

# LESSON PURPOSE PLAN

RECORDS MANAGEMENT GUIDED DISCUSSION

VALUES-BASED LEADERSHIP

2/14/2017

## 1. TOPIC OVERVIEW

Records Management enables the Marine Corps to be more efficient, responsive, and operationally effective, while also preserving the history and legacy of Marines and the Marine Corps.

In simple language, records are all information, in any form, created or received for the operation of the Marine Corps, is a record. The only major exception is duplicative information that is managed as a record elsewhere such as references. Most records have a very short disposition and you don't have to put much thought or effort into managing them, you simply get rid of them when you are done with them. Records Management simply requires that you 1) Consider if they have future value for yourself or others 2) Do get rid of records that don't (don't hoard) 3) Determine how to preserve any records with future value.

The Department of the Navy (DON) Records Management (RM) Program establishes policies and procedures for life cycle management (creation, maintenance, use, and disposition) of DON records, as described within SECNAV M-5210.1, DON Records Management Manual. The RM Manual also contains all DON records disposition schedules approved by the National Archives and Records Administration (NARA).

Everyone handles records, and that means everyone is a records manager. Records are not just paper, not just in the G-1/S-1 shop, not just documents signed by the CG, but everything used to conduct the business of the Marine Corps. In our digital environment, this means Microsoft Office materials, emails, photographs, and beyond.

### **INSTRUCTOR NOTE**

Use this time to present the topic of the guided discussion to your group. Cover why this topic is important to the Marine Corps, as a whole, and vital to the individual Marine. You may use the above paragraph to help introduce the topic, or develop a completely unique introduction. Aspects of your attention-gainer should focus on your discussion topic.

Ensure you have followed the Instructor Preparation Guide (IPG), familiarized yourself with the subject, reviewed the references, and identified the Command Designated Records Manager at your unit or higher headquarters at <https://eis.usmc.mil/sites/rmks/SitePages/Active%20Rosters.aspx>. Note: A MCEITS EIS account is required to visit the site. Request access at <https://mceits.usmc.mil/> if you do not already have an account.

From SECNAV M-5210.1, *Records Management Manual*:

Goals of Records Management Program

(1) Creation of records that adequately **document the organization, functions, policies, procedures, decisions and essential transactions**

**of the DON;**

(2) Preservation of records having long-term permanent worth because of their continuing administrative, legal, scientific, or historical values;

(3) Destruction of temporary records as they outlive their usefulness; and,

(4) Retirement and transfer of those records no longer required in the conduct of daily business to more economical storage for preservation.

(5) Conduct of periodic review of stored records to ensure timely destruction of eligible temporary records.

From Marine Corps Order 5210.11\_, *Marine Corps Records Management Program*:

**The Commandant of the Marine Corps (CMC) is required to establish and support the Marine Corps Records Management Program** per the references. This Order provides records management policy for **all active and reserve Marines**, civilian Marines, and contractors working for the Marine Corps.

## 2. METHOD

### INSTRUCTOR NOTE

Inform your class that the instructional method you will be using for today's lesson is a guided discussion and that this method has been selected to actively involve students in the learning process.

The guided discussion can be effective at altering awareness and behaviors of participants. The goal of the guided discussion method is to drive group participation through leadership and encouragement. To learn more about guided discussions refer to Marine Corps Reference Publication (MCRP) 6-11B W/CH 1 - *Marine Corps Values: A User's Guide for Discussion Leaders*.

It is up to you, as the discussion leader, to use your best judgment and adapt this period of instruction to make it most suitable to your unit and the experience level of the participants. Be prepared for controversy or questions on the topic's relevance or importance. Form a plan to deal with conflicting viewpoints in order to keep the discussion progressing.

The guided discussion should last approximately 25 to 35 minutes. Spend a few minutes on the introduction; and, the majority of your time on the discussion questions within the body. Do not go too far over your time, as you may start to lose the attention of the participants. Too much information can start to overwhelm what is intended to be a simple and focused session. Remember to allow a few minutes for reflection and the summary of your lesson.

Determine what aspect of the topic you want to concentrate your discussion towards. Design learning outcomes, or "takeaways," which participants should grasp at the end of this discussion that best exemplify your intended focus. You can create your own learning outcomes OR use one, or more, of the examples listed below.

