



UNITED STATES MARINE CORPS
MARINE AIR GROUND TASK FORCE TRAINING COMMAND
MARINE CORPS AIR GROUND COMBAT CENTER
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CCO 5210.5A
1B

AUG 15 2016

COMBAT CENTER ORDER 5210.5A

From: Commanding General
To: Distribution List

Subj: VITAL RECORDS PROGRAM

Ref: (a) MCO Directive 5210.11F
(b) MCO 3030.1
(c) MAGTFTC, MCAGCC Installation Continuity of Operations Plan of January 2015
(d) Unit Continuity of Operations Plan
(e) Emergency Action Plan
(f) CCO 3000.4B
(g) SECNAVINST 5211.5E
(h) CCBul 3440 of 18 Sep 15
(i) SECNAV M-5210.2
(j) CCO 5210.4A
(k) National Continuity Policy, May 4, 2007
(l) National Continuity Policy, Implementation Plan, August 2007
(m) SECNAV M-5210.1

Encl: (1) Vital Records Inspection Survey
(2) Checklist for Protecting and Maintaining Vital Records
(3) Instructions for Disaster Response

1. Situation. Vital records are identified as essential to the conduct of emergency functions and those that preserve the rights and interest of personnel. They assist the unit to operate during and after an emergency or natural disaster. Included are those records essential to protection of the rights and interests of Marine Air Ground Task Force Training Command (MAGTFTC), Marine Corps Air Ground Combat Center (MCAGCC) and the individuals for whose rights and interests it has responsibility. The loss of vital records during an emergency or disaster could result in the disruption of command operations, exposure to unplanned expenses of financial settlements, increased vulnerability to litigation, and loss of productivity due to gaps in information. This Order provides procedures for the implementation of the MAGTFTC, MCAGCC Vital Records Program at the unit/directorate level in accordance with references (a), (b), (c), and (d).

2. Cancellation. CCO 5210.5.

3. Mission. To establish and provide an effective Vital Records Program in accordance with references. Each section is to identify and report all non-classified vital records to the G-7 Mission Assurance, Force Protection via reference (d). All classified records deemed vital will be determined by the Security Manager.

DISTRIBUTION STATEMENT A: Approved for public release; distribution is unlimited.

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4. Executiona. Commander's Intent and Concept of Operations

(1) Commander's Intent. Each section/directorate will identify vital records within their area using the vital records sheet of reference (d). Reference (d) will be included in the Installation Continuity of Operations Plan (COOP). This will prevent the loss of critical information, recover damaged records, and facilitate the resumption of unit operations more quickly and efficiently during and after an emergency.

(2) Concept of Operations

(a) This Order consists of policies, plans, and procedures developed and implemented to identify, use, and protect the essential records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions to protect the Government's rights or those of its citizens. Vital records are essential agency records that are needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions [emergency operating records (EOR)] and to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

(b) The G-1 Adjutant Chief in collaboration with the Command Designated Records Manager (CDRM) and the Force Protection, G-7 will ensure information is provided and that designated personnel know and understand what vital records are and how to maintain them in accordance with references (a) and (b). To aid with these requirements, the G-1 Adjutant Chief and the Force Protection, G-7 will conduct periodic surveys of the respective sections utilizing the checklist found in enclosures (1) and (2). Mock exercises will be conducted using enclosure (3) in accordance with (IAW) reference (h).

(c) Program Objectives

1. Create and maintain current duplicative records at MAGTFTC, MCAGCC relocation sites adequate to support the Combat Center's emergency actions and mission essential functions in National Security emergencies in accordance with the references.

2. Safeguard records essential to the reconstitution of MAGTFTC, MCAGCC organizations and the re-establishment of the Combat Center's operations once the situation has stabilized.

3. Provide for the preservation of legal and financial rights records of the Combat Center and individuals directly affected by its activities.

4. Standardize vital records selection, labeling, and storage procedures.

5. Ensure all equipment needed to read vital records or copies of vital records will be available in case of emergency or disaster; and for electronic information systems, that system documentation adequate to operate the system and access records will be available.

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(d) Vital Records Plan. All work centers shall develop a vital records plan. The first part of the plan is a description of records that are vital to the continued operations or for the protection of legal and financial rights. The plan also includes specific measures for storing and periodically cycling (updating) copies of those records. The Vital Records Plan should also address recovery of records (regardless of medium) that are damaged in an emergency or disaster.

