



USMC Records Management

EVERYONE'S RESPONSIBILITY

VERSION 1.1 / 9 SEPTEMBER 2020



Introduction

- Records are created across every MOS and throughout every facet of the Marine Corps.
- Their management is **not** strictly an administrative function, created and managed only by the G-1 and S-1 sections. **EVERYONE** – regardless of rank or billet – handles records, and **EVERYONE** is obligated to manage and dispose of them according to federal mandates.
- The key to records management (RM) is **knowing what records you have, where they are, and how long they must be kept!**



Objectives

Upon the completion of this training you will be able to:

- Distinguish between records and non-records
- Understand current RM policy requirements
- Identify your responsibility in the creation, use, maintenance, disposition, and preservation of records
- Identify the tools/resources needed in order to apply best practices for the management of records and to ensure RM program compliance



What is a Record?

Records consist of 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. (44 U.S.C. Sec. 3301)



What is a Record?

Examples include:

- Organizational Charts
- Annual Reports
- Directives/Policy
- Application Design
- Photos
- Emails
- General Correspondence
- Audit/Inspection Reports
- Legal opinions/decisions
- Handbooks and Manuals
- Education and training logs



What is a Record?

Non-Records are:

- Documentary materials excluded from the legal definition of records
- Copies of documents received for information that do not require action
- Unofficial copies of documents kept for convenience or reference
- Materials needed for exhibition in libraries
- Articles, journals, working documents (i.e. rough drafts, notes, cards etc.)





What is a Record?

Non-Records are:

- Routing/transmittal sheets that add no information to the transmitted material
- Personal papers or notes which are not prepared for, used for, or communicated during government business
- 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 during Government business





What is Records Management?

RM is the management of information in organizations as records are created, maintained, used, retained, stored, inspected, destroyed or preserved.

RM enables the Marine Corps to be more efficient, accountable, responsive, and operationally effective.

CREATING



MAINTAINING



STORING



INSPECTING



DESTROYING



PRESERVING





Why Manage Records?

- To document and preserve the history and legacy of Marines and the Marine Corps
- To document an organization's mission-set, function, policy, decisions, procedures and essential transactions
- To protect the legal and financial rights of the government and persons directly affected by Marine Corps activities

