UNITED STATES MARINE CORPS
MARINE CORPS AIR STATION NEW RIVER
PSC BOX 21002
JACKSONVILLE, NC 28545-1001

Canc frp: Sep 2023

ASBul 5210
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30 Sep 22

AIR STATION BULLETIN 5210

From: Commanding Officer, Marine Corps Air Station New River
To: Distribution List

Subj: RECORDS MANAGEMENT STANDING OPERATING PROCEDURES

Ref: (a) MCO 5210.11F

Encl: (1) Primary and Alternate Command Designated Records Manager
           Roles and Responsibilities
       (2) Records Management Procedures

1. Purpose. This Bulletin documents the standing operating
procedures (SOP) identified for the creation, implementation,
management, and auditing of Marine Corps Air Station (MCAS) New
River's Records Management (RM) program.

2. Background. The landscape of United States Marine Corps (USMC)
RM is rapidly evolving to embrace a 21st century solution. It is
therefore incumbent upon Command Designated Records Managers
(CDRMs), with support from leadership, to ensure their respective
organization's successful migration from textual (hardcopy) records
to electronic records management (ERM). This Bulletin will cover
the major components of the RM program required to be compliant
with existing policies and regulations. The enclosures are aligned
to the functionality of the Command Records Operational Support
Site (CROSS) to help meet current and projected USMC Inspector
General (IG) checklist items.

3. Action

    a. Primary and Alternate CDRM. It is the responsibility of the
CDRM to oversee MCAS New River's RM program in order to ensure every
record is maintained in full compliance with Department of Defense
(DoD), Department of Navy (DON), and USMC policies. CDRMs are also
responsible to monitor RM training, disseminate information to their
Staff Section RMs, review and update organizational SOP, and audit
their subordinate staff section RM programs, per enclosure (1).

    b. Staff Section Records Managers. It is the responsibility of
every Staff Section RM to ensure that records within their area(s) of
responsibility (AOR) are maintained in full compliance with DoD, DON,
and USMC policies, per enclosure (2). In addition to providing the
MCAS New River CDRM with their file plan, Staff Section RMs also serve

as a RM liaison between the CDRM and all personnel within their AOR. The key to a successful RM program is knowing what records you have, where they are located, and how long they must be retained.

    c. <u>CROSS</u>. Access to CROSS is designated to registered CDRMs and Staff Section Records Managers with Marine Corps Enterprise Information Services (MCEITS) accounts via URL: https://eis.usmc.mil/sites/CROSS.

    d. <u>All MCAS New River Personnel</u>. No later than 30 September of every calendar year, all Marines and Civilians will complete RM training.

        (1) <u>Marines</u>. Headquarters and Headquarters Squadron, MCAS New River training section will provide training compliance figures for all Marines supporting MCAS New River. Marines will fulfill the annual training requirement via Marine Net: Records Management Course: Every Marine's Responsibility [M01RMT0700].

        (2) <u>Civilians</u>. MCAS New River S-1 department will provide training compliance figures for all Civilians supporting MCAS New River. Civilians will fulfill the annual training requirement via the Total Workforce Management System.

4. <u>Reserve Applicability</u>. This Bulletin is applicable to all MCAS New River personnel.

5. <u>Cancellation Contingency</u>. This Bulletin is cancelled upon receipt of the next consolidated annual review.

D. ROZEK
By direction

DISTRIBUTION: A

PRIMARY AND ALTERNATE COMMAND DESIGNATED RECORDS MANAGERS ROLES AND RESPONSIBILITIES

1. <u>Command Designated Records Management Appointment Process</u>. The Records Management program owner is the Commanding Officer, Marine Corps Air Station (MCAS) New River, who is required to appoint a Primary Command Designated Records Manager (CDRM) to manage the program.

