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MARINE CORPS ORDER 5210.11F

From: Commandant of the Marine Corps
To: Distribution List

Subj: MARINE CORPS RECORDS MANAGEMENT PROGRAM

Ref: (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
(f) DoD Directive 5400.11, "DoD Privacy Program," May 8, 2007
(g) SECNAV M-5210.1
(h) DoD Directive 5100.03, "Support of the Headquarters of Combatant and Subordinate Unified Commands," February 9, 2011
(i) DoD Directive 5015.2, "DoD Records Management Program," March 6, 2000
(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

Encl: (1) Marine Corps Records Management Manual

1. Situation. The Commandant of the Marine Corps (CMC) is required to establish and support the Marine Corps Records Management Program per references (a) through (q). This Order provides records management policy for commanders, Command Designated Records Managers (CDRM), administrative officers and clerks/specialists, Information Management Officers (IMO), and all active and reserve Marines, civilian Marines (union and non-union), and contractors working for the Marine Corps.

2. Cancellation. MCO 5210.11E and NAVMC Directive 5210.11E.

3. Mission. To update Marine Corps records management policy. This Order has been revised substantially and should be reviewed in its entirety.

DISTRIBUTION STATEMENT A: Approved for public release; distribution is unlimited.

4. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. Records management is everyone's responsibility. The Marine Corps is responsible to manage and preserve Marine Corps records to document Marine achievements and historical events, comply with legal/statutory obligations and fiscal requirements, and support future business use. The Records, Reports, and Directives Management Branch (ARDB), Administration and Resources Management Division (AR Div), Headquarters Marine Corps (HQMC), operates under a 'Policy, Training and Compliance' ethos. ARDB administers and enforces policy, and trains to policy to achieve legal and statutory compliance in records management. Regardless of form or medium, all Marine Corps records will be maintained using lifecycle management and, when possible, managed and remain in an electronic format throughout their lifecycle.

(a) Reference (a) mandates accountability, responsibility and custody of departmental records to the Secretary of the Navy. References (b), (c), and (d) prescribe policies requiring the head of each Federal agency to establish and maintain an active, continuing records management program.

(b) The Marine Corps Records Management Program Office will:

1. Provide policy and training, and promote compliance of records management throughout the Marine Corps.

2. Ensure Marine Corps records are managed in accordance with National Archives and Records Administration (NARA)-approved dispositions (retentions).

3. Support maximized use of electronic records management to eliminate and/or reduce the need for paper files which result in costly storage fees and a burden to the environment.

4. Ensure all Marine Corps records and information follow proper lifecycle management, meaning they are created, preserved, made accessible, remain retrievable, and follow their proper dispositions according to NARA-approved retention schedules.

5. Preserve and protect the financial and legal rights and interests of the Marine Corps and its personnel.

6. Promote and assist commands/agencies in implementing their Vital Records program to ensure sustainability of operations during and after a natural disaster, emergency, or attack. Vital Records are those records necessary to meet operational responsibility under national security emergencies or other emergency or disaster conditions (emergency operating records) and/or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). Vital Records implementation guidance and program guidelines are contained in reference (e). Records identified for the Vital Records program are an integral part of the Marine Corps Continuity of Operations Program (COOP).

7. Validate the incorporation of records management requirements into existing and new Marine Corps Electronic Information Systems (EIS).

8. Assist in safeguarding Personally Identifiable Information (PII) within records per reference (f).

9. Standardize methods for filing electronic and paper records to include file outline and naming convention when indexing, cataloging, and archiving Marine Corps records as outlined in Chapter 4 of this Order.

(2) Concept of Operations

(a) To fulfill the objectives of the Marine Corps Records Management Program, CMC designated ARDB to oversee and implement the Program per requirements outlined in the references.

(b) To ensure Marine Corps awareness is provided to all Federal records created and collected within the enterprise.

b. Subordinate Element Missions. The Marine Corps Total Force will observe and employ the guidance and policy, and will fulfill the roles and responsibilities outlined in this Order.

(1) Deputy Commandant for Combat Development and Integration

(a) Provide training support to the total force as outlined in Chapter 8.

(b) Maintain the approved Records Management Training & Readiness (T&R) events in the appropriate T&R manual.

(c) Direct Formal Learning Centers (FLC) to integrate Records Management in the appropriate Programs of Instruction to satisfy the learning requirements of this Order.

(d) Coordinate with ARDB to develop and maintain distance learning courseware that meet Records Management learning requirements.

(e) Identify applicable training records and provide guidance to all FLCs and Training Detachments on the disposition of training records per this Order.

(2) Administration and Resource Management Division (AR Div). Establish, facilitate and maintain the Marine Corps Records Management Program per the references.

(3) ARDB

(a) Provide records management policy and guidance, and identify training requirements for all Marines to ensure legal and statutory compliance per the references.

(b) Provide oversight and proprietorship of Marine Corps records to include records created, collected, and managed within all organizations throughout the Marine Corps.

(c) Assist Functional Area Managers to meet Department of Navy (DON) Records Management requirements of EIS.

(d) Endorse and sponsor the requirements for a central repository for Marine Corps electronic records.

(e) Promote awareness and communicate the importance of proper records management.

(f) Maintain a current Records Management Functional Area checklist on the Inspector General of the Marine Corps (IGMC) website to include the most current achievable and measureable criteria.

(g) Collaborate with other Federal agencies to ensure that records management requirements align with current technology, authorities, and Marine Corps needs.

(4) Command, Control, Communications and Computers Department (C4). Per references (a), (i), and (p), provide appropriate and sufficient network and repository resources to ensure all Marine Corps records are properly created, preserved, accessible, retrievable, and stored/archived.

(5) HQMC Staff Agency Heads and Marine Corps Commanders

(a) Designate and appoint, in writing, Command Designated Records Managers (CDRMs). At HQMC, CDRMs will be appointed at the Department, Division, and separate agency levels. Marine Corps commands will appoint CDRMs at the Regiment/Group levels and above. CDRMs will be a company/field grade officer, staff noncommissioned officer (SNCO), or civilian equivalent. CDRMs at the Regiment/Group level and above will provide ARDB copies of all CDRM appointment letters within 90 days of appointment. CDRMs below the Regiment/Group level will be managed by the higher level CDRMs.

(b) Oversee and implement respective records management programs to include vital records programs.

(c) Implement policy to ensure protection of organizational records in compliance with legal and statutory requirements.

(d) Ensure all personnel (military, civilian [union and non-union], and contractor support) annually receive records management training.

(e) Ensure appropriate and sufficient network and repository resources are available to execute records management processes in accordance with this Order.

(f) Promote timely transfer of records as outlined in Chapter 3.

(g) Ensure organization records management practices comply with the Inspector General of the Marine Corps (IGMC) Functional Area 061 checklist.

(h) Ensure the maximum use of electronic filing methods vice paper filing, when possible, per references (a) and (b).

c. Coordinating Instructions

(1) Knowledge/Information Management Officers (KMO/IMO) and Communications Officers. In an electronic environment, close coordination with EIS custodians is required to properly manage records. Depending on the unit level, these custodians are the IMOs and communications officers. They assist commanders, staff officers, and CDRMs to develop and implement information technology solutions that streamline various processes. They

share expertise and provide guidance during the lifecycle of electronic records, and ensure proper archival elements are built into new and existing systems.

(2) CDRMs

(a) Assist commanders with oversight of command records management programs.

(b) Serve as liaisons with ARDB to determine records management best practices.

(c) Appoint and designate in writing CDRMs throughout the command as appropriate (below the Regiment/Group level). CDRMs will be a company/field grade officer, staff noncommissioned officer (SNCO), or civilian equivalent.

(d) Equip and empower fellow staff records managers to establish proper records management practice command wide.

(e) Serve as representatives and conduct day-to-day administration of the Marine Corps records management program.

(f) Oversee respective records programs across the command by establishing a unit file plan and employing lifecycle management in accordance with NARA-approved dispositions and reference (g).

(g) Assist subordinates to transfer records to the appropriate Federal Records Center (FRC), ARDB, and/or NARA direct, per appropriate records dispositions.

(h) Preserve records that protect the legal and financial rights of the Federal Government and the Marine Corps.

(i) Ensure records relating to the following matters are not destroyed prior to authorized NARA-approved disposition is provided:

1. Final settlement of claims and demands by or against the Federal Government of the United States which have been settled and adjusted in the Government Accountability Office (GAO).

2. Outstanding claims against the United States, the DoD, the DON, the Navy, or the Marine Corps.

3. Cases in litigation.

4. Incomplete investigations.

5. Court/Presidential/Agency orders/record freezes/record holds.

6. Unscheduled records or records awaiting NARA-approved dispositions.

(j) Serve as command and subordinate activity liaisons for the transfer of records to NARA and the FRCs in coordination with ARDB. See Chapter 4 for specific instructions on the transfer of records.

(k) Attend ARDB-sponsored CDRM meetings and training sessions.

(l) Conduct interval self-inspections to improve local records management programs and practices.

(m) Monitor conversion of paper records to electronic records using guidelines outlined in reference (a).

(n) Provide assistance to subordinate commands to develop and implement a vital records program per reference (e). Vital records are described in Chapter 7 of this Order.

(o) Ensure pre-deployment records training requirements and responsibilities are met.

(p) Where applicable, assist in capture of senior leadership email as outlined in Chapter 2 of reference (a).

(q) Ensure commands identify Vital Records, institute a Vital Records program, and incorporate the Vital Records program into the command's Continuity of Operations Plan (COOP), Safety, and/or Emergency Evaluation Plan per reference (e).

(3) Administrative Officers

(a) Develop and maintain Standard Operating Procedures in creating and maintaining command files regardless of location or format per Chapter 3 of reference (a).

(b) Advise the commander in the appointment of unit personnel in the mission and functions of the organization staff sections to oversee records management activities.

(c) Ensure that all records transfer forms and inventories are processed through HQMC ARDB Records Management SharePoint Portal at <https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx>.

(d) Ensure that assigned personnel receive Marine Corps records management annual training. Training is available via the HQMC ARDB website at <https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx> and MarineNet at <https://www.marinenet.usmc.mil/marinenet/>.

5. Administration and Logistics. The CMC endorses policy and procedures for the Marine Corps Records Management Program per references (c), (f), (g), (h), and (i). To comply with mandates included in these references, the CMC:

a. Identified a Senior Agency Official (SAO) who is responsible for ensuring that the Marine Corps efficiently and appropriately complies with reference (a).

b. Appointed a records manager to implement the Department of the Navy (DON) Records Management Program within the Marine Corps. Records management is overseen by Headquarters Marine Corps (HQMC) Administration and Resources Division in the Records, Reports, and Directives Management section (ARDB).

c. Provides administrative and logistical support to Commanders and Combatant Commands per reference (h).

d. Represents and endorses the Marine Corps Records Management Program to ensure records management requirements align with current technology and meet Marine Corps business needs.

e. Ensures Marine Corps records and information created as a result of this Order shall be managed according to NARA-approved dispositions per reference (g). Proper lifecycle management shall be applied to ensure records and information are created, preserved, accessible, retrievable, and stored/archived, regardless of format or medium.

6. Command and Signal

a. Command. This Order is applicable to the Marine Corps Total Force.

b. Signal. This Order is effective the date signed.



JAMES B. LASTER
Director, Marine Corps Staff

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Marine Corps Records Management Manual

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Chapter 1

Marine Corps General Records Management

1. Background

a. In the past, Marine Corps records management policy had been presented as a set of general requirements, established but not fully implemented or enforced. Recent history reflects a lack of awareness of the importance of proper, legal recordkeeping and compliance with associated requirements within the Marine Corps and other government agencies and organizations. In 2011, the President of the United States distributed a memorandum outlining his direction to improve and update records management programs across the Federal government. This Presidential Memorandum (reference (j)) resulted in an associated OMB Directive (reference (b)) in 2012.

b. Reference (b) mandates all Federal agency heads, to include the Commandant of the Marine Corps (CMC), to take specific steps to reform and improve records management policies and practices:

(1) Agency electronic record keeping will be transparent, efficient, and accountable;

(a) By 2016, Federal agencies will manage both permanent and temporary email records in an accessible electronic format.

(b) By 2019, Federal agencies will manage all permanent records in an electronic format.