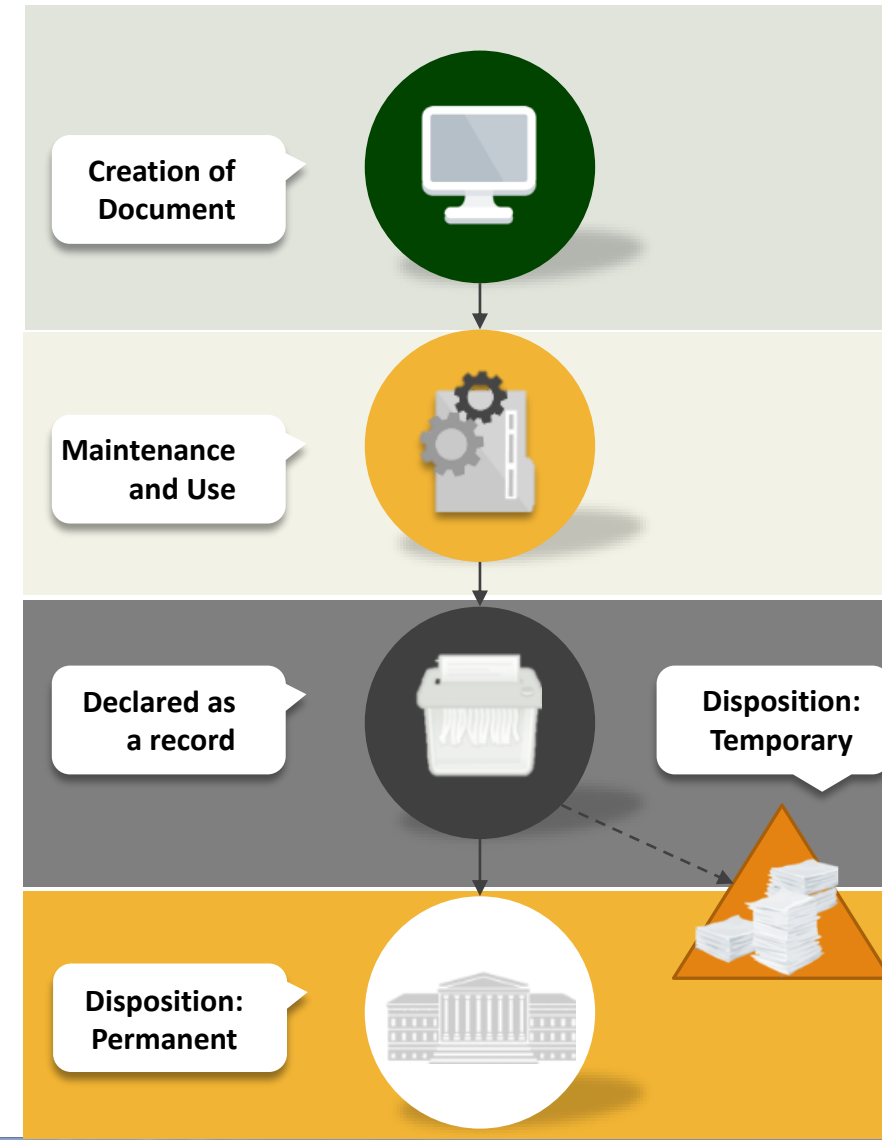




How are Records Managed?

Records are managed according to their **lifecycle**. Organizations create documents in their day to day functions. Documents are modified, updated, or moved across the organization(s) to allow for collaborative input.

Once a document is **finalized**, it is declared as an official record and retained according to its appropriate disposition schedule. In the final stages of a record's lifecycle, it is either destroyed or sent to the National Archives and Records Administration (NARA) for permanent retirement/preservation.





How are Records Managed?

- **Department of the Navy (DON) Record Schedules** contain a **description** of the record as well as its NARA approved **disposition** (i.e. what to do with that record upon the completion of its lifecycle).
(Ex. charts, manuals or other records depicting the internal organization, relationships, function etc., cut off at the end of calendar year. Transfer to NARA 25 years after cutoff).
- Records are **categorized** by **record series** (chapters), grouped together by subject or function, activity, media format, document the same action or other common relationship
(Ex. Intelligence Reports, Operating Plans, Awards etc.)
- Where a record **breaks** or ends its lifecycle is referred to as the **cut-off**; usually occurs at the close of a fiscal or calendar year or event (i.e. investigations) in order to allow the record to be destroyed or transferred to NARA for retirement/preservation.



How are Records Managed?

- **Disposition** is the NARA approved schedule for the **destruction** of temporary records or **transfer** of permanent records to NARA; it also dictates how long to store or retain records on site.

Sample DON Records Schedule

No.	Record Series Title	Description of Records	Cutoff	Disposition	Retention	Disposition Authority
5000-3	Organizational and Functional Charts	Organization and functional charts, manuals, or other records depicting the internal organization, relationships, functions, and status of activities and offices of the U.S. Navy, U.S. Marine Corps and Navy Secretariat	Calendar year	Permanent: Cut off at CY. Transfer to the National Archives 25 years after cutoff	X	DAA-NU-2015-0005-0002



SSICs and DON Record Schedules

- It is important to distinguish between a record's **content** (SSIC) and its **disposition** (record schedule).

SSIC = identification of record based on subject matter

VS.

Record Schedule = disposition date affiliated with record type

- *Ex. An appointment letter may be **created** in reference to training (SSIC 3300), however, it should be **filed** under Record Schedule 5000-1 (General Correspondence) because that is the “bucket” which handles/disposes of appointment letters.*
- *Ex. The Marine Corps Order regarding Awards uses SSIC 1650 to identify content, however it is filed under Record Schedule 5000-8 (Directives Case Files).*



SSICs and DON Record Schedules

- SSICs stand for Standard Subject Identification Code
- When a record is created, it is assigned the SSIC that most closely describes its subject, purpose or significance
- **Once an SSIC is assigned, use the Command Records Operational Support Site (CROSS: <https://eis.usmc.mil/sites/cross>) or the DON Record Schedule List found on the SECNAV portal to “crosswalk” that SSIC to its corresponding Record Schedule: <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>**
- All RMs are responsible for completing the “crosswalk” of SSICs to the DON Record Schedules and should incorporate record schedules into their respective file plans.



