



DEPARTMENT OF THE NAVY
HEADQUARTERS UNITED STATES MARINE CORPS
2 NAVY ANNEX
WASHINGTON, DC 20380-1775

NAVMC DIR 5210.11E
ARDB
15 MAY 06

NAVMC DIRECTIVE 5210.11E

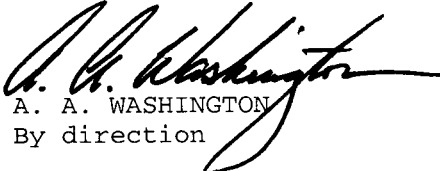
From: Commandant of the Marine Corps
To: Distribution List

Subj: MARINE CORPS RECORDS MANAGEMENT PROGRAM

Ref: (a) MCO 5210.11E

Encl: (1) MARINE CORPS RECORDS MANAGEMENT PROGRAM MANUAL

1. Purpose. The enclosure promulgates procedures and information pertaining to the Marine Corps Records Management Program per the reference. The enclosure has the force and effect of regulations.
2. Background. This Directive is a guide for command personnel, training officers and administrative personnel in the administration of the Marine Corps Records Management Program.
3. Recommendations. Recommendations concerning the contents of the Marine Corps Records Management Program are invited. Such recommendations will be forwarded to the CMC (ARDB) via the appropriate chain of command for review and consideration.
4. Command. This Directive is applicable to the Marine Corps Total Forces.
5. Forms. SF 135 (Jul 1985), Records Transmittal and Receipt, SF 258, Agreement to Transfer Records to the National Archives of the United States, (Sep 1995) and SF 115, (Mar 1991), Request for Records Disposition Authority, are online at the GSA Forms library, www.gsa.gov/Portal/gsa/ep/formslibrary.do?formType=SF. NA13001, (Mar 1999), Notice of Eligibility for Disposal and NA 13016 (Jan 1993), Notice of Accession Location Change, are online at the National Archives Forms website, <http://www.archives.gov/forms>.


A. A. WASHINGTON
By direction

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

NAVMC DIR 5210.11E
15 MAY 06

DISTRIBUTION: PCN 10301480000

Copy to: 8145001 (2)
7000260 (1)

MARINE CORPS RECORDS MANAGEMENT PROGRAM MANUAL

RECORD OF CHANGES

Log completed change action as indicated.

Change Number	Date of Change	Date Entered	Signature of Person Incorporated Change

TABLE OF CONTENTS

<u>IDENTIFICATION & TITLE</u>	PAGE
CHAPTER 1. DEFINITIONS	
1. TERMS DEFINED.....	1-1
CHAPTER 2. COMMAND RECORDS MANAGEMENT PROGRAM ROLES AND RESPONSIBILITIES	
1. GENERAL.....	2-1
2. COMMANDING GENERALS/COMMANDING OFFICERS/HEADS OF HQMC STAFF AGENCIES.....	2-1
3. COMMAND DESIGNATED RECORDS MANAGERS	2-1
4. ADMINISTRATIVE OFFICERS AND CLERKS.....	2-2
CHAPTER 3. FILE PLANS AND RECORDS MAINTENANCE	
1. INTRODUCTION.....	3-1
2. RECORDS CREATION.....	3-1
3. PREPARING FILES OUTLINE.....	3-1
4. FILE LABELS.....	3-2
5. FILE DRAWERS AND CABINETS LABELS.....	3-4
6. PRIVACY ACT.....	3-4
7. RECORDS MAINTENANCE.....	3-5
8. RECORDS RETENTION AND DISPOSITION.....	3-6
CHAPTER 4. ELECTRONIC RECORDS	
1. ELECTRONIC RECORD KEEPING.....	4-1
2. ELECTRONIC RECORD STORAGE MEDIUM.....	4-2
3. SOFTWARE FOR ELECTRONIC SYSTEMS.....	4-3
4. MANAGEMENT OF ELECTRONIC MAIL AS A RECORD.....	4-3
CHAPTER 5. FEDERAL RECORDS HOLDS/FREEZES/PRESERVATION ORDERS	
1. EXCEPTIONS TO STANDARDS WHEN LITIGATION, INVESTIGATIONS, CLAIMS, DEMANDS AND ACCOUNTS ARE PENDING.....	5-1
CHAPTER 6. ARCHIVAL OF RECORDS	
1. INTRODUCTION.....	6-1
2. RECORDS TRANSMITTAL AND RECEIPT, STANDARD FORM 135, (SF-135)...	6-1
3. SUBMISSION OF SF-135.....	6-2
4. TRANSFER OF RECORDS TO FEDERAL RECORDS CENTER.....	6-3
5. LABELING, PACKAGING AND SHIPPING OF RECORDS.....	6-3
6. RECORDS MANAGEMENT FORMS.....	6-4
APPENDIX	
APPENDIX A. RECORDS TRANSMITTAL AND RECEIPT (SF-135).....	A-1
APPENDIX B. INSTRUCTIONS FOR PACKAGING OF MARINE CORPS RECORDS....	B-1
APPENDIX C. REQUEST FOR RECORDS DISPOSITION AUTHORITY (SF-115)....	C-1
APPENDIX D. NOTICE OF ELIGIBILITY FOR DISPOSAL (NA-13001).....	D-1
APPENDIX E. AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES (SF-258)	E-1
APPENDIX F. NOTICE OF ACCESSION LOCATION CHANGE (NA-13016).....	F-1

Chapter 1

MARINE CORPS RECORDS MANAGEMENT PROGRAM

DEFINITIONS

1. Correspondence Management. The streamlining and improvement of correspondence through the standardization of correspondence practices in accordance with the current edition of SECNAVINST 5216.5 (Department of the Navy Correspondence Directive) and through the development of supplements thereto and other written guides; and the use of form and guide letters, correspondence systems, and other shortcuts.
2. Disposition. Those actions taken regarding records no longer needed for the conduct of the regular current business of the agency.
3. Electronic Document Management. The computerized management of electronic and paper-based documents. It includes a system to convert paper documents to electronic form, a mechanism to capture documents for authoring tools, database to organize the storage of documents, and a search mechanism to locate the documents.
4. Electronic Record. Electronic record means any information that is recorded in a form that only a computer can process and that satisfies the definition of a Federal record.
5. Federal Record Center (FRC). A national network of 16 regional facilities, for storing and providing access to records. (See figure 1-1)
6. File Plan. (Also known as filing system, records classification or file series) A file plan is the basic unit for organizing and controlling files. It is a group of files or documents kept together (either physically or intellectually) because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.
7. National Archives and Records Administration (NARA). The National Archives is a public trust. NARA enables people to inspect for themselves the record of what government has done. NARA's mission is to ensure, for citizens and the public servants, the President, the Congress and the Courts, ready access to essential evidence.
8. Nonrecord (Files) Material. Materials not usually included within the definition of records. These are accumulated in the process of producing records, but they never acquire a "record" character and include:
 - a. Stocks of publications and other reproduced documents maintained for supply purposes.
 - b. Materials preserved solely for purpose of references or exhibition in libraries of museums.

c. Duplicate copies of material maintained within the same organization when serving the same functional purpose.

d. Copies of reproduced or processed materials when other copies are retained elsewhere for official record purposes.

e. Extra copies of papers preserved solely for convenience of reference, e.g., reading files, and "follow-up" or "tickler" or "suspense" copies of materials that may be destroyed after a brief period, abstract or briefs of material maintained for tickler purposes.

f. Privately purchased books and other papers relating to private personal matters and kept in an office only for convenience.

g. Correspondence and other records of transitory value that have no value after action has been completed or that are received for information and require no action. Some examples of this nonrecord category are:

(1) Published materials received from other activities or offices requiring no action and not required for documentary purposes.

(2) Letters or other transmitting papers that add no significant information to the material submitted.

(3) Catalogs, trade journals, and other documents or papers received from other Government agencies, commercial firms, or private institutions, that require no action and are not a part of a case upon which action is taken.

(4) Working papers, preliminary or intermediate drafts, reports and related papers, memoranda, preliminary worksheets, or notes and similar materials that are summarized in final or other form and that have no evidential or informational value once action has been completed since they do not relate to significant steps taken in preparing record copies of documents.

(5) Reproduction materials such as stencils, hectograph masters, and offset plates.

(6) Shorthand notes, stenographic notebooks, and stenotype tapes that have been transcribed.

(7) Information copies of correspondence, memoranda, and other papers that require no administrative action.

(8) Notices or other papers that are not the basis for official action.

(9) Charts, diagrams, and other graphic materials, prepared from source material and used for briefing or training activities.

(10) Statistical tabulating aids used incidentally in the documenting process.

(11) Routine records used to control or facilitate actions.

(12) Personal work papers, such as notes, rough drafts, cards, etc.

