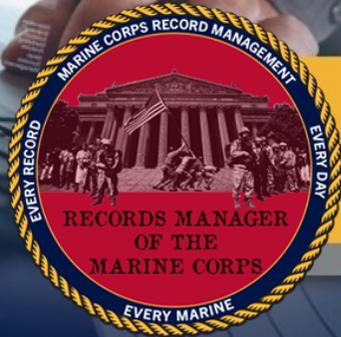




USMC Records Management



EVERYONE'S RESPONSIBILITY





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 you have them, and how long they must be kept!**

EVERYONE





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 overall 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 include:

- 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 Non-Record?

Non-Records include:

- 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.

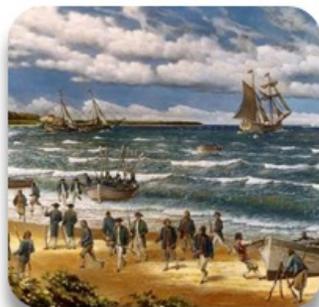
RM enables the Marine Corps to be more efficient, accountable, responsive, and operationally effective from flagpole to fighting hole.





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

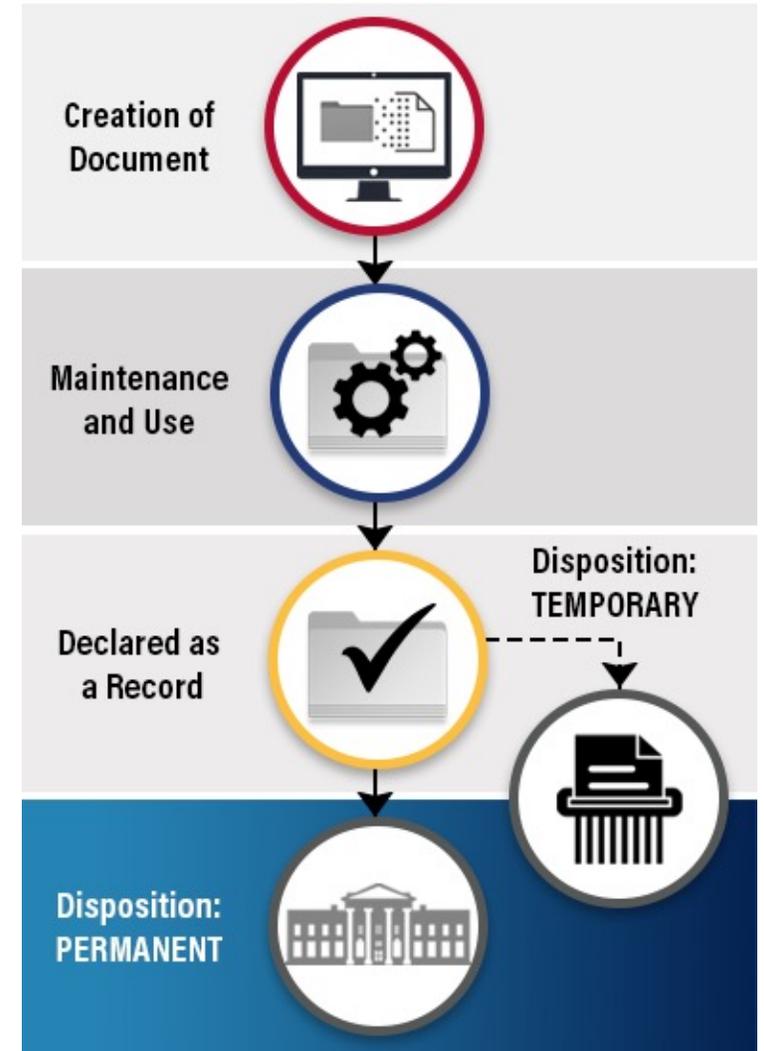




How are Records Managed?

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 some other action or common function, activity, media format, that documents the 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-InformationManagement/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 be adopted for everyday use. *Note: SSICs are still used for purposes of Naval Letter Correspondence.*
- This reduces approx. 6,000 SSIC **dispositions** to approx. 720 Record 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 the unauthorized destruction of records.





Creating a Records Inventory

A records inventory is a review of every record type created within an organization. It identifies the location of records, their current format, and any policy or logistical limitations that would prohibit the migration of paper records into an electronic format. From the records inventory, comprehensive file plan can be created by determining:

- **Who** creates records?

Identify the offices, sections, directorates, etc. who create and/or maintain records. Designate RM points of contact (i.e., Staff Section RMs) to manage those records and inform their section file plan.

- **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

Questions to Consider

WHERE

Where are the records located?

Consider volume of records, storage location, media format, (i.e., system of record, hard drive, etc.,) and equipment used (i.e., file cabinet, computer desktop, etc.,)

WHY

Why are the records located there?

