RECORDS MANAGEMENT
AND
VITAL RECORDS MANAGEMENT
OBJECTIVES

• Explain the purpose of Records Management (RM).
• Teach you how to properly create, maintain, and preserve all Marine Corps records.
• Help you understand your roles and responsibilities in records management.
• Explain the importance of Vital Record
Purpose of Records Management

• To provide and maintain intellectual control over files and records.

• Emphasize the legal responsibility to actively support DON/IG compliance.

• Manage the Lifecycle (creation, collection & scheduling, maintenance & use, and destruction or transfer) of federal records.

• Protect the legal, financial, and other interests of the Government and its citizens.
WHAT IS RECORDS MANAGEMENT

Records management is defined as:
The area of general administrative management concerned with achieving economy and efficiency in the creation, collection & scheduling, maintenance & use, and destruction or transfer of all Marine Corps records.
ELECTRONIC RECORDS MANAGEMENT

Information or data files created and stored in digital form through the use of computers and applications software. They are stored on various magnetic and optical storage devices and are products of computers and computer software.
IMPORTANCE OF RECORDS MANAGEMENT

- Fulfills your legal obligation.
- Documents Marine Corps history.
- Helps you do your job.
- Supports ready access to information.
- Benefits you and your family.
- Protects National Security.
- Documents organizational and individual contribution to the Marine Corps.
WHAT IS A RECORD?

- Per 44 U.S.C. 3301, records include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the information value of the data added to them.
WHAT IS NOT A RECORD?

• Stocks of publications and other reproduced documents maintained for supply purposes only.

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

• Duplicate copies, working papers, drafts, notes.

• **Be careful with working papers, drafts and notes
  – when in doubt, call ARDB**

• Correspondence and other records of transitory value; usually received for information and which do not require action.

• Reference materials used to prepare briefings for training.

Additional information can be found in SECNAV M-5210.1, Appendix C, Page C-4
TYPES OF RECORDS

• There are 2 values of records:
  – Permanent Records.
  – Temporary Records.

I am Permanent; you are Temporary just get errr done
PERMANENT RECORDS

• Records that have been appraised as having enduring value (historical, research, legal, scientific, cultural, or other values).

• Marine Corps’ permanent records are those records that will protect the Corps’ interests and that document its mission, functions, responsibilities, and significant experiences and accomplishments.

• Records are determined to be permanent by the Records Disposition Manual.

• Permanent records are required to be transferred to the custody of the National Archives.
TEMPORARY RECORDS

- Records that must be retained for a specific period of time or until the occurrence of an action or event.
- Records are determined to be temporary by the Records Disposition Manual.
- This type of record is stored until the designated time for destruction.
- These records may be destroyed according to instructions in SECNAV M-5210.1.
POLICIES & REGULATIONS

- OMB M-12-18 dtd 24 Aug 12, Managing Government Records
- POTUS Memorandum dtd 28 Nov 11, Managing Government Records
- 44 United States Code, Chapters 31 & 33
- OMB Circular A-130
- DOD 5015.2, DOD Records Management Program
- DOD 5015.02-STD, Design Criteria Standard for Electronic Records Management Software Application
- SECNAVINST 5210.8, Department of the Navy Records Management Program
- SECNAV M- 5210.1, Department of the Navy Records Management Manual
- SECNAV M-5210.2, Department of the Navy Standard Subject Identification Code MANUAL
- MCO 5210.11, Marine Corps Records Management Program
Records, Reports & Directives Management Section
Administration & Resource Management Division

THE LIFECYCLE OF A RECORD

Collection, Creation & Scheduling → Maintenance/Use → Transfer or Destruction

Permanent Records are transferred to NARA.
Temporary Records are destroyed according to NARA Dispositions.
CREATION OF RECORDS

- Records are documents that are created to adequately and properly record the organization, functions, policies, decisions, procedures, and essential transactions of an agency.
- Records are designed to furnish information necessary to protect the legal and financial rights of the Government and persons directly affected by the agency’s activities.
- Based on the definition of a record, records can be created in several different formats.
- When a record is created, assign appropriate Standard Subject Identification Code (SSIC) to the record.
Standard Subject Identification Codes (SSIC) are the single standardized system of numbers and or letter symbols for categorizing and subject classifying Navy and Marine Corps information.