(13) Library material, publications and other materials maintained by libraries exclusively for reference purposes.

(Some activities transfer their "record" copies of publications or research reports to their libraries where they are retained for the activities and may also be used for reference purposes. The fact that these are maintained in libraries rather than in the official files does not change the record character of publications so transferred; those still remain "record" material).

9. Records. Include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications and of processed documents are not included.

10. Records Disposition. The systematic preservation and security of valuable records and their orderly disposition through destruction, transfer, or retirement in accordance with scheduled instructions.

11. Records Maintenance. Any activity involving location of records of a Federal agency; storage, retrieval, and handling of records kept at office file locations by or for a Federal agency; processing of mail by a Federal agency; or selection and utilization of equipment and supplies associated with records and copying.

12. Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.

13. Records Schedules. The systematic identification and arrangement of records into categories according to logically structured conventions, methods and procedural rules.

14. Records Systems. The development and installation of improved procedures, systems and equipment for receiving, organizing, processing, storing indexing, and retrieving documents in directive or mechanical, electronic, photographic, video, or similar techniques for (Documentation Storage and Retrieval Systems); the establishment of controls for classifying, filing, and segregating records.

15. Standard Subject Identification Code. Department of the Navy's filing system is broken down into 13 major groups. These major subjects are then broken down into primary, secondary and tertiary subdivisions. Primary subjects are designated by the last three digits of the code number.

16. Vital Records. Those 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. Emergency Operating Records are those records required to perform essential Marine Corps functions during and immediately following a national emergency (natural disaster or attack). Those are necessary for the military effort and for mobilization and protection of material, manpower resources, services, and systems. These records include, but are not limited to, essential directives, organizational charts, mission and function statements, plans, programs, policies for carrying out the mission and functions, and emergency operating instructions and procedures. These records are maintained in paper format specific designated alternate emergency operating locations.

b. Rights and Interest Records are those records essential to the preservation of the legal rights and interest of individual Marines and the Marine Corps. These records contain information on proof of ownership, citizenship, financial interests, and legal proceedings and decisions, and include, but are not limited to, military/civilian personnel records, payroll and leave and earning records, engineering drawings, fiscal records indicating the financial status of the Marine Corps to include significant debts of/owed to the Marine Corps and selected historical and research records. Rights and interest records may be stored in Federal records centers or designated depositories. Vital records may be in paper form, microform, magnetic tapes, disc, etc., however, when vital records are maintained and eventually stored in other than paper form, equipment is needed to provide access to the information. A copy of the program or other information required to use the records must accompany them to the designated alternate site; equipment required must be readily accessible and in working condition at all times in the event of an emergency.

FEDERAL RECORDS CENTERS NATIONWIDE

Alaska

Pacific Alaska Region (Anchorage)
654 West Third Avenue
Anchorage, Alaska 99501-2145

California

Pacific Region, Laguna Niguel, CA
24000 Avila Road
1st Floor, East Entrance
Laguna Niguel, California 92677-3497

Pacific Region, Riverside, CA
23123 Cajalco Road
Perris, CA 92570-7298

Pacific Region, San Francisco
1000 Commodore Drive
San Bruno, California 94066-2350

Colorado

Rocky Mountain Region, Denver
National Archives
Rocky Mountain Region
P.O. Box 25307
Denver, Colorado 80225

Georgia

National Archives Southeast Region, Atlanta
5780 Jonesboro Road
Morrow, Georgia 30260

Illinois

Great Lakes Region, (Chicago)
7358 South Pulaski Road
Chicago, Illinois 60629-5898

Maryland

National Archives at College Park
8601 Adelphi Road
College Park, MD 20740-6001

Washington National Records Center
4205 Suitland Road,
Suitland, MD 20746-8001

Massachusetts

Northeast Region, Pittsfield, MA
10 Conte Drive
Pittsfield, Massachusetts 01201-8230

Missouri

Central Plains Region, Kansas City
2312 East Bannister Road
Kansas City, Missouri 64131-3011

NARA's Central Plains Region Lee's Summit, MO
200 Space Center Drive
Lee's Summit, Missouri 64064-1182

Civilian Personnel Records

111 Winnebago Street
St. Louis, Missouri 63118-4126

National Personnel Records Center

Military Personnel Records

9700 Page Avenue
St. Louis, MO 63132-5100

New York

Northeast Region, New York City
201 Varick Street, 2nd Floor
New York, NY 10014

Ohio

Great Lakes Region, Dayton, Ohio
3150 Springboro Road
Dayton, Ohio 45439-1883

Pennsylvania

Mid Atlantic Region Archives Facility, (Center City Philadelphia)
900 Market Street
Philadelphia, Pennsylvania 19107-4292

Mid Atlantic Region's Federal Records Center, Philadelphia

14700 Townsend Road
Philadelphia, Pennsylvania 19154-1096

Texas

Southwest Region, Fort Worth, Texas
501 West Felix Street, Building 1
Fort Worth, Texas 76115-3405

Washington (State)

NARA's Pacific Alaska Region (Seattle)
6125 Sand Point Way NE
Seattle, Washington 98115-7999

Chapter 2

COMMAND RECORDS MANAGEMENT PROGRAM ROLES AND RESPONSIBILITIES

1. General. The Commandant of the Marine Corps, in consonance with all Federal laws established the subject program as a part of the Marine Corps management improvement effort. The Records Management Program should be recognized as a true management function not merely a housekeeping operation. The implementation of the Records Management Program is dependent on the extent needed to meet local records management needs in consonance with Federal laws, Department of Defense, and Navy Orders and Directives.

2. Commanding Generals/Commanding Officers/Heads of HQMC Staff Agencies. Commanding Generals/Officers and Heads of HQMC Staff agencies (to the level of MARFORCOMs, MEFs, MARDIVs, MAWs, and MLGs) will assign in writing, a Command Designated Records Manager (CDRM) within the command. Provide a copy of assignment letter to CMC (ARDB).

3. Command Designated Records Managers. Command Designated Records Manager (CDRM) will conduct day-to-day administration of the Records Management Program. The Command Designated Records Managers shall:

a. Ensure that all command records are kept per applicable directives, regardless of where they are maintained or physical format.

b. Preserve records that protect the legal and financial rights of the Government and the Marine Corps.

c. Establish a system of supervision to ensure the prompt disposition of non-current records per established records schedule.

d. Regardless of routine disposition instructions, ensure records relating to the following matters listed below will not be destroyed until final disposition authorization is provided.

(1) Until settlement of claims and demands by or against the Government of the United States have been settled and adjusted in the Government Accountability Office (GAO).

(2) An outstanding claim against the United States, DOD, the Navy or the Marine Corps.

(3) A case in litigation.

(4) An incomplete investigation.

(5) A Court/Presidential/Agency order/record freeze/record hold.

e. Ensure records of historical value are preserved per the current version of MCO P5750.1.

f. Ensure no Federal records are removed or destroyed without proper authority.

g. Conduct periodic checks to ensure that disposal instructions and retention schedules are being followed. An annual year-end disposal should be conducted to ensure records are properly disposed.

h. Serve as command/subordinate activities liaison with CMC (ARDB) for the transfer of records to the Federal Records Centers (FRC). Ensures that all command/subordinate activities records to be transferred are in the appropriate containers, packaged correctly, and marked correctly prior to being shipped to the FRCs via CMC (ARDB).

i. Ensure that subordinate units and commands records are kept per Navy and Marine Corps orders and directives.

j. Provide assistance to the command/subordinate activities/unit continuity of operations officer to develop and implement the Vital Records Program. Vital records are those identified as essential to the conduct of emergency functions and those that preserve the rights and interest of Marine Corps personnel are current, complete, adequately protected, accessible, and usable.

4. Administrative Officers and Clerks

a. Administrative Officers

(1) Follow established procedures when creating and maintaining command files regardless of location or format.

(2) Assign personnel knowledgeable in the mission and function of the organization to monitor recordkeeping activities.

(3) Supervise the completion of all forms and documentation for the transfer of records to the FRCs.

(4) Ensure that records are transferred to the appropriate FRCs via CDRM and CMC (ARDB).

(5) Ensure assigned personnel are properly trained on the Marine Corps Records Management Program annually. Training is available via the Marine Corps Records Management website: <http://www.hqmc.usmc.mil/ar/rcmgmt.nsf>.

b. Administrative Clerks. Whether assigned to Legal offices, Staff Judge Advocates or Consolidated Administration offices, administrative clerks are the personnel whom have the most interaction with the commands files. Administrative clerks are responsible for the day-to-day maintenance of their unit/staff agency/command regardless of location or format.

(1) Establishment and Maintenance of Files. Ensure that all file drawers and folders must be labeled correctly for fast and accurate retrieval. Make certain that file drawers are properly labeled to include the type of file, inclusive file numbers, and calendar or fiscal years contained therein.