Example learning outcomes are:

- (a) Understand why Records Management is important.
- (b) Understand how RM applies to the individual Marine.
- (c) Explain how RM can impact the collective Marine Corps.
- (d) Explain where to get assistance with RM.

### 3. **INTRODUCTION**

#### **INSTRUCTOR NOTE**

Use this time to introduce yourself to the group if necessary, and to ensure the group is familiar with each other. This is also the time to introduce any ground rules, which will establish what behaviors are expected during the guided discussion. Some example ground rules are:

- Everyone participates fully;
- Permit participants to express themselves without becoming recipients of personal attacks from anyone regarding their views;
- Keep language clean, as not to offend others;
- Make head-calls, as needed, without disrupting the rest of the participants; etc.

### 4. **BODY**

#### **INSTRUCTOR NOTE**

Start the discussion by giving your participants the learning outcome you developed for the guided discussion.

#### a. **Gain Attention**

#### **INSTRUCTOR NOTE**

You are encouraged to personalize the attention-gainers to fit your personality, audience, and your desired learning outcome. You may use the provided stories, or conduct research in order to find others more applicable to your learning outcome.

#### (1) Records Management - Why is it Important to Me?

Our Marine Corps has a rich and distinguished history; from our founding at Tun Tavern to our legacy of support in our Nation's toughest battles and our current operations across the globe. Keeping federal records of our activities is crucial to capturing that history. Proper records management preserves the history and legacy of both Marines and the Marine Corps, and also enables us to be more efficient, resilient,

and responsive. The rapid pace of information and decisions today mean keeping track of our activities is critical to operational effectiveness. Records management - through both paper and electronic means - is more important than ever, and it is every Marine's responsibility.

The Commandant of the Marine Corps (CMC) mandates that we comply with RM law. We are bound by a Marine Corps Order, MCO 5210.11, which highlights our responsibilities for proper records management within the Marine Corps. All Marines are basic Records Managers. It is our moral and legal obligation to properly manage records, and it supports you, the individual Marine, in completing your assigned duties.

Sound RM principles ensure Marine Corps business is conducted using informed, quality data. RM goes beyond the individual to provide continuity beyond the one, individual Marine with a pending EAS or PCS move. Properly managing records helps the individual Marine, the collective MAGTF, Headquarters Marine Corps, and the Supporting Establishment make timely, informed decisions based upon quality, readily accessible data. RM is tied to operational outcomes through sound information management principles. Recall the basic questions:

- What do I know?
- Who needs to know it?
- Have I told them?

These questions guide RM principles. This ultimately impacts the operational readiness of our Corps to carry out its assigned missions when called upon. Proper records management can provide operational gains to your command by:

- Streamlining operations and ensuring Marines have the information needed to complete missions more efficiently
- Lightening the pack and ensuring Marines can be more responsive when need be
- Ensuring Marines and their families receive the benefits they have earned, and to which they are entitled

Within every section and every unit of the Marine Corps, we are all familiar with the phrase "pass the word". Guidance is provided by leadership down to subordinate leaders, which is then provided throughout the unit to ensure we are all on the same page and actions are coordinated and executed. If you think of RM in the same light as passing the word within your unit, you will ensure your actions are appropriate. As you draft a document or complete a form in the workplace, ask yourself if someone else could make use of that document at an adjacent or higher level. If others within your section or platoon could make use of the information you have provided within the document, that's an easy answer. Now, ask yourself if several of these records could help senior leaders at a higher level establish patterns or trends in how we spend our time, how we utilize our resources, or how we engage our people. Your record, combined with other related records, could have significant value. So, when working on a document, always ask yourself how this one document, or record, could help my Marine

Corps. Of course, if you don't know, ask your squad leader, your platoon sergeant, or the appropriate person within your chain of command.

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## (2) How Sound RM Principles Help the Individual Marine

If you think records aren't important, consider your service record. Many of us have heard the remark that "you own your service record." This means that the individual is ultimately responsible for ensuring your Service Record Book (SRB)/Official Military Personnel File (OMPF) is up to date. This affects promotions, personal awards, and school selection. Another example is related to medical records. Although it may not appear important now, at a later date, it is in your best interest to ensure that all medical incidents are well-documented within your medical record. This provides a form of proof of medical history that may impact your ability to obtain equitable Veteran's Affairs (VA) disability compensation.