(2) Agencies must designate a Senior Agency Official (SAO) to oversee a review of the agency's records management program;

(a) The SAO will ensure that permanent records are identified for transfer and reported to NARA.

(b) The SAO will ensure that records are scheduled to receive a NARA-approved disposition.

(3) Agency records officers must obtain NARA certificate of Federal records management training; and

(4) Agencies must establish formal records management training.

c. The Records, Reports, and Directives Management Branch (ARDB), Administration and Resource Management Division (AR Div), Headquarters Marine Corps (HQMC) is the lead for policy, training, and compliance assurance for records management throughout the Marine Corps.

d. ARDB ensures that the Marine Corps can provide Congress and the American people access to appropriate Marine Corps records.

2. Authorities

a. Office of Management and Budget (OMB) Policy

(1) Presidential Memorandum - Managing Government Records. This memo outlines a Federal agency-wide effort to reform records management policies and practices. It calls for each agency to assess their respective programs to improve performance, promote openness and accountability of records, and modernize records management practices. It is the cornerstone of OMB Directive M-12-18.

(2) OMB Directive M-12-18. Creates a robust records management framework that aligns with Federal statutes and regulations, and requires to the fullest extent possible that agencies minimize the management of paper-based records and transition to electronic-based records management. This directive requires each Federal agency to create a plan of action and milestones for specific areas of electronic records management.

(3) OMB Circular A-130. Requires Federal agencies to establish a records management program that includes a planned, coordinated set of policies, procedures, and activities needed to manage its information. NOTE: Chapter 2 of this Order provides details for managing Electronic Information Systems (EIS).

b. United States Code

(1) Title 44, United States Code, covers the disposal and destruction of Federal records and the parameters by which Federal agencies must abide in determining the legal destruction of Federal records. Included in Title 44 is the Federal Records Act of 1950 which requires all Federal agencies to manage their records as public property according to applicable laws and regulations.

(2) Title 10, Subtitle C, Part IV, Chapter 661, United States Code assigns the Secretary of the Navy custody and charge of all books, records, papers, and other property under the lawful control of the executive part of the Department of the Navy.

c. Code of Federal Regulations. Title 41, Section 102-193, provides the National Archives and Records Administration (NARA) with the legal and statutory authority that empowers it as the Nation's records keeper and regulatory authority for the management of Federal records throughout the Federal government.

d. National Archives and Records Administration (NARA). The Archivist of the United States is the head of NARA and is appointed by the President of the United States. Congress established NARA in 1934 to centralize Federal recordkeeping. Today, NARA oversees the Federal Records Centers (FRC), Presidential libraries, and the Federal Register. NARA is the legal and statutory umbrella of the records keeping programs within the Federal government. It distributes standards, guidance, and law according to requirements of the President.

e. Department of the Navy (DON). The Department of the Navy Records Management Program establishes policies for lifecycle management of DON records. Reference (f) provides guidance and procedures for the proper

administration of a records management program. It is the publication for user information that includes instructions and guidance for managing records.

(1) DON Chief Information Officer (DON CIO). DON CIO is the policy holder for the Department of the Navy. DON CIO is responsible for the information management and information resources management function in the DON to include records management. It provides strategic direction and oversight of DON records management. Marine Corps policy aligns with and is based upon the policies of DON CIO, the Department of Defense, and Federal agencies as referenced in this Order.

(2) DON Assistant for Administration (DON/AA). DON/AA implements policy for the Department of the Navy. This organization manages the Navy records program and provides records management training, guidance, and oversight to all personnel throughout the DON, including Marine Corps records management.

3. What is a Record?

a. Per reference (d), section 3106 (amended 26 Nov 2014), the term 'record' is defined 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 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."

In simpler terms, a record - regardless of medium or format - is information that accurately reflects the command's functions, operations, policies, decisions, procedures, and essential transactions. Records are designed to furnish information necessary to protect the legal and financial rights of the Marine Corps.

b. Permanent and Temporary Records. There are two values given to records - temporary and permanent.

(1) Temporary records are preserved for a period of time and can be destroyed according to their NARA-approved dispositions (retentions) found in reference (g) or in a NARA-endorsed General Records Schedule (GRS). GRS contains records schedules which apply to primarily administrative records common throughout the Federal government. GRSs can be found at the NARA website at <http://www.archives.gov>. Click on 'Records Managers', then click on the 'General Records Schedules (GRS)' icon to view all 27 GRSs. More information regarding GRS is found on pg. 1-7 of this Order.

(2) Permanent records are those records NARA deems as having enduring historical value to be preserved forever in the NARA archives. Permanent records are also managed according to their NARA-approved dispositions. Only a small percentage of Federal records are of permanent value.

c. Structured and Unstructured Records. Structured records are those records managed within an electronic information system (EIS) as outlined in Chapter 2 of this Order. Unstructured records are those records NOT managed within an EIS.

4. Lifecycle Management of Records. Reference (a) mandates every Federal agency manage information throughout its lifecycle according to a legal disposition. NARA defines the term 'disposition' as the action taken on a record no longer needed for current business. The value of any Federal record is either temporary or permanent. The disposition schedule of a record provides mandatory instructions on how long to keep it (its retention time), if/when it needs to be transferred to a Federal Records Center, when it needs to be transferred directly to the National Archives (if permanent), and when it can be destroyed (if temporary). Lifecycle management of records is the assurance that all Marine Corps records and information are properly created, preserved, accessible, retrievable, and stored/archived. Figure 1-1 depicts Marine Corps lifecycle management of records.

a. Records Creation/Collection and Scheduling Records. Before a record is created or collected, it is imperative that the author understands:

- (1) the difference between a record and a non-record;
- (2) the record's value as permanent or temporary;
- (3) the appropriate disposition (retention) of the record; and
- (4) the importance of identifying the record according to the

approved naming convention (see Chapter 3 of this Order) and associate the record with an approved file/folder plan and retention schedule. This ensures easy identification, access, and retrievability.

(5) Scheduling. Once a record is created or collected and identified, it needs to be associated with a NARA-approved schedule. A schedule presents a roadmap for a record - how it must be managed by the Marine Corps and for how long, if it is to be stored at a Federal Records Center for a period of time, or if it is to be forwarded to NARA for permanent archive. Record schedules are part of the Marine Corps legal and financial responsibilities and provide the guidance necessary to protect documentation on individual Marines and the benefits to which they are entitled. Scheduling records is an accountability measure to ensure records are protected in a standardized manner that is approved by NARA.

b. Maintenance and Use. The most active period of time for a Marine Corps record is when it is being used for business. The successful management of records in this stage can be challenging - version control can be an issue as can be maintaining correct identification and location of records. Following the standardized file plan is most crucial during this stage of lifecycle management.

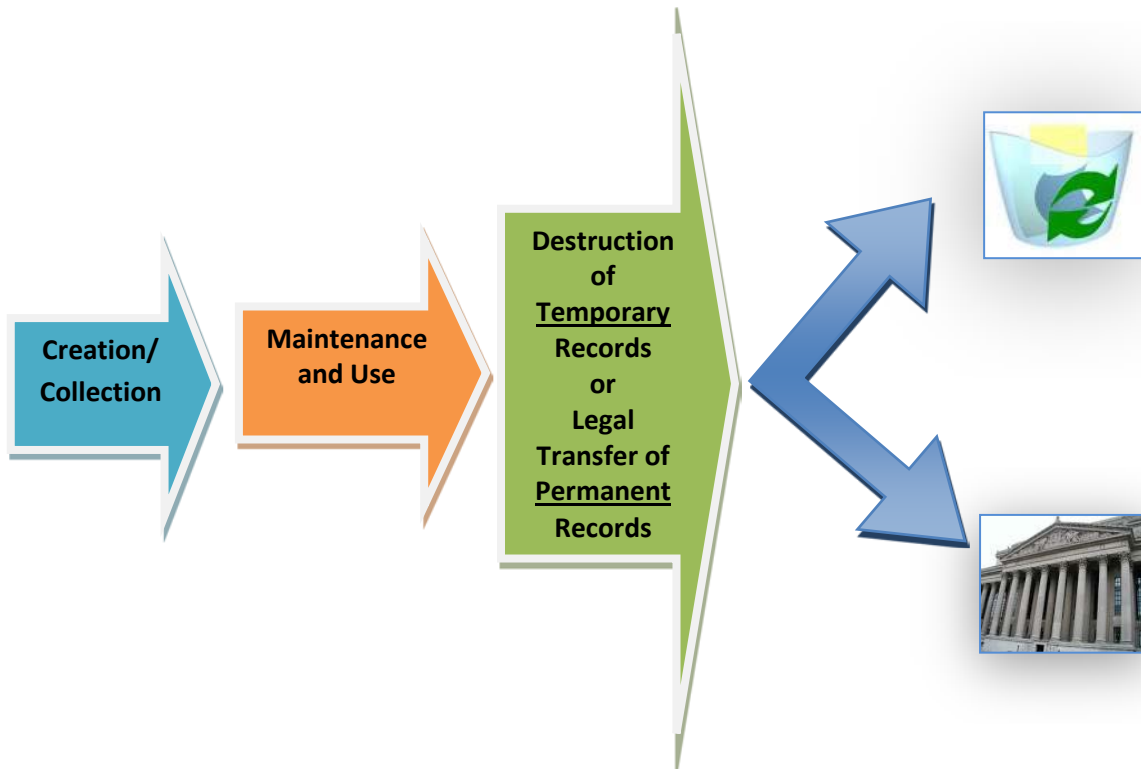


Figure 1-1.--Records Lifecycle.

c. Destruction of Temporary Records or Legal Transfer of Permanent Records. A Marine Corps record can take many different paths within its lifecycle, but the end result for every Marine Corps record is either destruction according to a NARA-approved disposition, or permanent archive at NARA. ARDB maintains a partnership with NARA to effect a viable, seamless, and legally acceptable Electronic Records Management (ERM) process for Marine Corps records. ARDB has established a temporary enterprise-wide electronic records repository, ensuring legal and statutory records management requirements are met, and signed a Memorandum of Agreement (MOA) with the Information Management communities at HQMC, Marine Corps Installations-East (MCI-EAST), and II Marine Expeditionary Force (II MEF) to obtain secure server resources for use as a central records repository until a permanent enterprise repository is established.

5. The Records Scheduling Process. By law, all Federal records are required to be scheduled with NARA. It is important to note that Federal records that have not yet been scheduled shall be managed as permanent records until such time that a schedule has been approved by NARA.

a. Identify Records to be Scheduled. Using the Federal definition of a record will assist in identifying records within an organization's files and systems. Records are media neutral, or not specific to any one type of media format.

b. Develop a Schedule. When records are identified, reference (g) and a GRS are used to determine the appropriate records dispositions or retentions to include in the schedule. ARDB offers assistance in schedule development, but it is up to the record owners to identify what records are in the inventory and need to be scheduled.

c. Present the Record Schedule to NARA. When a draft schedule is complete, forward it to ARDB. At that time, the records management team and the schedule developer collaborate to ensure the most accurate information goes forward to NARA. Once both parties have agreed on the draft, it is uploaded into the NARA Electronic Records Archives (NARA ERA) for approval.

d. NARA reviews the proposed record schedule and approves or amends it, as appropriate. If there are questions or concerns regarding the choices in dispositions or retentions, NARA will contact ARDB and the record owners to discuss options and rationale. NOTE: NARA is the final authority on records schedules and can amend or disapprove a proposed schedule as it sees fit.

e. Once NARA is assured that the record lifecycle management timeline is satisfactory, the schedule is approved. Notice is given to ARDB and the record owners that the schedule has been approved and that records can be managed according to the approved schedule.

f. The Marine Corps then has the legal authority from NARA to manage records according to the approved schedule. A records schedule includes a final disposition, whether that disposition is temporary (destruction) or permanent (archive).

