



UNITED STATES MARINE CORPS
MARINE AIR GROUND TASK FORCE TRAINING COMMAND
MARINE CORPS AIR GROUND COMBAT CENTER
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CCO 5210.5E
G-1 A
JAN 31 2024

COMBAT CENTER ORDER 5210.5E

From: Commanding General
To: Distribution List

Subj: ESSENTIAL RECORDS PROGRAM

Ref: (a) MCO 5210.11F
(b) MCO 3030.1A
(c) MAGTFTC, MCAGCC Installation COOP of April 2022
(d) Unit COOP
(e) Emergency Action Plan
(f) CCO 3000.4D
(g) SECNAVINST 5211.5F
(h) CCBul 3440 Current, Mission Assurance Meetings TEEP for FY24
(i) SECNAV M-5210.2
(j) CCO 5210.4E
(k) National Continuity Policy, May 4, 2007
(l) National Continuity Policy, Implementation Plan, August 2007
(m) SECNAV M-5210.1

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

1. Situation. Essential records are identified as vital to the conduct of emergency functions and those that preserve the rights and interests of personnel. They assist the unit in operating during and after an emergency or natural disaster. Included are all essential directives, organizational charts, mission and function statements, books, papers, maps, photographs, machine readable materials, databases, or other documentary materials regardless of physical form or characteristics, and 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 essential 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 Essential Records Program at the unit/directorate level in accordance with references (IAW) (a), (b), (c), and (d).

2. Cancellation. CCO 5210.5D.

3. Mission. To establish and provide an effective Essential Records Program in accordance with the references. Each section is to identify and report all

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non-classified essential records to the G-4, Installation Support Directorate (ISD), Mission Assurance (MA), via reference (d). All classified records deemed essential will be determined by the Security Manager.

4. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. Each directorate/section will identify essential records within their area using the essential 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. Essential records are vital 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, Resources Management Directorate (RMD), Manpower (Mnpr) Adjutant Chief, in collaboration with the Command Designated Records Manager (CDRM) and the G-4, ISD, MA will ensure information is provided and that designated personnel know and understand what essential records are and how to maintain them in accordance with references (a) and (b). To aid with these requirements, the RMD, G-1, Mnpr Adjutant Chief and the G-4, ISD, MA will conduct periodic surveys of the respective sections utilizing the checklists found in enclosures (1) and (2). Mock exercises will be conducted using enclosure (3), 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, IAW 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 essential records selection, labeling, and storage procedures.

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

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

(e) Records Subject to be Essential

1. EOR. This list is not inclusive: emergency mission statements; delegations of authority; orders of succession; organization and manning documents; emergency action programs; essential 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 Essential Records. Follow the guidance in paragraph 4c for the protection and storage of essential records.

(g) Methods of Destruction and Proper Disposal

1. All records containing Privacy Act and/or personally identifiable information (PII) shall be destroyed when no longer required, per the disposition instructions contained in reference (m).

2. Proper disposal of PII is any means of destruction that renders documents of records, physical or electronic, unrecognizable and beyond reconstruction.

3. Paper documents shall never be disposed of in trash cans or recycling containers without first cross-cut shredding.

(h) Training

1. All personnel must complete the annual web-based training for records management. For civilians go to Total Workforce Management Services (TWMS) TWMS CBT (TWMS-5944673122) at <https://twms.dc3n.navy.mil/selfservice/login>. For Marines web-based training courses are offered on the Marine Net website: "Records Management (DON): Advanced Topics (M02RMT0700); MC Records Management Course: Every Marine's Responsibility" (M01RMT0700) Contact the G-1, RMD, Mnpr Adjutant's office for essential records management classroom training at (760) 830-8689.

2. Whenever possible, essential records management training should be integrated with existing training initiatives, particularly in such areas as records management, see references (d) and (j).

(i) Program Review and Testing

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

2. The Director, MA will conduct mock exercises incorporating an essential records check IAW reference (f).

b. Subordinate Element Missions

(1) Commanders, Assistant Chiefs of Staff (ACs/S), Division Directors (DivDirs), Officers-In-Charge (OICs), and Special Staff Officers

(a) All work centers and staff sections shall implement an essential records program within their area of responsibility. Identify, inventory, protect, store, make accessible, and cycle (updating as needed) the copies of essential 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 essential 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 essential records are:

a. EOR. These are records which are essential 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. These are records which are essential to preserve the legal rights and interest of individual persons and MAGTF/TC, MCAGCC. Examples of these essential 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.

