



UNITED STATES MARINE CORPS
11TH MARINES
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SEP 29 2020

REGIMENTAL POLICY LETTER 10-20

From: Commanding Officer
To: Distribution List

Subj: RECORDS AND DIRECTIVES MANAGEMENT

Ref: (a) SECNAV M-5210.1
(b) SECNAV M-5210.2
(c) SECNAVINST 5211.5E
(d) MCO 5212.11F
(e) MCO 5212.1K
(f) MCBUL 5210
(g) 5 USC 552a
(h) SECNAVINST 5211.5E

Encl: (1) Regimental File Plan (Paper, Electronic, and Directives)

1. Situation. Per the references, 11th Marines is required to establish a uniform process for managing electronic and hard copy records as well as address the maintenance of directives.
2. Mission. To establish a Records Management Program and a Directives Program, ensuring a uniform system to properly manage and dispose of records across the regiment.
3. Execution
 - a. Commander's Intent and Concept of Operations
 - (1) Commander's Intent. To create a regimental Records Management Program and a Directives Program that are in compliance with Marine Corps orders.
 - (2) Concept of Operations
 - (a) Delegation of Authority
 1. It is recommended that the regimental adjutant be the Command Designated Records Manager (CDRM) for the Records Management Program and the Directives Control Point (DCP) for the Directives Management Program. Subordinate Designated Records Managers (SDRM) can be assigned to the appropriate staff sections, and alternate managers can be assigned to the Directives Management program. The CDRM/DCP should ensure the programs adhere to Marine Corps standards.
 - (b) Command Designated Records Manager (CDRM)
 1. Assist commander with oversight of the Command Records Management Program and serve as liaison with Headquarters Marine Corps (HQMC), Administrative and Resources Division (AR), Records, Reports, Directives, and Forms Management Branch (ARDB) to determine best practices.

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2. Submit appointment letter to HQMC (ARDB) via the Records Management Knowledge Site (RMKS) at: <https://eis.usmc.mil/sites/rmks/SitePages/homepage.aspx?>.

3. Represent and conduct day to day administration of the Records Management Program.

4. Appoint in writing an Alternate CDRM (ACDRM) within every section. Equip and empower fellow staffers to establish proper records management practices.

5. Assist subordinate CDRMs to transfer records to the appropriate Federal Records Center (FRC), HQMC (ARDB), and/or NARA direct, per appropriate records dispositions. Serve as command and subordinate activity liaison for transfer of records.

6. Preserve records that protect the legal and financial rights of the Government and the USMC

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

8. Conduct interval self-inspections to improve local programs and practices.

9. Monitor conversion of paper records to electronic records using the guidelines outlined.

10. Provide assistance to develop implement a Vital Records Program; assist battalions.

11. Ensure annual and pre-deployment records training requirements are met.

12. 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.

(c) Alternate Command Designated Records Manager (ACDRM). This is an assigned billet within respective staff sections. They must have an appointment letter and are to assist CDRMs with the oversight of the Command Records Management Program. This includes adherence to the filing plans, archival timelines, and proper transfer and/or destruction of records.

(d) Directives Control Point

1. Assist commander with oversight of the Command Records Management Program.

2. Obtain an appointment letter to manage and administer the command's directives program.

3. Timelines. Adhere to maintaining timelines. Directives must be reviewed on an annual basis using the NAVMC 10974 form, "Directives Review." This ensures directives are necessary, current, and consistent with Marine Corps policy and ensures laws and statutory authority are being followed. Directives that reach their 6-year anniversary must be reissued; a full revision of the order in its entirety is required. The command must not use bulletins that are over 12 months old.

4. Command issued directives must be published in the correct format using the command's letterhead and correct paragraph elements ("SMEAC").

5. Provide an inventory checklist to identify and provide easy access to the command's current and canceled directives. It is recommended that an editable document is maintained on Sharepoint for all users to access and enter appropriate data as they route new directives for signature and implementation.

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(e) Record System

1. Hard Copy Records. Hard copy records will be maintained in a secure filing cabinet away from the general public. These cabinets must be labeled with a privacy act statement, as well as a unit file plan. Hard copy records should only be used for records determined to be vital records.

2. Electronic Records. Electronic records will be maintained at the direction of the CDRM. A recommend tool is the Marine Corps Tool for Information Lifecycle Management (MCTILM) for sharepoint. However, sharedrives with proper metadata descriptions are an acceptable alternative. All records, including vital records, will be maintained electronically.

3. Vital Records. Any record deemed critical for the reorganization or reconstruction of the unit in times of emergency. Vital record types include: Legal, Financial, Inspections, and Directives. See separate unit policy record on vital records for further information.

(f) Disposition of Records. For all records that have reached the appropriate disposition date, ACDRMs will submit a request to the CDRM with appropriate information. Upon review, the CDRM will sign and issue a copy for the requesting section to maintain until disposition has been reached.