6. Benefits of a Records Schedule

a. Ensures that important records are organized and managed in such a way that they are easily retrievable and accessible for the business requirements of the Marine Corps and for those who follow. Properly managed records serve as evidence of program activities which is especially important in the event of an audit, Freedom of Information Act (FOIA) request, or discovery for lawsuits.

b. Lessens the need for additional or larger storage space, network support, and equipment. By managing records according to their NARA-approved schedules, organizations are no longer obligated to store records that are legally eligible for transfer or destruction.

c. Saves money. Following NARA-approved records schedules allow systematic transfer of inactive files to Federal Records Centers (FRC) storage areas, and/or directly to NARA, if permanent.

d. Helps in the preservation of records that are valuable for the collection of benefits, records that are historical in nature, and those that are important for research purposes.

e. Stabilizes the growth of records no longer needed for business purposes. Through systematic disposition of unneeded records, offices become more streamlined, and storage needs are mitigated.

f. Legal compliance. Removing or destroying records without authorization can result in criminal penalties per references (d), (e), (f), and (g).

g. The Marine Corps is required by reference (f) to maintain a comprehensive records schedule.

7. Types of Records Schedules. There are two types of records schedules - traditional and flexible.

a. Traditional Records Schedule. The Marine Corps schedules records according to NARA-approved records schedules. NARA-approved schedules are found in reference (g) and the GRS. GRS are schedules that apply to all Federal records and are approved by NARA for use by all Federal agencies. Currently, there are over two dozen GRSs covering dispositions for property disposal records; housing records; civilian personnel records; and payroll and pay administration records. A GRS generally applies to administrative records common to all agencies. If none of the schedules from reference (g) or a GRS apply, a new records schedule can be developed and presented to NARA for review/approval.

b. Flexible Schedule. Flexible schedules can only be used to schedule temporary records. They use flexible retention periods which identify a disposition timeframe; i.e., "Destroy when no less than 6 years old and no more than 10 years old". The Marine Corps has identified some HQMC staff agencies as potential pilots for the use of flexible schedules, which are currently being developed.

c. Use of Standard Subject Identification Codes (SSIC) in Schedule Development. Reference (g) is comprised of a series of SSICs, a standard system of numbers and letter symbols used for categorizing records by subject. There are currently 13 categories of SSICs, which are then broken into thousands of more precise identification codes. SSICs are used to identify records in records schedule development and in file management. See Chapter 3 on file management. Reference (g) is found online at <http://doni.daps.dla.mil/default.aspx>.

d. General Records Schedules. See 7a above.

8. What is a Non-Record? Non-records are Marine Corps-owned informational materials that do not meet the statutory definition of Federal records according to reference (d). NARA guidance states, 'Non-record materials should be destroyed when no longer needed for reference.' Per reference (c), examples of non-records include, but are not limited to, the following:

a. Stocks of publications and other reproduced documents maintained for supply purposes;

b. Materials preserved solely for purposes of reference or exhibition in libraries or museums;

c. Duplicate copies of material maintained within the same organization when serving the same functional purpose;

d. Copies of reproduced or processed materials when other copies are retained elsewhere for official record purposes;

e. Extra copies of papers preserved solely for convenience of reference; i.e., reading files, "follow-up" or "tickler" or "suspense" copies of materials that may be destroyed when no longer needed; abstracts or briefs of material maintained for tickler purposes;

f. Privately purchased books and other papers relating to private personal matters and kept in an office only for convenience (personal papers are covered in the next section of this Chapter);

g. News clippings of stories from newspapers or other publications which have no documentary or evidential value; and

h. Correspondence that has no value after action has been completed or which is received for information and requires no action. Some examples of this non-record category are:

(1) published materials received from other activities or offices requiring no action and not required for documentary purposes;

(2) letters or other transmitting papers that add no significant information to the material submitted;

(3) catalogs, trade journals, and other documents or papers received from other Government agencies, commercial firms, or private institutions, that require no action and are not part of a case upon which action is taken;

(4) working papers, preliminary or intermediate drafts, reports and related papers, memoranda, preliminary worksheets, or notes and similar materials that are summarized in final or other form and that have no evidential or informational value once action has been completed since they do not relate to significant steps taken in preparing record copies of documents (NOTE: working papers and drafts ARE records themselves if they are related to or part of projects, case files or packages that have been determined to contain Federal records. Great care must be taken in regard to working papers and drafts. Contact ARDB for further guidance);

(5) reproduction materials such as stencils, hectograph masters, and offset plates;

(6) information copies of correspondence, memoranda, and other papers that require no administrative action;

(7) notices or other papers that are not the basis for official action;

(8) charts, diagrams, and other graphic materials prepared from source material and used for briefing or training activities;

(9) statistical tabulating aids used incidentally in the documenting process;

(10) routine documents used to control or facilitate actions;

(11) working papers such as notes, rough drafts, cards, etc.; and

(12) Library material, publications and other materials maintained by libraries exclusively for reference purposes.

i. Guidance for Non-Records

(1) Determining Record Value of Working Papers and Drafts. The guidance for working papers and drafts has been under discussion among Federal agency records professionals and NARA. Great care and consideration must be given in determining the record value of materials such as working papers, drafts, and notes that document an activity up to the point in time when those materials were created. Until a subsequent activity occurs that causes them to become superseded or obsolete, the materials could warrant record status and be appropriate for preservation. Do not designate materials as non-records in anticipation of being superseded or becoming obsolete. This is only done at the point when they are actually superseded or become obsolete.

NOTE: When it is difficult to decide whether certain materials are records or non-records, they should be treated as records. Contact ARDB for professional guidance on this subject, when necessary.

(2) Access Restrictions. Non-record materials should not contain any security classified or administratively controlled information.

(3) Removal of Non-Records from the Marine Corps. Non-record materials should not be removed from the Marine Corps except with ARDB approval.

(4) Short-Term Documentary Materials. Non-records, along with personal papers and short-term documents, comprise a broad category of materials that are not needed as part of the long-term documentation of agency activities.

9. Personal Papers. Reference (k) defines personal papers as documentary materials or any documents that can be reasonably segregated, in any media including hard copies or electronic, of a private or nonpublic character that do not relate to, or have an effect upon, the conduct of agency business.

a. Personal papers can include email as well as other electronic formats. Personal papers are not owned by the Government. Examples of personal documents include:

(1) materials accumulated by an official before joining Government service that are not used subsequently in the transaction of Government business;

(2) 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; and

(3) personal diaries, personal journals, personal correspondence or other personal notes which are not prepared for, used for, circulated, or communicated in the course of transacting Government business.

b. Personal papers will be clearly designated as such and will at all times be maintained separately from the official records.

c. If information about private matters and Marine Corps business appears in the same document, the document will be copied at the time of

receipt, with the personal information deleted, and treated as a Federal record.

d. Materials labeled "personal," "confidential," or "private," or similarly designated, and are used in the transaction of public business, are Federal records subject to the provisions of pertinent laws and regulations. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a Federal office.

e. The "personal papers" category does not apply to calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of Federal employees while serving in an official capacity, if they are prepared for, used for, circulated, or communicated in the course of transacting Government business.

Chapter 2

Electronic Records

1. Electronic Records. The vast majority of records created and received by the Marine Corps are electronic. Electronic records are any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record. Electronic records are created through word processors, spreadsheets, databases, and scans of paper textual documents and images. Some electronic records are digitally born and some are converted from paper form to a digitized image. Electronic records are always machine-dependent, making them accessible and retrievable only with the assistance of digital processors and media. Electronic records are the products of computers and computer application software.

a. Electronic Record Formats. Electronic records have many different formats. As software becomes more sophisticated, the electronic record can assume different forms depending on the software used to access it. Software applications have the capacity to combine graphics, text, and sounds into single records. Network shared systems allow multiple authors to work on a single record. There are, however, some distinct types of electronic records which can be identified and their dispositions determined. This list is not indicative of every electronic record format, but are the most widely used in the Marine Corps.

(1) Text Format. Examples of electronic text format records include records created in Microsoft (MS) Office suite, such as Word documents, Excel spreadsheets, and PowerPoint presentations, as well as Adobe .PDF and simple txt documents. These records can be organized in various ways; i.e., file folders or databases that record and maintain the appropriate metadata.

(2) Electronic Mail Format. Electronic mail (email) consists of any memo, letter, note, report, or communication (and attachments therein) between individuals and groups that is stored and/or transmitted in a format that requires an electronic device to capture and access. Select emails are Federal records. Reference (b) requires the Marine Corps to communicate a records management plan in respect to electronic records including email and social media. ARDB has taken a proactive approach in producing a Marine Corps email capture plan to comply with reference (b).

(a) Per reference (j), ARDB will oversee efforts to:

1. Issue instructions and implement retention and management requirements for email records.

2. Seamlessly collect and manage select senior leadership email using available technology;

3. Collect and manage Marine Expeditionary Force (MEF) and above email generated within an armed conflict environment and forward to the Armed Conflict Records central repository.

(b) Staff members of targeted Marine Corps email records must:

1. Preserve names of sender, all addressees, and dates messages were sent. Other metadata may be needed to meet the business needs of an organization; i.e., receipt information.

2. Attachments to email must be preserved as part of the email record or linked to the email with other related records.

3. If email identifies users by codes or nicknames, retain full names to ensure identification of the sender and addressees.

4. Official emails sent and received on non-Marine Corps email systems must be preserved as Federal records.

5. Email records will be managed within the functional capacity of their respective organizations.

6. Maintenance of Armed Conflict email records is outlined in Chapter 6 of this Order.

(3) Electronic Publications Format. Public access servers provide access to electronic files to anyone worldwide. Websites such as Marines.mil and other Marine-specific worldwide accessible sites are tools for distributing information electronically and serve as a form of electronic publishing that may or may not contain official records. Determinations will be made by ARDB on case-by-case bases. These records can be incrementally archived as data snapshots. Local systems administrators can assist in using this records management method.

(4) Graphics Format. Commercial packages containing graphic applications are widely available and allow users to create graphics ranging from simple figures and tables to complex images. Digitizing scanners and video conversion hardware also allow for the direct conversion of visual images into digital format for electronic manipulation and storage. This record format must be managed according to NARA guidelines.

(5) Database Format

(a) The term database refers to an electronic central repository where information is stored in such a manner that it is easily accessed, managed, and retrieved. The records or files can be organized in data fields which may contain text, numbers, graphics, or mixed character elements. The database, as a whole, or the various content stored within the database, is a record. If a database is managed independently from the application it serves, it may be considered an EIS.

(b) Databases are created and accessed through a variety of commercially developed and customized database management systems. Reports based on database information are often printed out, but databases remain in electronic form and are rarely printed out in their entirety.

b. Electronic Information Systems (EIS). Electronic Information Systems (EIS) are defined as systems that manage and provide access to computerized Federal records and other information. An EIS includes the inputs and outputs of information, or data, that is generated, as well as the master files. In addition to the content of an EIS, the architecture, manuals, and other documentation of the EIS are considered records. Legacy systems are

those systems that are currently in existence or have been in existence for a number of years prior to current records management regulations. Legacy systems are also EIS and are subject to the same requirements as newer systems. An example of a universally known EIS within the Marine Corps is the Marine Corps Training Information Management System, or MCTIMS. MCTIMS contains a structured collection of data relating to the training and education of every Marine and is a singular source of training information for the Marine Corps.

(1) Incorporating Records Management within an EIS. References (g) and (k) require the Marine Corps to incorporate records management into the design, development, enhancement, and implementation of their EIS. To ensure adequate and proper documentation of Marine Corps business is being preserved, the following controls must be integrated into new and legacy EIS:

(a) Reliability. Controls to ensure a full and accurate representation of the transactions, activities, and facts established to conduct Marine Corps business, and that said representation can be relied upon in subsequent transactions or activities. In other words, the ability to maintain a reliable data history is paramount when records are needed for future transactions.

(b) Authenticity. Controls to protect against unauthorized addition, deletion, alteration, use, and concealment of records.

(c) Integrity. Controls such as audit trails to ensure records are complete and unaltered. This can be as simple as computer-access card traceability.

(d) Usability. Mechanisms to ensure records can be accessed, retrieved, presented, and interpreted.

(e) Content. Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.

(f) Context. Mechanisms to implement cross-reference ability to related records. This will vary depending on the EIS.

(g) Structure. Controls to ensure the physical and logical format maintenance of records and the relationships between the data elements.

(2) Preventing Technological Obsolescence of an EIS. Marine Corps EIS owners must design and implement migration strategies to counteract hardware and software dependencies of EIS records beyond the life of the system itself. To successfully protect records against technological obsolescence:

(a) Determine if the NARA-approved disposition(s) for the records will be longer than the life of the EIS. If so, plan to migrate the records to a new or existing EIS before the current EIS is retired.

