



UNITED STATES MARINE CORPS
HEADQUARTERS BATTALION
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BnO 5210.1A
S-1
25 Feb 19

BATTALION ORDER 5210.1A

From: Commanding Officer
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 2018
(d) Unit Continuity of Operations Plan
(e) Emergency Action Plan
(f) CCO 3000.4B
(g) SECNAVINST 5211.5E
(h) CCBul 3440 Current, Mission Assurance Meetings TEEP for FY
(i) SECNAV M-5210.2
(j) CCO 5210.4C
(k) National Continuity Policy, May 4, 2007
(l) National Continuity Policy, Implementation Plan, August 2007
(m) SECNAV M-5210.1
(n) BnO 3010.1
(o) CCO 5210.5C

Encl: (1) Vital Records listing
(2) Vital Records Inspection Survey

1. Situation. Vital records are identified as essential 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 Headquarters Battalion (HQBn), 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 HQBn, MAGTFTC, MCAGCC Vital Records Program in accordance with references (a), (b), (c), and (d).

2. Cancellation. BnO 5210.1.

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

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

4. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. Each section 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 CDRM 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).

(c) Program Objectives

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

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

3. Provide for the preservation of legal and financial rights records of HQBn 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 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) Vital Records Plan. All sections shall develop a vital 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 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) 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.

(g) Training

1. All personnel must complete the annual web-based training for records management. For civilians go to <https://www.nko.navy.mil/>. The course is "Records Management in the DON: Everyone's Responsibility (DOR-RM-010-1.1." Currently MarineNet is down for Marines. Marines will complete the training via a leader-led discussion; a PDF can be found at: <https://vcepub.tecom.usmc.mil/sites/directorates/mtesd/LeaderLedAnnualTraining/SitePages/Home.aspx>. Contact the Adjutant's office for vital records management classroom training at (760) 830-7084.

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

(h) Program Review and Testing. This Program shall be reviewed quarterly to ensure vital records are adequately protected, current, and accessible to personnel who would use them.

b. Tasks

(1) Companies

(a) All work sections shall identify, conduct quarterly 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 section 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 and 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 HQBn, MAGTFTC, MCAGCC. Examples of these vital records include personal security files, official personnel files, contracts, and vouchers. These records are required to reestablish the unit mission and tasks and to protect the legal and financial interests of the installation after an emergency.

(b) Ensure the mode of vital records information storage is followed according to this Order and provided to the Force Protection Branch, MA as this Order directs.

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

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

(e) Ensure an annual review of all vital records is completed using enclosure (1) and manage them through their life cycle per reference

(i). Submit a copy of the vital records sheet of reference (d) and enclosure (1) to the CDRM no later than 31 August every year.

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

(g) Manage and store original vital 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. Vital records are generally copies of original records, the copies may be destroyed when they are superseded or no longer required.

2. 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.

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

4. 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).

(h) Classified Information. See the Installation Security Manager regarding any classified vital records issues.

(i) Electronic Filing of Vital Records. See paragraph 4c for instructions on electronic filing of Vital Records.

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

(a) Submit Vital Records Listing to the Executive Officer in order for him/her to update enclosure (13) of reference (n).

(b) Contact the Force Protection Branch, MA at (760) 830-1884 in order to implement the Vital Records Program into the MAGTFTC, MCAGCC Installation COOP.

(c) Develop internal procedures to lead, manage, collect, and/or develop annual vital records plans within your HQBn.

(d) 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.

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

(f) 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.

(g) Coordinate with the companies to ensure that individuals are assigned as section representatives and the process to access command information is identified.

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

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

(j) Conduct periodic assist visits with the Resources Management Directorate (RMD) Manpower (Mnpr) Adjutant Chief, and spot check sections to ensure that vital records are being kept IAW this Order.

(3) Assistant Records 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 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) Duties for the Assistant Records Managers

(a) Identifying Vital Records

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

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 chosen media and place all the vital 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 Vital Records Listing, see reference (d).

c. Upload a copy of the Vital Records and a copy of the Listing.

d. Ensure that the respective representative being recalled during an emergency is aware of how to locate and access Vital 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 vital records information and update the Vital 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 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 the need to provide the Force Protection Branch, MA with a copy via reference (d), and also storing vital records in the below electronic records repository.

(b) Vital Records Electronic Repository. 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. The following is provided to assist in making a seamless process and a one stop shop for access to these records.

1. Each section shall save its vital electronic records by going to this online link at <https://vce.tecom.usmc.mil/sites/msc/magtftc/SitePages/Admin%20Tools.aspx> and make one backup copy of vital electronic records on a chosen media (CD-ROM, DVD etc.) for their safe keeping.

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

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

b. Go to this link <https://vce.tecom.usmc.mil/sites/msc/magtftc/G1/Adjutant/SitePages/VITAL%20RECORDS.aspx>.

c. Hover over the Admin Tools tab and click on Vital Records.

d. Click on "Add new item".

e. The Item page will come up.

f. 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.

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

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

3. The 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 Vital Records in an emergency situation.

(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 Branch, 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 Force Protection Branch, 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 <http://www.29palms.marines.mil/Staff/G1-Manpower/Adjutant-Office/Orders/>.

b. The word documents for references (c), (d), and (e) can be requested by calling (760) 830-7084.

6. Command and Signal

a. Command. This Order is applicable to all personnel within HQBn, MAGTFTC, MCAGCC.