Consider whether or not a 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 and labeled?
Have the correct dispositions been applied?
Are records protected with proper access?

“To get to where you need to be, you need to know where you’re starting from.”





Creating a File Plan

- Once an organization has inventoried and assessed their RM posture, they should work cohesively to develop an organizational file plan.
- File plans are **created electronically in CROSS**: <https://eis.usmc.mil/sites/cross>.
- They contain (at minimum) the following information: Record Schedule, Series Title, Record Description, Disposition, and Disposition Authority.
- An electronic file plan in CROSS also 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 or logistical limitations** that would prevent a paper record's migration to an electronic format (i.e., broken scanners, limited manpower, deployment etc.,).



Note: Policy exclusions or logistical limitations must be communicated to ARDB via the CROSS file plan prior to an IG inspection!



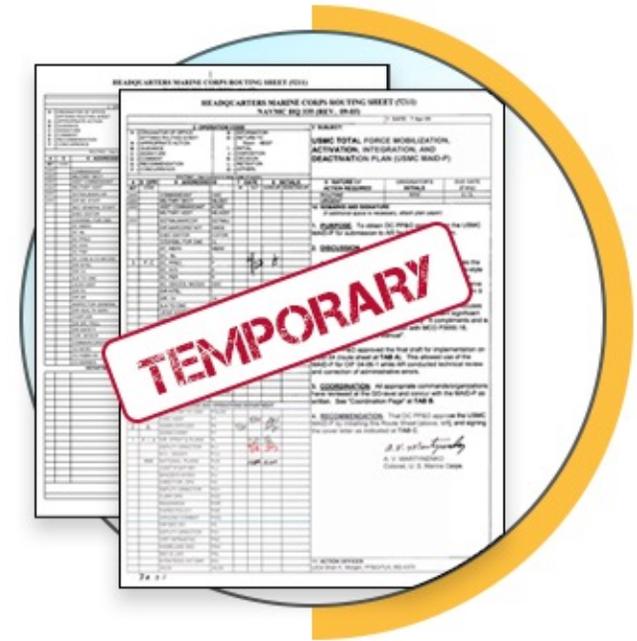
Types of Records



There are two types of records unique to all organizations:

Temporary

- Retained for a specific time period
- Can be designated as either short-term or long-term
- Destroyed according to disposition instructions contained within the DON Record Schedules
- *Ex: General Correspondence or Civilian Personnel Records*



Types of Records

Permanent

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





What is the Difference?

Legal Hold

- Records held for purposes of litigation, audit, or investigation
- Issued by General Counsel
- Temporarily suspends the disposition of records located in an **organization's** physical custody
- ARDB will provide notice to the organization to suspend the disposition the records mentioned in the legal hold

Frozen Hold

- Suspends the disposition of records placed in the custody of **Federal Records Centers (FRC)**
- Disposition is temporarily suspended due to special circumstances
- Requires formal request for suspension and NARA approval





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 software applications.
- Electronic records managed in a Department of the Navy (DON) approved records management applications (RMA) must include appropriate dispositions and metadata.
- *Ex. Sharepoint or Microsoft Teams do not qualify as RMAs because they do not have the native capability to manage records throughout their lifecycle.*