    a. MCAS New River personnel will use the appointment letter template available on CROSS as official recognition of CDRM appointment.
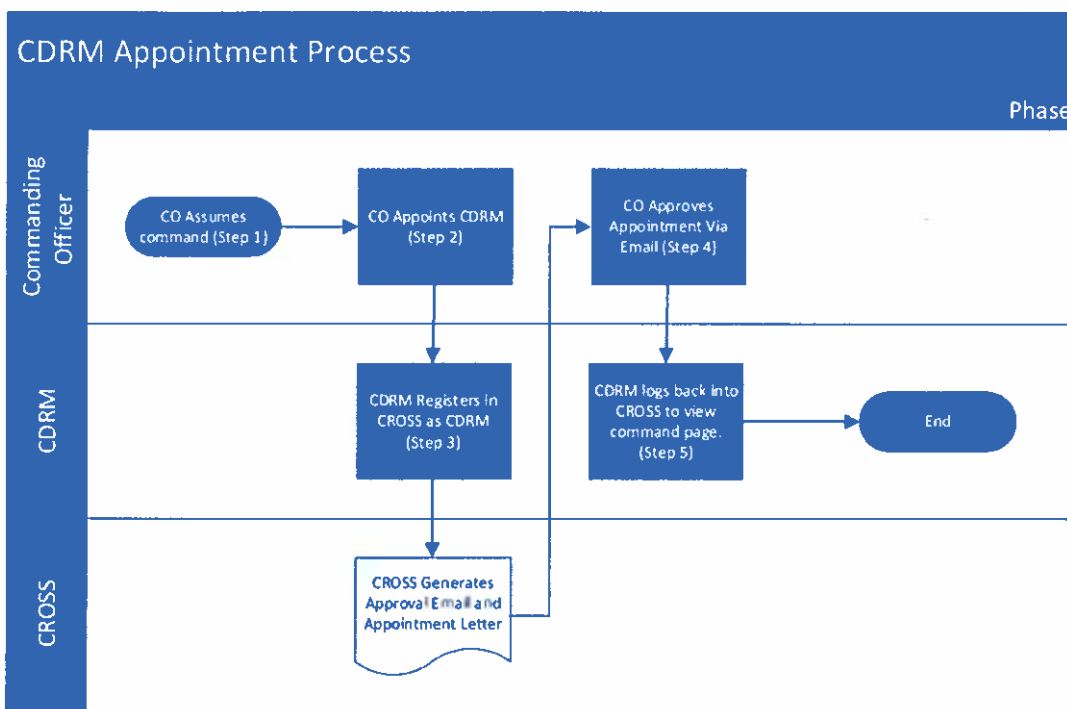
    b. The appointment will be reviewed annually or upon change of command.

        (1) The annual review and update will be completed via CROSS by clicking on the Update Button that appears when an appointment letter is over one year old, or it has been a year since it was last updated.

        (2) When a CDRM leaves the command, a new CDRM will be appointed within 30 days of departure of the old CDRM.

    c. At least one Alternate CDRM should be appointed concurrent with the CDRM to aid with the management of the RM program, provide coverage during CDRM absences, and provide continuity during CDRM transitions. Alternate CDRM appointments follow the same procedure as the CDRM except for the selection of the role during CROSS registration.

    d. Designating a CDRM in writing via the CROSS-generated appointment letter aligns with the USMC Inspector General (IG) inspection checklist for Records Management. Once the CDRM is approved by the CO, the IG Self Inspection Checklist tab within CROSS will automatically be marked as compliant for this item.