(2) Separate permanent and temporary records and arrange in the appropriate series.

- (3) Ensure all files are kept per established guidelines.
- (4) Eliminate the filing of unnecessary informational material. Material of little or no value should be destroyed immediately after use is served.
- (5) Create file outlines and certify they match the current year files.
- (6) Conduct end of year records purge. Notify the administrative officer of records that need to be transferred to FRCs and those that will be destroyed.
- (7) Create Standard Form-135, (SF-135) Records Transmittal and Receipt, and supporting documentation for the transfer of records to FRCs via CDRM and CMC (ARDB).
- (8) Maintain all SF-135s until notification of final disposition of records.
- (9) Ensure that the applicable retention standards in the current edition of Department of the Navy Records Management Program Manual are selected for each file series. A "series" of records is a block of records having the same disposal authority and disposal date. Labels showing the appropriate retention standard shall be posted on the filing cabinet, drawer, or file guide, as appropriate or to each file folder when the retention period within a file series varies. The disposal label will cite the date of disposal action and the appropriate action to be taken.
- (10) Ensure that all permanent and temporary records are transferred regularly. Transfer all inactive civilian and military records and all temporary records with retention period of at least 3 years remaining to the appropriate records center listed per this Directive.
- (11) Ensure that upon decommissioning or during March of each year, the previous year's Master Flight Files are transferred to the Washington National Records Center, per this Directive.

Chapter 3

FILE PLANS AND RECORDS MAINTENANCE

1. Introduction. A file plan is the basic unit for organizing and controlling files. It is a group of files or documents kept together (either physically or intellectually) because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.

2. Records Creation

a. Segregate the permanent records from the temporary records and arrange in appropriate files series (correspondence files, card files, case files, accounting registers, Emergency Action Message (EAM) listings, contract files, etc.).

b. Federal records are identified as either temporary or permanent records within the current records disposition manual. Temporary records are those records disposable after a fixed period of time or after an event, as specified in current records disposition instructions. Permanent records are those records that are sufficiently valuable for research or other purposes to warrant permanent preservation. Identify each document in each group utilizing the current edition of Department of the Navy Standard Subject Identification Codes (SSIC) Manual.

c. Once each group (temporary and permanent) has been properly identified per the current edition of Department of the SSIC Manual, make 13 general folders (1000-13000) representing the 13 major numerical groups. For example, file all papers having the identification "1000-1999" inclusive within the folder entitled "1000-1999 MILITARY PERSONNEL (GENERAL);" separate the permanent and temporary records within each folder, and arrange each category in numerical sequence according to the SSIC assigned. When at least 10 pieces of paper, with the same SSIC, in a category accumulate, prepare a folder for that category. This procedure will work for the majority of offices creating records. The exception would be in offices where the daily volume of records on specific subjects is so high that individual, as opposed to general folders must be established initially. A sample of the file folder identification is shown later in figure 3-1 of this chapter. Insert papers in the folder with the latest date first.

d. The subject, as well as the contents, should be taken into consideration when selecting a SSIC number for files.

3. Preparing Files Outline. Prepare a files outline (see figure 3-2 of this chapter) and maintain it in an accessible place for the convenience of all users of the files, preferably with the current edition of the Department of the Navy Standard Subject Identification Code Manual, in a file folder preceding the files it describes. The practice of entering the retention standards opposite the file numbers on the files outline is timesaving, assists in final disposition, and serves as a training aid for new personnel. The files outline should be updated as changes occur.

4. File Labels. Each file folder will be labeled. White, pressure-sensitive (sticker type) labels will be used. Each folder must possess three labels. The first label is the "File Identification label", the second is the "Date label", and the third is the "Disposal label".

a. File Identification Label. The file identification label is the first label on the file folder. It consists of the SSIC and Subject title. The SSIC and title are typed in all caps with one space between the SSIC and the title. The label is placed in the top left corner of the file folder.

(1) The SSIC is recorded on the file identification label to identify the general or specific pieces of correspondence that are filed inside.

(2) The subject title is the corresponding title of the SSIC.

(3) When deviating from the exact title for a specific SSIC, the SSIC must be followed by a slash (/), then the Arabic number, and the subparagraph title:

Example

1650 DECORATIONS, MEDALS AND AWARDS
1650/1 CORRESPONDENCE AND RELATED RECORDS

b. Date Label. The second label on the folder is the date label. It records the dates a file folder was opened and closed. The dates are centered on the label with the open date on top and the close date on the bottom. (You will not be able to record the close date until you actually close the file.) The dates are listed in the format DD MMM YYYY, all caps. The label is placed in the top center of the file folder.

(1) Open Date

(a) The opening date for file folders established on calendar year files is 01 JAN 2002; 01 OCT 2002 for fiscal year files (like those in the 7000 series).

(b) If a "GENERAL" file folder has accumulated 10 pieces of correspondence with the same SSIC, the opening date would reflect the earliest dated record. If on the 15th of April 2002 you had 10 documents with the SSIC 1650 in the 1000 MILITARY PERSONNEL (GENERAL) file, you will open a new file for 1650 DECORATIONS, MEDALS, AND AWARDS; the earliest dated document in the new file is dated 5 Jan 02, the open date for the new file date label will be 05 JAN 2002.

(c) If a file folder has been filled to its 3/4" capacity, the open date on the new folder will be the "next" day. If on the 14th of April 2002 your folder reached its 3/4" capacity, you would close that folder on 14th April and create a new folder with an open date of 15 APR 2002.

(2) Close Date

(a) The closing date for file folders is as follows: on calendar year files: 31 DEC 2002; 30 SEP 2003 for fiscal year files (like those in the 7000 series).

(b) File folders that have been filled to 3/4" capacity will be closed on the date filled. If on the 14 of April 2002 your folder reached its 3/4" capacity, you would close that folder and the close date would be 14 APR 2002.

c. Disposal Label. The third label on the folder is the disposal label. It provides the records retention period, disposal action, and the authority. The information is typed in all caps. The label is placed in the top right corner of the file folder. There are three items of information required on the disposal label: retention period, disposal action, and the authority.

(1) Retention period is typed in the following format, all caps:
2 YRS

(2) Disposal action is typed after the space-dash-space and is all caps. For example:

(a) Temporary files have the words TEMP - DATE followed by the date destroyed, i.e., TEMP - JAN 2005 - DESTROY

(b) Permanent files have PERM - TRANSFER in all caps - DATE eligible for transfer - i.e., 01 JAN 2008. The next available line is for the instructions - i.e., TRANSFER TO WASHINGTON NATIONAL RECORDS CENTER (WNRC) WHEN 2 YEARS OLD.

(c) Internal records retention starts the first day of the year after all files are closed. This means files closed should not be transferred or destroyed until their full retention has been fulfilled. For example SSIC 1650.3b requires records to be sent to the WRNC when 2 years old. This begins 2 years from the date the file is closed. If the file is closed 31 DEC 2005, it is not eligible for transfer or destruction until JAN 2008, 2 full calendar years after date the file is closed.

(3) Authority. On the next two lines after the "Disposal Action" type the authority that established the retention period and disposal action, i.e., SECNAV M-5210.1, PART III, CHAP. 1, PARA. 1000.2. Ensure all text is capitalized when typing this information, and includes three commas.

(a) Temporary files have the number and the abbreviation for months or years required for retention typed one space after the paragraph number and in all caps. For example:

TEMP - JAN 2005- DESTROY
SECNAV M-5210.1, PART III,
CHAP. 1, PARA 1010.1 - 2 YRS

(b) Permanent files have "PERM", followed by the disposal action and date of disposal in all caps. For example:

PERM - TRANSFER - JAN 2008
TRANSFER TO WRNC WHEN 4 YRS OLD
SECNAV M-5210.1, PART III,
CHAP. 1, PARA. 1000.1c - 30 YRS

5. File Drawers and Cabinets Labels. The Marine Corps Records Management Program requires the proper labeling of file drawers to indicate the type of files, inclusive file numbers, and calendar or fiscal years of the files contained in the drawer(s). The label is placed on the front of each filing cabinet drawer. See figure 3-3.

6. Privacy Act

PRIVACY ACT OF 1974 STATEMENT

a. Official Correspondence. A command's official correspondence files may contain "personal information" protected by the Privacy Act of 1974 including but not limited to social security numbers, home addresses, and financial data on current or former command personnel. Guidance concerning the management of these types records and the safeguarding of personal information contained within is set forth in SECNAVINST 5211.5E.

b. It is recommended that file cabinets containing official correspondence files display a "statement pertaining to the safeguarding of personal information" in a conspicuous area where your files are stored. In this way it becomes a "public notice" that management of the files are governed by provisions established by the Privacy Act of 1974. The statement is placed on the outside of all file drawers containing correspondence files.