Electronic Records Management

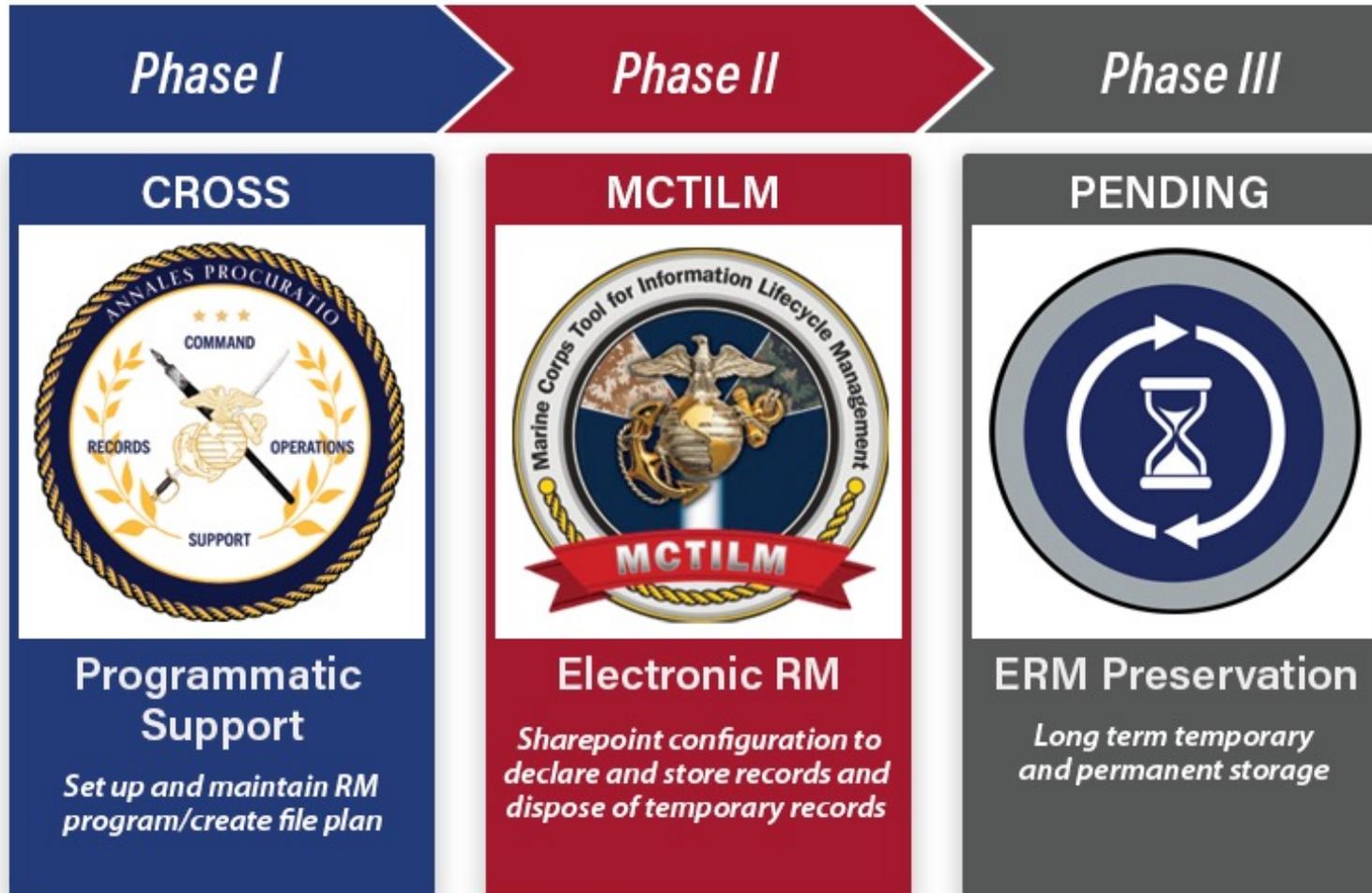
- Per OMB M-19-21, DOD 5015.02-STD, and NARA, all federal agencies must manage both permanent and temporary records throughout their lifecycle in accessible electronic formats by **December 31, 2022**.
- NARA will also **no longer accept paper records** for accession/retirement after December 31, 2022.
- To meet policy requirements, ARDB has outlined a **“Three Phased Approach”** to move the USMC toward ERM compliance.
- A variety of tools and resources are available to support RMs as they transition toward electronic records management processes.





Electronic Records Management

CDRM Program Support Systems





Electronic Records Management

CROSS

A customized SharePoint tool designed to help CDRMs stand up and maintain their RM Program per MCO 5210.11F requirements. CROSS is command-specific, "one stop shop" designed to **replace traditional turnover binders** and automate the 5210 IG Functional Area Checklist. It also serves as a means of identifying all USMC records, giving both ARDB and IGMC purview over commands' 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.

Pending...

The long-term ERM solution is currently pending decision at HQMC. Of note, the previous system solution, DON TRACKER, is expected to be sunset over the next 18 months. Additional information will be forthcoming via MARADMIN.

Commands must complete each ERM Phase in sequential order!





RM Best Practices

Establishing best practices helps to mitigate risk and ensures records are managed correctly and consistently. To ensure compliance:

- Obtain the support of your organization's leadership and begin developing standard operating procedures.
- Conduct a records inventory to **identify** all records and **assess** your current ERM posture.
- Crosswalk SSICs to their corresponding Record Schedules in order to **apply the correct disposition** to records.
- **Create a file plan** to document the location and format of records created within your area of responsibility.
- Use electronic tools and resources (i.e., CROSS/MCTILM) to **automate RM processes** and lifecycle management.
- **Train** all personnel on RM processes and procedures.





RM Policy and References

References	Title
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 all current RM Policies or to participate in more in-depth training, refer to the **Policy Matrix** and **E-training tabs** in CROSS at: <https://eis.usmc.mil/sites/CROSS>



Note: All users must have an active MCEITS account in order to access CROSS. Refer to the MCEITS Registration Guide located on the ARDB website:





RM Support Staff

Contacts

HQMC Records, Reports, Directives, & Forms Mgmt Section (ARDB)

HQMCRE-MGR@usmc.mil

Contract Support to ARDB (Hartwood Consulting Group)

smb_hqmc_rmoutreach@usmc.mil



Important Links

[SECNAV PORTAL](#)

[Command Records Operational Support Site \(CROSS\)](#)

[Records, Reports, Directives, & Forms Management Section \(ARDB\)](#)