CDRM Appointment Process

Step	Actions	Action Officer/Organization	Comments
1	CO Assumes Command	CO	
2	CO Appoints/Renews CDRM	CO	Appoints a CDRM or renews the existing CDRM. Same issues if old CDRM leaves the command. The appointment should be reviewed each year along with all other orders but does not need to be renewed.
3	Register in CROSS as a CDRM for your command	CDRM	You can access CROSS at **https://eis.usmc.mil/sites/cross**
4	CO/Agency Head approves your registration; CDRM approves Staff Section RMs registration	CO/Agency Head	An email will be sent from CROSS to your CO/CDRM with the ability for them to approve your appointment as the CDRM/Staff Section RM for the command/subsection. This will auto generate your CDRM/Staff Section RM appointment letter. **Reference CROSS End User Registration Guide**
5	Log into CROSS to access the command homepage	CDRM	**Reference the CROSS End User Guide** for instructions on how to navigate the site or use the Contact Feature for HelpDesk Support

2. Standing Operating Procedure Requirement. By direction of reference (a), all organizations are required to set up and maintain a RM Program. Once the SOP is uploaded into CROSS, the IG Self Inspection Checklist within CROSS will automatically be marked as compliant for this item. This checklist item will appear as noncompliant if the SOP has not been updated within the calendar year.

3. MCAS New River Organizational Hierarchy

    a. Records are not created at the organization level but within the subsections (i.e. G-shops, S-shops, SJA, Chaplain, PMO, other HQMC subsections within Branches/Sections, etc.) of the organization. Therefore, the hierarchy for the RM program should reflect all subsections across the organization that create records.

    b. Per HQMC ARDB guidance, a starting hierarchy for each organization is required in CROSS. The hierarchy is used to generate the RM roster. Maintaining the hierarchy aligns with the IG Inspection Checklist for Records Management. So long as the hierarchy and RM personnel registration is up to date, the IG Self Inspection Checklist within CROSS will automatically be marked as compliant for this item.

914: MCASNR – MARINE CORPS AIR STATION NEW RIVER, NC	
Primary CDRM	Ms. Megan Perkins
Alternate CDRM	Mr. Danny Rozek

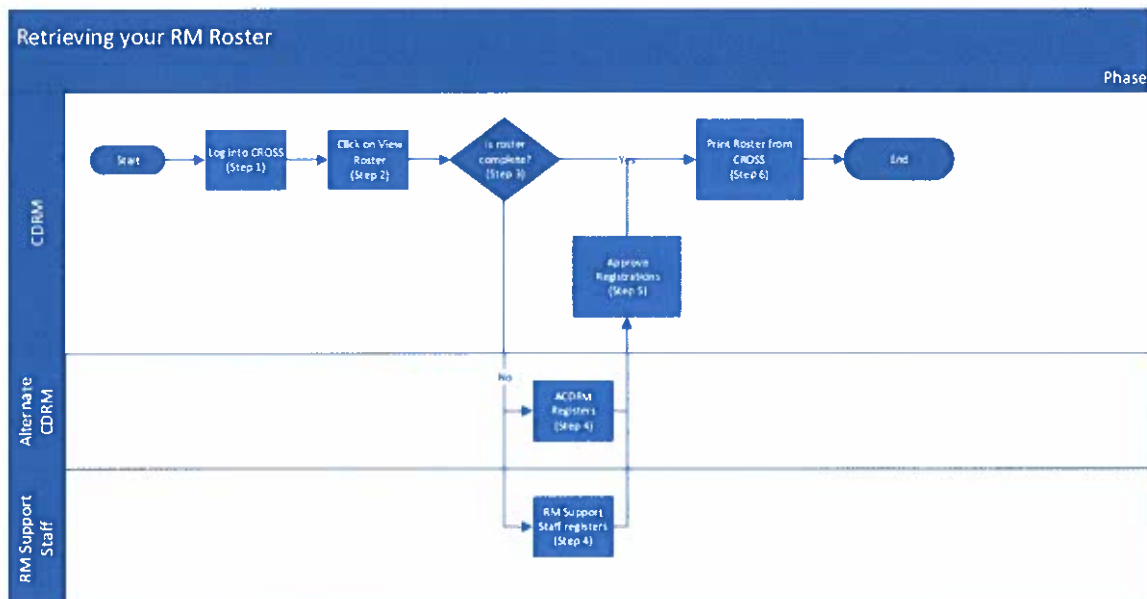| SUBSECTIONS |
|---|
| Adjutant |
| Comptroller |
| Innovation and Readiness |
| Inspector |
| Installation and Environment |
| S-1 Personnel |
| S-3 Operations |
| S-4 Logistics |
| S-6 Communications |
| Safety |
| Staff Judge Advocate |
| **COMMAND RECORDS MANAGEMENT PROGRAMS** |
| HQHQRON |
| CNATT |