The following statement will satisfy this recommendation:

These correspondence files are indexed and retrieved by individual personal identifiers and contain protected personal information. THE PRIVACY ACT OF 1974 [5 USC 552a] and implementing regulation (SECNAVINST 5211.5D) provide that no information from these files may be disclosed without consent of the record subject except when such disclosure meets the criteria of one or more of the 12 exceptions set forth in the Act [5 USC 552a(b)(1)] through notice governing this file collection. Any unauthorized disclosure may result in civil and/or criminal penalties to the individual in his/her personal capacity and/or the Government.

c. A copy of the Privacy Act Systems of Records Notice that governs the correspondence files collection (i.e., NM05000-1 GENERAL CORRESPONDENCE FILES; NM05211-1 PRIVACY ACT REQUEST FILES AND TRACKING SYSTEM; NM-5720-1 FOIA REQUEST/APPEAL FILES AND TRACKING SYSTEM, etc.) should be filed with the files collection and should be readily accessible to office personnel. A listing of all DON and USMC Privacy Act Systems of Records Notices may be found on the DON Privacy Act On-Line website at <http://www.privacy.navy.mil>.

Assistance in identifying the applicable Privacy Act System of Records Notice may be obtained from your organization's Privacy Act Coordinator or from the USMC Privacy Act Manager at HQMC (ARSF)/phone: (703) 614-4008.

d. The USMC official that has responsibility for the creation and/or maintenance of the file collection is the Privacy Act System of Records Manager for the collection. It is his/her responsibility to ensure that proper safeguards are put into place to protect personal information contained within the files and to ensure that all office personnel with access to such information are properly trained on the proper handling and safeguarding of the files and data contained within the files.

e. Questions concerning Privacy Act statements, forms, reports, and/or violations should be directed to your organization's Privacy Act Coordinator.

7. Records Maintenance. Proper management of records ensures that complete records are maintained; records can be located when needed; records, non-record materials, and personal papers are maintained separately; and the identification and retention of permanent records are facilitated. Command designated records managers, administrative officers and administrative clerks are responsible for ensuring that:

a. Official files contain the basic incoming document and appendixes, if any, and the official file copy of outgoing correspondence, together with any essential supporting documents.

b. The official files of an office are located in close proximity to the users so as to discourage the creation of duplicate files by those with ready access to the official files. Duplicate files only serve to "split" the official files, causing incomplete documentation and waste of space, equipment, supplies, and personnel.

c. Files are closed on an annual (calendar or fiscal) year basis depending on the functional area. Offices may establish their financial records on a calendar year basis provided they are not the office of record for the fiscal functions of their activity and their financial records are small in volume and are general in nature. Close files at the end of the calendar or fiscal year in which the case is completed.

d. Loose filing is established as the preferred method of filing general correspondence in file folders. The use of prong fasteners or binders to secure papers in a file folder is accepted for certain applications. Examples are contract, case or project files, or files containing civilian or military records, which because of their nature, require constant handling and are frequently removed from the office of record.

e. A determination is made as to whether records are of permanent or temporary value is made prior to filing. The letters "P" or "T" should be written on the document along with the file number, prior to filing.

f. Records of permanent value are filed separate from records of temporary value. The file folder containing permanent record material should be placed in front of the related folder containing temporary material. When utilizing one folder for both categories, separate them by use of a divider, this provides for systematic disposition without review at the time of transfer or destruction.

g. All papers contained within each file are filed in chronological order from newest to oldest.

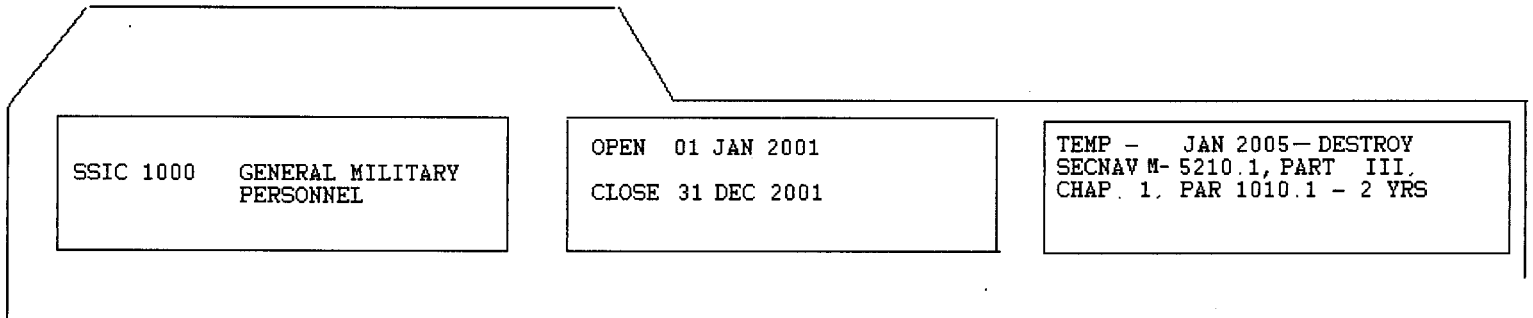
8. Records Retention and Disposition. Records disposition serves to preserve records that reflect the organization, functions, policies, decisions, procedures, and essential transactions of the Marine Corps. The disposition serves to:

a. Preserve records that are created to protect the legal and financial rights of the Government and of persons directly affected by Marine Corps action.

b. Ensure prompt disposition of non-current records through transfer to records centers, destruction, or other authorized disposition.

c. Establish safeguards against illegal removal, loss, or destruction of records.

SAMPLE TEMPORARY FILE FOLDER



SAMPLE PERMANENT FILE FOLDER

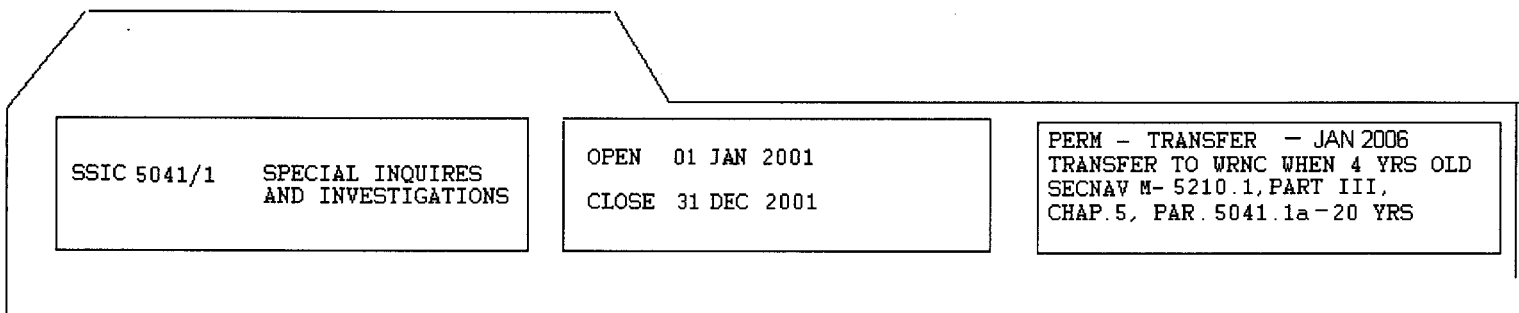


Figure 3-1.-FILE FOLDER

SAMPLE FILE OUTLINE

CY 2002

FILE NUMBER	SUBJECT	RETENTION STANDARDS
1000	MILITARY PERSONNEL (GENERAL)	PERM - TRANSFER - JAN 2007 TRANSFER TO WRNC WHEN 4 YRS OLD SECNAV M-5210.1, PART III, CHAP. 1, PARA. 1000.1c - 30 YRS
1010	INSPECTIONS	TEMP - DESTROY - JAN 2005 SECNAV M-5210.1, PART III, CHAP. 1, PARA. 1010.1 - 2 YRS
5120/1	BOND DRIVE	TEMP - DESTROY - JAN 2005 SECNAV M-5210.1, PART III, CHAP. 5, PARA. 5120.1 - 2 YRS
5320/1	BILLETS AND CEILINGS	TEMP - DESTROY - JAN 2005 SECNAV M-5210.1, PART III, CHAP. 5, PARA. 5320.1 - 2 YRS
5521/1	NAME CHANGES AND PERSONNEL CLEARANCE	TEMP - DESTROY - JAN 2005 SECNAV M-5210.1, PART III, CHAP. 5, PARA. 5521.1 - 2 YRS
6100	PHYSICAL FITNESS	TEMP - DESTROY - JAN 2005 SECNAV M-5210.1, PART III, CHAP. 6, PARA. 6100 - 2 YRS
7100	BUDGETING	TEMP - DESTROY - JAN 2005 SECNAV M-5210.1, PART III, CHAP. 7, PARA. 7100.1 - 2 YRS