(e) Records Subject to be Selected as Vital

1. EOR. This list is not inclusive: emergency mission statements; delegations of authority; orders of succession; organization and manning documents; emergency action programs; vital records inventories; information about personnel, property, and activities sufficient to provide basis for damage and assessments; copies of basic regulations and procedures; personnel assigned emergency duties, as well as lists of personnel skills that might be useful during and following an emergency; 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. If the command is the statutory office of record for legal rights, it has primary responsibility for records protection. Fiscal records such as periodic summary of money owed to the command, and records of debt owed by the command are examples of financial rights records.

(f) Protection and Storage of Vital Records. Follow the guidance in paragraph 3c for the protection and storage of vital records.

(g) Training

1. All personnel must complete the annual web-based training for records management. For civilians go to <https://www.kno.navy.mil/>. The course is "Records Management in the DON: Everyone's Responsible (DOR-RM-010-1.1)." For Marines go to <https://www.marinet.usmc.mil/>. The course is "Records Management Course: Every Marines Responsibility (M01RMT0700)." Contact the G-1 Adjutant's office for vital records management classroom training at (760) 830-4189.

2. Whenever possible, vital records management training should be integrated with existing training initiatives, particularly in such areas as records management, see reference (j), and Unit COOP planning and operations.

(h) Program Review and Testing

1. This Program shall be reviewed quarterly to ensure vital records are adequately protected, current, and accessible to personnel who would use them.

2. The G-7 shall conduct mock exercises incorporating a vital records check IAW reference (f).

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b. Subordinate Element Missions(1) Commanders, Assistant Chiefs of Staff (AC/S), and Special Staff Officers

(a) The designated Mission Assurance Working Group (MAWG) member will assist the Force Protection, G-7 with the gathering of all vital records information IAW reference (f).

(b) All work centers and staff sections shall implement a vital records program within their area of responsibility. Identify, inventory, protect, store, make accessible, and cycle (updating as needed) the copies of vital records required in an emergency, including records that document legal and financial rights. Identify and protect the following records:

1. Records that specify how the unit or directorate will operate in case of emergency or disaster.

2. Records vital to the continued operations during and after an emergency or disaster.

3. These vital records include electronic and hard copy documents, databases, references, recordings, and information systems that are necessary to support the resumption of the unit or directorate essential functions after or during a critical situation. The two basic categories of vital records are:

a. EOR. These are records which are vital to the critical functions of the unit or directorate mission/tasks. They are the records necessary to mobilize and protect material and human manpower resources, services, and systems, and to perform critical functions.

b. Rights and Interests Records (R&I). These are records which are essential to preserve the legal rights and interest of individual persons and MAGTF/TC, MCAGCC. Examples of these vital records include personal security files, official personnel files, contracts, and vouchers. These records are required to reestablish the unit or directorate mission/tasks and to protect the legal and financial interests of the installation after an emergency.

(c) Ensure the mode of vital records information storage is followed according to this Order and provided to the Force Protection, G-7 as this Order directs.

(d) Develop a unit/directorate COOP, see reference (d), and provide a completed copy to the Force Protection, G-7.

(e) Classified documents should be labeled correctly. The command security manager must approve special space or equipment before storage of classified records begins.

(f) Privacy Act Records should be clearly marked (i.e. FOUO, Privacy Sensitive) IAW reference (g).

(g) Ensure an annual review of all vital records is completed and submit using the vital records sheet of reference (d), to the G-1 Adjutant's office no later than 30 October of the new fiscal year, update as needed.

(h) Ensure all identified vital records are current and properly managed throughout their lifecycle per reference (i). This includes providing the most up-to-date information regarding records storage, accessibility, and disposition, as required.

(i) Manage and store original vital records in accordance with Department of Defense and Department of the Navy regulations, National Archives and Records Administration (NARA) approved dispositions, and references (b), (k) and (l). Because vital records are generally copies of original records, the copies may be destroyed when they are superseded or no longer required. The vital record plans themselves are original and are considered "unscheduled" records. Per NARA regulations, all unscheduled records are treated and maintained as permanent records. Follow the coordinating instructions in this Order to manage and store all vital records. Vital Records will be named in accordance with the file outline and Standard Subject Identification Code guidance in reference (m) and Chapter (3) of reference (a).