Beyond personal concerns, how many of you have experienced a poor turnover upon arrival at a new unit? Wouldn't it be helpful if you were pointed to all relevant records/documents that you need to do your job? Or how many of you have found yourselves in a situation wondering why it seemed to be the first time the Marine Corps had ever encountered a particular situation? This can be frustrating and wasteful of your time. If documents were managed appropriately, IAW your unit's file plan, we could all benefit.

A TECOM study found that 20% of an individual's time can be spent looking for information. Proper RM is the core of effective information management and means being able to find the information you need quickly to do your job.

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## (3) What are Your Records Management Resources?

Every Marine, civilian Marine, and contractor is a records manager, and you are responsible for knowing the basics. You don't have to be an expert, however; there are resources to help. Your Command Designated Records Manager, your unit's file plan, and the Records Management Knowledge Site can all help guide you in properly managing records.

The Command Designated Records Manager (CDRM) is responsible for maintaining and directing your local, unit-level, records management program. CDRMs at all levels are leaders that equip and empower fellow staff to establish proper records management practice command-wide. Each unit is required to have a CDRM. The CDRM is your primary POC for all questions related to RM. Our CDRM in this unit is (Instructor: provide name by checking resources at bottom of this document). If you PCS to a new unit, ask your chain of command to determine who your CDRM is. If they don't know the answer, go to your S-1/G-1.

Every unit should also have a file plan, which is constructed from

the DON Records Management Manual and addresses how you manage records relevant to your unit type. Any information that can be used in the future as an individual record or aggregate records should be filed and saved IAW your unit file plan. A file plan is important because it narrows the scope of records and makes records management easier for your unit. Similar to a table of contents, a file plan identifies what documents your unit creates that are records and how they should be managed. It categorizes records by Standard Subject Identification Code (SSIC) to ensure records can be found and referenced for as long as DON and NARA have determined is their useful life.

A common RM question is "When can we get rid of a record?" Records are categorized as either permanent or temporary, and most records we work with on a daily basis within the Marine Corps are considered temporary records. Records should be discarded IAW the disposition schedule established within the DON RM Manual (SECNAV M-5210.1) and your unit's file plan. Knowing the disposition schedule is important because having too much information can often be counterproductive. The key is having access to the right information at the right time to help you, the individual Marine or Sailor, do your job. Your CDRM should be familiar with the disposition schedule; this is not something you need to memorize, but, before you begin clearing out old filing cabinets or deleting files, ensure you ask the right questions and reference the file plan.

Properly managing records can prompt some questions. The Marine Corps Records Manager has built a website with information and resources to support proper records management and answer frequent questions - the Records Management Knowledge Site.  
RMKS Link: <https://eis.usmc.mil/sites/rmks>.

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#### (4) Examples of the Benefits of RM at the unit level

- An S-1 shop is preparing for an upcoming Commanding General Readiness Inspection (CGRI). If records were properly filed from previous CGRI's, they could review previous documents to get an idea of previous deficiencies to focus their time and energy.
- A Motor Transport (Motor T) section within an infantry battalion could recall previous maintenance records to forecast manning requirements, spare parts, and driver requirements of an upcoming operation.
- An infantry platoon preparing for an operation may visit lessons learned documents to determine enemy Tactics, Techniques, and Procedures (TTPs), cultural norms of a local populace, or any maps and overlays related to previous operations within the same Area of Responsibility (AO).
- Within a communications company, a letter of instruction on a previous exercise can help Marines begin planning a communications architecture, forecast manpower and MOS requirements, and develop a transportation plan from the squad bay to the training area.