Figure 3-2.--FILES OUTLINE

SAMPLE CABINET/DRAWER LABEL

CORRESPONDENCE FILES
1000 - Military Personnel (General)
To
7230 - Civilian Pay
Calendar Year - 2002
Fiscal Year - 2001

Figure 3-3.--FILE DRAWER LABEL

Chapter 4

ELECTRONIC RECORDS

1. Electronic Recordkeeping

a. The fact that information is created or stored electronically has no bearing upon whether that information is a record or nonrecord. Record status is determined by the same criteria for all information, regardless of the medium in which it is created or stored. Examples are magnetic tape, disks and drums, video film, and optical disks.

b. Electronic Records Management uses automated techniques to manage records, regardless of format. It supports records collection, organization, categorization, and storage of electronic records, metadata, and location of physical records, retrieval, use, and disposition.

c. As with paper records, electronic records can only be destroyed according to current records disposition instructions. Records stored electronically are destroyed by erasure or by using a program that will completely overwrite the data to be destroyed. Only by these methods can protection against unauthorized access to record information, which has been approved for destruction, be assured. Records that are stored on computers, digital media, or in a DOD approved Electronic Records Management application must be scheduled within the Department of the Navy Records Management Manual (SECNAV M-5210.1) prior to destruction and archival. All records stored in electronic or digital formats not scheduled will be transferred in approved format per the SECNAV M-5210.1. See chapter 6 for record archiving procedures.

d. Following are guidelines on how to manage records created, stored, or transmitted using personal computers or other electronic office equipment.

(1) Ensure that records created, stored, or transmitted using personal computers or other equipment are maintained and disposed of per current records disposition instructions (SECNAV M-5210.1). When planning a new system, or a major revision of an existing system, contact CMC (ARDB) for assistance in development of Standard Form 115 (SF-115) for inclusion in current records disposition instructions.

(2) Institute procedures to prevent unauthorized access to, loss, removal, or theft of, official records created or acquired in electronic form.

(3) Standardize the internal and external labeling of disks and diskettes to facilitate retrieval of current as well as future accessibility. Include title/subject, date(s), description instructions, and identification of the equipment on which the records were created.

(4) Avoid inadvertent destruction of records by using software, which requires that before a document can be created, the user must list whether he item is a record, the SSIC, and disposition instructions. If a variety of application software is used on the same machine, require the user to identify which application software is used.

(5) Consider the personnel turnover when preparing indexes to electronic records. Also, consider what indexes will be required by persons to whom the records may be transferred. Examples include such things as date, subject, sender, receiver, and number, such as, case, contract, purchase order, etc. Print out the index to ensure easy access.

(6) When possible, design systems that are compatible with a variety of other systems. In the event of system upgrading or replacement, this provides ease in converting the old system to the new and/or in designing the new system so that records in the old system continue to be usable until their authorized disposition date.

(7) Convert permanent records earmarked for eventual transfer to National Archives and Records Administration (NARA), per the medium authorized in the records disposition manual.

(8) Ensure that electronic records are destroyed at the time of their authorized destruction. Records, which have been authorized for destruction but which have not been destroyed may be subject to Freedom of Information requests.

(9) When the same information is stored on more than one medium, such as paper and disk, ensure the disposition instructions for all copies are contained in current disposition instructions.

2. Electronic Record Storage Medium. Records may be stored on paper, magnetic tape, or disks, and optical digital data disks. Each medium has characteristics that may or may not make it suitable, depending upon the requirements. For approved storage mediums see 36 CFR Chapter XII, Subchapter B, Part 1228.

a. Ensure that the medium and system chosen to store records can satisfy basic requirements such as:

(1) The need to quickly retrieve the information.

(2) The need for more than one person to have the information simultaneously.

(3) The need to retain the information until the authorized disposition date.

b. Consider transferring from one medium to another medium, when information must be retained and the transfer will:

(1) Reduce current cost.

(2) Enhance the usefulness of the information.

(3) Provide the required long-term preservation of the information.

c. Ensure that the converted records accurately reflect the information in the old record. Consider the following points prior to undertaking conversion projects:

- (1) Will the information be easier to use?
- (2) Will new equipment be required?
- (3) Will the conversion result in more cost-effective information management?
- (4) Will the ability to process the information be affected?
- (5) Will the exchange of information be affected?
- (6) Will the integrity of the records be enhanced?
- (7) Will the new medium be satisfactory to NARA for permanent records?

3. Software for Electronic Systems. The software selected determines the success or failure of an electronic record keeping system. The following considerations will help in evaluating software. Any software application must comply with DOD 5015-2 STD.

- a. Ensure that information stored on the current system is usable or convertible so that it may be used on the new system.
- b. Develop procedures that will ensure the security of information without significantly hampering legitimate access to the information.
- c. Ensure that identifying information is incorporated in a manner easily used by personnel.
- d. Ensure that the system is able to accommodate the data transportability specifications for those permanent records that will be transferred to NARA.

4. Management of Electronic Mail as a Record

a. Electronic mail must be handled as a record. If an electronic mail is a record, you should print a paper copy with the transmission data and file it appropriately or save it into an electronic record keeping system. The following standards for management of electronic mail records must be met:

- (1) Transmission and receipt data must be preserved for each electronic mail record in order for the context of the message to be understood.
- (2) Electronic mail systems that identify users by codes or nicknames or identifies sender and addressee(s) only by the name of a distribution list

shall include as part of the record the true identity of sender and addressee(s) by employee name(s) or position(s).

(3) When using an electronic mail system that allows users to request acknowledgements or receipts showing that a message reached the mailbox or in box of each addressee, or that an addressee opened the message:

(a) Require acknowledgements or receipts be used only when the information is important to the mission as evidence of the transaction of official business.

(b) Preserve acknowledgements and receipts as part of the record.

(4) Electronic mail systems with the capability to access external electronic mail systems shall ensure that records sent or received using this capability are managed the same as other electronic mail records.

(5) Calendars and task lists provided for use by users of some electronic mail systems may meet the definition of a record, and shall be managed accordingly.

(6) Any recordkeeping system (electronic or non-electronic) that includes the content of electronic mail messages must:

(a) Provide for the grouping of related records into classifications according to the nature of the mission the records serve.

(b) Permit easy and timely retrieval of both individual records and files or other groupings of related records.

(c) Retain the records in a usable format for their required retention period as specified in approved records schedules.

(d) Be accessible by individuals who have a mission need for information in the system.

(e) Preserve transmission and receipt data.

(f) Permit transfer of permanent records to the National Archives and Records Administration.

b. Transitory electronic mail records are records of short-term (180 days or less) interest, including in electronic form (e.g., e-mail messages), which have minimal or no documentary or evidential value. Examples of transitory e-mail and other records include, but are not limited to:

(1) Routine requests for information or publications and copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply.

(2) Originating office copies of letters of transmittal that do not add any information to that contained in the transmitted material, and receiving office copy if filed separately from transmitted material.

(3) Quasi-official notices including memoranda and other records that do not serve as the basis of official actions, such as notices of holidays or charity and welfare fund appeals, bond campaigns, and similar records.

(4) Records documenting routine activities containing no substantive information, such as routine notifications of meetings, scheduling of work-related trips and visits, and other scheduling related activities.

(5) Suspense and tickler files or "to-do" and task lists that serve as a reminder that an action is required on a given date or that a reply to action is expected, and if not received, should be traced on a given date.

Chapter 5

FEDERAL RECORDS HOLDS/FREEZES/PRESERVATION ORDERS

1. Exceptions to Standards when Litigation, Investigations, Claims, Demands and Accounts are Pending. Regardless of the retention standards established in the Navy and Marine Corps Records Management Manual, records pertaining to the following shall not be destroyed:

- a. Unsettled claims for or against the Government.
- b. Current or pending litigation.
- c. Incomplete investigations.

d. Until settlement of claims and demands by or against the Government of the United States have been settled and adjusted in the Government Accountability Office (GAO).

2. The records listed in paragraph 1, will not be destroyed but retained, until final disposition authorization is provided.

3. The Records, Reports, and Directives Management Section, CMC (ARDB) responsibilities for implementing preservation orders is to notify all Marine Corps Commands and HQMC Staff Agencies of the preservation order, and assist with any questions that may arise or coordination that may be required. CMC (ARDB) will post the notification on the Marine Corps Records Management website.

4. The Command Designated Records Managers (CDRM) responsibilities are to locate and protect all records referred to in the notification. The applicable CDRMs will liaison with and notify the appropriate personnel to ensure the retention of electronic documents and electronic mail (e-mail).