Enclosure (1)

4. <u>Identify Records Management Personnel</u>. For each RM Program, the CDRM will need to identify personnel across the organization to lead/support the RM programmatic responsibilities in their areas of responsibility. This requirement aligns with the USMC IG Checklist for RM. There are four types of roles within the RM program:

    a. <u>Command Designated Records Manager (CDRM)</u> - Policy states that there must be a CDRM appointed in writing.

    b. <u>Alternate CDRM</u> - Also appointed in writing with the same responsibilities of the CDRM except for the creation and management of the RM program. The alternate CDRM will act as support for the CDRM across the RM program as needed and when the CDRM is unavailable.

    c. <u>Staff Section Records Manager (RM)</u> - Serves as the point of contact responsible for records management in their respective subsection. They are bound by the SOP for the RM program and are responsible for identifying records and completing the subsection file plan that identifies records created in their section and "rolls up"/compiles into the overall organization file plan.

    d. <u>Site Collection Administrator (SCA)</u> - SharePoint Online is used to store all records until the transfer of long-term temporary and permanent records to the solution identified by HQMC ARDB. The SharePoint SCA creates (if necessary) and maintains the department's SharePoint Online Records Library.

Step	Actions	Action Officer/Organization	Comments
1	Designate personnel to be Staff Section RMs for their subsection/area of responsibility	CDRM	Provide them with the RM **MCEITS Account Request Guide** and the **CROSS End User Registration Guide** in order to register.
1	Log Into CROSS	CDRM	This activity should be done at least quarterly as part of the communication process.

2	View the Roster of Personnel	CDRM	From the command home page, scroll down to see all the established organizations and if they have associated support staff.
3	Does every subsection have a Staff Section RM assigned?	CDRM	If No, go to Step 4. If personnel need to be deleted, contact ARDB Support Staff
4	Alternate CDRM and Staff Section RMs need to Register in CROSS under the correct organization; not at the CDRM command level	ACDRM, Staff Section RM	See **CROSS End User Registration Guide** for steps.
5	Approve registrations for Staff Section RMs	CDRM/ACDRM	The CDRM will receive an email to approve the registration and to autogenerate an appointment letter. Contact ARDB Support Staff for registration assistance
6	Print the Roster	CDRM	Click on Print Roster (**future functionality**)

5. <u>Monitoring Training</u>. The CDRM is responsible for oversight of RM training, as well as the monitoring of the annual RM training for the entire command. This does not mean that the CDRM needs to conduct training or collect the training data, but they are responsible for coordinating with the command training coordinators to verify that all the required RM training is completed. This requirement aligns with the USMC IG Checklist for RM.

    a. <u>Types of Trainees</u>. There are two types of trainees within HQHQRON, MCAS New River: Marines and Civilians. Each personnel type is handled differently.

        (1) <u>Marines</u>. HQHQRON, MCAS New River training section will provide training compliance figures for all Marines supporting HQHQRON, MCAS New River toward the end of the fourth quarter of each calendar year. Marines will fulfill the annual training requirement via Marine Net: Records Management Course: Every Marine's Responsibility [M01RMT0700].