(b) Carry out hardware and software upgrades in such a way as to retain the functionality and integrity of the records created in EIS. Retention of record functionality and integrity may require:

1. Retaining records in a usable format until their authorized disposition dates. Where migration includes conversion of records, ensure that the authorized disposition of the records can be implemented after conversion.

2. Conversion of storage media, if necessary, to provide compatibility with current hardware and software.

3. Maintaining a link between records and their metadata through conversion or migration, including capture of all relevant associated metadata at the point of migration (for both records and the migration process).

(c) Ensure that migration strategies take into account non-active electronic records that are stored off-line.

(3) Retention and Disposition Scheduling of Records Contained Within an EIS. NARA-approved dispositions are required for every EIS within the Marine Corps. Dispositions indicate the period of time records should be retained, and how and where they should be managed. NARA-approved records schedules allow functional area and program managers to determine the most timely, systematic manner to dispose of records based on administrative, legal, fiscal, or business needs. Contact ARDB Records Management to schedule an EIS.

(4) Pre-Accessioning EIS Records. Marine Corps EIS owners are encouraged to pre-accession permanent records to NARA. Pre-accessioning is simply forwarding master and backup copies of permanent electronic records to NARA with legal transfer of the custody of records to occur when the records are 25 years old. Pre-accessioning to NARA ensures adherence to prescribed environmental and climate standards, the performance of annual statistical sampling to identify any loss of data, and a systematic duplicating of records onto technologically current media every five years. ARDB and the EIS owners join forces with the Special Media Records Services Division within NARA to pre-accession EIS records. This is a no-cost backup storage of records for the Marine Corps and it satisfies the laws pertaining to proper lifecycle management of permanent electronic records.

(a) To ensure future access to all electronic records transferred to its custody, NARA verifies the data files received and works with Marine Corps system owners to resolve any discrepancies.

(b) NARA may supplement Marine Corps-created documentation as necessary with an introduction that discusses the origin, creation, and administrative uses of the records and lists related records that are or will be available.

(c) The documentation package may specify all known cases of missing data. It may indicate any characteristics of the records that could cause problems for researchers.

(d) The package may include a record layout, a sample printout, an explanation of the process used to verify the records, and copies of all manuals, codes, and input documents or data collection forms necessary for secondary users to understand and use the records.

(e) Annual copies do not contain previously transferred data and may be snapshots of data on a given data.

(5) Registration of EIS in the Department of Defense Information Technology Portfolio Repository - Department of the Navy (DITPR-DON). Functional area managers, program managers, and system owners throughout the Marine Corps use DITPR-DON to register their EIS. Registration of mission-critical, mission-essential, and mission-support systems is required to satisfy statutory and management reporting requirements, including Federal Information Security Management Act reporting, and the Business Management Modernization Program certification process. The DON CIO is the DON functional area manager for DITPR-DON. The Command, Control, Communications, and Computers Department (C4) is the Marine Corps functional area manager for DITPR-DON.

(a) DITPR-DON has requirements to which each EIS system owner must adhere:

1. The records management (RM) requirements for each EIS are records management-related. The records management, or "RM" tab, is a snapshot report of the records status of an EIS. It provides records schedule and SSIC information, what date the schedule was sent to NARA, approved by NARA, and the assigned NARA identification number of the schedule. The RM tab includes a comment section that is completed by ARDB which is updated as status changes from 'not scheduled' to 'schedule approved.' The "RMA", or 'Records Management Application' tab and the "MREC", or 'Management of Records in a DON IM/IT System' portion of the "DON EA" tab are completed by the system owner. See figure 2-1 below for an example of completed "RMA" and "MREC" tabs.

a. The "RMA" tab, requires the sponsor to indicate if the EIS has an RMA capability. A dropdown 'yes or no' menu is provided. An RMA is the software used by an organization to manage the lifecycle of the records contained in the EIS. An RMA's primary management functions are to categorize and locate records, and identify records that are due for disposition. RMA software also stores, retrieves, and disposes of records that are stored in its repository. RMA is a capability requirement and is required to include capability to manage records from creation to destruction or transfer of permanent records to NARA according to the NARA approved disposition.

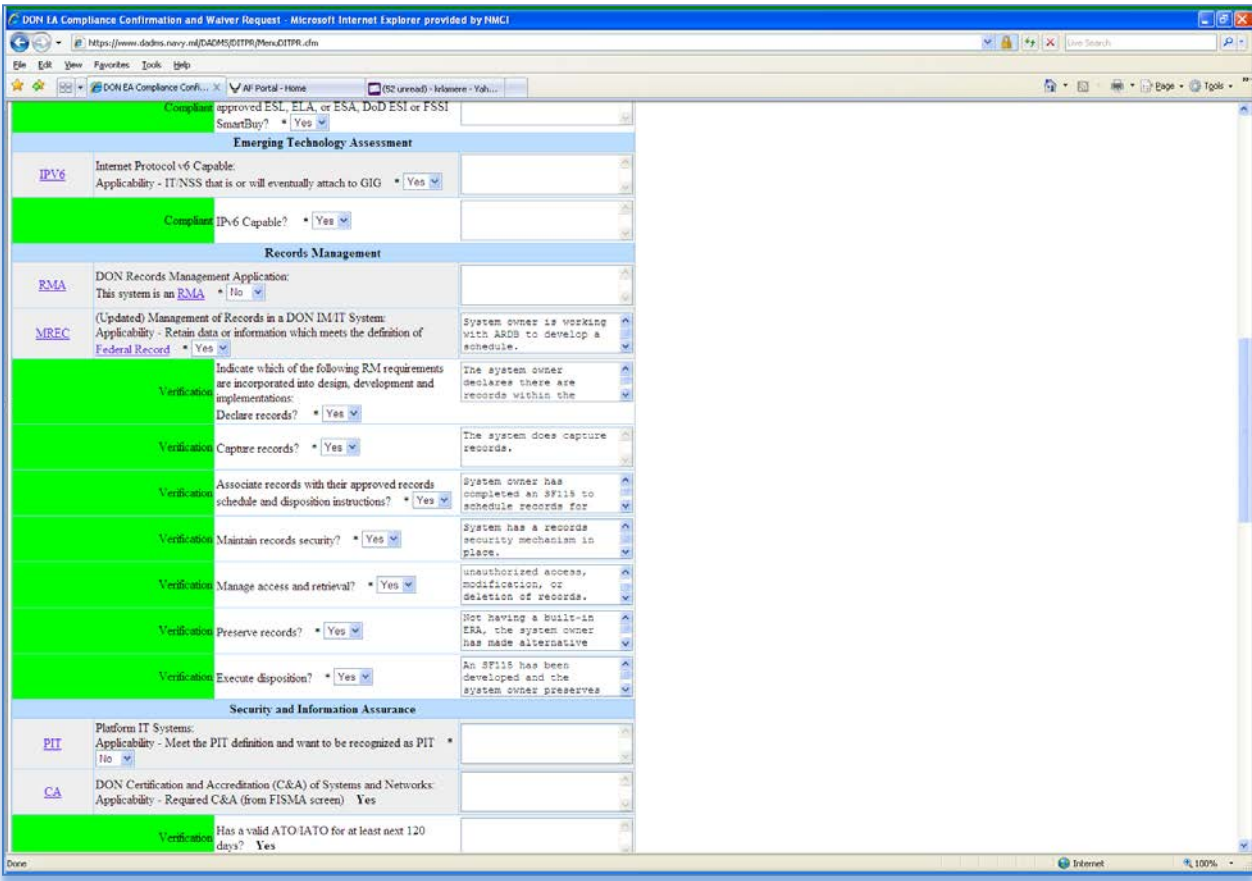


Figure 2-1.--Screen Shot of DITPR-DON "RMA" AND "MREC" Tabs.

b. The "MREC" portion of the "DON EA" tab requires the sponsor to indicate if records within the EIS are managed in a DON IM/IT system, and if the data or information meets the definition of a Federal record (see page 3 of this Order for the definition of a Federal record). If the definition of a Federal record is met and 'yes' is chosen from the drop down menu, then additional questions will be revealed. See figure 2-1 for an example.

(1) Indicate which of the following RM requirements are incorporated into design, development and implementations. Declare records?

(2) Are records within the system assigned a disposal or transfer date based on the disposition?

(3) Does the system protect records from being overwritten? Explain.

(4) Does the system retain a log of any actions and uses of the records (to support legal discovery or prevent misuse or unauthorized access)?

(5) Does the system trigger the user or the system itself when records are to be destroyed, deleted, or transferred (i.e., does the system send an automated message to the administrator or automatically purge records according to the approved retention)?

(6) Does the system administrator apply record retention/disposal standards (i.e., how does the administrator apply retentions)?

(7) Are temporary records held by the system owner until destruction is authorized?

c. The desired outcome is for the system to manage records from creation/receipt to final disposition.

d. DITPR-DON training and informational awareness sessions are offered for Marine Corps functional area managers, program managers, system owners, and affiliated contractors as-needed and as-requested. Contact ARDB to schedule.

2. Are permanent records transferred to NARA per their approved dispositions (i.e., are procedures in place to enable the transfer of permanent electronic records to NARA)?

3. Does the system include an archive to manage inactive records according to approved records dispositions (i.e., disposal of temporary records or transfer of permanent records to NARA)?

(b) ARDB screens all DITPR-DON registered Marine Corps EIS for records. The criteria used to determine records content within EIS are:

1. Does information contained within the system meet the definition of a Federal record?

2. Does the system have a master file?

3. Does the EIS input data?

4. Does the EIS output data?

(c) If the EIS does not contain records, ARDB annotates the information within DITPR-DON under the 'RM' tab.

(d) If the EIS does contain records, ARDB assists the system owner in scheduling the EIS through completion of a Standard Form (SF) 115, *Request for Records Disposition Authority*. SF-115s are covered in paragraph 2 of this Chapter.

(e) Within DITPR-DON's "RM" tab, ARDB communicates three actions:

1. That the system owner has or has not communicated with ARDB to determine whether or not the system contains Federal records;

2. That a disposition schedule has or has not been submitted; and

3. The status of the disposition schedule (if applicable).

NOTE: The EIS is not yet "records management compliant" at this early stage, but is in the process of becoming compliant with NARA.

(f) Once a disposition schedule has been approved by NARA, ARDB contacts the system owner with the update and annotates the information within DITPR-DON.

2. The Standard Form (SF) 115 Process. ARDB offers individual and group classes that provide understanding and assistance in completing the form. Submission of the SF-115 draft is NOT the final step in records management compliance. It is the first draft from which ARDB works with the program office to present to NARA for approval. The information from the SF 115 is entered into NARA's Electronic Records Archives (ERA). The SF 115 is available on the

a. The following blocks *must* be completed by the individual functional area managers or record owners to include the following verbiage:

- (1) Block 1: DEPARTMENT OF THE NAVY.
- (2) Block 2: UNITED STATES MARINE CORPS.
- (3) Block 3: YOUR STAFF AGENCY (i.e., M&RA (MPO)).
- (4) Block 4: Name of Program Manager for EIS.
- (5) Block 5: Telephone number of Program Manager.
- (6) Block 6: Leave blank.
- (7) Date Block: Date SF-115 is submitted to ARDB.
- (8) Signature of Agency Representative: Signature of Program Manager for EIS.
- (9) Title Block: Title of Program Manager for EIS.
- (10) Block 7
 - (a) First Line: SSIC XXXX (choose the SSIC and title most appropriate for your EIS. SSICs are found in reference (g)).
 - (b) Second Line: Name of EIS and acronym in parentheses (i.e., Marine Corps Information Training Management System (MCTIMS)).
 - (c) Third Line: Write, 'SEE ATTACHMENT'.

b. Open a blank Microsoft Word document to attach to the SF-115. The following information is required to include the following verbiage:

- (1) First Section
 - (a) First Line: SSIC XXXX and title (from Block 7 of the SF-115).

(b) Second Line: Name of EIS and acronym in parentheses.

(2) Second Section: Write 'Purpose of the System' as a headline. Using common language, write a synopsis of the EIS, its function, and the EIS' date range of operation. This paragraph should be as extensive or as brief as is required for understandability. Remember, NARA reviewers are not subject matter experts on your EIS. NOTE: If the end date of the date range is not known, this should be typed (for example): "-2001 - ongoing". Do not write "2001 to present". On the other hand, if the date range is known, it should be typed (for example): "2001-2020".