- A CLB supporting an infantry regiment may re-visit a logistics support concept to refine MSRs/ASRs based upon current intelligence. Finding this information is critical to gaining decisive advantage and avoiding re-work.
- The Operations Officer of an infantry battalion may benefit from reviewing previous letters of instruction for conducting live fire training in an exercise environment. For that same training event, a CLB may refine levels of supply required to support the event based upon historical data. An ACE may review maintenance records and find disparity in spare parts supply prompting action.
- An MLG could get ahead of planning for an annual exercise in addressing Transportation of Things/Transportation of People (TOT/TOP) from home station to MCAGCC. Based on historical data, planners could determine what was done previously, determine similarities and differences between then and now, and effectively manage a TEEP to inform leaders on resource requirements.
- A MEF CE could derive training resource capacity for live fire ranges leading up to a major operation or exercise. Anticipating training requirements across MSCs based upon previous LOIs and RFMSS data could assist in prioritizing ranges at home station. This information could also inform resource decisions on Deployed-For-Training (DFT) requirements based on available range capacity.
- A MAGTF commander may seek assistance from the G-1 to review previous manning documents in support of an upcoming Large Scale Exercise. In doing so, he may find disparity in the numbers and attempt to understand why. Understanding what has been done previously may inform future decisions in manpower, and enable effective and informed decision making when balancing required manpower across the annual TEEP.
- At a higher level, reviewing several records related to the same material over a period of time may identify trends that inform decision making. A Marine Corps installation may review facilities usage and forecast capacity limitations informing future budget decisions.

If proper RM principles are ignored, finding this kind of information may prove difficult and limit our collective insight. Records management applies from a small section within any unit type, up to and including Headquarters, Marine Corps. We all benefit from ensuring proper records management at the individual and collective level. From small unit training, to Major Combat Operations, sound RM principles help the individual Marine up to a MAGTF in forecasting requirements of people, equipment, financial means, and other resources.

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b. **Potential Discussion Questions**

<b>INSTRUCTOR NOTE</b>
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The provided questions can be altered, but all questions should be
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carefully formulated to focus the discussion toward your desired learning outcome. It is the facilitator's responsibility to provoke thought, foster discussion and involvement on the part of the participants, manage the group, and keep discussion flowing. Choose several questions from the following list, which will help accomplish your learning outcome in the specified time.

The discussion format is intended to have the majority of the input come from the participants. Ensure you conduct comprehensive research on this topic using the provided references. Having a comprehensive understanding of the subject material is essential in order to clarify portions of the discussion that may be confusing, and to ensure only accurate information is disseminated during this exchange. This is not intended to be a lecture, so keep your comments direct and focused to keep the group discussion moving.

Do not insert too many of your own convictions, as it may cause the group to skew their input just to mirror your positions, and may not be a true representation of the participants' thoughts. Ensure you have writing material throughout the discussion so you can capture key elements of the discussion, which arise in each segment, in order to create follow-on questions and to summarize each key point.

As the facilitator, you may use a question to initiate a topic for discussion. After the discussion develops, follow-up questions can be used to guide the discussion. Follow-up questions may help a participant to explain something more thoroughly, or enable you to bring the discussion back to a point from which it has strayed.

Questions are so much a part of teaching, they are often taken for granted. Effective use of questions may result in more student learning than through use of any other instructional technique. In general, you should ask open-ended questions, which are thought-provoking and require more mental activity than simply remembering facts. Questions should require students to grasp concepts, explain similarities and differences, and infer cause-and-effect relationships.

Plan at least one lead-off question for each of your desired learning outcomes. While preparing questions, remember the purpose is to stimulate discussion, not merely to get answers. Avoid questions, which require only short categorical answers, such as "yes" or "no."

Lead-off questions should usually begin with "how" or "why."

- (1) What is RM?
- (2) Why does it matter?
- (3) What does RM mean to you?
- (4) What constitutes a record?

**INSTRUCTOR NOTE**

From 44 U.S. Code, para. 3301:

The term "records" -

(A) includes 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.

(B) does not include-

(i) library and museum material made or acquired and preserved solely for reference or exhibition purposes; or

(ii) duplicate copies of records preserved only for convenience.

(5) How are records organized within your unit?

(6) What is the role of the CDRM?

(7) How do you find your local CDRM?

**INSTRUCTOR NOTE**

Prior to the session, identify the Command Designated Records Manager at your unit or higher headquarters at <https://eis.usmc.mil/sites/rmks/SitePages/Active%20Rosters.aspx>. Note: A MCEITS EIS account is required to visit the site. Request access at <https://mceits.usmc.mil/> if you do not already have an account.

If your unit or higher headquarters does not have a CDRM, ask the G-1/S-1 for the appropriate POC.