(g) Training. Training will be completed on an annual basis, via MarineNet or powerpoint.

b. Subordinate Element Missions. 11th Marines will have battalion CDRMs. They are to maintain a listing of all record managers for their battalion and supply a copy to the higher headquarters CDRM. Their role is to maintain proper records management across the battalion.

4. Administration and Logistics

a. Recommendations concerning the content of this order may be forwarded to the Organization Command Designated Records Manger.

b. Any misuse or unauthorized disclosure of Personally Identifiable Information (PII) may result in both civil and criminal penalties. Privacy of an individual is a personal and fundamental right. The need for collection, use, maintenance, or dissemination will balance this and be done per the references.

5. Command and Signal

a. Command. This order is applicable to 11th Marines.

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


M. M. SHARBER JR.
Acting

Distribution:

Commanding Officer, Headquarters Battery, 11th Marines
Commanding Officer, 1st Battalion, 11th Marines
Commanding Officer, 2d Battalion, 11th Marines
Commanding Officer, 3d Battalion, 11th Marines
Commanding Officer, 5th Battalion, 11th Marines

Regimental File Plan

Definitions:

OPEN: date a file is opened; use YYYYMMDD format.

CLOSE: files are closed based on the last day of it being a FY or CY document (30 Sep or 31 Dec).

FY: begins October 1st, concludes September 30th. (I.e. 1 October 2018 to 30 September 2019)

CY: begins January 1st, concludes December 31st. (I.e. 1 January 2018 to 31 December 2019)

DISPOSAL: disposal occurs after the file closed date, with the full retention period being reached.

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.

PERM: permanent; will need to be transferred to appropriate storage agency.

TEMP: temporary; unit may destroy after appropriate timeline.

The SECNAV M-5210.1 is the authority on if a file is permanent or temporary. Permanent and temporary files must be kept in separate folders and segregated spaces to prevent improper disposal.

¾" File: This is for paper files. On the same day, if so much of the same-category correspondence filled a file folder beyond ¾", you would start a new 'open' folder for that day. (You 'close' the first folder of that same-category on the day you have to 'open' a second folder).

SF-135: This is a "Records Transmittal and Receipt" form. It goes to HQMC Publishing & Logistics Management Branch (ARDB) for approval of transfer to the correct records center, when a record is near, at, or past the time of transfer. The copy of the sent form must be kept until notification of record of transfer to National Archives and Records Administration (NARA) or authorized record destruction by HQMC ARDB.

WRNC: Washington National Records Center

Filing Plan, Paper

The below are how labeling stickers on paper files should look.

Temporary Paper File Folders

SSIC 1000 GENERAL MILITARY PERSONNEL	OPEN 20180101 CLOSED	TEMP - 20180101 - DESTROY SECNAV M-5210.1, PART III.
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Permanent Paper File Folders

SSIC 5041/1 SPECIAL INQUIRIES AND INVESTIGATIONS	OPEN 20180101 CLOSED	PERM - TRANSFER - 20180101 TRANSFER TO WIRC WHEN 4 YRS OLD
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Filing Plan, Electronic

Sharedrive Filing Plan (Immediate, 2018)

An electronic filing system can be kept on a sharedrive. To do so, description metadata must be captured. At a minimum, a folder will be created for each major Standard Subject Identification Code (SSIC). Creating more folders within each major SSIC is subject to preferential organizational decisions by the administrator.

Files will be titled in the following order: SSIC, Date of Creation, Status (Perm or Temp), Retention Period (i.e. years listed as per SECNAV-M 5210.1), Official Author, Disposal Action (Transfer or Destroy), and an identifying title. Below are examples:

5830, 20180919, TEMP, 2YR, S1, DESTROY_CI ICO BROWN
7540, 20170325, PERM, 3YR, SUP, TRANSFER_Final Audit 2016

SharePoint Filing Plan (Alternative)

MCO 5210.11F provides in-depth instructions. The basic overview is to utilize the Marine Corps Tool for Information Lifecycle Management (MCTILM) program for sharepoint, where documents can be archived. The records file will have the appropriate columns of the eight following subsections, in order:

SSIC	Status (Perm or Temp)	Retention Period	Disposal Date	Official Author	Date Finalized	Disposal Action	Disposal Authority
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Directives

Directives are unit orders, policy letters, and bulletins. Standards pertinent to directives in regards to stylization and timeliness are found in paragraph 3a(2)(d) of this policy letter and in MCO 5215.1K.

The major concern with directives is ensuring accurate publishing information. In order to ensure chronological publication, the unit should maintain an accessible list for members of the command to access.

Files should be maintained on the sharepoint and in the sharedrive as a dual mechanism.

It is recommended that an excel document on sharepoint be created with editing capabilities. A recommend structure is below:

Note: Every directive must be reviewed on an annual basis; use the NAVMC 10974 form and upload into appropriate folder on sharepoint. Every directive must be reissued in its entirety every six years.					
Number	Title	Creator	Section	POC Number	POC Email
1-18	Privacy Act	Capt Jim A. Brown	S-1	760-725-3627	Jim.brown@usmc.mil