



UNITED STATES MARINE CORPS
11TH MARINES
1ST MARINE DIVISION (REIN), FMF
BOX 555503
CAMP PENDLETON, CA 92055-5503

5200

SEP 26 2022

REGIMENTAL POLICY LETTER 04-22

From: Commanding Officer

To: Distribution List

Subj: ESSENTIAL RECORDS PROGRAM

Ref: (a) 36 C.F.R. Part 1236
(b) DoD Directive 3020.26, "Department of Defense Continuity Programs," January 9, 2009
(c) MCO 3030.1A
(d) MCO 5210.11F
(e) 5 U.S.C. 552a
(f) SECNAVINST 5211.5F
(g) SECNAV M-5210.1
(h) SECNAV M-5210.2

Encl: (1) Essential Records List

1. Situation. Essential records are records the Command requires to function during a national security emergency or natural disaster. This policy provides the Regimental staff guidance regarding the identification of essential records that support unit operations, legal matters, and financial obligations.

2. Mission. The 11th Marines Staff establishes and executes an Essential Records Program in accordance with the references.

3. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. All Regimental staff sections will identify, review, and maintain an inventory of records that are vital to the Unit's operations. Staff sections will provide lists of essential records to the Command's Designated Records Manager for consolidation.

(2) Concept of Operations. The Essential Records Program oversees documents necessary to meet operational responsibilities during emergencies.

(a) Program Objectives

1. Create and maintain current records at Department of Navy (DON) and/or United States Marine Corps (USMC) relocation sites adequate to support mission essential functions during national security emergencies or natural disasters in accordance with references (a) through (h).

2. Safeguard records essential to the reconstitution of 11th Marines organizations and the re-establishment of operations once the situation has stabilized.

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3. Preserve 11th Marines legal matters and financial rights documentation.
4. Standardize essential records selection, labeling, and storage procedures.
5. Ensure all equipment needed to read essential records, or make copies of essential records, will be available in case of an emergency or disaster.

(b) Essential Records Plan. All staff sections in 11th Marines shall develop an essential records plan that supports the Regiment's continuity of operations. The first part of this plan is to establish a description of records that are required for the continued operations of the Regimental Staff in the event of a national security emergency or natural disaster. The plan also includes specific measures for storing and periodically updating copies of those records. The Essential Records Plan will also address recovery of records, regardless of medium, should they be damaged in an emergency or disaster.

(c) Essential Record Categories. NOTE: These lists are not inclusive.

1. Emergency-Operating Records. These records are what the Regimental Staff will require to continue functioning or to reconstitute after an emergency. Examples include:

a. Mission statements to units during emergencies, and plans/programs for carrying out those missions.

b. Delegations of authority.

c. Orders of succession.

d. Organization and manning documents.

e. Pre-drafted directives or announcements issued immediately at the start of an emergency.

f. Emergency action plans to include draft copies and signed copies.

g. Essential records inventories.

h. Information about personnel, property, and activities sufficient to provide basis for damage and assessments.

i. System documentation for any electronic information systems designated as emergency operating records.

j. Basic regulations and procedures.

k. Lists of personnel assigned emergency duties.

l. Industrial records such as engineering drawings; explanation of complex industrial processes; list of suppliers for items and materials not readily available; and similar items.

2. Legal and Financial Rights Records. These records are those the Regimental Staff requires to protect the legal and financial rights of the Government and of the individuals assigned to Headquarters Battery. Examples of this include:

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- a. Accounts receivable records.
- b. Titles, deeds, and contracts.
- c. Licenses and long-term permits.
- d. Social security records.
- e. Payroll records.
- f. Retirement records.
- g. Insurance records.
- h. Military service and medical records.

(d) Training

1. Records management is the responsibility of all service members and shall receive appropriate training. The Regimental Administration Section will provide periodic briefings to senior managers, especially those new to the Command, about the Essential Records Program and its relationship to their records.

2. Appropriate personnel, such as record managers or administrative personnel, will ensure that all personnel within the Command receive training for their assigned duties. Such training generally focuses on the identification, inventorying, protection, storage, and updating of copies of the Command's essential records. Whenever possible, essential records management training will be integrated with existing training initiatives, particularly in such areas as records management and COOP rehearsals.