(8) What is your role regarding RM?

(9) What materials do you handle that you now recognize might be records and require different management?

(10) How can I improve upon our RM procedures?

(11) How does RM help the Marine Corps, collectively?

## 5. REFLECTION

### **INSTRUCTOR NOTE**

Incorporate reflection questions here, in order to prompt the participants to re-evaluate the issues discussed and topics covered. The more mentally involved each participant is in the active review of the topic, the greater their retention of the subject will be.

Reflection questions should be meaningful in relation to the experiences of the students and should bridge the gap between their discussion involvement and the abstract issues discussed in class. Questions posed during reflection are for personal consideration, as the participants may be uncomfortable openly sharing responses.

Reflection questions can be broken down into the following categories:

1. What? Ask the participants to re-examine in detail the content of the discussion.
2. So, what? What difference did the event make to their perceptions of the issue?
3. Now what? How will the participants think or act in the future as a result of this new perspective?

## 6. SUMMARY

In review, everyone handles records, and that means everyone is a records manager. Records are not just paper, not just in the G-1/S-1 shop, not just documents signed by the CG, but everything used to conduct the business of the Marine Corps. In our digital environment, this means Microsoft Office materials, emails, official photographs, and beyond.

Paper records should be handled in the same manner as electronic records, and should only be disposed when appropriate, as stated within the MCO 5210.11\_ and your unit's file plan. Your unit's file plan, your CDRM, and the Records Management Knowledge Site are resources to assist you.

Records Management enables the Marine Corps to be more efficient, responsive, and operationally effective, while also preserving the history and legacy of Marines and the Marine Corps. We are all basic Records Managers. It is our moral and legal responsibility based on federal law, SECNAV Instruction, and a supporting MCO. Let's all do our part to ensure compliance.

**INSTRUCTOR NOTE**

Provide overview of main ideas covered. No questions should be asked here. Provide closure that is relevant to MOS, the Marine Corps, or applicable to the participants in some other manner.

### INSTRUCTOR REFERENCE MATERIAL

- (a) Title 10, Subtitle C, Part IV, Chapter 661, § 7861, "Custody of Departmental Records and Property"
- (b) Office of Management and Budget (OMB) Directive M-12-18, "Managing Government Records Directive," Aug 24, 2012
- (c) OMB Circular A-130 Revised, "Management of Federal Information Resources"
- (d) 44 United States Code § 3301 and 3106
- (e) MCO 3030.1, Marine Corps Continuity of Operations Plan, 2010
- (f) DoD Directive 5400.11, "DoD Privacy Program," May 8, 2007
- (g) SECNAV M-5210.1, DON Records Management Manual, 2012
- (h) DoD Directive 5100.03, "Support of the Headquarters of Combatant and Subordinate Unified Commands," February 9, 2011
- (i) DoD Directive 5015.02, "DoD Records Management Program," February 24, 2015
- (j) Presidential Memorandum, "Managing Government Records," November 28, 2011
- (k) Title 36, Code of Federal Regulations, Part 1236.22
- (l) DON CIO Memorandum, "Department of the Navy Policy for Record Keeping Systems and Applications," March 21, 2013
- (m) National Continuity Policy, May 4, 2007
- (n) National Continuity Policy Implementation Plan, August 2007
- (o) MCWP 3-40.2, Information Management
- (p) Title 41, Code of Federal Regulations, Parts 102-193, "Creation, Maintenance, and Use of Records"
- (q) DoD Directive 5015.02-STD, "Electronic Records Management Software Applications Design Criteria Standard," April 25, 2007
- (p) MCO 5210.11F, Marine Corps Records Management Program, 2015

#### Suggested Resources:

- Unit CDRM
- Chain of Command
- Records Management Knowledge Site: <https://eis.usmc.mil/sites/rmks>
- List of CDRMs at Major Commands:  
<https://www.milsuite.mil/book/groups/hqmc-ardb>
- Complete List of CDRMs:  
<https://eis.usmc.mil/sites/rmks/SitePages/Active%20Rosters.aspx>
- MarineNet CBT (M01RMT0700): <https://www.marinenet.usmc.mil/marinenet/>
- TWMS CBT (TWMS-594446): <https://twms.navy.mil/login.asp>