Chapter 6

ARCHIVAL OF RECORDS

1. Introduction. This chapter contains the procedures for archiving records. The Command Designated Records Manager (CDRM), at HQMC staff agencies and at the command level, responsibilities include ensuring that all inactive records of permanent and temporary value are transferred to the Federal Records Centers (FRCs) for archival via CMC (ARDB). Temporary records must have a retention period of at least 3 yrs prior to being submitted.

2. Records Transmittal and Receipt, Standard Form 135 (SF-135)

a. Purpose. The purpose of the SF-135 (appendix A) is to initiate the transfer of records to one of the FRCs located nation-wide. The SF-135 is also the transferring command's receipt for records submitted to the Federal Records Centers (FRC). The SF-135 can be obtained at:

- (1) Records Management Website (MS WORD)
- (2) Marine Corps Forms Website
- (3) National Archives Website

b. Record Container. Prior to submitting the SF-135 to CMC (ARDB), the CDRM must ensure that they are in the correct containers and packaged properly. There is only one approved container for archiving records. The nomenclature for this container is BOX, SHIPPING, FIBERBOARD, and SPECIAL PURPOSE (RECORDS RETIRING) the National Stock Number (NSN) is 8115-00-117-8249. These are the only approved containers that the FRCs and National Archives and Records Administration (NARA) will accept. If you send records to the FRCs in the incorrect container they will be sent back to the command of origin. (See appendix B for packaging instructions)

c. Accession Number. Each SF-135 receives an accession number. The accession number is broken into the following sections on the SF-135:

- (1) Record Group (RG)
- (2) Fiscal Year (FY)
- (3) Number Series

The Marine Corps has 2 records groups for its records, RG 127 and RG 313. Record group 127 is the most commonly used record group. Record group 313 is used for the transfer of Aviation units Master Flight files, Naval Flight Records and mishap reports only. All other records will be assigned to record group 127. The accession number is essential for the tracking of records held within the various FRCs. Accession numbers are assigned by CMC (ARDB) only, SF-135s must be submitted to CMC (ARDB) prior to being sent to any of the FRCs.

3. Submission of SF-135:

a. Normally only one accession, per SF-135 is assigned per calendar year. If you have records that consist of calendar years 2000 and 2001, one SF-135 must be completed per year. Figure 6-1 contains the instructions for completing the SF-135 form. (Appendix A is an example of the SF-135 form)

Each record-retiring box is equal to 1 cubic foot. The FRCs and NARA require that each box is at least 3/4 full. Some commands may not have enough records to fill 3/4 of a box. If a command does not have sufficient records to fill 3/4 of a box, the command may elect to do the following:

- Retain records on hand until the command has the sufficient amount.
- Combine record years, as long as the records have the same SSIC. The disposal date is computed using the oldest files in the box.

b. The CDRM is responsible for ensuring all the information on the SF-135 is correct and corresponds with the physical records prior to submission.

c. Internal records retention period, starts the first day of the year after all files are closed. This means files closed should not be transferred or destroyed until their full retention has been fulfilled.

For example SSIC 1650.3b requires records to be sent to the Washington National Records Center (WNRC) when 2 years old. This begins 2 years from the date the file is closed. If file is closed, 31 DEC 2005, it is not eligible for transfer or destruction until JAN 2008, 2 full calendar years after the date the file is closed. The disposal date differs from the retention period. The retention period describes how long to retain the records before transfer. The disposal date is the date the records become eligible for destruction or transfer to NARA. The disposal date is computed from the last day of the calendar year the files are closed, regardless of how much time elapses between the closing of the file and the transfer to the FRC or NARA.

d. Once the SF-135 is completed, submit it to CMC (ARDB). The SF-135 is then checked to ensure all the required information is correct and the file listing is attached (if necessary). If there are any major corrections needed the SF-135 will be returned to the originator for correction.

There are 3 different ways the SF-135 can be submitted to CMC (ARDB):

- (1) U.S. or Military mail
- (2) Fax
- (3) e-mail attachment

If you choose to mail the SF-135, expect a longer processing time. The mailing address for CMC (ARDB) is:

COMMANDANT OF THE MARINE CORPS (ARDB)
HEADQUARTERS, U.S. MARINE CORPS
2 NAVY ANNEX RM 1212
WASHINGTON D.C. 20380-1775

To submit via fax:
703-693-7270 or DSN 223-7270

To submit via e-mail:
HQMCREC-MGR@USMC.MIL

Once the SF-135 is correct, it is signed by the Marine Corps Records Manager and forwarded to the appropriate Federal Records Center for approval for transfer.

After the SF-135 form is approved for transfer by the appropriate FRC, CMC (ARDB) will mail the command point of contact, a letter authorizing the transfer of records and a copy of the SF-135(s) signed by the Marine Corps Records Manager.

Regardless of how your SF-135 is submitted, the following information must be provided by the originating command:

- (1) Full Unit name and Mailing address, no initials or codes (i.e., VMFA)
- (2) Name and rank of CDRM
- (3) Commercial telephone and fax numbers

When the unit receives the authorization letter, then the records can be sent to HQMC.

4. Transfer of Records to Federal Record Center

a. After receipt of the transfer authorization letter and approved SF-135(s), the command will forward all records to CMC (ARDB). CMC (ARDB) will forward all records to the appropriate FRC.

b. Records submitted to FRCs or NARA must be in the appropriate container. The FRCs and NARA will only accept records that are packaged correctly, contain the signed SF-135 and file listing (if necessary) and are in the approved Record Retiring Box (NSN 8115-00-117-8249). All records submitted to CMC (ARDB) incorrectly will be returned to command of origin to be corrected and resubmitted.

5. Labeling, Packaging and Shipping of Records

a. All records will be packed into box(es), label side forward, with original file folders included, in the same order as listed on the SF-135 or file listing. (See appendix B for labeling and packaging instructions) Place a copy of the SF-135 into box one (1) of each accession.

b. The accession number will be posted onto the front of the box, in permanent black marker, in 1 inch to 1 ½ letters. Accession numbers are assigned by CMC (ARDB) only. Any records submitted directly to the FRCs or NARA will be returned to the command of origin.

c. The agency box number is the number of boxes in the accession. One box would be listed as 1 of 1; three boxes would be listed 1 of 3, 2 of 3 and 3 of 3. If you have multiple single box accessions, each box is considered separate and the agency box number should reflect the same.

d. DO NOT tape the boxes closed. Once received by CMC (ARDB) the boxes are inspected to ensure they are properly packaged, that they match the SF-135 and there are no foreign materials submitted.

e. Once all the records are packaged and labeled correctly. Records are then mailed to CMC (ARDB).

f. CMC (ARDB) will facilitate the delivery of records to the FRCs, upon arrival at the FRC, they are assigned a location number.

g. The FRC will assign a location number to your records, once they are shelved. The location number is an alphanumeric code assigned to the boxes in each accession. The SF-135 is then returned to CMC (ARDB). Once CMC (ARDB) receives the SF-135 and location number from the FRC, CMC (ARDB) will contact the command via official letter providing a copy of the completed SF-135.

h. The SF-135 must be retained until notification of destruction or transfer to NARA from the FRC. Commands are notified of transfer or destruction from CMC (ARDB). Transfers are transmitted via official letter of Transfer and SF-258, provided by NARA. Destructions are transmitted via official letter of Eligibility for Disposal and Form NA-13001 Notice of Eligibility for Disposal.

6. Records Management Forms. Within records management arena, there are more forms than the SF-135. CDRMs may receive letters from CMC (ARDB) describing coming events and actions being taken.

a. SF-115, Request for Records Disposition Authority. The purpose of this form is to request a records disposition authority, for unscheduled records or change a records disposition authority. Commands should submit written justification for proposing a new, addition or change to records disposition to CMC (ARDB). (See appendix C)

b. NA-13001, Notice of Eligibility for Disposal. The purpose of this form is to inform the records owner (command) that the records held within the FRC have reached the end of their retention time. Within this notice is the accession number, record description, volume and the location within the FRC where the records are held. All commands will be notified prior to the destruction via official letter from CMC (ARDB). If records should be destroyed, Command Designated Records Managers must sign the NA-13001 and return it to CMC (ARDB). If records should not be destroyed, the Command Designated Records Manager must submit a letter to CMC (ARDB) with justification as to why the records should be retained and for how long. The

records identified on the NA-13001 will not be destroyed until the form is received with the appropriate signature. (See appendix D)

c. SF-258, Agreement to Transfer Records to the National Archives. Records of permanent value are transferred from the FRCs to the NARA via a SF-258. Once these records are transferred they are no longer property of the Marine Corps. (See appendix E)

d. NA FORM 13016, Notice of Accession Location Change. Once the commands records are in the FRC they are given a location number. When records within the FRCs are moved a Notice of Accession Change is sent to CMC (ARDB). CMC (ARDB) will notify the command via official letter and provide a copy of the notice. The notice should be retained with the corresponding SF-135 until notice of destruction or transfer is received. (See appendix F)

INSTRUCTIONS FOR COMPLETING THE STANDARD FORM - 135

The following are instructions for completing the SF-135:
* DENOTES REQUIRED INFORMATION ON SF-135.