        (2) <u>Civilians</u>. MCAS New River S-1 department will provide training compliance figures for all Civilians supporting HQHQRON, MCAS New River toward the end of the fourth quarter of each calendar year. Civilians will fulfill the annual training requirement via TWMS.

    b. <u>Upload Training into CROSS</u>. All training metrics data/rosters collected by the CDRM will be uploaded into CROSS for the command as

collected, not individual training certificates. See training process for how to upload and monitor. Monitoring Training Data aligns with the USMC IG inspection checklist for Records Management. When the Training Data is uploaded into CROSS, the IG Self Inspection Checklist within CROSS will automatically be marked as compliant for this item. It will also alert the CDRM if Training Data has not been updated/reviewed within the calendar year by indicating "Finding" in red font.
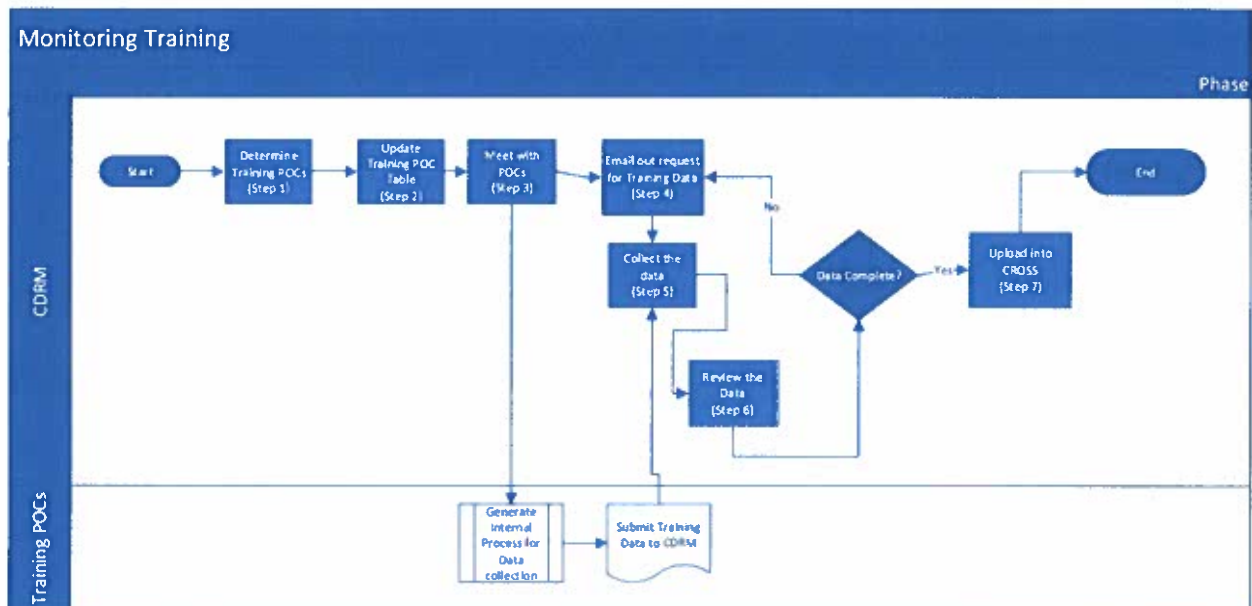
Step	Actions	Action Officer/Organization	Comments
1	Determine who the training POCs are within the command.	CDRM	This activity should be done as part of the SOP creation or annual review process.
2	Update the Training POC table in the SOP	CDRM	Table is found above.
3	Meet with the POCs to discuss expectations and data requirements.	CDRM	This should be done upon approval of the SOP and upon change of POCs.
4	Email out request for training data	CDRM	This will need to be done outside of CROSS as most of the POCs will not be RM Support Staff.
5	Collect Training Data	CDRM	Email
6	Review the data	CDRM	The CDRM is responsible for monitoring the training so you should review the data for logical errors and completeness. If not correct, go back to Step 4.
7	Upload the data into CROSS	CDRM	Click on the command name, click on command info tab, upload as a training document.

6. Maintenance and Supervision of Program

    a. Monthly

        (1) Open CROSS and view the IG Checklist for alerts.

        (2) Verify staff are still valid.

        (3) Select two sub-sections for auditing.

    b. Section Audit

        (1) Download the Audit Template from CROSS.

        (2) Complete the pre-audit fields and identify the bucket schedules for the section that you will audit.

