[COMMAND LETTER HEAD]

Chapter 1

Purpose (ALL NJDAs)

1. This Standard Operating Procedure (SOP) will document requirements identified for the creation, implementation, management, and auditing of YOUR UNIT HERE’s Records Management Program and subsequent transition to electronic records management. This document will cover the major components of the Command RM program required to be compliant with existing policies and regulations.

Chapter 2

Program Owner (ALL NJDAs)

1. This Records Management program owner is the Commanding Officer (CO) of YOUR UNIT HERE and is required to appoint, by letter, a Command Designated Records Manager (CDRM). The CDRM is charged with the program’s management on the Commander’s behalf.

2. This Command will utilize the appointment letter template, available on the USMC Command Records Operational Support Site (CROSS) as our official recognition of CDRM appointment.

a. The appointment letter is to be reviewed annually, or upon change of command.

(1) Reviews can be conducted via CROSS by opening the appointment letter and saving any changes.

b. When a CDRM leaves the Command, a new CDRM will be appointed within 30 days.

c. At least one Alternate CDRM will be appointed in concurrence 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 their role in CROSS registration.

3. Designating a CDRM in writing via the CROSS generated appointment letter aligns with **Section 0101** of the USMC Inspector General’s checklist for Records management. Once the CDRM is approved by the approving authority, the Self Inspection checklist within CROSS will automatically mark the Command as compliant for this item.

Chapter 3

Program Breakdown (ALL NJDAs)

1. This section details specific components required for a records management program, procedures for managing components, and service levels within each component.

2. Create Program (COMMANDS WITH SUBORDINATE NJDA’S). Each command will establish a Standard Operating Procedure (SOP) document that details the command’s implementation plan to run an effective records management program. The SOP should supplement records management policies defined by the USMC. the SOP will also establish internal guidelines and provide any technical / instructional guides for records maintenance.

a. Tasks to subordinate commands (COMMANDS WITH SUBORDINATE NJDA’S).

(1) Designate a CDRM to lead the program and to update or establish the following components of the program and the supporting procedures via the CROSS website.

(2) Create an RM program SOP (template available on CROSS).

(3) Upload the SOP onto your command’s CROSS homepage in order to be marked compliant for **Section 0103** of the USMC IG checklist for RM. CROSS will alert the CDRM if the SOP has not been updated/reviewed within the calendar year.

3. Designate the Area of Responsibility (ALL NJDAs). The AOR for the RM program, is not required to match the official reporting structure identified by USMC orders. The AOR should reflect the appropriate level of detail determined by how the CDRM would like to run the program. The RM AOR is customizable by the program owner and CDRM. HQMC ARDB has established as best practice for the USMC RM program, CROSS, where a starting hierarchy for each command has been established.

a. Tasks to subordinate commands (COMMANDS WITH SUBORDINATE NJDA’S)

(1) Generate a hierarchy for your command.

(2) Utilize your hierarchy to generate an RM roster. This will align with **Section 0104** of the USMC IG inspection checklist for RM.

(3) Utilize your RM roster to appoint Staff Section RMs to each of your hierarchy levels. Ensure your Staff Section RMs are registered on CROSS. This will mark you as compliant in the Self Inspection Checklist generated on CROSS.

(4) Identify and appoint a Command Site Collection Administrator (SCA) to act as MCTILM administrator for phase two of Electronic Records Managemenr migration.

b. Hierarchy (ALL NJDAs). EXAMPLE NOTE: Maintain naming convention for your command’s hierarchy. Hierarchy submission templates available on CROSS.

MCIWEST-MCAS MIRAMAR: MARINE CORPS INSTALLATIONS WEST-MARINE CORPS AIR STATION MIRAMAR

MCAS MIRAMAR\_F-35 SATAF: F-35 SITE ACTIVATION TASK FORCE (SATAF)

MCAS MIRAMAR\_SAFETY: MCAS MIRAMAR BASE SAFETY OFFICE

MCAS MIRAMAR\_CHAP: MCAS MIRAMAR CHAPLAIN

MCAS MIRAMAR\_H&HS SQD: MCAS MIRAMAR CO H&HS SQUADRON

MCAS MIRAMAR\_CMD STAFF: MCAS MIRAMAR COMMAND STAFF

MCAS MIRAMAR\_COMMSTRAT: MCAS MIRAMAR COMMUNICATIONS STRATEGY AND OPERATIONS

MCAS MIRAMAR\_C P&L: MCAS MIRAMAR COMMUNITY PLANNER AND LIAISON (C P&L)