SSICs and DON Record Schedules

- The new DON Record Schedule dispositions **replace** the SSIC **dispositions** listed within SECNAV M-5210.1 and should now be adopted for everyday use
- This reduces approximately **6,000 SSICs** to **~712 Record (Disposition) Schedules**
- Retention periods are longer than those listed in SECNAV M-5210.1
- RMs now manage fewer record **dispositions**
- Since retention periods have been extended, it is important to identify the new dispositions schedules in order to prevent unauthorized destruction of records



Creating a Records Inventory

A records inventory is a list of each record series within an organization. It identifies the amount of records and any problem areas that would prohibit the migration of records from paper to an electronic format. A records inventory can be created by determining:

- **Who** has records?

Designate RM points of contact and create an organizational hierarchy to capture all offices, sections, subsections etc. with records

- **What** records are created?

Determine the type and value of the records created and/or maintained throughout the organization (i.e. temporary, permanent, historical, financial, administrative etc.)





Creating a Records Inventory

“To get to where you need to be, you need to know where you are at.”

Questions to Consider

Where

Where the records are located?

Determine volume, storage media (i.e. system of record, hard drive etc.), and equipment used (i.e. file cabinet, computer etc.)

Why

Why are the records located there?

Consider whether or not the record's location is in compliance with ERM policy requirements; if not, what action(s) will be taken to meet those standards?

How

How are the records managed?

Are the records properly identified? The disposition followed? Are the records protected, with proper access?

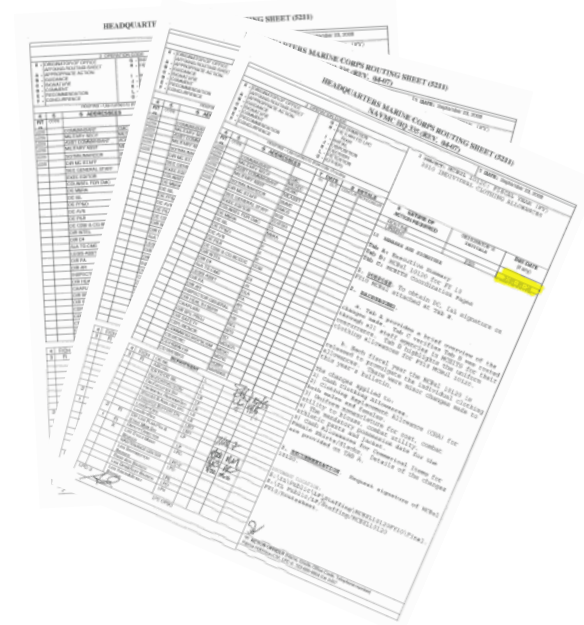


Types of Records

There are two types of records unique to all organizations:

TEMPORARY

- Retained for a specific time period
- Can be designated short-term (less than 3 years) or long-term (greater than 3 years)
- Destroyed according to disposition instructions contained within the DON Record Schedules
- Ex: General Correspondence or Civilian Personnel Records

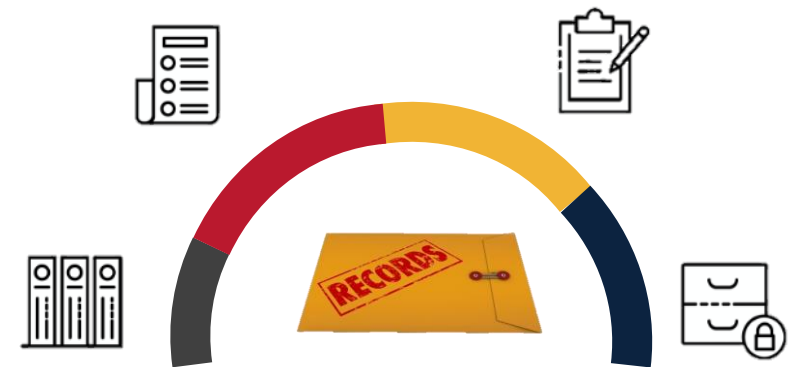




Types of Records

PERMAMENT

- Has enduring value (historical, research, legal, scientific, cultural etc.)
- Protects the interests of the Marine Corps
- Documents Marine Corps missions, functions, responsibilities, and significant experiences and accomplishments
- Transferred to NARA for long-term preservation/retirement
- Ex. Official Military Personnel File records, Operational Armed Conflict records or Organizational Policies





What is the Difference?