        (3) Print out their file plan from CROSS.

(4) Visit the section and complete the following:

    a. Review the section's SharePoint Records Library.

    b. Validate the File Plan – take a random subsection of the records and visually verify records against file plan outline.

    c. Make sure that all notes associated with a record schedule are accurate.

(5) Should take between 30-60 minutes.

(6) Complete the Audit Template for the audit and upload into CROSS.

  c. Semi Annually. Request Training Data.

  d. Annually

(1) CMD/ORG Self-Inspection to be done within CROSS.

(2) Coordinate and hold a meeting with the entire RM staff to discuss issues, changes to policy, changes to CROSS, and to review/update the SOP.

RECORDS MANAGEMENT PROCEDURES

1. <u>Requirements for all Records Managers</u>. Each section will be required to create their own file plan in CROSS and to update it annually. For each section under the authority of the CDRM, each of the following items are required:

    a. Records Identification.

    b. Records Collection.

    c. Records Storage.

    d. Records Management and Retrieval.

    e. Records Disposal.

2. <u>Records Identification</u>. Each section created during the Organizational Structure/Hierarchy process will identify their records on CROSS by creating their own file plan following the procedures below. There are four steps in creating a file plan:

    a. Check that each record is identified by an SSIC.

    b. Use the SSIC Crosswalk Excel file, available on the CROSS Website, to determine which of the DON Record Schedules (sometimes called Bucket Series) the record will be managed by.

    c. Mark the checkbox next to the corresponding record schedule under the file plan tab in CROSS.

    d. For each record:

        (1) Document the **Format** for the record—Paper, Electronic, Digital Media (photos, video, etc), other.

        (2) Document the **location** of the records—SharePoint, Share Drive, Other System of Record (e.g. DFAS, file cabinet RM204, etc).

        (3) Document any **exclusions** to why the record cannot be managed electronically, e.g., Regulation xxxx.X.13 requires paper copies, too many legacy files, no capability to convert to electronic.

Creating a File Plan
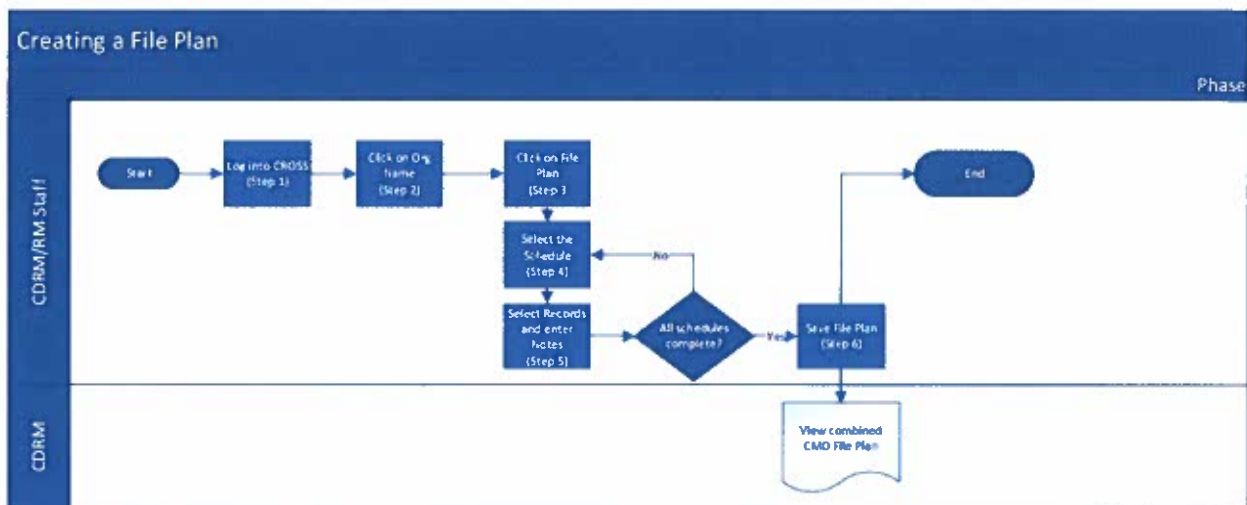
Step	Actions	Action Officer/Organization	Comments
1	Log in to CROSS	CDRM/RM Staff Support	https://eis.usmc.mil/sites/cross
2	Click on the name of the organization you wish to create or modify the file plan	CDRM/RM Staff Support	For most RM Support Staff, there will only be one organization available.
3	Select the File plan functionality	CDRM/RM Staff Support	File Plan tab on CROSS
4	"Crosswalk" SSICs to Bucket Schedules	CDRM/RM Staff	Search by keyword or select SSIC for each Bucket Schedule to get a list of SSICs that fall under that Bucket Reschedule
4	Select the Schedule	CDRM/RM Staff Support	Drop down list for buckets, 1 to 13. If you have saved a previous plan, you may need to expand the schedules.
5	Select record schedules and enter exception notes	CDRM/RM Staff Support	If more schedules are needed, go back to step 4.
6	Save the File Plan	CDRM/RM Staff Support	Once all 13 schedules have been reviewed and completed.

