECNAV Instruction 5210.8, *Department of the Navy Records Management Program* maintained in the Administrative Office

○ E-mail documenting the Commanding General's approval of the establishment of the new Comptroller office code

○ Calendar representing the Chief of Staff's daily meeting schedule

Check

Tries Remaining: 1

Click **Next** to continue.

Introduction

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.

Click **Next** to continue.

Using & Maintaining Records

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)

Click **Next** to continue.

Disposition Schedule

Glossary   Instructions for disposition of DON Records.

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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.

General Categories are Represented by Zeros		General Administration and
	5000	Management Records
Primary Subject	5500	General Security Records
Secondary Subject	5510	Information Security Records
Tertiary Subject	5511	Classified Records Access Files

Click **Next** to continue.

Record Series

A record series is the basic unit for organizing and controlling files. It is a group of files or documents kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation.

Glossary

Standard Subject Identification Code (SSIC)

Glossary

The DON uses a Standard Subject Identification Code (SSIC) to establish and identify record series. The SSIC is a four or five digit number that stands for the subject of a document and is required on all DON records including but not limited to letters, messages, directives, forms, and reports.

13 Major Subject Groups

Glossary

From SECNAV Manual 5210.2, *DON Records Management Program, Standard Subject Identification Code (SSIC) Manual*:

- 1000-1999 Military Personnel
- 2000-2999 Telecommunications
- 3000-3999 Operations and Readiness
- 4000-4999 Logistics
- 5000-5999 General Administration and Management
- 6000-6999 Medicine and Dentistry
- 7000-7999 Financial Management
- 8000-8999 Ordnance Material
- 9000-9999 Ships Design and Material
- 10000-10999 General Material
- 11000-11999 Facilities and Activities Ashore
- 12000-12999 Civilian Personnel
- 13000-13999 Aeronautical and Astronautical Material

Organizing Records

File Plan. Is a plan designating the physical location(s) at which an offices' files, regardless of media, are to be maintained, the specific types of files to be maintained there, and the organizational element(s) having custodial responsibility. It includes a document containing the SSIC, title or description, and disposition authority of files held in an office.
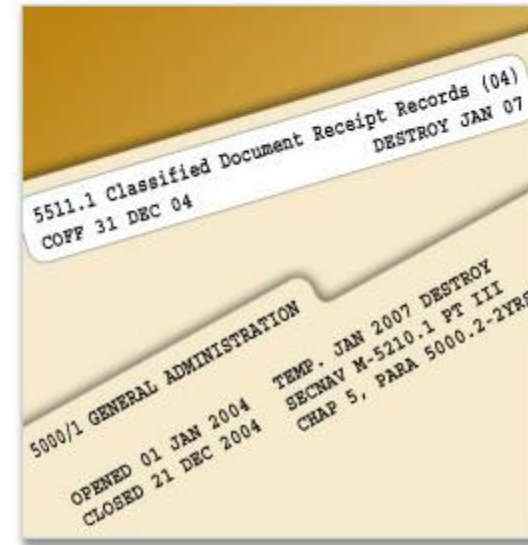
Click **Next** to continue.

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.

Click **Next** to continue.

Conducting Disposition

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** means any Federal record that has been determined by NARA to have sufficient value to warrant its preservation in the National Archives of the United States, even while it remains in agency custody (36 CFR 1220.18)
- **Temporary Records.** Records that need be retained for a specific period of time or until the occurrence of an action or event but that may then be destroyed, provided the destruction is accomplished under the provisions of SECNAV M-5210.1.

Click **Next** to continue.

Exit   Glossary   ◁ Back   Next ▷

Freezes & Holds

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

Click **Next** to continue.

Documentary Material

Glossary

A collective term referring to recorded information, regardless of medium; or the method or circumstances of recording (36 CFR 1220.18).
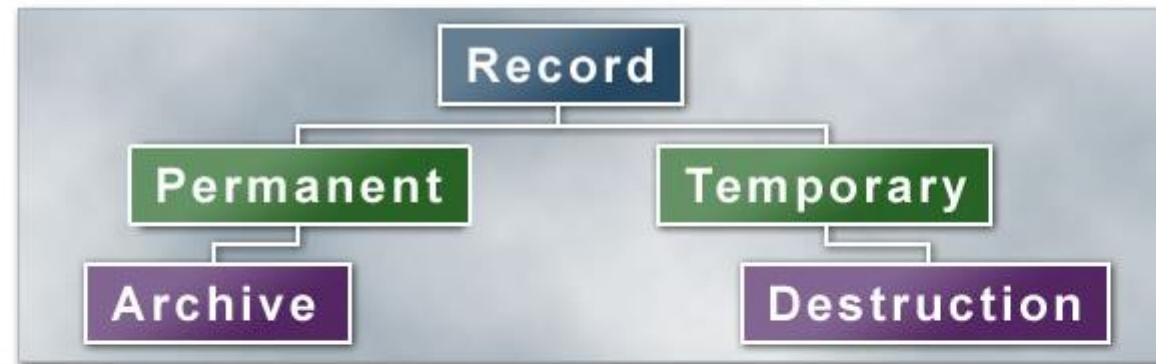
Management of Electronic Records