LEGAL HOLDS

- Records held for the purpose of litigation, audit or investigation
- Issued by General Counsel
- Placed on the records in an **organization's physical custody.**
- ARDB provides Command Designated RMs notice to suspend the normal disposition cycle of the records mentioned in the hold notice

FROZEN RECORDS

- Placed on records in the **physical custody of Federal Records Centers (FRC)**
- Disposition temporarily suspended due to special circumstances
- Requires request for suspension and NARA approval



File Plan

- The starting point for an organization's RM Program
- Identifies all records created across the organization utilizing record schedules
- Inspected internally (once a year) and **created electronically in CROSS:** <https://eis.usmc.mil/sites/cross>
- Contains the following: Record Schedule, Series Title, Record Description, Disposition and Disposition Authority.
- An electronic file plan created in CROSS includes the **format** (paper or electronic) and **location** (Sharedrive, SharePoint, file cabinet, desktop, System of Record etc.) of a record, as well as any **policy exclusions** that would prevent a paper record's migration to an electronic format.



What is Electronic Records Management?

- Electronic Records Management (ERM) is information or data files that are created and stored in a **digital format** through the use of computers and other applications software.
- Electronic records managed in a Department of the Navy (DON) approved records management applications (RMA) must include the appropriate disposition and metadata.
- DON Tasking, Records, and Consolidated Knowledge Enterprise Repository (DON TRACKER) is an example of an approved RMA.