MCAS MIRAMAR\_HRO: MCAS MIRAMAR HUMAN RESOURCES OFFICE (HRO)

MCAS MIRAMAR\_MCCS: MCAS MIRAMAR MARINE CORPS COMMUNITY SERVICES (MCCS)

MCAS MIRAMAR\_PMO: MCAS MIRAMAR POLICE (PMO)

MCAS MIRAMAR\_S-1: MCAS MIRAMAR S-1 MANPOWER

MCAS MIRAMAR\_S-3: MCAS MIRAMAR S-3 MISSION ASSURANCE

MCAS MIRAMAR\_S-3: MCAS MIRAMAR S-3 OPERATIONS DEPARTMENT

MCAS MIRAMAR\_S-4: MCAS MIRAMAR S-4 INSTALLATION & LOGISTICS DEPARTMENT

MCAS MIRAMAR\_S-6: MCAS MIRAMAR S-6 COMMUNICATIONS DEPARTMENT

MCAS MIRAMAR\_S-7 ENVR: MCAS MIRAMAR S-7 ENVIRONMENTAL MANAGEMENT DEPARTMENT

MCAS MIRAMAR\_S-8: MCAS MIRAMAR S-8 COMPTROLLER

MCAS MIRAMAR\_SJA: MCAS MIRAMAR STAFF JUDGE ADVOCATE OFFICE (SJA)

MCAS MIRAMAR\_FIRE: MIRAMAR FIRE DEPARTMENT

MCAS MIRAMAR\_COUNSEL: MIRAMAR LEGAL COUNSEL

c. YOUR UNIT HERE has determined that the roster in CROSS will be the official RM Program roster and will not include a copy in this SOP. The roster will be reviewed as a part of the management and supervision procedures documented in section six of this chapter.

4. Training Plan (ALL NJDAs). The CDRM is responsible for oversight of the Command’s RM training program. This includes the monitoring of annual training required to be conducted by the entire command. This requirement aligns to **Section 0102** of the USMC IG Checklist for RM.

a. Training Materials (ALL NJDAs). The CDRM will pull training materials made available on CROSS to execute training for active duty Marines in their Command.

b. Reporting Instructions (ALL NJDAs).

(1) All Marines report to XX SECTION for training requirements at the end of the second and fourth calendar quarters each year.

(2) All Civilians report to XX SECTION (if applicable) for training requirements at the end of the second and fourth calendar quarters each year.

(3) All Contractors report to the CDRM with annual training compliance (if applicable).

(4) The CDRM will fill out the below table and update annually as a part of the SOP review or as changes occur:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Staff Type | Responsible Organization | POC | Phone | Email |
| Active Duty | H&HS |  |  |  |
| Civilians | MCAS\_HRO |  |  |  |
| Contractor | Various | N/a |  |  |

(5) All training metrics, materials, and data collected by the CDRM will be uploaded into CROSS for the Command as collected.

5. Communication Procedure (ALL NJDAs). Communication is key to all RM programs. To support the program, the CDRM will utilize the communication functionality provided in CROSS to communicate across the command. The following communication requirements have been identified in support of the program:

a. Quarterly communication via email from CROSS with updates to the program, requests for each section to inform the CDRM of changes to RM support staff, and general offer for support with the program.

b. At the end of the second and fourth calendar quarters, an email will be sent via outlook to the training coordinators for organizations responsible for training to monitor documentation.

c. Annual meeting with all RM staff support personnel, information management staff, and other necessary parties (as identified by the CDRM or program owner) to review the program, SOP, CROSS, MCTILM utilization, and other issues as required.

6. Records Management Procedures (ALL NJDAs). For each section within the authority of the CDRM, each of the following items will require established procedures:

a. Records Identification (ALL NJDAs). The first step is for Staff Section RMs to identify the types of records their section will generate. Each section identified during the AOR process (Chapter 3, Section 3) will create their own file plan following the procedures below:

(1) Conduct an audit to determine which types of schedules your section generates. ***Note: all staff sections create records. These records could already be in an EIS like iAps, MCTFS, MCTMS, etc. They still need to be included within your file plan.***

(2) Determine which of the Department of the Navy (DON) Bucket Schedules the section’s records fall into (training for DON Bucket Schedule identification available on CROSS).