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 DON TRACKER meets these requirements and when deployed to your command is available for use via the internet.

Click **Next** to continue.

DON Records Management Roles & Responsibilities

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.

Click **Next** to continue.

DON Records Management Roles & Responsibilities, Continued

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
- DALO DRMD 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

Click **Next** to continue.

Exit   Glossary   ◁ **Back**   **Next** ▷

Additional Information

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:

- https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx

You may also contact:

- DON Director of Records @ 703.693.9932
- Navy Records Manager @ 703.693.9932
- USMC Records Management Office at @ 703.614.1081

Click **Next** to continue.

Exit   Glossary   ◀ Back   Next ▷

Practice Exercise

Select the correct response and click **Check**.

Q: DON records management procedures have been developed to meet the requirement of the National Archives and Records Administration (NARA) and federal law, and includes procedures to ensure: records are identified by their SSIC or category, records are organized using a file plan, records are retained or held for a specified amount of time, and . . .

○ Records are destroyed when no space is available for storage.

○ Records are not preserved.

○ Records are held to keep controversial or embarrassing information on the DON from the media.

○ Records are transferred, retired, or destroyed as determined by their specific disposition schedule.

Check

Tries Remaining: 2

Click **Next** to continue.

Exit   Glossary   ◀ **Back**   **Next** ▷

Practice Exercise

Select the correct response and click **Check**.

Q: DON records management procedures have been developed to meet the requirement of the National Archives and Records Administration (NARA) and federal law, and includes procedures to ensure: records are identified by their SSIC or category, records are organized using a file plan, records are retained or held for a specified amount of time, and . . .

○ Records are destroyed when no space is available for storage.

○ Records are not preserved.

○ Records are held to keep controversial or embarrassing information on the DON from the media.

✔ ◉ Records are transferred, retired, or destroyed as determined by their specific disposition schedule.

[Check]

Tries Remaining: 1

Click **Next** to continue.

Exit   Glossary   ◀ Back   Next ▶

Summary

In this lesson, you learned about the following:

- The basics of records maintenance
- Your role in supporting records maintenance

Congratulations, you have completed this course. You must click the "View Certificate" button to record your training as complete.

View Certificate

The Basics of Records Maintenance

Records include 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; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved only for convenience(44 U.S.C §3301)

Non-Record Materials are Federally owned informational materials that do not meet the criteria of Federal records found in §3301 of reference (b). Such documents include extra or convenience copies of Federal records, government publications originating in other agencies, non-government periodicals and other materials, and stocks of forms (§1220.18 of reference (c)).

Personal Papers (also called Personal Files) are documentary materials belonging to an individual that are not used to conduct agency business. Personal files are excluded from the definition of Federal records and are not owned by the government (36 CFR §1220.18).

E-mail may be a record – depending upon the **content**. 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, which requires printing and managing within your command's records management system. Alternatively, it may be stored within a DoD 5015.2-STD compliant ERM application.

Your Role in Supporting Records Maintenance

In this topic, you learned that using and maintaining records involves:

- Identifying via their record series which indicates the general category of their subject
- Organizing within a file plan by their SSIC
- Retaining for the specified length of time as indicated in the SECNAV-M 5210.1
- Conducting disposition based on status, as either a temporary or permanent record

You also learned that ERM automates the process of records management, and that DON TRACKER is a DoD 5015.2-STD compliant records management application. Records are assigned or associated with a SSIC and within the Navy and Marine Corps, the SSIC establishes and identifies the record series.

Finally, within the DON, designated personnel have been assigned responsibilities for managing, monitoring, and developing records management policies and procedures.

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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

36 Code of Federal Regulations (CFR) Chapter XII – Subchapter B, "Records Management"

Navy Regulations 1990, Article 1127

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

Training Complete