(e) Program Review and Testing. The Staff Record Managers, the Security Manager, and the Command Designated Records Manager will review documentation to determine if they are essential. This will also account for the survivability and accessibility to personnel. Testing the program under simulated emergencies or disasters will provide valuable information for improving the program (i.e., war games or rehearsal of concept drills). This document review will occur annually, at a minimum.

b. Tasks

(1) Command Designated Records Manager (CDRM)

(a) Provide guidance and assistance to inventory records and determine appropriate maintenance and disposition lifecycles for copies of essential records.

(b) Ensure the Command safely stores essential records and that all records disposition complies with reference (h).

(c) Update and review enclosure (1) annually.

(d) Review documentation created for contingency planning and the risk assessment phase of emergency preparedness (COOP documents). Such documentation will produce essential records material requiring proper safeguards.

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(e) Review current file plans of offices that are responsible for performing mission essential functions.

(f) Review the Command's records manual or records schedule to determine which standard subject identification codes potentially qualify as essential.

(g) Identify which record series or electronic information systems (EIS) contain information needed to protect the legal and financial rights of the DON, USMC, and persons in the Command. Only designate those record series or EIS most critical to emergency operations or the preservation of legal or financial rights.

(h) Protect and store essential records.

1. After completing the essential records inventory, identify protection methods and storage sites for essential records.

2. Identify appropriate equipment, with the support from staff section leadership, to ensure the continued preservation of essential records copies until they complete their lifecycle. Additionally, ensure the Command has access to proper environmental conditions for storing copies of essential records, particularly those records on fragile media such as microfilm, magnetic tape, or disks, until a transfer to a more robust form of media is complete. Update the copies of essential records as needed.

3. Review any continuity of operations plans to determine if the Command needs to store records copies offsite. Ensure that the offsite storage site will not be subject to the same emergency or disaster. Store the current duplicative records necessary to support DON and USMC mission essential functions in the event of a national security emergency or natural disaster at DON and USMC relocation sites.

(2) Command Security Manager

(a) Review and identify which classified records are essential to unit operations.

(b) Ensure the staff labels classified essential records appropriately.

(c) Approve appropriate spaces or equipment for the storage of classified essential records.

(3) Staff Section Leadership

(a) Provide, at a minimum, one representative to serve as the Section Records Manager. This individual will serve as the Section's point of contact for supporting the Command Designated Records Manager.

(b) Supervise the Section Records Manager.

(4) Section Record Managers

(a) Identify, inventory, protect, store, make accessible, and update copies of essential records required in an emergency, including records that document legal and financial rights.

(b) Determine which records in the Command are essential by identifying which documents are emergency-operating records and those that protect legal and financial rights.

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(c) In coordination with the CDRM, manage copies of essential records throughout their lifecycle as they are updated, stored, and distributed.

4. Administration and Logistics

a. Continuity of Operations Plan information and templates are available at:
<http://www.hqmc.marines.mil/ppo/Units/Operations-Division-PO/Current-Operations-Branch-POC/Continuity-of-OperationsCOOP>

b. The generation, collection, or distribution of personally identifiable information (PII) and management of privacy sensitive information shall be in accordance with the Executive Order 13556 regarding Controlled Unclassified Information. Any unauthorized review, use, disclosure, or distribution is prohibited.

c. Sections that create records as a result of this Policy shall manage them according to National Archives and Records Administration approved dispositions per reference (g) to ensure their proper maintenance, use, accessibility, and preservation, regardless of format or medium.

5. Command and Signal

a. Command. This Policy is applicable to all Regimental staff sections.

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


P. F. ELDRIDGE

Distribution: A

Essential Records List

| ESSENTIAL RECORDS | | | | | | |
|---|---|--|---|------------------------------------|-------------------------------|--------------------------------------|
| Business Unit Essential Function: Headquarters Battery, 11th Marines Record Keeping | | | | | | |
| Business Process: | | | | | | |
| Category (Emergency Operating Record (EOR) / Rights and Interests (R&I)) | Type (Manual, Publication, Document, Database) | Title / Description | Office of Primary Responsibility (OPR) | Security Classification | e-Storage Location | Alternate Storage Methods |
| R&I | Document | Financial Files / Documents supporting unit spending or Finances Owed | Supply | UNCL | Microsoft TEAMS | Supply Filing Cabinet |
| R&I | Document | Directives / Orders, Policies, SOPs supporting unit operations | Admin | UNCL | Microsoft TEAMS | Safe in Duty Hut |
| EOR | Document | Comm COOP/ Continuity of Operations for Comm assets in the event of a disaster | Communication | UNCL | Microsoft TEAMS | Safe in Duty Hut |
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