IN REPLY REFER TO
ASO 5210.1
ADJ
2 2 SEP 2021

AIR STATION ORDER 5210.1

From: Commanding Officer, Marine Corps Air Station, Cherry Point
To: Distribution List

Subj: RECORDS MANAGEMENT PROGRAM

Ref: (a) SECNAV M-5210.1
       (b) MCO 5212.11F
       (c) MCBUL 5210
       (d) 5 USC 552a
       (e) SECNAVINST 5211.5E
       (f) SECNAVINST 5210.8F
       (g) NARA Bulletin 2017-01

Encl: (1) Records Management / Essential Records Standing Operating Procedures

1. <u>Situation</u>. Per the references, Marine Corps Air Station Cherry Point (MCAS CHERPT) will establish a uniformed process for managing electronic and hard copy records.

2. <u>Cancellation</u>. ASO 5210.

3. <u>Mission</u>. Effective immediately, this Order establishes the MCAS CHERPT Records Management Program in order to ensure a uniformed system to properly manage and dispose of records across the Station.

4. <u>Execution</u>

   a. <u>Commanding Officer's Intent and Concept of Operations</u>

      (1) <u>Commanding Officer's Intent</u>. To create a command Records Management Program in compliance with Marine Corps Orders and Directives concerning Records Management.

      (2) <u>Concept of Operations</u>. The MCAS CHERPT Adjutant Section will take charge of the Records Management Program as the Command Designated Records Managers (CDRMs) and adhere to the orders and regulations of the Marine Corps standards concerning records management.

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b. Tasks

(1) CDRMs

(a) Assist the Commanding Officer with oversight of the Command Records Management Program.

(b) Serve as the liaison with Headquarters Marine Corps (HQMC), Administrative and Resources Division (AR), Records, Reports, Directives, and Forms Management Branch (ARDB) to determine records management best practices.

(c) Verify appointment letter is generated after registering for (CROSS) at: https://eis.usmc.mil/sites/CROSS/SitePages/CDRM_Home.aspx.

(d) Appoint and designate in writing a Primary and Alternate CDRM within the Adjutant Section.

(e) Equip and empower fellow Staff Records Managers (RMs) to establish proper records management practices.

(f) Serve as the command representative and conduct day-to-day administration of the command Records Management Program.

(g) Assist RMs to transfer records to the appropriate Federal Records Center (FRC), HQMC (ARDB), and/or National Archives and Records Administration (NARA) as directed by appropriate records dispositions if appropriate.

(h) Preserve records that protect the legal and financial rights of the Federal Government and the Marine Corps.

(i) Serve as command and subordinate activity liaisons for the transfer of records to the NARA and the FRCs in coordination with HQMC (ARDB).

(j) Attend HQMC (ARDB)-sponsored CDRM meetings and training sessions.

(k) Conduct interval self-inspections to improve local records management programs and practices.

(l) Monitor conversion of paper records to electronic records using the guidelines outlined.

(m) Provide assistance to Directorates / Sections to develop and implement an Essential Records Program.

(n) Ensure annual and pre-deployment records training requirements and responsibilities are met.

(o) Ensure Directorates / Sections identify vital records, institute a Vital Records Program, and incorporate the Vital Records program into the command's Continuity of Operations Plan (COOP), and Safety Plan / Emergency Evaluation Plan.

(2) <u>Staff Section Records Managers</u>

(a) Adhere to directions of CDRMs in accordance with the oversight of the Command Records Management Program.

(b) Ensure all records are properly maintained, managed, and secured in accordance with regulations.

(3) <u>Headquarters and Headquarters Squadron CDRMs</u>. Serve as the System Manager for the Squadron, as well as maintain a listing of all RMs within the unit. Maintain proper records management throughout the Squadron in accordance with the applicable regulations.

c. <u>Coordinating Instructions</u>

(1) <u>Record System</u>

(a) <u>Hard Copy Records</u>. Additional guidance on maintaining hard copy records are outlined in enclosure (1) of this order. In general, the standard for maintaining records is via electronic means unless the references outline other requirements. Hard copy records will be maintained in a secure filing cabinet away from the public. Label filing cabinets with a privacy act statement and unit file plan.

