UNITED STATES MARINE CORPS
MARINE CORPS AIR STATION
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AIR STATION BULLETIN 5214.2

From: Commanding Officer
To: Distribution List

Subj: VITAL 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 3030.1
(d) MCO 5210.11F
(e) 5 U.S.C. 552a
(f) SECNAVINST 5211.5E
(g) SECNAV M-5210.1
(h) SECNAV M-5210.2

Encl: (1) Vital Records List SAMPLE

1. Situation. To provide guidance on this Command's Vital Records Program. Leaders at all levels are responsible for ensuring that the command is protecting vital records. For the purposes of this Bulletin vital records are those records necessary to meet operational responsibility under national security emergencies or other emergency or disaster conditions (emergency operating records) and/or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). Vital records are identified as essential to the conduct of emergency functions and those that preserve the rights and interest of personnel are current, complete, adequately protected, accessible and usable.

2. Mission. Each directorate is to identify and report all non-classified vital records to the Information Requirements Reports Management Program Manager. These reports will be used to build and update enclosure (1). All classified records deemed vital will be determined by the Security Manager.

3. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. Each directorate will identify and develop a written plan for the Vital Records Program. These plans will be included in the Command's Continuity of Operations Plan (COOP).

(2) Concept of Operations. The Vital Records Program 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 or to protect the Government's rights or those of its citizens. Vital

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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) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records).

(a) Program Objectives

1. Create and maintain current duplicative records at Department of Navy (DON) and/or United States Marine Corps (USMC) relocation sites adequate to support DON and/or USMC emergency actions and Mission Essential Functions (MEFs) in National security emergencies in accordance with references (a) through (h).

2. Safeguard records essential to the reconstitution of DON and USMC organizations and the re-establishment of DON and USMC operations once the situation has stabilized.

3. Provide for the preservation of legal and financial rights records of the DON, USMC, 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 to the records will be available.

(b) Vital Records Plan

1. 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.

2. The description of vital records is based on identification and inventorying. The following steps are involved in identifying vital records and records disaster mitigation, and should be performed in conjunction with Continuity of Operations (COOP) planning efforts:

a. Review normal command functions. Identify the categories of records relating to each of these functions. Review existing COOP plans and determine which functions are necessary during a national security emergency. After those functions are identified, earmark specific vital records for safeguarding.

b. Review emergency functions assigned to command and treat in same manner as outlined above.

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

d. Review current file plans of offices that are responsible for performing MEFs.

e. Review the Command's records manual or records schedule to determine which records series potentially qualify as vital.

f. Identify which records series or electronic information systems (EIS) contain information needed to protect the legal and financial rights of the DON, USMC, and persons directly affected by the command. Only those records series or EIS (or portions of them) most critical to emergency operations or the preservation of legal or financial rights should be designated.

(c) Records Subject to be Selected as Vital

1. Emergency-Operating Records

a. Statements of mission in an emergency, and plans and programs for carrying out that mission.

b. Delegations of authority.

c. Orders of succession.

d. Organization and manning documents.

e. Pre-drafted directives or announcements to be issued immediately at the beginning of an emergency.

f. Emergency action programs that may have been drafted in skeleton form.

g. Vital 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. Copies of basic regulations and procedures.

k. Lists of personnel assigned emergency duties, as well as lists of personnel skills that might be useful during and following an emergency.

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.

NOTE: This list is not inclusive.

2. Legal and Financial Rights Records

a. If the command is the statutory office of record for legal rights, it has primary responsibility for records protection.

b. Fiscal records such as periodic summary of financial status of command; records of significant amounts of money owed to the command, and records of debt owed by the command.

NOTE: This list is not inclusive.

3. Vital Records Contents

a. The name of the office responsible for the records series or EIS containing vital information.

b. The title of each records series or EIS containing vital information.

c. Identification of each series or system that contains emergency-operating vital records or vital records relating to rights.

d. The medium on which records are recorded.

e. The physical location for offsite storage of copies of the records series or system.

f. Classified documents should be labeled correctly.

NOTE: This list is not inclusive.

(d) Protection and Storage of Vital Records

1. After completion of the inventory, protection methods and storage sites must be chosen for vital records. The former may include using existing duplicates of the records designated as vital or duplicated for this purpose. If performing duplication, it is generally most economical to duplicate the original medium onto the same medium; that is, duplicate microfiche onto microfiche or magnetic tape onto magnetic tape.