(b) Ensure the mode of essential records information storage is followed according to this Order and provided to the G-4, ISD, , MA as this Order directs.

(c) Develop a unit/directorate COOP, see reference (d), and provide a completed copy to the Essential Records Electronic Repository as outlined in paragraph 4c(2)(b) in this Order.

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

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

(f) Ensure an annual review of all essential records is completed using enclosure (1) and manage them through their life cycle per reference (i). Submit a copy of the essential records sheet of reference (d) and enclosure (1) to the G-1, RMD, Mnpr Adjutant's office no later than 30 September every year, update as needed.

(g) Ensure all identified essential records are current. This includes providing the most up-to-date information regarding records storage, accessibility, and disposition, as required.

(h) Manage and store original essential records in accordance with the Department of Defense and Department of the Navy regulations, National Archives and Records Administration (NARA) approved dispositions, and references (b), (k) and (l).

1. Because essential records are generally copies of original records, the copies may be destroyed when they are superseded or no longer required.

2. The essential record plans themselves are original and are considered "unscheduled" records. Per NARA regulations, all unscheduled records are treated and maintained as permanent records.

3. Follow the coordinating instructions in this Order to manage and store all essential records.

4. Essential records will be named IAW the file outline and Standard Subject Identification Code guidance in reference (m) and Chapter (3) of reference (a).

(i) Classified Information. See the Installation Security Manager regarding any classified essential records concerns.

(j) Electronic Filing of Essential Records. See paragraph 4c for instructions on electronic filing of essential Records.

(2) G-4, ISD, MA

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

(b) Conduct periodic assist visits with the G-1, RMD, Mnpr Adjutant Chief. Spot check subordinate units and directorates to ensure that essential records are being kept IAW this Order.

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

(3) AC/S G-1/G-8/Human Resources Office, RMD

(a) Adjutant

1. Provide assistance to G-4, ISD, MA with the development, integration, and implementation of an Essential Records Program into the COOP IAW references (a) and (b).

2. Conduct periodic assist visits with G-4, ISD, MA and spot check subordinate units and directorates to ensure that essential records are being kept IAW this Order.

3. Monitor the Essential Records SharePoint and verify/review all submitted essential records annually and throughout their life cycle IAW reference (a), Chapter 7, paragraph 5b(5).

4. Inspect directorates and at least one division utilizing enclosure (1) annually.

(b) Security Manager

1. Ensure classified essential records are labeled appropriately and stored in accordance with DODM 5200.01 Vol 3.

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

(4) CO, Marine Aviation Weapons and Tactics Squadron One. Create an essential records program IAW Marine Corps Air Station Yuma's COOP.

(5) Tenant Unit Commanders. Contact G-4, ISD, Mission Assurance at (760) 830-1884 for guidance on incorporating your unit COOP with the MAGTFTC, MCAGCC Installation COOP.

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

(a) Develop internal procedures to lead, manage, collect, and/or develop annual essential records plans 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 essential records are identified, inventoried, protected, stored, current, and easily accessible during time of crisis and emergency.

(d) Integrate essential 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/division/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 essential records.

(g) Ensure original essential 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 essential.

(c) In coordination with CDRMs, ensure copies of essential records are identified, inventoried, protected, stored, current, and easily accessible during time of crisis and emergency, and managed throughout their lifecycle as they are updated, stored, and distributed.

c. Coordinating Instructions

(1) Unit COOP Submission. All units, directorates, and activities aboard the installation will submit their respective new/updated unit COOP or Emergency Action Plan to the G-4, ISD, MA no later than 30 September of the current fiscal year. The point of contact is the MA Supervisor at (760) 830-1884.

(2) Duties for the Program Manager at the Directorate/Division/Section/Unit Level

(a) Identifying Essential Records

1. Each section will be responsible for identifying its essential records by completing the Essential Records Section found in reference (d). This sheet will indicate the basic information and current location of the essential records.

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

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

b. Starting at the end of the first fiscal quarter, take a chosen media and place all the essential records information on it. Make one copy for you to store on-site in a secure fire-resistant vault, safe, or file cabinet, along with a copy of the Essential Records Listing, see reference (d).

c. Upload a copy of the Essential Records and a copy of the Listing as instructed in paragraph 4c(2)(b).

d. Ensure that the respective representative being recalled during an emergency is aware of how to locate and access Essential Records in an emergency situation.

e. This shall be completed at the end of every fiscal quarter and updated as needed. Cycle your chosen media with current essential records information and update the Essential Records in SharePoint.