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


S. A. EDWARDS

Distribution: A



Vital Records List

Vital Record or Database	Form of Records (Hardcopy/Electronic)	Responsible Department	Storage Location
Alpha Roster	Electronic	S-1/S-5/S-6/ARJ/EEFCG/ ARMORY/ENB/ALPHA COMPANY/BRAVO COMPANY ARMORY	SHARED/DRIFTY BINDER/S-1 OFFICE/ENB/ENB OFFICE/ WEBSITE/S1P13 WARRIOR S1/ ARMORY
Appointment/Delegation Letters	Hard Copy/Electronic	S-1/OOD	Shared/Duty Binder
Battalion Orders/Policies	Hard Copy/Electronic	Various	Turnover Binders
Recall Roster	Hard Copy/Electronic	S-1	Sharedrive
CMR	Hard Copy/Electronic	Responsible Officers/CMSC	Sharedrive/Duty Binder
DDI 348's	Hard Copy/Electronic	Responsible Officers/CMSC	RO's Offices/GCSS-MC
https://gssmc-ri.usmc.mil	Electronic	CMSC	RO's Offices/GCSS-MC
Duty Driver Log	Hard Copy/Electronic	S-4/OOD	GCSS-MC website
Ammunition Records	Hard Copy/Electronic	S-4	S-4 Office: OOD Duty Binder
Ammunition Requests - https://hamis.army.mil/default.aspx	Hard Copy/Electronic	S-4	Civilian Workstation/S-4 Office
Billing Records - http://www.cmc2s1.usmc.mil/cmc2s1cx/accessMessage	Hard Copy/Electronic	S-4	Website/S-4 Office
Budget Records	Hard Copy/Electronic	S-4	Website/S-4 Office/Sharedrive
Chow MRE Requests - https://www.cmc2s1.usmc.mil/cmc2s1cx/accessMessage	Hard Copy/Electronic	S-4	Website/S-4 Office/Sharedrive
Chow Requests	Electronic	S-4	Sharedrive
Civilian Pay Records - https://www.slccda.navy.mil/home.do	Hard Copy/Electronic	S-4/XO	Website/S-4 Office/XO Office
Civilian Performance - https://compa.dcpms.osd.mil/	Hard Copy/Electronic	S-4/XO	Website/S-4 Office/XO Office
Civilian Records - https://www.navy.mil/selfservice/login.asp	Electronic	S-4	Website
CMR	Hardcopy	S-4	S-4 Office
DD-577's	Hardcopy	S-4	S-4 Office
Defense Travel Records - https://dlsproweb.defensetravel.osd.mil/trs-app/pubs/atl.html	Hard Copy/Electronic	S-4	Website/S-4 Office/Sharedrive
Desktop Procedures	Hard Copy/Electronic	S-4	Website/S-4 Office/Sharedrive
Environmental Compliance	Hard Copy/Electronic	S-4	S-4 Office/Sharedrive
Facility Work Requests - https://prod.usmc.max.usmc.mil/USMCMAX/index.aspx	Electronic	S-4	Website
ISC Request Templates - \\Mcsupndf143incarec\Communications\Directorate\Shared	Electronic	S-4	Sharedrive
Safety Mishap Reports - https://wessas7.safefycenter.navy.mil/user-consent/#/home	Electronic	S-4	Website
Safety Records	Hard Copy/Electronic	S-4	S-4 Office/Sharedrive
Supply Requisition - https://www.prtbuilder.usmc.mil/	Hard Copy/Electronic	S-4	Website/S-4 Office/Sharedrive
TQ&E - https://tqems.jreccis.usmc.mil/	Electronic	S-4	Website
Transportation Requests - https://www.4cp1.usmc.mil/cq/welc/come.action	Electronic	S-4	Website
Turnover Binders	Hard Copy/Electronic	S-4	S-4 Office/Sharedrive
NAVVMC 11654 Form	Electronic	URC	SHARED/DRIVE
NAVVMC 11652 Expenditure Request	Electronic	URC	SHARED/DRIVE
Budget Ledger	Electronic	URC	SHARED/DRIVE
MCO 1754.9A	Hard Copy	URC	URC OFFICE
NAVVMC 11657 Opt.out form	Electronic	URC	SHARED/DRIVE
Outdoor Adventure Request Form	Electronic	URC	URC OFFICE
UPRRP Data Call Ledger	Electronic	URC	URC OFFICE
UPRRP Turnover Binder	Hard Copy	URC	WEBSITE
DD Form 2807	Hard Copy/Electronic	AMC/Individual Medical Record	Medical Database (MRRS)
DD Form 2808	Hard Copy/Electronic	AMC/Individual Medical Record	Medical Database (MRRS)
Collateral billet binders	Hard Copy/Electronic	Collateral billet holders	Collateral billet holder offices

VITAL RECORDS INSPECTION SURVEY

BnO 5210.1A Vital Records Program

Directorate/Unit Inspected:

Date:

Directorate/Unit POC Name: Rank: Phone:

Inspector: Rank: Phone:

Inspector: Rank: Phone:

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1. Has the section designated a Mission Assurance Working Group (MAWG) member? YES/NO
 2. Has the section identified the types of vital records? YES/NO
 5. Does the section have classified vital records? Have they cleared these through the command security manager? YES/NO
 6. Has the section 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
 10. Has the section notified their respective Emergency Representative on how to access vital records? YES/NO
 11. Has the section uploaded all vital records online at the Vital Records SharePoint? 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 Branch, MA in accordance with CCO 5210.5C? YES/NO

Comments/Recommendations:

NAME