BOX 1.* WASHINGTON NATIONAL RECORDS CENTER
ACCESSION AND DISPOSAL BRANCH
4205 SUITLAND RD
SUITLAND MD. 20746-8001

BOX 2.* LEAVE BLANK (WILL BE ENTER UPON RECEIPT OF SF-135 BY CMC (ARDB))

BOX 3.* LEAVE BLANK (WILL BE ENTER UPON RECEIPT OF SF-135 BY CMC (ARDB))

BOX 4. LEAVE BLANK (FIELD TO BE COMPLETED BY THE FEDERAL RECORDS CENTER UPON RECEIPT OF YOUR RECORDS)

BOX 5.* COMMANDANT OF THE MARINE CORPS
HEADQUARTERS, U.S. MARINE CORPS (ARDB)
2 NAVY ANNEX RM 1212
WASHINGTON D.C. 20380-1775

BOX 6(A)* 127 (GROUND RECORDS) 313 (FOR FLIGHT RECORDS)

6(B) *03 (CALENDAR YR THAT THE RECORDS ARE BEING SENT IN. NOT THE YEAR THEY WERE MAINTAINED IN)

6(C) NUMERICAL SERIES, LEAVE BLANK (WILL BE ENTERED UPON RECEIPT OF SF-135 BY CMC (ARDB))

6(D)* NUMBER OF BOXES TO BE ARCHIVED

6(E)* LIST OF BOXES IN ACCESSION IE... 1 OF 5, 2 OF 5 ETC.

6(F)* DESCRIPTION OF FILES WITHIN EACH BOX. DO NOT INCLUDE SSN'S OR DATES OF BIRTH. A COMPLETE INVENTORY OF EVERY FILE THAT WILL BE PLACED IN EACH BOX IN THE ACCESSION FILE LISTINGS CAN BE ATTACHED ON A SEPARATE PAPER IF THERE ISN'T ENOUGH ROOM ON THE SF-135

I.E. JAN 01 2001 - DEC 31 2001
ANDERSON -COLUMBUS
DYMARIS - EBERT

6(G) IF RECORDS ARE CLASSIFIED ENTER THE CLASSIFICATION HERE. IF NO CLASSIFICATION EXIST LEAVE BLANK

6(H)* THE SSIC PARAGRAPH NUMBER THAT THESE RECORDS FALL UNDER FOR STORAGE
I.E. SECNAV M-5210.1 CHAP III, SSIC 1650.3B

6(I)* THE DISPOSAL DATE (THE NUMBER OF YRS TO BE HELD FOR, FROM THE DATE ORIGINATED PLUS 1 YR)

6(J) LOCATION NUMBER. LEAVE BLANK (FIELD TO BE COMPLETED BY THE FEDERAL RECORDS CENTER UPON RECEIPT OF YOUR RECORDS)

6(K) LOCATION NUMBER. LEAVE BLANK (FIELD TO BE COMPLETED BY THE FEDERAL RECORDS CENTER UPON RECEIPT OF YOUR RECORDS)

6(L) LOCATION NUMBER. LEAVE BLANK (FIELD TO BE COMPLETED BY THE FEDERAL RECORDS CENTER UPON RECEIPT OF YOUR RECORDS)

6(M) LOCATION NUMBER. LEAVE BLANK (FIELD TO BE COMPLETED BY THE FEDERAL RECORDS CENTER UPON RECEIPT OF YOUR RECORDS)

Figure 6-1.--INSTRUCTIONS FOR COMPLETING THE STANDARD FORM - 135

RECORDS TRANSMITTAL AND RECEIPT		COMPLETE AND SEND ORIGINAL AND TWO COPIES OF THIS FORM TO THE APPROPRIATE FEDERAL RECORDS CENTER FOR APPROVAL PRIOR TO SHIPMENT OF RECORDS. SEE SPECIFIC INSTRUCTIONS ON REVERSE.	PAGE 1	OF PAGES
1. TO		(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)	5. FROM (Enter the name and complete mailing address of the office retaining the records. The signed receipt of this form will be sent to this address)	
Federal Records Center				
2. AGENCY TRANSFER AUTHORIZATION	TRANSFERRING AGENCY OFFICIAL (Signature and title)	DATE		
3. AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.)	DATE		
4. RECORDS CENTER RECEIPT	RECORDS RECEIVED BY (Signature and title)	DATE		

RECORDS DATA						COMPLETED BY RECORDS CENTER					
ACCESSION NUMBER		VOLUME NUMBER (or ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	LOCATION	SHELF PLACED	CONTAINER TYPE	AUTO DISPOSE
RG	FY	(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)

Fold Line

INSTRUCTIONS FOR THE LABELING AND SHIPPING OF MARINE CORPS RECORDS

PROPER LABELING, SHIPPING AND PACKAGING OF BOX(ES).

LABELING

ACCESSION NUMBER (LEFT HAND SIDE)

AFTER THE FILES ARE ASSIGNED AN ACCESSION NUMBER, BY THE RECORDS REPORTS AND DIRECTIVES SECTION (ARDB) WRITE IN 1 TO 1 1/2 THE NUMBERS ASSIGNED. FOR EXAMPLE. WRITE IN 127-05-0001

IN THE SPACES PROVIDED. AS WHERE SHOWN ON BOX(ES).

AGENCY BOX NUMBER (RIGHT HAND SIDE)

THE SEQUENTIAL NUMBER ORDER, ACCORDING TO THE NUMBER OF BOX(ES) ON THE SF-135. FOR EXAMPLE.

IF YOU HAVE ONE BOX....

1 OF 1

IF YOU HAVE TWO BOXES....

1 OF 2 (FIRST BOX OF EACH ACCESSION)

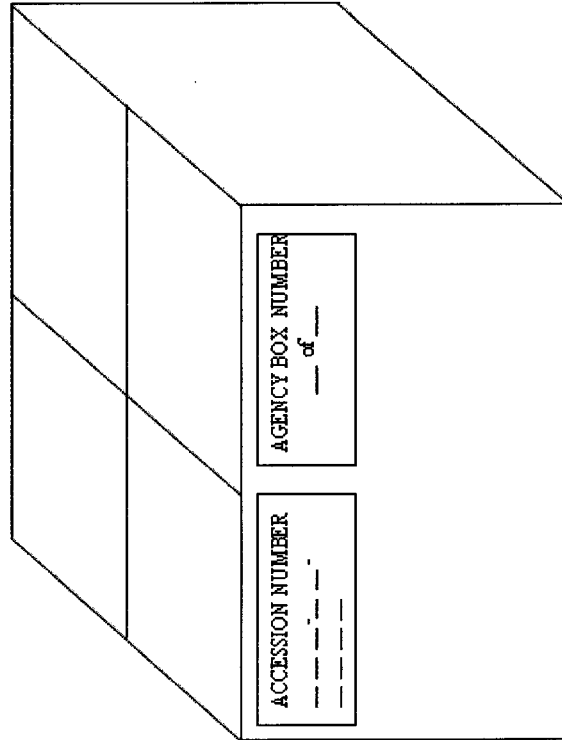
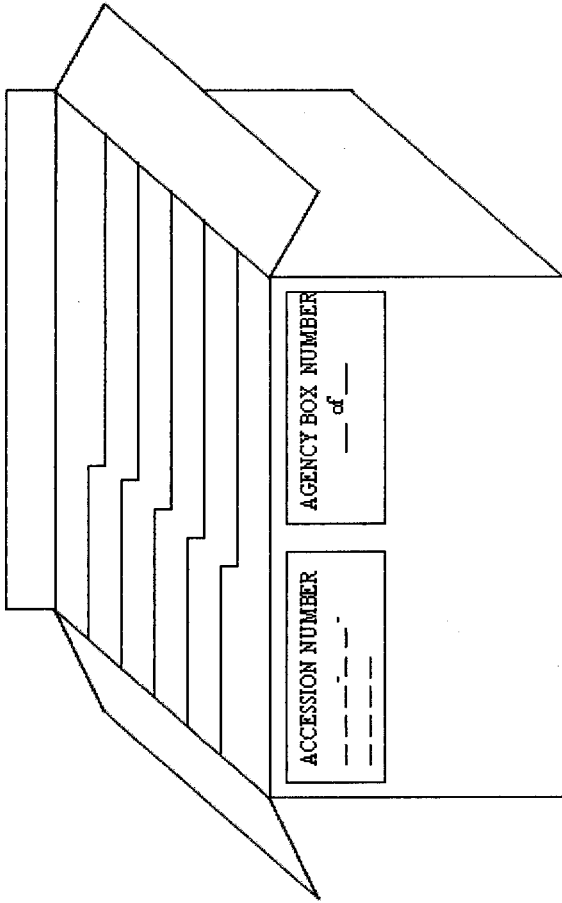
2 OF 2 (SECOND BOX OF ACCESSION)

PACKING OF BOX(ES)

EACH BOX IN THE ACCESSION, SHOULD BE PLACED IN THE RECORD CENTER BOXES WITH THE ORIGINAL FILE FOLDER/BINDER. THE STANDARD SUBJECT IDENTIFICATION CODE, OPEN AND CLOSE DATES AND DISPOSITION SHOULD BE CLEARLY VISIBLE WHEN BOX IS OPENED.