<table>
<thead>
<tr>
<th>SSIC</th>
<th>TYPE OF RECORD</th>
</tr>
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<tbody>
<tr>
<td>1000 – 1999</td>
<td>Military Personnel</td>
</tr>
<tr>
<td>2000 – 2999</td>
<td>Telecommunications</td>
</tr>
<tr>
<td>3000 – 3999</td>
<td>Operations and Readiness</td>
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<tr>
<td>4000 – 4999</td>
<td>Logistics</td>
</tr>
<tr>
<td>5000 – 5999</td>
<td>General Administration and Management</td>
</tr>
<tr>
<td>6000 – 6999</td>
<td>Medicine and Dentistry</td>
</tr>
<tr>
<td>7000 – 7999</td>
<td>Financial Management</td>
</tr>
<tr>
<td>8000 – 8999</td>
<td>Ordnance Material</td>
</tr>
<tr>
<td>9000 – 9999</td>
<td>Not used by Marine Corps</td>
</tr>
<tr>
<td>10000 – 10999</td>
<td>General Material</td>
</tr>
<tr>
<td>11000 – 11999</td>
<td>Facilities and Activities Ashore</td>
</tr>
<tr>
<td>12000 – 12999</td>
<td>Civilian Personnel</td>
</tr>
<tr>
<td>13000 – 13999</td>
<td>Aeronautical and Astronautical Material</td>
</tr>
</tbody>
</table>
RECORDS MAINTENANCE

- Records maintenance consists of assigning knowledgeable personnel to monitor record keeping activities.
- Records maintenance entails organizing and maintaining records in an orderly fashion so as to provide for efficient filing and retrieving; and utilizing appropriate equipment and supplies to maintain records.
- Records maintenance is the safe location, storage, retrieval and handling of records that are kept by or for a Federal agency.
- The regulation that governs records maintenance is MCO 5210.11.
DISPOSITION OF RECORDS

• Disposition is the NARA-approved schedule for the destruction of temporary records, or the transfer of permanent records to the National Archives, including instruction on storage and retention.
• The dispositions of all Marine Corps and Navy records are published in SECNAVINST M-5210.1 based on SSIC.
• Once the disposition date arrives, the records are either transferred or destroyed.
• HQMC ARDB will transfer permanent and temporary records to the appropriate Federal Records Centers (FRC), and subsequently to the National Archives.
• Temporary records that do not require storage will be destroyed on their disposition date by the record(s) owner.
USMC Records Management is inspected by the Inspector General (IG):

- IG inspection teams use the Functional Area (FA) checklist provided by HQMC, ARDB.
- USMC Commands conduct self inspections to ensure records management compliance.
WHO IS A RECORDS MANAGER?

EVERYONE!!!!
Everyone is a basic records manager:

- Records management starts with you regardless of grade or military occupation.
- Marines and civilians are key to the success of effective records management.
- All Marines and civilians have a legal responsibility to maintain and preserve Marine Corps records, ... it’s the right thing to do.
- Records Management is more than preserving personnel files, it ensures that future leaders have access to information in order to make critical decisions based on the trends of our past.
PURPOSE OF VITAL RECORDS MANAGEMENT

A vital records program identifies and protects those records that specify how an agency will operate in and after an emergency or disaster. Vital records are those records necessary to the continued operations of the agency, and those records needed to protect the legal and financial rights of the government and citizens.

Each agency’s functional responsibilities and business needs are different. So an agency must decide which records are vital records and assign responsibility for them to the appropriate command staff member.
POLICIES & REGULATIONS

- 36 CFR 1236 - Management of Vital Records
- Federal Preparedness Circular 65
- Federal Emergency Management Agency
- Executive Order 12656
- Assignment of Emergency Preparedness Responsibilities
- Vital Records and Records Disaster Mitigation and Recovery (NARA Publication)
- NAVMC DIR 5200.11
- MCO 3030.1
VITAL RECORDS

Examples:

• Payroll, accounts receivable and contracts.
• Personnel Records and contact information.
• Orders of succession and delegations of authority.
• Titles, deeds, and building blueprint.
• Licenses and long-term permits.
• Systems documentation and schema.
• Continuity of Operations (COOP) Plan.
• List of credit card holders.
VITAL RECORDS MANAGEMENT

• Your *vital records* will be no more than 7% of your total records (3% to 5% is likely).
• Vital records can be either paper or electronic (off site).
• Vital records should be updated regularly.
• Vital Records Program must be incorporated into the overall Continuity of Operations Plan (COOP).
• Your *COOP* needs clear authority:
  – Policies,
  – Authorities,
  – Procedures,
  – Designation of a Vital Records Manager.
Questions:

- What type of information is needed during an emergency?
  - What are the critical functions of the agency that must continue during an emergency?
  - Which records are needed to support those functions?
- Which records protect legal and financial rights?
- What resources are needed to protect and recover records?
CONTACT INFORMATION

HQMC Records, Reports, and Directives Management
Points of Contact:

- Pentagon: Room 2B253
- Telephone: (703) 614-1081; DSN 224-1081
- E-Mail: HQMCREC-MGR@USMC.MIL
QUESTIONS?
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