(2) AC/S G-7, Mission Assurance, Force Protection

(a) Manage the development of the MAGTFTC, MCAGCC Installation COOP.

(b) Conduct periodic assist visits with G-1 Adjutant Chief and spot check subordinate units and directorates to ensure that vital records are being kept IAW this Order.

(c) When conducting mock exercises, use enclosure (3) and forward to the G-1 Adjutant's office.

(3) AC/S G-1

(a) Adjutant

1. Provide assistance to Force Protection, G-7 on the development and implementation of a Vital Records Program in accordance with references (a) and (b).

2. Conduct periodic assist visits with Force Protection, G-7 and spot check subordinate units and directorates to ensure that vital records are being kept IAW this Order.

(b) Security Manager

1. Ensure classified vital records are labeled appropriately.

2. Approve or designate appropriate space or equipment for storage of classified vital records.

(4) CO, Marine Aviation Weapons and Tactics Squadron One (MAWTS-1). Create a vital records program IAW Marine Corps Air Station Yuma's COOP.

(5) Tenant Unit Commanders. Contact the Force Protection, G-7 at (760) 830-6074 for guidance on incorporating your unit COOP with the MAGTFTC, MCAGCC Installation COOP.

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(6) CDRMs. CDRMs will be responsible for the oversight of the vital records planning. Responsibilities are to:

(a) Develop internal procedures to lead, manage, collect, and/or develop annual vital records plan(s) within your organization/command.

(b) Ensure that appropriate and up-to-date records are available to conduct critical agency business and to protect records regardless of medium to which they are created, maintained, and stored.

(c) Collaborate with your organization/command staff sections to ensure vital records are identified, inventoried, protected, stored, current, and easily accessible during time of crisis and emergency.

(d) Integrate vital records management requirements into the lifecycle of records management practices in accordance with references (b), (k), (l), and this Order to ensure the records are managed, protected, accessible, retrievable, stored, that appropriate dispositions are conducted, and that they meet Federal mandates.

(e) Coordinate with the command directorate/branch program managers to ensure that individuals are assigned as command representatives and the process to access command information is identified.

(f) Provide guidance and assistance in inventorying records and determining appropriate maintenance and disposition lifecycles for copies of vital records.

(g) Ensure original vital records are properly stored and maintained until their authorized disposition in accordance with reference (i).

(7) Program Managers

(a) IAW this Order, identify EORs and records needed to protect legal and financial rights.

(b) Determine which records within physical or legal custody are vital.

(c) In coordination with CDRMs, ensure copies of vital records are managed throughout their lifecycle as they are updated, stored, and distributed.

c. Coordinating Instructions

(1) Duties for the Program Manager at the Directorate/Unit Level

(a) Identifying Vital Records

1. Each section will be responsible for identifying its vital records by completing the Vital Records Inventory Sheet found in reference (d). These sheets will indicate the basic information and current location of the vital records. In addition to the inventory sheets, the locations of vital records within the section will be noted on a floor plan and kept along with the inventory sheet for record purposes.

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2. Protecting Vital Records. Each section is responsible to ensure that, in the case of an emergency, its vital records will survive. The following procedures shall be followed:

a. Use whatever format necessary to prepare all vital records for storage (i.e. word documents, scan documents, etc.).

b. Starting at the end of the first fiscal quarter take a disk and place all the vital records information on it. Make two copies.

c. Create a current Vital Records Listing, see reference (d).

d. Vital Records information is provided to the Force Protection, G-7 via reference (d).

e. The other copy is yours to store on-site in a secure fire-resistant vault, safe, or file cabinet along with a copy of the Vital Records Listing and floor plan.

f. This shall be done at the end of every fiscal quarter or update as needed. Cycle the disk with current vital records information to the EMS.

3. Off-site dispersal is not an option.

4. On-Site Location. Magnetic tape, microfilm, disks, CD-ROM's, and photographic records require special equipment ratings because of their susceptibility to high humidity levels. The major disadvantage to on-site storage of vital records is the potential for total or near destruction or contamination of the section primary office area in the event of a disaster, hence providing the Force Protection, G-7 with a copy via reference (d), and also storing vital records in the below electronic records repository.