SHIPPING OF BOXES TO HQMC.

THE FLAPS ON THE BOXES SHOULD BE FOLDED ONTO EACH. DO NOT PLACE TAPE ON THE BOX(ES). ALL RECORDS SHIPPED TO HEADQUARTERS MARINE CORPS BE WRAPPED IN BROWN SHIPPING PAPER PRIOR TO BEING MAILED TO HEADQUARTERS MARINE CORPS.



APPENDIX B

B-1

Request for Records Disposition Authority <small>(See Instructions on reverse)</small>		Leave Blank (NARA Use Only)	
To: National Archives and Records Administration (NIR) Washington, DC 20408		Job Number	
1. From: (Agency or establishment)		Date Received	
2. Major Subdivision		Notification to Agency In accordance with the provisions of 44 U.S.C. 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. Minor Subdivision			
4. Name of Person with whom to confer	5. Telephone (include area code)	Date	Archivist of the United States
6. Agency Certification			
I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies:			
<input type="checkbox"/> is not required <input type="checkbox"/> is attached <input type="checkbox"/> has been requested			
Signature of Agency Representative		Title	Date (mm/dd/yyyy)
7. Item Number	8. Description of Item and Proposed Disposition	9. GRS or Superseded Job Citation	10. Action taken (NARA Use Only)

NOTICE OF ELIGIBILITY FOR DISPOSAL			DATE OF NOTICE	DISPOSAL DATE
<p>The records described in this notice appear eligible for disposal on the date shown. In accordance with 38 CFR 1228.170(b), they will be destroyed only with the concurrence of the agency having legal custody of the records. If you concur with the destruction of these records, sign and date this notice in the appropriate blocks below, return the notice to the Federal Records Center, and annotate your SF 135 (all copies) to show that the records have been destroyed.</p>			RECORDS DESCRIPTION	
			ACCESSION NUMBER	SUBGROUP
REMARKS			DISPOSAL AUTHORITY	VOLUME (e.g.)
			SERIES DESCRIPTION, INCLUSIVE DATES, AND BOX NUMBERS (# applicable)	
			ADDRESS OF FEDERAL RECORDS CENTER	
SIGNATURE	TITLE	DATE		

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

NA 13001 (Rev. 6-99)

APPENDIX D
D-1

Enclosure (1)

AUTHORIZED FOR LOCAL REPRODUCTION

AGREEMENT TO TRANSFER RECORDS TO THE NATIONAL ARCHIVES OF THE UNITED STATES		1. INTERIM CONTROL NO. (NARA Use Only)
TERMS OF AGREEMENT		
<p>The records described below and on the attached _____ pages are deposited in the National Archives of the United States in accordance with 44 U.S.C. 2107. The transferring agency certifies that any restrictions on the use of these records are in conformance with the requirements of 5 U.S.C. 552.</p> <p>In accordance with 44 U.S.C. 2108, custody of these records becomes the responsibility of the Archivist of the United States at the time of transfer of the records. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 36 CFR XII, 36 CFR Part 1256 and such other rules and regulations as may be prescribed by the Archivist of the United States (the Archivist). Unless specified and justified below, no restrictions of the use of these records will be imposed other than the general and specific restrictions on the use of records in the National Archives of the United States that have been published in 36 CFR Part 1256 or in the <i>Guide to the National Archives of the United States</i>. The Archivist may destroy, donate, or otherwise dispose of any containers, duplicate copies, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation. Without further consent, the Archivist may destroy deteriorating or damaged documents after they have been copied in a form that retains all of the information in the original document. The Archivist will use the General Records Schedule and any applicable records disposition schedule (SF 115) of the transferring agency to dispose of nonarchival materials contained in this deposit.</p>		
2A. AGENCY APPROVAL Signature _____ Date _____	3A. NARA APPROVAL Signature _____ Date _____	
2B. NAME, TITLE, MAILING ADDRESS _____ _____ _____	3B. NAME, TITLE, MAILING ADDRESS _____ _____ _____	

RECORDS INFORMATION

4A. RECORDS SERIES TITLE _____ 4B. DATE SPAN OF SERIES _____ 5A. AGENCY OR ESTABLISHMENT _____ 5B. AGENCY MAJOR SUBDIVISION _____ 5C. AGENCY MINOR SUBDIVISION _____ 5D. UNIT THAT CREATED RECORD _____ 5E. AGENCY PERSON WITH WHOM TO CONFER ABOUT THE RECORDS Name _____ Telephone Number (_____) _____ 6. DISPOSITION AUTHORITY: _____ 7. IS SECURITY CLASSIFIED INFORMATION PRESENT? <input type="checkbox"/> NO <input type="checkbox"/> YES LEVEL: <input type="checkbox"/> Confidential <input type="checkbox"/> Secret <input type="checkbox"/> Top Secret SPECIAL MARKINGS: <input type="checkbox"/> RD/FRD <input type="checkbox"/> SC <input type="checkbox"/> NATO <input type="checkbox"/> Other _____ INFORMATION STATUS: <input type="checkbox"/> Segregated <input type="checkbox"/> Declassified 8. CURRENT LOCATION OF RECORDS _____ Agency (Complete 5A only) _____ Federal Records Center (Complete 5B only) 8A. ADDRESS _____ _____ _____	9. PHYSICAL FORMS <input type="checkbox"/> Paper Documents <input type="checkbox"/> Posters <input type="checkbox"/> Paper Publications <input type="checkbox"/> Maps and Charts <input type="checkbox"/> Microfilm/Microfiche <input type="checkbox"/> Arch / Eng Drawings <input type="checkbox"/> Electronic Records <input type="checkbox"/> Motion / sound / Video <input type="checkbox"/> Photographs <input type="checkbox"/> Other (specify): _____ 10. VOLUME: (Cu. _____ Ft. _____) Number _____ Type _____ 11. DATE RECORDS ELIGIBLE FOR TRANSFER TO THE ARCHIVES _____ 12. ARE RECORDS FULLY AVAILABLE FOR PUBLIC USE? <input type="checkbox"/> YES <input type="checkbox"/> NO (If no, attach limits on use and justification.) 13. ARE RECORDS SUBJECT TO THE PRIVACY ACT? <input type="checkbox"/> YES <input type="checkbox"/> NO (If yes, cite Agency system Number and Federal Register volume and page number of most recent notice and attach a copy of this notice.) 14. ATTACHMENTS <input type="checkbox"/> Agency Manual Excerpt <input type="checkbox"/> Listing of Records Transferred <input type="checkbox"/> Additional Description <input type="checkbox"/> NA form 14097 or Equivalent <input type="checkbox"/> Privacy Act Notice <input type="checkbox"/> Microform Inspection Report <input type="checkbox"/> Other (specify): _____ <input type="checkbox"/> SF(a) 135	
8B. FRC ACCESSION NUMBER _____	CONTAINER NUMBER(S) _____	FRC LOCATION _____

NARA PROVIDES

15. SHIPPING INSTRUCTIONS TO AGENCIES/REMARKS REGARDING DISPOSITION _____ _____ _____	R# _____
16. RECORDS ACCEPTED INTO THE NATIONAL ARCHIVES OF THE UNITED STATES Signature _____ Date _____	17. NATIONAL ARCHIVES ACCESSION NO. _____

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

SF 258 (9/95)
Prescribed by NARA 36 CFR 1226

NOTICE OF ACCESSION LOCATION CHANGE		DATE OF NOTICE	NEW LOCATI
THE RECORDS DESCRIBED IN THIS NOTICE HAVE BEEN RELOCATED WITHIN THE CENTER. PLEASE NOTE THIS CHANGE ON YOUR SF-135, AS THIS NEW LOCATION MUST BE FURNISHED WITH ANY REQUEST FOR RECORDS FROM THIS ACCESSION.	RECORDS DESCRIPTION		
	ACCESSION NUMBER	SUBGROUP	
	DISPOSAL AUTHORITY	VOLUME (Cu. R.)	
	SERIES DESCRIPTION		
	ADDRESS OF FEDERAL RECORDS CENTER		
REMARKS			

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION **NA FORM 1301**

APPENDIX F
F-1