3. Records Collection

    a. Share Drive. The official workspace for documents and records is the Headquarters, MCAS New River Share Drive Z:\HEADQUARTERS. It

contains all operational records under the Records Schedule folder hierarchy, which is used to store both operational documents and records. As a result, staff section records managers are required to identify his/her section's records accordingly.

b. Computers. Personally assigned government-owned and issued computers should be reviewed by the user to periodically identify any records that may reside locally. The nature of a record is to be identifiable and retrievable; storing the record locally on a personal computer does not fulfill this. Personnel should periodically review any locally stored content, identify any records, and upload them properly into the Share Drive and/or SharePoint.

c. Paper Records. Paper records continue to be created and maintained across the command according to multiple policies and business needs. Paper records may be maintained, but the rationale for each record type must be documented as a note in the organizational file plan within CROSS and command file labels for all paper records must correspond with the file plan indicated on CROSS. All paper records must follow guidance outlined in the IG Checklist.

d. Systems of Record

(1) Multiple record creation and storage systems are used across the command. If a system of record is identified as the repository/owner of the record, it must be noted in the notes section of the file plan associated with the record type.

(2) Each section currently retains records in the Share Drive, with folders configured to contain subfolders for each record type, or in a SharePoint document library with metadata denoting the Records Schedule of a given record. These systems will continue to be used as short-term storage for working documents and records awaiting upload to the final storage solution designated by HQMC ARDB.

4. Records Storage. MCAS New River records will be stored in either the Share Drive or local SharePoint pending designation of and upload to the HQMC ARDB-designated final storage solution, with the exception of paper records. The SharePoint Records Library has already been configured by the MCAS New River SCA structure and file plan that was established on CROSS by the CDRM. Although it may be outdated (file plans require an annual review each calendar year), the current file plan should provide the initial baseline for assigning Records Schedules to identified records sources

5. Management and Retrieval

a. All electronic records stored will be managed by staff section records managers, who will have procedures in place for retrieving records if needed.

b. Paper records, identified in CROSS file plan notes, will be managed by the organization that creates them, and all requests for access will be handled by the RM support staff. There are exceptions for legal investigations, which will be directed by SJA in accordance with policy.

c. Records stored in other systems of record will be identified in the CROSS file plan notes and will fall under the audit and information management procedures of the system owner. The MCAS New River CDRM will, as part of the monthly audit, verify that the records are being placed in the correct system.

6. Disposal

a. Manual. Disposal of records within the Share Drive and SharePoint will be conducted manually as needed. Retention schedules and workflows that correspond to the disposition cycle are defined by the corresponding Records Schedule.

b. Annual Review Requirement. An annual review of the documents will be conducted by the CDRM after the electronic records management program has been established.

Enclosure (2)