(3) Create section file plan on CROSS **(*note: “SSICs and Record Schedules” training available on CROSS explains this process*). Select all Bucket Schedules required by section.**

(4) Determine if each type of record can be stored electronically within MCTILM. If not, identify the exception and location within the section file plan.

(5) Submit your section’s file plan for roll up by CDRM.

(6) Update your file plan annually.

b. Collection (ALL NJDAs). The Command has identified the following locations that currently house records. There may be other areas (filing cabinets, hard drives, digital media drives, ROMs, etc.) that have not yet been located or identified. ***Note: desktop records, sharedrives, hard drives, legacy paper records MUST be managed via an APPROVED EIS for compliance with the USMC’s ERM transition.***

(1) Local Unit Share Drive. Contains [XX documentation currently housed on Share Drive]. Staff Section RMs are encouraged to develop a migration plan to move all official records housed on Share Drives to MCTILM upon it’s implementation by ARDB.

(2) SharePoint. The official workspace for documents and records is the YOUR UNIT HERE’s SharePoint site collection that contains sites for each section of the Command.

(3) Personal Computers. Personal computers should be reviewed by the machine owner, periodically, to identify any records that may reside locally.

(4) Paper Records. There are still many paper records across the Command and created according to multiple policies and business needs. The maintenance of paper records is authorized, however this must be annotated in the section file plan for ease of reference.

(5) Other Electronic Information Systems (EIS). Multiple systems are utilized across the Command and records are created within, and stored within, these systems. If a system of records is utilized, this must be identified in the section file plan for ease of reference. ***Note: the EXACT EIS, Record Schedule, and record type must be noted within your section file plan in order to be compliant with the USMCs ERM transition.***

c. Storage (ALL NJDAs). Upon implementation of MCTILM, YOUR UNIT HERE will migrate to MCTILM for all records (pending exclusions) as identified by each staff section file plan. ***See training guides available on CROSS for migration to MCTILM***

d. Management and Retrieval (ALL NJDAs). All electronic records stored in MCTILM will be managed by their appropriate Staff Section RM.

(1) Electronic records will be retrieved via search capability in MCTILM.

(2) Paper records, identified in section file plan as exceptions, will be managed by the Staff Section RM under which they are created.

(3) Records stored in systems of record will be identified in the section file plan and will fall under the audit and information management procedures of the system owner.

e. Disposal (ALL NJDAs)

(1) MCTILM has been configured for automated disposal and transfer based on DON Bucket Schedule library.

(2) Legacy paper records will be disposed of IAW SECNAV M-5210.11F.

7. Maintenance and Supervision of Program (ALL NJDAs). The CDRM is responsible for the maintenance and supervision of the Command’s Records Management Program. They operate on behalf of the Command Leadership via appointment as the CDRM. The following supervisory actions are required:

a. Monthly

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

(2) Verify Staff Section RM registrations are valid.

(3) Select two sub-sections for monthly audit.

a. Print section file plan and visit section.

b. Request access to audit SharePoint folders.

c. Verify SharePoint folders align with file plan on CROSS for working documents and records awaiting upload to MCTILM.

d. Validate file plan by auditing records and notes associated with a specific Bucket Schedule.

e. Validate MCTILM utilization against section file plan.

b. Quarterly

(1) Communicate with Staff Section RMs.

c. Semi-Annually

(1) Request training data.

d. Annually

(1) Self-inspection auto generated on CROSS.

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

8. Service / Support Procedures (COMMANDS WITH SUBORDINATE NJDAs). This Command will provide the following support for subordinate RM programs outside the items mentioned previously:

a. RM Support during IG/MCI(EAST/WEST/ETC.) Inspections.

(1) CDRM support to programmatic items.

(2) Staff Section RMs to support random audit of section content.

b. Technology Support for MCTILM by means of SCA contractor or civilian personnel.

c. Freedom of Information Act (FOIA) request processing is as follows:

(1) SJA processes all FOIA requests.

(2) If access to MCTILM is required, the request will go through the CDRM who will work with MCI(EAST/WEST/ETC.) for retrieval.