(3) Third Section: Write 'Master Files' as a headline. On the second line, write, 'Data elements include but are not limited to ...' and complete the paragraph by listing the data elements within the EIS.

(4) Fourth Section: Write 'Master Files Disposition' as a headline. This is an opportunity for the EIS owner to recommend the disposition(s) of the master files data. Items to consider:

(a) Are the master files permanent or temporary records?

(b) How long is the data needed for Marine Corps business before it should be stored, archived, or destroyed?

(c) How are similar records kept? Use reference (g) for examples of dispositions for similar records.

NOTE: If there are records within the system output that are similar, then that group of data can be "bucketized", allowing the use of one single disposition. The option to group record dispositions into one "bucket" prevents the need to itemize all of the record dispositions. If this option is exercised, the LONGEST RUNNING disposition among the records must be the disposition proposed for that "bucket".

(5) Fifth Section: Write 'System Input Records' as a headline. Write, 'Data elements include but are not limited to ...' and complete the paragraph by listing records that are input into the EIS. Items such as handwritten notes, input from other EIS, etc. should be included in the list.

(6) Sixth Section: Write 'System Input Disposition(s)' as a headline. This is an opportunity for the EIS owner to recommend the disposition(s) of the system input data. NOTE: If there is a portion of the system with similar input data, the data can be "bucketized" into a single disposition, if desired. If this option is exercised, the LONGEST RUNNING disposition among the data elements must be the disposition that is proposed for that "bucket".

(7) Seventh Section: Write 'System Output Records' as a headline. Write, 'Data elements include but are not limited to ...' and complete the paragraph by listing records that are input into the EIS. Items such as reports, metrics, etc. should be included in the list.

(8) Eighth Section: Write 'System Output Disposition(s)' as a headline. This is an opportunity for the EIS owner to the disposition(s) of the system output data.

(9) Ninth Section: Write 'Documentation' as a headline. This section describes information about the EIS itself - manuals, identification of codes, etc.

(a) If the master files of the EIS are permanent, then the manual must be permanent as well. GRS 20.11a(2) is an appropriate schedule to use for permanent documentation.

(b) If the master files of the EIS are temporary, then the manual will be temporary as well. As EIS grow and evolve, so do the manuals. It is the decision of the EIS owner to determine the disposition of the manual. GRS 20.11a(1) is appropriate for temporary documentation.

3. Physical Records. Many Marine Corps organizations are required to maintain a certain amount of paper-based or textual record activity due to business needs and requirements. Even in this digital age, as the Marine Corps moves further away from textual records and closer to adoption of electronic recordkeeping, there continues to be a strong presence of textual records. ARDB understands and maintains guidance and provides assistance in the transfer, organization, and day-to-day general records management of both physical (textual, paper-based, video, etc.) and electronic records. See Chapter 4 of this Order for examples of different media and formats of records.

Chapter 3

Day-to-Day General Records Management

1. Managing Records. This Chapter contains specific day-to-day guidelines for managing records:

- a. All paper/electronic file folders are labeled in accordance with annual file outlines and retention dates listed in reference (g). All electronic records must be labeled with the equivalent information.
- b. All paper and electronic records are maintained in accordance with guidelines in this Order and reference (g).
- c. All permanent and temporary records are managed in separate folders.
- d. Non-records as defined in Chapter 1 of this Order are destroyed when they are no longer needed for business use. Do not destroy anything until its disposition has been approved by NARA.
- e. Regular record purges in accordance with approved dispositions must be conducted. Be aware of record dispositions while conducting these purges.
- f. Maximize the use of electronic filing versus paper filing per reference (i).

(1) Annual assessment of record retentions for all records and files will be conducted. Administrative officers, CDRMs and administrative clerks/specialists will assist commands with the process to transfer records to NARA or to one of several Federal Records Centers (FRC) located throughout the United States, depending on records dispositions. For all paper and electronic records, the SF-135, *Records Transmittal and Receipt*, will be used as outlined in Chapter 4 of this Order. Offices must maintain copies of SF-135s until final dispositions for each records transfer has been reached.

NOTE: Marine Corps squadrons must transfer previous year's Master Flight Files per reference (g) and per established office procedures. See Chapter 4 of this Order for specific instructions in completing the SF-135 process.

(2) For decommissioning organizations, and for organizations which have already been decommissioned, refer to reference (g) to determine the appropriate records processing procedures.

g. Labels that identify records dispositions must be posted on each filing cabinet, drawer, or file guide for paper-based records, and folder/sub-folder for electronic records.

NOTE: If the retentions vary from record to record within a cabinet or drawer, then identify each file folder separately. The label must cite the date of disposal and the appropriate action to be taken. Every electronic record must be labeled with the equivalent information. Refer to the 'electronic file plans' section of this Chapter for further guidance.

h. Microsoft SharePoint is a document management application used to host web sites, manage documents, and share information. If SharePoint is used, it must be configured to label records with appropriate records

disposition information to ensure proper lifecycle management of all Marine Corps information according to the NARA-approved disposition.

i. Shared drives continue to be used to manage some electronic records. The continued use of shared drives presents significant challenges for content management, and ARDB highly recommends migration to SharePoint. In the instance that shared drives must be used, care must be taken to ensure appropriate records management information (i.e., standardized taxonomy, use of SSICs, etc.) is captured through the file folder structure.

2. Electronic File Plans and Outlines. An electronic file plan is the standard for organizing and controlling electronic files. It is a method of grouping files or documents together based on their relationships to a particular subject or function. An electronic file outline maintains workflow continuity and provides an at-a-glance view of all electronic files located within the office.

a. Creating an Electronic File Plan Using SharePoint. Electronic records must be labeled with the equivalent information of paper records. A properly configured SharePoint site can greatly assist in the management of electronic record labeling. SharePoint is available throughout the Marine Corps. It offers a standardized method to manage records throughout the Marine Corps. On SharePoint, records should be stored in a separate, dedicated document library. A records dashboard can be created within SharePoint by following these steps.

(1) Create a separate document library for records titled 'Records'.

(2) Create columns for 'SSIC,', 'status (i.e., permanent or temporary),' 'retention period,' 'disposal date,' 'official author,, 'date finalized,' 'disposal action,' and 'disposal authority' which is derived from reference (g). All columns are required fields.

(a) The 'SSIC' column will contain a single line of text field for manual entry of the records' SSICs.

(b) The 'status' column will contain a dropdown menu which allows the selection of permanent or temporary.

(c) The 'retention period' column will contain a single line of text field for manual entry of the retention period.

(d) The 'disposal date' column will contain a date selection field.

(e) The 'official author' column will contain a single line of text field for manual entry of the official document author.

(f) The 'date finalized' column will contain a date selection field.

(g) The 'disposal action' column will contain a dropdown menu which allows for the selection of one of the following actions: 'retain,' 'transfer,' or 'destroy' records. Keep the default selection blank.

(h) The 'disposal authority' will contain a multiple line text field for manual entry of the authority obtained from NARA.

(3) Within the document library, restrict access to essential records management personnel.

(4) Create a records view sorted by disposal action date. Ensure that all custom columns as well as the "date created" and "date modified" columns are displayed.

(5) Create a web part page titled 'Records.' Select the layout option which includes: 'header,' 'right column,' and 'body.' In the right web part, create a 'Links web part' to hold records management links, including a link to the ARDB SharePoint Portal. In the 'Body web part' add the 'Records' document library (1). Create two document views which filter based on the status of the record. The top view will be the Permanent Records view, and the bottom view will be the Temporary Records view as depicted in Figure 3-2.

(6) Once a document is finalized and has become a record, upload a copy to the 'Records' document library, and provide all required metadata for the record.

(7) Sort the records by disposal date so the next records requiring action are displayed first.

(8) When a record reaches its disposal date, follow the disposal action. To transfer records, follow these instructions to export the records and their metadata.

(a) Download a copy of the records and store on the desktop.

(b) Open the 'Records' document library and select Action->Edit in Datasheet.

(c) Highlight all columns, copy into a new Excel workbook, and paste as 'Text Only.'

(d) Sort and filter to display only records to be exported.

(e) Save workbook and include with records when transferred.

b. Creating and Posting an Electronic File Outline. The same file outline format as for paper should be stored digitally on the unit SharePoint Portal and linked to the records dashboard.

3. Paper File Plans and Outlines. A file plan is the standard for organizing and controlling files. It is a method of grouping files or documents together based on their relationships to a particular subject or function. A file outline maintains workflow continuity and provides an at-a-glance view of all files located within office file drawers and cabinets.

a. Creating a Paper File Plan

(1) Segregate permanent records from temporary records.

(2) Arrange records in appropriate file series (correspondence files, card files, case files, accounting registers, Emergency Action Messages (EAM) listings, contract files, etc.).

(3) Once each group (temporary and permanent) has been properly identified, make folders using the 13 SSIC categories listed in reference (g). NOTE: If your office does not collect, create, or manage all 13 SSIC categories, you do not have to make all 13 folders - folders for only those records created/received within your office can be established. See figure 3-2 for samples of temporary and permanent file folders.

(a) For example, file all records having the identification "1000-1999" within the folder entitled "1000-1999 MILITARY PERSONNEL (GENERAL)".

(b) Place permanent and temporary records into separate folders and arrange each category in numerical sequence according to the SSIC assigned.

b. Creating a Paper File Outline. Prepare a file outline as described in figure 3-3 of this Order, and maintain it in an accessible place within your office, preferably on the shared drive or SharePoint Portal along with a link to the current edition of reference (g). The outline can also be printed and kept in an accessible area within the office. Looking at figure 3-3, the practice of entering the retention standards opposite the file numbers on the file outline assists in seeing the final disposition at a glance and serves as a training aid for new personnel. The file outline should be updated as office requirements change.

c. Labeling Folders. Each folder must contain three labels. The first label is the "File Identification" label, the second is the "Date" label, and the third is the "Disposal" label.

(1) File Identification Label. The first label on the file folder consists of the SSIC and subject title found in reference (g). The SSIC and subject title are typed in all caps with one space between the SSIC and the subject title. The label is placed in the top left corner of the file folder.

(a) The SSIC is recorded on the file identification label to identify the general or specific pieces of correspondence that are filed inside.

(b) The subject title is the corresponding title of the SSIC.

NOTE: When records can be identified in a more specific manner than the original GENERAL subject title of an SSIC, the SSIC must be followed by a slash (/), then the Arabic number, and the subparagraph subject title:

For example, SSIC 1650 is the general subject title for '**Decorations, Medals and Awards**'. SSIC 1650.1 is a more specific subject title - it identifies '**Correspondence and Related Records**' regarding decorations, medals and awards. For example:

1650 **DECORATIONS, MEDALS AND AWARDS**
1650/1 **CORRESPONDENCE AND RELATED RECORDS**

(2) Date Label. The second label on the file folder records the dates a file folder was opened and closed. The dates are centered on the label with the open date on top and the close date on the bottom. You will not be able to record the close date until you actually close the file. The dates are listed in the format YYYYMMDD. The label is placed in the top center of the file folder.

NOTE: ARDB and the Functional Area Managers checklist will support retroactive labels with the dates annotated in the DD MMM YYYY style; however, effective with signature and publication of this Order, newly-created folders will be annotated as YYYYMMDD to correspond with the electronic records format.

(a) Open Date. The opening date for file folders established on calendar year files is 20140101. The opening date for file folders established on fiscal year files is 20141001. ARDB will accept retroactive labels with the dates annotated in the DD MMM YYYY style; however, from the date of this Order ongoing, newly-created folders will be annotated as YYYYMMDD to correspond with the electronic records format.

1. If a "GENERAL" file folder has accumulated 10 pieces of correspondence with the same SSIC, the opening date would reflect the earliest dated record within the folder. For example, if on 20140415 you have accumulated 10 documents within the SSIC 1650 in the 1000 MILITARY PERSONNEL (GENERAL) file, you will open a **new** file for 1650 DECORATIONS, MEDALS, AND AWARDS. If the earliest dated document in the new file is dated 20140105, the open date for the new file date label will be 20140105.

2. If a file folder has been filled to 3/4" capacity, the open date on the new folder will be the "next" day. If on 20140414 your folder reaches its 3/4" capacity, you would close that folder on 20140414 and create a new folder with an open date of 20140415.