2. Appropriate equipment should be selected to ensure the continued preservation of copies of the vital records until they have met their lifecycle. In addition, plans should be made to ensure proper environmental conditions for storage of copies of vital records, particularly for those recorded on fragile media such as microfilm, magnetic tape, or disks, until they are replaced.

3. Given the importance of vital records, if possible, plans should be arranged for offsite storage of copies in a facility not subject to the same emergency or disaster but still reasonable accessible to personnel. Current duplicative records necessary to support DON and USMC MEFs in National security emergencies shall be stored at DON and USMC relocation sites. Periodic cycling (updating) of copies of vital records is essential.

(e) Training

1. Personnel assigned responsibilities in the Vital Records Program shall receive appropriate training. Periodic briefings should be given to senior managers, especially those new to the command, about the Vital Records Program and its relationship to their records.

2. Appropriate personnel such as records managers or administrative officers should ensure that all personnel within the command receive training appropriate to their assigned duties. Such training generally focuses on the identification, inventorying, protection, storage, and cycling of copies of the command's vital records. Whenever possible, vital records management training should be integrated with existing training initiatives, particularly in such areas as records management and COOP planning and operations.

(f) Program Review and Testing

1. The Vital Records Program shall be reviewed annually at minimum to determine whether vital records are adequately protected, current, and accessible to personnel who would use them.

2. In addition, valuable information for improving the program can be obtained by testing it under simulated emergency or disaster conditions (i.e., Wargaming or Rehearsal of Concept (ROC) drills).

b. Subordinate Element Missions. All work subordinate commands and station directorates shall identify, inventory, protect, store, make accessible, and cycle (update as needed) the copies of vital records required in an emergency, including records that document legal and financial rights. This task will be completed no later than 1 January 2018. A draft of each directorate's vital record plan will be submitted to the Adjutant's office no later than 1 November 2017. Submissions will be compiled and finalized for the command's Vital Records Plan no later than 1 December 2017.

(1) Command Designated Records Managers (CDRMs)

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

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

(2) Command Security Manager

(a) Ensure classified vital records are labeled and stored appropriately.

(b) Approve and/or designate appropriate space or equipment for storage of classified vital records.

(3) Program Managers

(a) In accordance with reference (d), identify emergency-operating records 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.

4. Administration and Logistics

a. Coordinating COOP information and templates may be obtained from: http://www.hqmc.marines.mil/ppo/Units/OperationsDivision(PO)/CurrentOperationsBranch(POC)/ContinuityofOperations(COOP).aspx.

b. The generation, collection or distribution of personally identifiable information (PII) and management of privacy sensitive information shall be in accordance with the Privacy Act of 1974, as amended, per references (f) and (g). Any unauthorized review, use, disclosure or distribution is prohibited.

c. Records created as a result of this Bulletin shall be managed according to National Archives and Records Administration approved dispositions per reference (h) to ensure proper maintenance, use, accessibility and preservation, regardless of format or medium.

5. Command and Signal

a. Command. This Bulletin is applicable to all applicable Officers in Charge (OICs) and/or Managers/Supervisors of work centers and staff sections and to all personnel who occupy key billets in the command or have functional areas of inspection.

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

M. R. HUBER

Vital Records List

VITAL RECORDS					
Business Unit Essential Function:					
Business Process:					
Category (Emergency Operating Record (EOR) / Rights and Interests (R&I))	**Type** (Manual, Publication, Document, Database)	**Title / Description**	**Security Classification**	**e-Storage Location**	**Alternate Storage Methods**
EOR	*Document*	*Delegations of Authority*	*UNCL*	*LDRPS*	*Hard Copy / CD*
EOR	*Database*	*Continuity Team Roster*	*FOUO*	*LDRPS*	*Hard Copy / CD*
EOR	*Document*	*SITE COOP Plan*	*FOUO*	*LDRPS*	*Hard Copy / CD*
R&I	*Manual*	*DoD FMR Volume 1*	*UNCL*	*E-Portal*	*Hard Copy / CD*
R&I	*Manual*	*DoD FMR Volume 2*	*UNCL*	*E-Portal*	*Hard Copy / CD*
R&I	*Manual*	*DoD FMR Volume 3*	*UNCL*	*E-Portal*	*Hard Copy / CD*
R&I	*Manual*	*DoD FMR Volume 4*	*UNCL*	*E-Portal*	*Hard Copy / CD*
R&I	*Manual*	*DoD FMR Volume 5*	*UNCL*	*E-Portal*	*Hard Copy / CD*

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