(b) <u>Electronic Records</u>. Maintain electronic records in accordance with Marine Corps Tool for Information Lifecycle Management (MCTILM). Maintain electronic copies of all records, to including vital records.

(c) <u>Essential Records</u>. Any record deemed critical for the reorganization or reconstruction of the unit in times of emergency. Vital record types include: Legal, Financial, Inspections, and Directives, etc.

(d) <u>Disposition of Records</u>. CDRMs and RMs will establish and abide by dispositions procedures in accordance with Secretary of the Navy (SECNAV) M-5210.1.

(e) <u>Training</u>. Complete training annually in accordance with MarineNet and the command CDRM requirements.

5. <u>Administration and Logistics</u>

a. Forward recommendations concerning the content of this Order to the MCAS CHERPT CDRM.

b. Records created as a result of this Order shall be managed according to NARA dispositions per the references to ensure proper maintenance, use, accessibility and preservation, regardless of format or medium.

c. Any misuse or unauthorized disclosure of Personally Identifiable Information (PII) may result in both civil and criminal penalties. The Department of Navy (DON) recognizes that the privacy of an individual is a personal and fundamental right that shall be respected and protected. The DON's need to collect, use, maintain, or disseminate PII about individuals for purposes of discharging its statutory responsibilities will be balanced against the individuals' right to be protected against unwarranted invasion of privacy. All collection, use, maintenance, or dissemination of PII will be in accordance with the Privacy Act of 1974, as amended (reference (d) and implemented per reference (e)).

6. Command and Signal

    a. Command. This Order is applicable to all MCAS CHERPT personnel.

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

M. R. HUBER

DISTRIBUTION: A

**RECORDS MANAGEMENT / ESSENTIAL RECORDS
STANDING OPERATING PROCEDURES**

1. <u>Purpose</u>. The purpose of this Standing Operating Procedure (SOP) is to document and identify the creation, implementation, management, and auditing of the Marine Corps Air Station Cherry Point (MCAS CHERPT) Records Management (RM) / Essential Records program.

2. <u>Background</u>

    a. The Command Designated Records Manager (CDRM) for MCAS CHERPT is the Adjutant and the alternate CDRMs are the Adjutant Chief and Adjutant Clerk(s).

    b. Headquarters Marine Corps created the Command Records Operational Support Site (CROSS) that this command will utilize in managing RMs within each Directorate and Section.

    c. CROSS website: https://eis.usmc.mil/sites/CROSS/SitePages/CDRM_Home.aspx.

3. <u>Action</u>

    a. <u>CDRM Responsibility</u>

        (1) For each RM Program, the CDRM will identify personnel across the command from each Directorate / Section. This requirement aligns to sections 0101 and 0104 of the Commanding General Readiness Inspection (CGRI) Checklist for RM.

        (2) Responsible for oversight of subordinate RM training, as well as the monitoring of the annual RM training for the entire command. The CDRM may not directly administer or collect data for required training however, the CDRM's realm of responsibility include coordinating with Directorate / Section RMs to ensure the completion of required training. This requirement aligns to section 0102 of the CGRI Checklist for RM.

        (3) Establishment and maintenance of the RM Program SOP, aligns with section 0104 of the CGRI checklist for RM.

        (4) Uploading the SOP into CROSS. This will allow the Self-Inspection Checklist within CROSS to automatically mark the program as compliant for this item. This will also alert the CDRM if the SOP has not been updated / reviewed within the calendar year.

    b. <u>RM Responsibility</u>

        (1) Maintain and dispose records within the Directorate / Section.

        (2) Notify the CDRM of new RM appointments / RM revocation.

        (3) Create Directorate / Section file plan within CROSS and update annually.

(4) Manage Directorate / Section required RM training and forward training rosters to the CDRM. This requirement aligns to section 0103 of the CGRI Checklist.

c. <u>Records Management Procedures</u>. Each Directorate / Section RM will establish procedures for the below:

(1) Records Identification
(2) Records Collection
(3) Records Storage
(4) Records Management and Retrieval
(5) Records Disposal

d. <u>Records Identification</u>. Each Directorate / Section RM will identify the types of records they generate and create in the specific area of responsibility which will determine their internal file plan. The Standard Subject Identification Code (SSIC) Manual (Secretary of Navy M-5210.2) provides guidance on the Records Management Program standard system of numbers and letters used throughout the Department of the Navy (DON) which categorizes departmental documentary material by subject. Each Directorate / Section RM must accomplish the below four requirements for their file plan:

(1) Determine which DON Bucket Schedule the record will be managed by.