(b) Close Date

1. The closing date for file folders established on calendar year files is 20141231. The closing date for file folders established on fiscal year files is 20140930. HQMC ARDB will accept retroactive labels with the dates annotated in the DD MMM YYYY style; however, from the date of this Order ongoing, newly-created folders will be annotated as YYYYMMDD to correspond with the electronic records format.

2. If a file folder has been filled to 3/4" capacity, the close date will be the date the file reaches that capacity. If on 20140414 your folder reached its 3/4" capacity, you would close that folder and the close date would be 20140414.

(3) Disposal Label. The third label on the folder provides the records retention period, disposal action, and the authority, which is derived from reference (g). The information is typed in all caps. The label is placed in the top right corner of the file folder. There are three items of information required on the disposal label: Retention period, disposal action, and the authority. See figure 3-1 for sample file folder identification.

(a) Retention period is typed in the following format, all caps:
2 YRS

(b) Disposal action is typed after the space-dash-space and is all caps. For example:

1. TEMP - 20130101 - **DESTROY**
2. PERM - TRANSFER -20150101 - **TRANSFER TO WASHINGTON NATIONAL RECORDS CENTER (WNRC) WHEN 2 YEARS OLD**

NOTE: Records retention starts the first day of the year after all files are closed. This means files closed should not be transferred or destroyed until their full retention has been reached. For example, SSIC 1650.3b requires records to be sent to the WNRC when 2 years old. This begins 2 years from the date the file is closed and rounding up to the following January. For example, if a file is closed on September 30, 2012, start counting 2 years from the following January 2013. The file is not eligible for transfer or destruction until January 2015, two full calendar years after the date the file is closed.

NOTE: Prior to transferring any records to the WNRC, a completed SF-135 must be submitted through the ARDB SharePoint Portal at <https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx>. Directions for completing an SF-135 are in Chapter 4 of this Order.

(c) Authority. On the next two lines after the "Disposal Action," type the authority that establishes the retention period and disposal action. The current edition of reference (g) or the GRS (if applicable) is always the master authority; i.e., SECNAV M-5210.1, PART III, CHAP. 1, PARA. 1000.2. Ensure all text is capitalized when typing this information.

1. For temporary files, on the last line, type in all caps the number of years required for retention, one space after the paragraph number:

TEMP - 20150101 - DESTROY
SECNAV M-5210.1, PART III,
CHAP. 1, PAR. 1000.2 - **2 YRS**

2. Annotate permanent file authority labels as follows:

PERM - TRANSFER - 20150101
TRANSFER TO WNRC WHEN 4 YRS OLD
SECNAV M-5210.1, PART III,
CHAP. 1, PAR. 1000.1c - 30 YRS

4. Paper-Based File Drawers and Cabinet Labels. ARDB requires the proper labeling of file drawers to indicate the type of files, inclusive file numbers, and calendar or fiscal years of the files contained in the drawer(s). The label is placed on the front of each filing cabinet drawer.

Electronic Records Management Dashboard

Permanent Records										Records Links
Type	Name	SSIC	Status	Retention Period (yrs)	Disposal Date	Official Author	Date Finalized	Disposal Action	Disposal Authority	
	Congressional Inquiry Disposition	5041	Permanent	10	10/19/2022	Collin R. Northrup	10/20/2012	Transfer	SECNAV M-5210.1, Page III-5-4, SSIC 5041, Par. 3 (N1-NU-02-41)	<input type="checkbox"/> ARCB Homepage <input type="checkbox"/> Directives Review Portal
<input type="checkbox"/> Add new document										
Temporary Records										
Type	Name	SSIC	Status	Retention Period (yrs)	Disposal Date	Official Author	Date Finalized	Disposal Action	Disposal Authority	
	Household Goods and Personal Property Records Disposition ! new	4050	Temporary	3	10/26/2015	Collin R. Northrup	10/26/2012	Destroy	SECNAV M-5210.1, Page III-4-4.5, SSIC 4050, Par. 1 (N1-NU-86-4)	<input type="checkbox"/> Add new link
<input type="checkbox"/> Add new document										

Figure 3-1.--Sample Electronic Records Management Dashboard.

SAMPLE PAPER-BASED **TEMPORARY** FILE FOLDER

SSIC 1000 GENERAL MILITARY
PERSONNEL

OPEN 20130101
CLOSED

TEMP - 20160101 - DESTROY
SECNAV M-5210.1, PART III,

SAMPLE PAPER-BASED **PERMANENT** FILE FOLDER

SSIC 5041/1 SPECIAL INQUIRIES
AND INVESTIGATIONS

OPEN 20130101
CLOSED

PERM - TRANSFER - 20180101
TRANSFER TO WNRC WHEN 4 YRS OLD

Figure 3-2.--Paper-Based File Folders.

SAMPLE FILE OUTLINE

CY 2014 (*2015)

(NOTE: All files closed in CY 2014 are rounded to the next CY - Jan 2015)

<u>FILE NUMBER/ SSIC</u>	<u>SUBJECT</u>	<u>RETENTION STANDARDS</u>
1010	INSPECTIONS	TEMP - DESTROY - JAN 2017 SECNAV M-5210.1, PART III, CHAP. 1, PAR. 1010.1 - 2 YRS
1650/1	DECORATIONS, MEDALS, AND AWARDS	PERM - TRANSFER TO WNRC - JAN 2018 SECNAV M-5210.1, PART III, CHAP. 1, PAR. 1650.1a-25 YRS
5120/3	UNITED STATES SAVINGS BONDS	TEMP - DESTROY - JAN 2017 SECNAV M-5210.1, part III, CHAP. 5, PAR. 5120.3 - 2 YRS
5320/1	ORGANIZATIONAL MANNING & BILLETS	TEMP - DESTROY - JAN 2020 OR WHEN SUPERSEDED, WHICHEVER IS EARLIER. SECNAV M-5210.1, PART III, CHAP. 5, PAR. 5320.1a - 5 YRS
5521/1	NAME CHECK AND PERSONNEL CLEARANCES	TEMP - DESTROY - JAN 2017 TWO YRS AFTER PERSON DEPARTS COMMAND. SECNAV M-5210.1, PART III, CHAP. 5, PAR. 5521.1b - 2 YRS
6700	GENERAL EQUIPMENT AND SUPPLIES	TEMP - DESTROY - JAN 2020 SECNAV M-5210.1, PART III, CHAP. 6, PAR. 6700.1 - 5 YRS
7100	GENERAL BUDGETING	TEMP - DESTROY - JAN 2017 SECNAV-M 5210.1, PART III, CHAP. 7, PAR. 7100.1 - 2 YRS

Figure 3-3.--Sample File Outline.

5. Privacy Act of 1974. A command's official correspondence files may contain "personal information" protected by the Privacy Act of 1974. This information may include but not be limited to social security numbers, home addresses, and financial data on current or former command personnel. Guidance concerning the management of these types of records and the safeguarding of personal information contained within is set forth in reference (e). The Physical Security Section, Security Programs and Information Management Branch (ARSF), AR Division, can also be contacted for any Freedom of Information Act and Privacy Act concerns.

a. Paper-based file cabinets containing official correspondence files will display a statement pertaining to the safeguarding of personal information in a conspicuous area where the files are stored. It becomes a "public notice" that management of the files is governed by provisions established by the Privacy Act of 1974. The statement is placed on the outside of all file drawers containing correspondence files. The following statement satisfies this requirement.

"These correspondence files are indexed and retrieved by individual personal identifiers and contain protected personal information. THE PRIVACY ACT OF 1974 (5 USC 552a) and implementing regulation (SECNAVINST 5211.5E) provide that no information from these files may be disclosed without consent of the record subject except when such disclosure meets the criteria of one or more of the 12 exceptions set forth in the Act [5 USC 552a(b)(1)] through notice governing this file collection. Any unauthorized disclosure may result in civil and/or criminal penalties to the individual in his/her personal capacity and/or the Government."

NOTE: All Systems of Records Notice (SORN) action must be coordinated with ARDB to establish the appropriate disposition of records or to submit a records schedule to NARA.

b. A copy of the Privacy Act SORN that governs the correspondence files collection should be placed within the files and should be readily accessible to office personnel. The following files are examples that would include a SORN:

(1) 5000.1 GENERAL ADMINISTRATION AND MANAGEMENT RECORDS (Primary Program Records)

(2) 5211.1 FILINGS, MAINTENANCE, RETRIEVAL, AND PRIVACY ACT SYSTEMS RECORDS (Filing, Maintenance and Retrieval Systems)

(3) 5720.1 EXTERNAL PUBLIC AFFAIRS (INCLUDING FREEDOM OF INFORMATION) RECORDS (General Correspondence Files)

c. A list of all Marine Corps Privacy Act SORNs can be found at www.hqmc.marines.mil/Agencies/USMCFIOIA/USMCPrivacyAct.aspx. Assistance in identifying the applicable Privacy Act SORN can be obtained from your organization's Privacy Act Coordinator or from the Marine Corps Privacy Act manager at ARSF.

d. ARSF is responsible for the creation and/or maintenance of the file collection, and is the Privacy Act SORN manager for the collection. It is the responsibility of that office to ensure proper safeguards are put in place to protect personal information contained within the files, and to ensure that all office personnel with access to such information are properly trained on the handling and protection of the files and data contained within.

Chapter 4

Records Transfer

1. The Electronic Records Transfer Process

a. Temporary electronic records must be maintained by local units until their disposition date. This is in contrast to paper records which must be transferred to and stored in FRCs until their disposition date. This levies a burden on individual units to respond to Freedom of Information Act (FOIA) requests as required.

b. Permanent electronic records to include media inventory must be transferred to ARDB via appropriate method or media annually. Appropriate methods and media include:

(1) Network transfer through SharePoint, secure File Transfer Protocol, or other mutually agreeable method.

(2) Compact Disk (CD), either Recordable (CD-R), or Re-Writable (CD-RW), capable of storing up to 800 Megabytes (MB) of information.

(3) Digital Video Disk (DVD), either Recordable (DVD-R), or Re-Writable (DVD-RW), capable of storing up to 4.7 Gigabytes (GB) of information.

(4) Traditional Hard drive (HDD); external in nature and uses multiple layers of spinning disks to store and read information.

NOTE: The alternative external hard drive is a Solid State Drive (SSD) that uses flash memory and microchips to store and read information. Use of SSD and other flash storage for Marine Corps business purposes is restricted to use by essential personnel and is strictly prohibited without prior authorization.

c. To transfer media containing permanent electronic records to ARDB, submit a digital SF-135 to ARDB along with a media inventory for approval using ARDB's SharePoint Portal, as outlined in the paper records transfer process.

d. How to Prepare and Package Permanent Electronic Records for Shipment

(1) Prior to uploading the SF-135 into the ARDB SharePoint Portal, the media containing collections of permanent electronic records must be carefully packaged and mailed according to classification regulations.

(2) Mail the prepared media to ARDB at the following address:

Commandant of the Marine Corps
ATTN: ARDB Records Manager (Room 2B253)
Headquarters, U.S. Marine Corps
3000 Marine Corps Pentagon
Washington, DC 20350-3000

2. The Paper Records Transfer Process. To transfer boxes of paper records to an FRC, a digital SF-135 and a box inventory must be submitted to ARDB for

approval using ARDB's SharePoint Portal. Prior to requesting access to the SharePoint Portal, all users must ensure that the email certifications associated with the Common Access Card (CAC) are up to date.

a. Access to the HQMC ARDB SharePoint Portal

(1) Obtaining an eHQMC Account. The Information Systems Management Branch (ARI), AR Div, provides common Information Technology (IT) infrastructure and services such as application hosting, access to authoritative data, security, and portal technology to the Marine Corps. The portal technology used by ARDB is Microsoft SharePoint. SharePoint is the framework in which records transactions are managed. All Marines with a CAC are able to obtain an eHQMC account, enabling access to the ARDB SharePoint Portal.

(2) To complete the online form for an eHQMC account, go to:
<https://ehqmcsupport.usmc.mil/SITES/MCWAR/DEFAULT.ASPX>.