(b) Electronic Records. Electronic records pose special problems in regard to vital records protection because of the need to consider both hardware and software as well as systems documentation. At a minimum, each division should save its vital electronic records to the appropriate Local Area Network servers (share drives) on a periodic basis, make backup copies of vital electronic records on CD-ROM, and backup copies online at MAX.OMB.GOV. The following procedures shall be followed for MAX.GOV retention:

1. Electronic Vital Records Repository

a. Go to the following link <https://max.omb.gov/maxportal/registrationForm.action> to request an account with the MAX.GOV database. Each person who will need access to the records will need to set up an account.

b. When your account is activated either call 830-4189 or send an email with a list with the following information: Name, email address, what types of permissions they need [view (ONLY) or edit]. Once permissions are given you can access the MAGTFTC, MCAGCC MAX.GOV folders.

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c. Once your account is ready to use go to <https://login.max.gov> and click on "PIV OR CAC."

d. Choose the email credential and enter your personal identification number.

e. A "Manage Personal Username" box will come up. If you have created your username, click on "Done."

f. Your profile will come up. Scroll over the "Home" tab and click on "Dashboard."

g. In the "Search" box type in "MAGTFTC."

h. When the page comes up click on "MAGTFTC, MCAGCC Vital Records."

2. Once there click on the respective directorate folder and then click on the section folder. You can create "Child Pages" within your Section folder if you want to separate certain files.

(2) Databases and Equipment

(a) Databases. A copy of the program or instructions i.e. links to system support databases or standard operating procedures, required to use or view the vital records, shall be provided to the Force Protection, G-7 via reference (d).

(b) Equipment. Equipment required must be readily accessible and in working condition at all times in the event of an emergency. If equipment is required contact the Force Protection, G-7 for assistance.

5. Administration and Logistics

a. Directives issued by this Headquarters are published and distributed electronically. Electronic versions of Combat Center directives can be found at <http://www.29palms.marines.mil/Staff/G1Manpower/AdjutantOffice/Orders.aspx>.

b. The word documents for references (c), (d), and (e) can be requested by calling (760) 830-6074.

6. Command and Signal

a. Command. This Order is applicable to all Commanding Officers, Assistant Chiefs of Staff, Special Staff Officers, directorates, and activities that fall under the cognizance of the Commanding General, MAGTFTC, MCAGCC.

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



J. F. HARP
Chief of Staff

Distribution: A

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VITAL RECORDS INSPECTION SURVEY

CCO 5210.5A Vital Records Program

Directorate/Unit Inspected:

Date:

Directorate/Unit POC Name: Rank: Phone:

Inspector: Rank: Phone:

Inspector: Rank: Phone:

-
1. Has the unit/directorate designated a Mission Assurance Working Group (MAWG) member? YES/NO
 2. Has the unit/directorate, per CCO 5210.5A, created a Unit Continuity of Operations Plan (COOP)?
 3. Has the Unit/Directorate identified the types of vital records? YES/NO
 4. Are these records listed on the Vital Records Inventory Sheet of the Unit COOP; and is there a floor plan? YES/NO
 5. Does the unit/directorate have classified vital records? Have they cleared these through the command security manager? YES/NO
 6. Per enclosure (2) of CCO 5210.5A, has the unit/directorate ensured all vital records are being protected? YES/NO
 7. Are all Privacy Act Records clearly marked "For Official Use Only", "Privacy Sensitive" etc. per SECNAVINST 5211.5E Privacy Act Manual? YES/NO
 8. Has the unit/directorate conducted an annual review of all Vital Records? YES/NO
 9. Has the unit/directorate identified all current vital records and are they properly managed throughout their lifecycle? YES/NO
 10. Has the unit/directorate provided their respective MAWG member with a disk, vital records listing, and floor plan? YES/NO
 11. Has the unit/directorate uploaded all vital records online at MAX.OMB.GOV? YES/NO
 12. Are any databases and equipment required to access vital records? If there are, has this information been passed to the Force Protection, G-7 in accordance with CCO 5210.5A? YES/NO

Inspector's Comments/Recommendations:

NAME

Enclosure (1)

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Checklist for Protecting and Maintaining Vital Records