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 essential records is the potential for total or near destruction or contamination of the section primary office area in the event of a disaster, hence the need to provide G-4, ISD, MA with a copy via reference (d), and also storing essential records in the below electronic records repository.

(b) Essential Records Electronic Repository. Electronic records pose special problems in regard to essential records protection because of the need to consider both hardware and software, as well as systems documentation. The following is provided to assist in making a seamless process and a one stop shop for access to these records.

1. Each directorate/division/section will save its essential electronic records by going to this online link at https://usmc.sharepoint-mil.us/sites/TECOM_MAGTFTC_G1_ADJ/VR/Home.aspx and make one backup copy of essential electronic records on a chosen media (CD-ROM, DVD etc.) for their safe keeping.

2. SharePoint Electronic Essential Records Repository. The following procedures shall be followed for the SharePoint Essential Records electronic retention program:

a. If you do not have permissions to view this page on SharePoint, please call (760) 830-8689.

b. Go to this link https://usmc.sharepoint-mil.us/sites/TECOM_MAGTFTC_G1_ADJ/VR/Home.aspx.

c. Click on "Add new item".

d. The Item page will come up.

e. Fill out "Title, Section Rcvd From, Created Date, Disposition, and SSIC" boxes. Add any comments in the Disposition box if applicable, attach the electronic document, and click the "Save" button.

f. The Directorate Admin Officer (DAO) will review for content (No Social Security Numbers, classified documents, or PII). Once that is completed, the DAO will then add the date reviewed and any comments if needed.

g. The DAO will review annually and ensure copies of essential records are properly managed throughout their entire life cycle per reference (a), Chapter 5, paragraph 5b(5).

3. The G-1, RMD, Mnpr Adjutant Chief will review the information, enter a date reviewed, and comments if needed.

4. Ensure that the respective representative being recalled during an emergency is aware of how to locate and access essential records in an emergency situation.

(3) 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 essential records, shall be provided to the G-4, ISD, MA, 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 G-4, ISD, MA 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 <https://www.29palms.marines.mil/Staff-Offices/Resource-Management-Directorate/Adjutant/#combat-center-orders>.

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, ACs/S, DivDirs, OICs, 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.


S. A. GEHRIS
Chief of Staff

Distribution: A

ESSENTIAL RECORDS INSPECTION SURVEY

CCO 5210.5_ Essential 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 5210.5D, created a Unit Continuity of Operations Plan (COOP)?
3. Has the Unit/Directorate identified the types of essential records? YES/NO
4. Are these records listed on the Essential Records Inventory Sheet of the Unit COOP? YES/NO
5. Does the unit/directorate have classified essential records? Have they cleared these through the Command Security Manager? YES/NO
6. Per enclosure (2) of CCO 5210.5D, has the unit/directorate ensured all essential records are being protected? YES/NO
7. Are all Privacy Act Records clearly marked "CUI", "(category)" per DODM 5200.48? YES/NO
8. Has the unit/directorate conducted an annual review of all Essential Records? YES/NO
9. Has the unit/directorate identified all current essential records and are they properly managed throughout their lifecycle? YES/NO
10. Has the unit/directorate notified their respective Emergency Representative on how to access essential records? YES/NO
11. Has the unit/directorate uploaded all essential records online at the Essential Records SharePoint? YES/NO
12. Are any databases and equipment required to access essential records? If there are, has this information been passed to the G-4, ISD, MA in accordance with CCO 5210.5D? YES/NO

Inspector's Comments/Recommendations:

NAME

Checklist for Protecting and Maintaining Essential Records

1. Store records away from any possible sources of water damage.
2. Do not leave essential records media/hard copies 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 photocopier machines, computers, coffee makers, and microwave ovens on a daily basis as part of prevention of accidental water discharges, fires, and breaches of security.
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 Essential 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.
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 essential 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 Essential Records Sheet of reference (d).

Instructions for Disaster Response

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

1. In the event essential records are involved in a disaster of some type, notify emergency personnel, the G-4, ISD, MA and the G-1, RMD, Mnpr Adjutant Chief.
2. For a minor emergency:
 - a. Assess the danger to the essential records.
 - b. Make sure that essential records are removed if in danger.
 - c. Evaluate any damage to the essential records.
 - d. Write a report.
3. For a major emergency:
 - a. Determine extent of damage to the agency's essential 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 essential records. Locate and secure any available backup copies of essential records.
 - d. Write a report.
 - e. In accordance with reference (f), meet the disaster team members at your pre-designated meeting locations.