(3) Once access to ARDB's SharePoint Portal has been granted, go to: <https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx> and click on the 'Records Management' link on the right side of the screen below the AR logo.

b. The SF-135 Process

(1) Once inside the Portal, users will see a series of tabs at the top of the Records Management Portal page. Click on the 'SF-135' tab to open the Records Management Library and download the desired SF-135 template located on the right hand side under 'Records Management Library'. Every SF-135 should contain information for a single collection of records; e.g., Family Advocacy Case Files. Do not mix series of records within a records box or on an SF-135.

(2) Complete the following blocks to transfer records:

(a) Block 1: Leave blank; ARDB will complete this and blocks 2, 3, and 4.

(b) Block 2: Leave blank.

(c) Block 3: Leave blank.

(d) Block 4: Leave blank.

(e) Block 5: Enter the full unit address and Point of Contact (POC). It is imperative that a POC be included in this block.

(f) Block 6: This block is broken into sub-blocks.

1. Block 6(a) - RG: RG is Records Group. Nearly all Marine Corps records are designated as RG 127 records. The exceptions are Master Flight Files, Naval Flight Records and mishap reports. These records are designated as RG 313 records. Enter '127' or '313', whichever is appropriate.

2. Block 6(b) - FY: FY is fiscal year. Enter the FY in which the records are being submitted.

3. Block 6(c) - Number: Leave blank.

4. Block 6(d) - Volume (cu. ft.): Enter the number of boxes of paper-based records to be transferred.

5. Block 6(e) - Agency box numbers: Enter the number of boxes to be transferred. For instance, if you are transferring four boxes, enter '1 of 4', '2 of 4', '3 of 4', and '4 of 4'.

6. Block 6(f) - Fill in your Base or Unit Information and the Series Description (with inclusive dates of records): Enter a description of the files. Do not include social security numbers or dates of birth. This is the records series from reference (f).

a. Enter the appropriate SSIC number and title on the first few lines of block 6(f). Double space and enter the appropriate series description of the records. This information is found in reference (g).

NOTE: Ensure the date span of the records is included in this block.

b. Also in block 6(f), submit a brief note of the contents corresponding with each box of records; i.e., for boxes containing files on individual Marines, enter the beginning last name and the ending last name of the files contained in the box. This listing should match the box inventory. For example:

Box 1 of 4: Anderson - Fulton
Box 2 of 4: Gerber - Northrup
Box 3 of 4: Oscar - Tatum
Box 4 of 4: Titus - Zimmerman

7. Block 6(g) - Restriction: If records are classified, enter the classification here. If no classification exists, leave blank.

8. Block 6(h) - Disposal Authority (schedule and item number): The authority will always be 'SECNAV M-5210.1'. Enter the SSIC paragraph number under which the records align. For example:

SECNAV M-5210.1
PAR. III, SSIC 6320.3a.

9. Block 6(i) - Disposal Date

a. Using record series SSIC 6320.3a as an example, if records were cut off in May 2012, round the cut-off date to the next year, making the actual cut-off date January 2013. The disposition for SSIC 6320.3a reads:

Cut off annually.
Transfer to WNRC when 4 years old.
Destroy when 25 years old.

b. Records cut off in January 2013 would be transferred to the FRC in 2017 (2013 + 4 yrs = 2017) and destroyed in 2038 (2013 + 25 yrs = 2038).

c. Following this example, enter 'Jan/2038' in block 6(i).

10. Blocks 6(j), (k), (l), and (m): Leave blank.

(3) Once the SF-135 is complete, upload it into the HQMC ARDB SharePoint Portal along with the box inventories (if the records are paper-based or textual).

(a) Upload the documents to:
<https://ehqmc.usmc.mil/sites/ard/recman/default.aspx> (choose email certificates). Select the "New" tab located under the 'SF 135 Submission Process', and select "New Item" from the drop-down box. Complete all applicable information (those with red asterisks are mandatory), attach the SF-135 and box inventories ('Attach Files' button is located in the upper right hand corner under 'SF135 Submission Process: New Item'), and select "OK" to ensure a correct upload.

(b) ARDB will receive an automated email notification that your form and box inventory have been uploaded.

NOTE: The SF-135 will not be accepted by ARDB without a box inventory.

(c) ARDB will download the form and the box inventory. Additional information is added and the form is forwarded to the appropriate FRC for approval.

(d) An FRC representative completes the final blocks on the SF-135 and approves the form. An FRC-approved SF-135 includes an accession number for each box. Accession numbers are codes that identify the exact location of the box within the FRC. The completed form is forwarded to ARDB.

(e) ARDB emails the completed, approved SF-135 to the command. Receipt of the completed, approved SF-135 gives the command full authority to prepare the record boxes for shipment to the FRC.

(f) Place a copy of the box inventory into each box (i.e., box 1 inventory into box 1, box 2 inventory into box 2, etc.), and a copy of the completed SF-135 in the last box of the shipment prior to shipping the records to the FRC.

c. How to Package Records for Shipment

(1) Prior to uploading the SF-135 into the ARDB SharePoint Portal, the paper-based or textual records must be placed in the correct containers and packaged properly.

(2) There is only one approved container for archiving paper records. The nomenclature is BOX, SHIPPING, FIBERBOARD, and SPECIAL PURPOSE (RECORDS RETIRING); the Federal Supply Service Stock Number is 8115-00-117-8249. These are the only approved containers the FRCs and NARA will accept. If records are sent to the FRCs in a container other than the approved container, the container will be returned to the sender.

(3) Containers must be at least three-quarters filled with records when shipped. Filler such as newspaper, bubble wrap, etc. will not be accepted. If this occurs, the box(es) will be sent back to you.

(4) Figure 4-1 is a view of an approved record container and instructions to complete using information from the FRC-approved SF-135.

Packing, Labeling and Shipping

PACKING

- 1) Remove documents from binders, notebooks, and place in folders.
- 2) Label each folder. Ensure labels are secure and accurate.
- 3) Create Box List to identify each folder by name.
- 4) File folders by year in the box according to the Box List.
- 5) Leave 2 inches of space in each box.

The Federal Supply Service stock number
for preferred standardized boxes is:
8115-00-117-8249



LABELING

- 1) Label the box with the FRC address, return address, Transfer Number (formerly known as 'Accession Number') and agency box number.
- 2) Close the box. Place the return address label at the top left corner. Use the address found in Block 1 of the NARA-FRC approved SF135 and place at the center of the box.
- 3) Write the NARA-FRC approved Transfer Number on the side of the box. Refer to block 6 of the NARA-approved SF135 for the Transfer Number as space allows. Example: 127-15-0001.
- 4) Number the boxes consecutively, indicating sequence; e.g., 1 of 5, 2 of 5, 3 of 5, etc.

SHIPPING

- 1) Tape the box seams and tape over labels. **(DO NOT WRAP BOXES)**
- 2) Use Registered Mail to ship boxes out-of-state. Obtain labels and PS Form 3811 from your mailroom.

NOTE: SHIP BOXES DIRECTLY TO THE FRC - ADDRESS AS LISTED IN BLOCK 1 OF NARA-APPROVED SF 135. DO NOT MAIL TO HQMC ARDB.

RECORDS MANAGEMENT HOME PAGE

<https://ehqmc.usmc.mil/sites/ard/recman/default.aspx>

DO NOT MAIL BOXES TO HQMC ARDB

Figure 4-1.--Packing, Labeling, and Shipping Records.

Chapter 5

Litigation Notices, Federal Records Holds, and Records Freezes

1. General. Periodically, litigation notices will be issued requiring Federal agencies to hold or freeze records. Litigation or legal actions involving Marine Corps records may prompt Counsel offices to issue litigation holds or moratoriums on the destruction of certain records because they may be responsive or helpful in ongoing or pending lawsuits.

a. A Records Hold requires that records which are previously approved as temporary are now "held" for legal reasons to prevent destruction. Or in some cases, records that are previously scheduled as temporary are converted to permanent if there is great demand for use/discovery by the public. Records Holds may last for years or decades. Records Holds are placed on records that are still within the physical custody of the Marine Corps.

b. Records Freezes affect records whose scheduled disposition has been temporarily suspended because of special circumstances that alter the administrative, legal, or fiscal value of the records. Records Freezes are placed on records that have been forwarded to a FRC.

2. Exceptions to Disposition Schedule Standards. Regardless of the disposition schedule standards established in reference (g) and until settlement of claims and demands by or against the Government of the United States have been settled and adjusted in the Government Accountability Office, records pertaining to the following will not be destroyed:

a. Unsettled claims for or against the Government.

b. Current or pending litigation.

c. Incomplete investigations.

d. Natural disasters such as Hurricanes Katrina and Sandy, the earthquake in Haiti, oil spills, etc.

NOTE: Records placed on a Records Hold or a Records Freeze - whether those records have permanent or temporary value - will not be destroyed. They are to be retained until further notice or until the final disposition authorization is provided.

3. Roles and Responsibilities

a. ARDB is responsible for implementing the preservation orders notifying all Marine Corps commands and headquarters staff agencies of Records Holds and Records Freezes. Assistance and guidance is available when required. ARDB will post notifications on its website at:
<https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx>.

b. CDRM responsibilities are to locate and protect all records referred to in the event of a Record Hold or Record Freeze notification. The CDRM will notify the appropriate personnel to ensure the retention of all records, including email. CDRMs will also communicate findings and inventory to ARDB, as required.

c. All Marine Corps Commands/Activities

(1) Reporting Requirement. Any Marine Corps command/activity that receives a Record Hold or Record Freeze notice and is in possession of potentially responsive or useful records will make their respective CDRM and ARDB aware of the records. If there is knowledge of potentially responsive or useful records stored in an FRC, notify ARDB so a freeze can be initiated on the records. This ensures the records are preserved regardless of their physical location.

(2) Care must be taken to ensure records within EIS are properly managed when litigation notices are issued.

Chapter 6

Armed Conflict Records

1. Background

a. The Marine Corps has a legal responsibility to preserve and protect records of operations, achievements, and historical events during overseas contingency operations. Collectively, these records are referred to as Armed Conflict Records which are defined as, 'Records related to the deliberate and crisis action planning and conduct of conventional war and war on terrorism, to include a commander's estimate of the situation and estimates of personnel, intelligence, and logistics as well as multi-national collaboration, after-action reports and lessons learned'.

b. ARDB, in coordination with the Operating Forces, Supporting Establishment, and the Records Management and Information Management communities, has developed a process to capture, organize, and transfer Armed Conflict Records in near real-time from theater to the continental United States using existing technology. The resulting SharePoint electronic records management tool streamlines the lifecycle management process for Armed Conflict Records. At the moment, the mandated use of the Marine Corps Tool for Information Lifecycle Management - Theater (MCTILM-T) is the primary difference between general records management and Armed Conflict Records management.

2. Roles and Responsibilities. The following roles and responsibilities are in addition to those outlined in Chapter 1 of this Order.

a. ARDB

(1) Provides training and support for the installation, activation, and use of MCTILM on deployed unit SharePoint Portals;

(2) Supervises the export and transfer of permanent records from deployed unit SharePoint Portals; and

(3) Prepares permanent records for pre-accession to NARA.

b. Commanders. Coordinate with ARDB to determine appropriate interval and method for export and transfer of Armed Conflict Records to the central repository.

c. IMOs

(1) Install and activate MCTILM and subsequent follow on updates on all unit SharePoint site collections.

(2) Manage permissions to allow appropriate personnel access to MCTILM features.

(3) Provide MCTILM usage metrics to leadership as required.

d. Personnel Administrators. Export permanent records from unit SharePoint Portals to ARDB using MCTILM.

e. Local Unit SharePoint Administrators. Add default value to 'Unit' field.

f. Record Creators/All Marines. Upload all records to document libraries and tag them with the appropriate Subject Identification Group (SIG).

3. Execution. This Chapter outlines the standardized process to manage Armed Conflict Records with the intent to adopt the practice to enterprise-wide ERM with minimum impact on the warfighter. ARDB identified a select number of Armed Conflict Records and researched the NARA-approved disposition of each record identified.

a. Training and Organizing. Marines will receive the required training to implement and use the ARDB SharePoint ERM tool during their Pre-Deployment Training Program (PTP) as outlined in this Chapter.

b. Implementation and Use of the Marine Corps Tool for Information Lifecycle Management (MCTILM). During PTP, as Marine Air-Ground Task Forces (MAGTF) prepare for contingency operations, they will coordinate activation of MCTILM on each SharePoint Portal to be used during deployment.