(2) Check the bucket schedule under the file plan on the CROSS website.

(3) Determine if each record can be stored electronically and if not, why.

(4) Document each record that is not able to be stored electronically in the notes section of the file plan. Documents identified are the "Exception File."

e. <u>Records Collection</u>. MCAS CHERPT stores records via the four ways below:

(1) Shared-Drive (Network Drive): Contains all operational records under the MCAS CHERPT folder hierarchy, which is used to store both operational documents and electronic records.

(2) SharePoint: Another workspace and storage option for documents and records. SharePoint site collection should contain folders for each record type identified and recorded in the file plan within CROSS website.

(3) Paper Records: There are still plethora paper records being created according to multiple policies and business needs and are being maintained across the command. While the preferred method of storage remains as electronic means, maintenance of paper records are authorized with the rationale for each record type documented as a note within the organizational file plan within the CROSS website. Again, the standard method is electronic records and paper / hard copy records should only be maintained when mandated by the applicable regulations.

(4) Systems of Record: Multiple systems are utilized across the command and records are created and stored within these systems of records. If a system of record is identified as the repository / owner of the record, this must be identified within the notes section of the file plan associated with the record type.

f. Records Storage, Management, and Retrieval

(1) Directorate / Section RMs will manage electronic records and establish procedures on how to retrieve records stored in the Marine Corps Training and Information Management System (MCTIMS) and the Marine Corps Enterprise Information Technology Services (MCEITS) websites.

(2) Paper records identified in the CROSS file plan notes will be managed by the originating Directorate / Section, and all requests for access will also be handled by the applicable RM. Access to legal investigations are managed by the Staff Judge Advocate and or the Freedom of Information Act Coordinator.

(3) Records stored in Systems of Records will be identified in the CROSS file plan notes.

g. Disposal

(1) The RM for each section will follow the new file plan / bucket schedule for disposal of records.

(2) Retrieve bucket schedule / file plan from the CROSS website and update at least annually or as required. Use this bucket schedule / file plan on paper records and records held on the shared-drive. **SSICs are still used to identify the record, and the bucket schedule is used for destruction of the record.**

h. Maintenance and Supervision of Program

(1) The CDRMs are responsible for the maintenance and supervision of the records management program. They operate on behalf of the Command Leadership via appointment as the CDRMs. For MCAS CHERPT, the following supervisory actions are required:

(a) Annual reminder emails to all Directorate / Section RMs to review their records, close out annual records, and create a file plan for the year.

(b) Request RM training data annually.

(c) Check CROSS monthly to update any outdated information.

(d) Conduct command self-inspection annually within CROSS.

i. Essential Records

(a) Essential records are agency records that are needed 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). Essential records assist the organization to restore and / or sustain near normal operations during and after a natural disaster, emergency, or attack. The Essential Records Program operates under policies, plans, and procedures to identify, use, and protect essential records 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. This is a program element of an organizational emergency management function.

(b) Registered Staff Section Records Managers in CROSS are also the designated Essential Records Holder for their section.

j. Examples of Essential Records (include but are not limited to the following):

(a) Orders of succession and delegation of authority, list of personnel assigned emergency duties, legal docs, etc.

(b) Titles, deeds, payroll, contracts, and accounts receivable.

(c) Public safety records and policy.

(d) Command's Continuity of Operations (COOP) Plan.

(e) Licenses and long-term permit; list of credit card holders.

(f) Systems documentation and schema.

k. Essential Records Holder / RMs Responsibilities

(a) Determine which records are required to ensure the continuity of operations during non-normal conditions such as disaster, emergency, or crisis.

(b) Conduct annual inventory of Essential Records.

(c) Establish a folder on the organization shared drive or SharePoint Portal labeled "Essential Records" and ensure its update on a recurring basis. Name Essential Records in accordance with file outline and new file plan retention period.

(d) Upload a copy of applicable Essential Records spreadsheet or word documents in CROSS when available.

4. Command and Signal: This SOP is applicable to all MCAS CHERPT personnel.