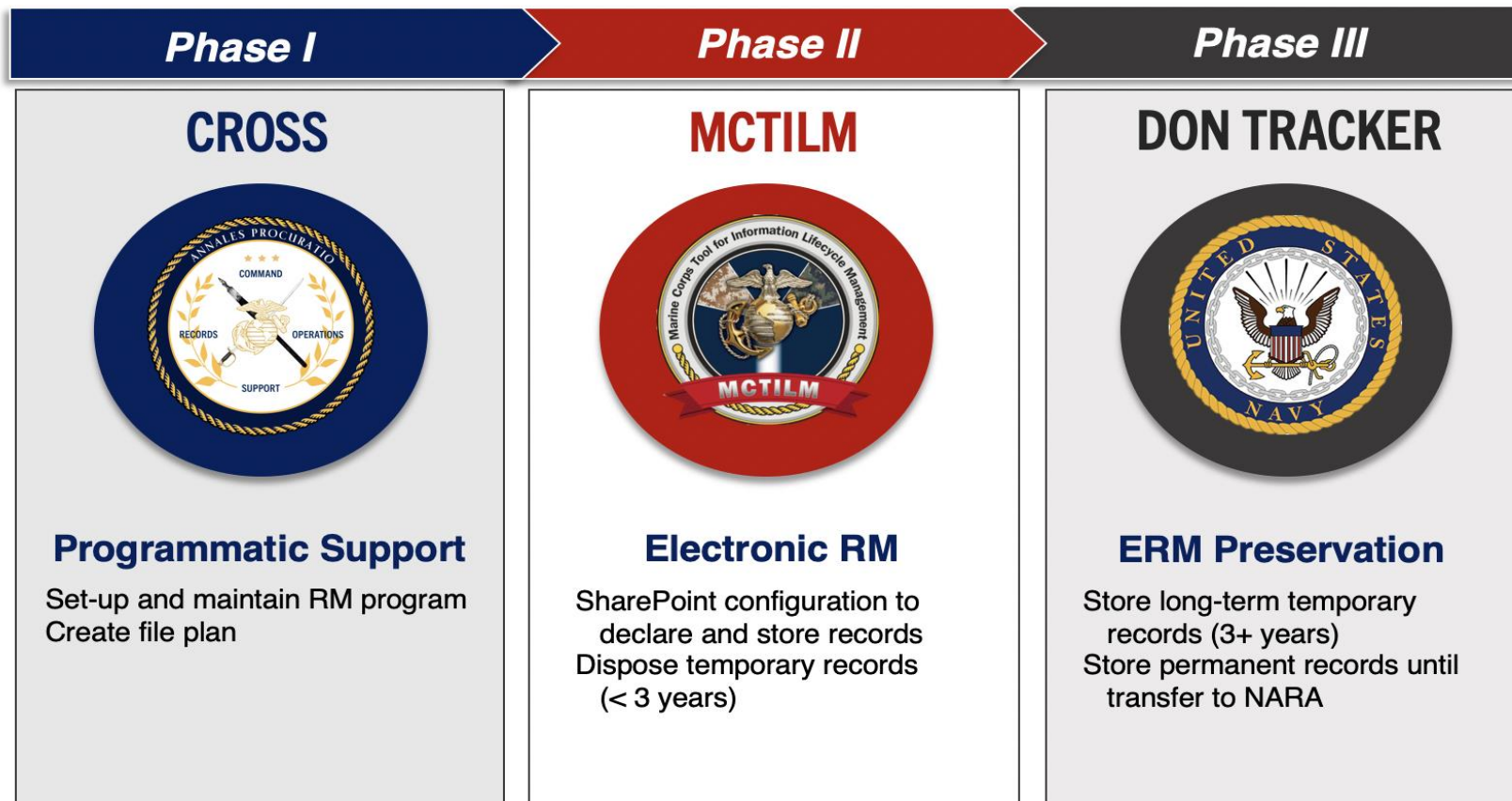
Electronic Records Management

- Per OMB M-19-21, DOD 5015.02-STD, and NARA, all federal agencies will manage both permanent and temporary records throughout their lifecycle in accessible electronic formats by **December 31, 2022**.
- To meet policy requirements, ARDB has outlined a “**Three Phased Approach**” to move the Marine Corps to ERM compliance.
- ERM tools/resources are available to support RMs in meeting NARA, DON, and USMC policy requirements



Electronic Records Management

CDRM Program Support Systems





Electronic Records Management

CROSS

A SharePoint tool designed to help CDRMs standup and maintain their RM Program per MCO 5210.11F requirements. CROSS is command focused, a “one stop shop” designed to replace traditional turnover binders and automate 5210 IG Functional Area Checklist. It also serves as a means of identifying all USMC records, giving both ARDB and IGMC purview over command progress to ERM.

MCTILM

A customized SharePoint solution, designed to automate NARA approved disposition schedules by assigning critical metadata to records captured within SharePoint. Holds 100% of records (both Temporary and Permanent) and automatically disposes of records according to their appropriate lifecycle.

DON TRACKER

The official RM repository for DON and USMC. A licensed based system that will house long term temporary (greater than 3 years) and permanent records until transfer to NARA. Only requires SharePoint Site Collection Administrator (SCA) or CDRM access.



RM Best Practices

Establishing best practices helps mitigate risks and ensures records are managed consistently.

- Obtain the support of leadership within your organization and develop standard operating procedures
- Conduct a records inventory to **identify all records** created across the organization
- Ensure records are classified by content, record **type**, record series, and all metadata associated with the record
- Crosswalk SSICs to the DON Record Schedules in order to **apply the correct disposition** to records
- **Create a file plan** to document location and format of records created in your area of responsibility
- Use electronic tools and resources (i.e. CROSS/MCTILM/DON TRACKER) to **automate RM processes** and lifecycle records management
- Train personnel on RM processes and procedures



RM Policy and References

DON/USMC References	
SECNAVINST 5210.8F	DON Record Management Program
SECNAV M-5210.2	DON Standard Subject Identification Code (SSIC Manual)
SECNAV M-5210.1 CH 1	DON Records Management Program Records Management Manual
MCO 5210.11F	Marine Corps Order for Records Management

For a complete list of current RM Policies, refer to the Records Management Policy Matrix in CROSS at: <https://eis.usmc.mil/sites/CROSS>



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Command Records Operational Support Site

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