(1) IMO/Communication Sections will activate MCTILM on all SharePoint Portals used by the command.

(2) Record creators will label documents with information required for lifecycle management as outlined in this Order.

(3) Commands are responsible for day-to-day maintenance of records as outlined in Chapter 3 of this Order.

(4) Copies of records will be exported from SharePoint for transfer to the central repository by MCTILM. An index file will be created for each exported batch containing all information required for lifecycle management as outlined in this Order. Using the most expedient method of delivery, these batches of records will be transferred to ARDB's central repository at MCI-East. The preferred method of transfer is across the network, details to be coordinated with ARDB; however, if network connectivity cannot support this method of transfer, coordinate physical transfer of appropriate digital media with ARDB.

(5) ARDB will apply business rules in processing Armed Conflict Records to ensure quality control.

(6) ARDB will pre-accession select records to NARA.

NOTE: Development and refinement of this process is ongoing and will be included in Marine Corps Bulletins, Fragmentary Orders, and changes to this Order.

Chapter 7

Marine Corps Vital Records

1. General. Vital records are agency records that are needed to meet operational responsibility under national security emergencies or other emergency or disaster conditions (emergency operating records) and/or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). Vital records assist the organization to restore and/or sustain near normal operations during and after a natural disaster, emergency or attack. A Vital Records Program operates under policies, plans, and procedures to identify, use, and protect essential records to meet operational responsibilities under national security emergencies or other emergency or disaster conditions, or to protect the Government's rights or those of its citizens. This is a program element of an organization's emergency management function.

2. Types of Vital Records

(a) Emergency Operating Records. Emergency operating records are records required to perform essential Marine Corps functions during and immediately following a national emergency. These records are deemed necessary to support military contingency initiatives, mobilization and protection of material, manpower resources, services, and common electronic information systems. Also included in these records are plans, policies, financial documents, directives, organizational charts, mission and function statements and other documents which are used to enable the Marine Corps to maintain operations supported by the Marine Expeditionary Forces (MEF) and the Marine Forces (MARFOR).

(b) Legal Rights and Interest Records. These records preserve the legal rights and interests of individual Marines Corps personnel and the Marine Corps. They contain vital information related to proof of ownership, citizenship, contact information, financial interests, and legal proceedings, leave and earnings records, engineering drawings, fiscal records indicating the financial status of the Marine Corps to include significant debts of/owed to the Marine Corps and selected historical and research records. Rights and interest records may be stored in Federal Records Centers or designations depositories approved by organizational IMOs.

3. Examples of Vital Records. Vital records include but are not limited to the following:

a. Orders of succession and delegation of authority, list of personnel assigned emergency duties.

b. Titles, deeds, payroll, contracts and accounts receivable.

c. Public safety records and policy.

d. Command's Continuity of Operations (COOP) Plan.

e. Licenses and long-term permits list of credit card holders.

f. Systems documentation and schema.

4. Maintenance, Storage, and Transportation of Vital Records

a. Vital records may also be maintained in paper form or microfilm, but it is highly recommended that when possible vital records be maintained electronically on a SharePoint portal or shared drive. This practice allows for quick and easy access to information. When electronic maintenance is not available and courier transport is required to an alternate location, organizations will ensure that designated representatives are assigned as the Vital Records representatives and will physically accompany these records.

b. When vital records are classified, they will adhere to the security courier, storage and maintenance procedures outlined in reference (e) and will be made immediately accessible in the event of an emergency or disaster.

5. Roles and Responsibilities

a. HQMC Records Management. ARDB supports the vital records program led by the Plans, Policies & Operations Department (PP&O), HQMC. ARDB will provide Federal records management expertise to PP&O, the Information Systems Management Branch (ARI), and other stakeholders to collaborate on policy, plans, and procedures in managing vital records programs for the Marine Corps.

b. Heads of HQMC Staff Agencies/Commanding Generals/Commanding Officers. Heads of HQMC staff agencies, commanding generals, and commanding officers at the MARFOR, MEF, Division, Wing, and Group levels and their subordinate commands will ensure that vital records are managed in accordance with reference (e) and this Order. They will further ensure that:

- (1) Inventory of vital records is conducted on an annual basis.
- (2) Determine which records are required to ensure the continuity of operations during non-normal conditions such as disaster, emergency or crisis.
- (3) Develop a vital records plan to include current vital records inventory.
- (4) Implement vital records programs within areas of responsibility.
- (5) Take appropriate steps to ensure copies of vital records are properly managed throughout their entire lifecycle. This includes providing the most up-to-date information regarding records storage, accessibility and disposition, as required.
- (6) Manage and store original vital records in accordance with DoD and DON regulations, NARA-approved dispositions, and references (e), (m) and (n). Because vital records are generally copies of original records, the copies may be destroyed when they are superseded or no longer required. The vital record plans themselves are original and are considered "unscheduled" records. Per NARA regulations, all unscheduled records are treated and maintained as permanent records.
- (7) Establish a folder on the organization shared drive or SharePoint Portal labeled "Vital Records" and coordinate with IMOs to ensure the folder is updated on a recurring basis. Vital Records will be named in accordance

with file outline and SSIC guidance in reference (g) and Chapter 3 of this Order.

c. CDRMs. CDRMs will be responsible for the oversight of the vital records planning. Responsibilities are to:

(1) Develop internal procedures to lead, manage, collect, and/or develop annual vital records plan(s) within your organization/command.

(2) Ensure that appropriate and up-to-date records are available to conduct critical agency business and to protect records regardless of medium to which they are created, maintained and stored.

(3) Collaborate with your organization/command staff sections to ensure vital records are identified, inventoried, protected, stored, current, and easily accessible during time of crisis and emergency.

(4) Integrate vital records management requirements into the lifecycle of records management practices in accordance with references (e), (m), (n) and this Order to ensure the records are managed, protected, accessible, retrievable, stored, that appropriate dispositions are conducted, and that they meet Federal mandates.

(5) Coordinate with command IMO, safety officer, and military base representatives to ensure that individuals are assigned as command representatives and the process to access command information is identified.

Chapter 8

Records Management Education and Training

1. Introduction. ARDB ensures all Marine Corps records and information are properly created, preserved, accessible, retrievable, and stored/archived, and protect the legal and financial rights of the Federal Government and persons directly affected by Marine Corps activities. It is our goal that all Marines are aware of and exercise the proper management of Marine Corps records.

2. Entry Level Schools

a. Classes and computer-based training (CBT) are being developed for future implementation at the Personnel Administration (PA) School to facilitate entry-level electronic records management (ERM) training and the lifecycle management of records. ARDB is also exploring prospects to provide records management training in other entry level schools throughout the Marine Corps.

b. Training and Readiness (T&R) events are being constructed to be included in the Military Occupational Specialty (MOS) 01 T&R Manual. Once approved, curriculum development will commence. Approved curriculum will be incorporated in the PA School classrooms. MOS 01XX Marines will be instructed in their responsibilities associated with ensuring all Marine Corps records and information are properly created, preserved, accessible, retrievable, and stored/archived in accordance with this Order.

c. Students will complete CBT that provides practical application of lifecycle management and implementation, and the use of ERM tools.

3. Career and Intermediate Level Schools. Training is being designed for Marine Corps leadership regarding the importance of proper records management practices and, once approved, will be implemented into the Intermediate Administrative Specialist Course (IASC), the Advanced Administrative Specialist Course (AASC), and the Adjutant Course. Students will be instructed in the responsibilities to oversee the ERM process and lifecycle management.

4. Pre-Deployment Training (PTP). Deploying Marines are being instructed in their responsibilities associated with lifecycle management and implementation and use of ERM tools. The training event code for the PTP is "DB".

a. All record creators will receive CBT.

b. IMO/Communications Sections will receive technical implementation training.

c. Personnel administration sections will receive user training for exporting records.

5. Annual Records Management Training. This training is a requirement for ALL Marines in all organizations and commands - active duty and reserve Marines, civilians, and contractors. The training event code for this annual

training is "DA". As the Marine Corps transitions to ERM, the focus of training is shifting to that effort:

a. One-on-One and Group Training. The most effective way to train and educate is with direct communication. ARDB offers teleconference, one-on-one, and group training classes. Training classes can be requested via email to hqmcrec-mgr@usmc.mil.

b. Computer-Based Training (CBT). CBT in records management are available online. Each CBT is geared toward a specific audience within the Marine Corps - record creators, CDRMs, and deploying CDRMs. All courses are available at <https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx> and MarineNet at <https://www.marinenet.usmc.mil/marinenet/>.

6. Command Designated Records Manager (CDRM) Workshops and Newsletters. On a quarterly basis, ARDB hosts workshops for Marine Corps CDRMs. Topics such as vital records, Armed Conflict Records, day-to-day general records management, and current issues affecting records management are discussed. In between workshops, newsletters are distributed which offer the latest developments in Marine Corps records, news in Federal records management, and links to the latest guidance materials.

7. Additional Guidance and Resources

a. ARDB has several guides, templates, Frequently Asked Questions (FAQs) and processes to assist Marine Corps personnel in every record-related situation. Access this information using the following URLs:

ARDB Home: <https://ehqmc.usmc.mil/org/ar/ard/ardb/default.aspx>

Armed Conflict Records Management Pre-deployment Training:
<https://ehqmc.usmc.mil/org/ar/ard/ardb/Armed%20Conflict%20Records%20Management%20PreDeployment%20Tr/player.html>

CDRM Records Management Training:
<https://ehqmc.usmc.mil/org/ar/ard/ardb/CDRM%20Training/player.html>

b. Email. Contact ARDB at hqmcrec-mgr@usmc.mil for the most recent policy on email capture and collection requirements.

APPENDIX A

LIST OF ACRONYMS

Advanced Administrative Specialist Course.....	AASC
Command, Control, Communications, Computers.....	C4
Commandant of the Marine Corps.....	CMC
Command Designated Records Managers.....	CDRM
Computer Based Training.....	CBT
Continuity of Operations.....	COOP
Department of Defense.....	DoD
Department of the Navy.....	DON
Department of the Navy-Administration.....	DON/AA
Department of Defense Information Technology Portfolio Repository - Department of the Navy.....	DITPR-DON
Director, Marine Corps Staff.....	DMCS
Electronic Information System.....	EIS
Electronic Mail.....	email
Electronic Records Management.....	ERM
Emergency Action Messages.....	EAM
Federal Records Centers.....	FRC
Fiscal Year.....	FY
Functional Area Manager.....	FAM
General Records Schedule.....	GRS
Government Accountability Office.....	GAO
Headquarters Marine Corps.....	HQMC
Information Management Officer.....	IMO
Information Systems Management Branch.....	ARI
Intermediate Administrative Specialist Course.....	IASC
Inspector General of the Marine Corps.....	IGMC
Knowledge Management Officer.....	KMO
Marine Aircraft Wing.....	MAW
Marine Corps Enterprise Information Technology Services.....	MCEITS
Marine Corps Installations-East.....	MCI-EAST
Marine Corps Order.....	MCO
Marine Expeditionary Force.....	MEF
Marine Corps Tool for Information Lifecycle Management.....	MCTILM
Marine Corps Information Training Management System.....	MCTIMS
Marine Logistics Group.....	MLG
Memorandum of Agreement.....	MOA
Microsoft.....	MS
Management of Records in a DON IM/IT System.....	MREC
National Archives and Records Administration.....	NARA
Office of Management and Budget.....	OMB
Permanent.....	PERM
Personnel Administration.....	PA
Personally Identifiable Information.....	PII
Point of Contact.....	POC
Portable Document Format.....	PDF
Pre-deployment Training Program.....	PTP
Records Management.....	RM
Records, Reports, and Directives Management Section.....	ARDB
Secretary of the Navy.....	SECNAV
Secretary of the Navy Instruction.....	SECNAVINST
Senior Agency Official.....	SAO

Subject Identification Group.....SIG
Staff Noncommissioned Officer... ..SNCO
Standard Form.....SF
Standard Operating Procedures.....SOP
Standard Subject Identification Code.....SSIC
Systems of Records Notice.....SORN
Temporary.....TEMP
Training Event Code for Annual RM Training.....DA
Training Event Code for Pre-Deployment Training.....DB
Washington National Records Center.....WRNC