1. Store records away from any possible sources of water damage.
2. Do not leave records exposed on desks or tables overnight. Store them in file cabinets or in boxes on shelving. Boxed records should be stored at least five inches off the floor.
3. Do not store records near furnaces, radiators, or heaters.
4. Do not store records near hazardous materials.
5. Monitor equipment such as photocopy machines, computers, coffee makers, and microwave ovens on a daily basis as part of prevention.
6. Monitor affected areas during building renovation or repairs for potential hazards to records such as accidental water discharges, fires, and breaches of security.
7. Make sure there are no potentially hazardous substances present in building materials or fixtures that would result in contamination in the event of a fire. If there are, identify them on the Vital Records sheet, reference (d).
8. Have all electrical outlets, fixtures, equipment, and appliances checked regularly by an electrician.
9. Ensure the fire marshal is familiar with all construction material in the building and their ratings.
10. Have all central heating, air conditioning, and ventilation systems evaluated regularly by a qualified person. Such systems could spread fire through a building if not constructed with appropriate safeguards.
11. Make certain there is adequate air circulation throughout the facility. All ducts and vents should be cleaned regularly. Dust and other combustible materials could ignite when close to motors or other moving parts.
12. Make sure all wastepaper baskets are made from a noncombustible material. They also should be emptied regularly. Obtain separate receptacles for flammable materials. Inform maintenance employees that the contents of these receptacles are not to be mixed with those of other waste receptacles.
13. Ensure that the facility is inspected regularly by the appropriate fire department officials.
14. Check all fire extinguishers, smoke detectors, sprinkler systems, and fire alarms regularly for operability.
15. Make certain the facility possesses a current Emergency Action Plan (EAP), see reference (e), and ensure all staff members have reviewed and signed the Certification of Statement. Provide a signed copy of the EAP to each staff member.
16. Check all service pipes regularly and have pressure alarms that indicate trouble.

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17. Monitor all areas where there are pipes and windows that may be subject to condensation.
18. Check all drains regularly for obstructions or other hazards.
19. Install floor alarms in all areas that are susceptible to water leakage. These alarms should be connected to a central alarm system.
20. Monitor all sprinkler systems and check periodically for operability.
21. Install all shelving units at least two inches away from inside walls and twelve inches away from outside walls to avoid damage from condensation, burst pipes within walls, etc. All bottom shelves should be at least five inches off the floor.
22. Inspect the facility's roof regularly for leaks.
23. Require all terminated employees to turn in all relevant identification badges and keys to the building. Terminated employees may pose security risks.
24. Make certain that the exterior of the building is well-lit at night.
25. Incorporate procedures that will be followed in the event of theft and vandalism.
26. Remember that during building renovation or repair, there is greater risk of accidental damage that could affect vital records. Remove important materials before construction starts if at all possible. Do not allow cigarettes or unattended hot tools in the work area. Do not allow roofers to leave an incomplete job overnight unless they have laid and secured a waterproof tarp to protect any records in the area from water damage.

Basic Security

1. Make certain staff-only areas are clearly marked.
2. Make certain identification badges are issued and visitors are escorted in secured access areas.
3. Make certain outside windows, doors, loading docks areas, and other entry points are secure.
4. Make certain all access control systems, intrusion detection systems, automated monitoring systems, and alarms are working properly.

Note: If problems are discovered during the course of the surveys, they should be noted on the Vital Records Sheet of reference (d).

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Instructions for Disaster Response

The following guidelines are intended to assist in efficiently responding to an actual emergency.

1. In the event of a vital records related disaster, notify emergency personnel, the Force Protection, G-7, and the Adjutant Chief.
2. For a minor emergency:
 - a. Assess the danger to the vital records.
 - b. Make sure that records are removed if in danger.
 - c. Evaluate any damage to the records.
 - d. Write report.
3. For a major emergency:
 - a. Determine extent of damage to the agency's vital records.
 - b. Prepare recommendations for disaster and recovery response based on extent of damage, type of media affected, location of records, availability of copies, and recovery technologies available.
 - c. Assist in the organization and supervision of recovery efforts relating to vital records. Locate and secure any available backup copies of vital records.
 - d. Write report.
 - e. In accordance with reference (f), meet the disaster team members at your pre-designated meeting locations.