ASO 5210.1
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AIR STATION ORDER 5210.1

From: Commanding Officer
To: Distribution List

Subj: RECORDS MANAGEMENT PROGRAM

Ref: (a) NAVMC Dir 5210.11E
      (b) MCO 5210.11E
      (c) SECNAVINST 5210.8E
      (d) SECNAV M-5210.1
      (e) SECNAV M-5210.2
      (f) SECNAVINST 5211.5E
      (g) MCIEAST-MCB CAMLEJO 5210.5
      (h) MCIEAST-MCB CAMLEJO 5211.6
      (i) MCIEASTO 5211.5
      (j) MCIEAST-MCB CAMLEJO 5720.1

1. <u>Situation</u>. The Records Management Program ensures the efficient and economic use of reports, forms, correspondence, (e.g. directives, naval letters, Administrative Action Forms, etc.) in paper and electronic form.

2. <u>Mission</u>. To implement policy, outline responsibilities, and promulgate guidance for the management and control of the Records Management Program within Marine Corps Air Station (MCAS) Beaufort, per references (a) through (j).

3. <u>Execution</u>

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

      (1) <u>Commander's Intent</u>

         (a) This program is implemented to control the creation, organization, maintenance, use, and proper disposition of MCAS Beaufort records.

         (b) Records include all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics as described in reference (b).

      (2) <u>Concept of Operations</u>. This program shall reduce administrative burdens by promoting and improving paperwork efficiency.

   b. <u>Subordinate Element Missions</u>

      (1) MCAS Beaufort Adjutant shall:

         (a) Assign in writing a Command Designated Records Manager (CDRM).

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(b) Provide copies of appointment letters to Marine Corps Installations East (MCIEAST) Records Manager as required.

(c) Ensure all assigned CDRMs, administrative officers, and administrative clerks are properly trained in records management.

(d) Ensure the command has assigned personnel knowledgeable in its mission as records managers to monitor recordkeeping.

(e) Maintain appointment letters for all department records managers in a continuity or turnover folder.

(f) Ensure all service members, civilians, and contractor support personnel within MCAS Beaufort are properly trained in records management.

(g) Collect Annual Records Management Training Reports from Headquarters and Headquarters Squadron (HQHQRON) and submit to MCIEAST by 15 November each year.

(h) Ensure a records management file plan and turnover procedures have been established within the command.

(i) Conduct courtesy readiness inspections utilizing the Functional Area Checklist, 5210 Records, Reports, and Directives Management Programs.

(j) Develop and implement a vital records program in accordance with reference (a).

(2) Departments heads shall:

(a) Ensure all service members, civilians, and contractor support personnel within the department are properly trained in records management.

(b) Ensure a records management file plan and turnover procedures have been established within the department.

(c) Implement and manage a vital records program within the department, in accordance with references (a) and (j).

(3) Commanding Officer, HQHQRON shall:

(a) Appoint in writing a unit level CDRM, per the guidance contained in references (a) and (b), and this Order.

(b) Provide a copy of the appointment letter to the MCAS Beaufort CDRM.

(c) Ensure all service members, civilians, and contractor support personnel within the command are properly trained in records management.

(d) Ensure a records management file plan and turnover procedures have been established with the command.

(e) Establish and implement a vital records program within your command in accordance with reference (a).

(4) CDRMs shall:

(a) Provide a copy of appointment letters to the MCAS Beaufort CDRM and respective commander.

(b) Ensure a records management file plan and turnover procedures have been established.

(c) Establish a files outline for all records. Refer to the example below for a sample files outline.

Example

CALENDAR YEAR 2017		
FILE NUMBER	SUBJECT	RETENTION STANDARDS
1000	MILITARY PERSONNEL (GENERAL)	TEMP – JAN 2020 – DESTROY SECNAV M-5210.1, PART III CHAP. 1, PAR 1000.2F – 2 YRS
1300	ASSIGNMENTS AND DISTRIBUTIONS (GENERAL)	TEMP – JAN 2020 – DESTROY SECNAV M-5210.1, PART III CHAP. 1, PAR 1300.1 – 2 YRS

(d) Ensure Department of the Navy Standard Subject Identification Codes (SSICs) are used to collect and manage files. There are 13 major SSIC groups.

SSIC	SUBJECT
1000 - 1999	Military Personnel
2000 - 2999	Information Technology and Ammunitions
3000 - 3999	Operations and Readiness
4000 - 4999	Logistics
5000 - 5999	General Administration and Management
6000 - 6999	Medicine and Dentistry
7000 - 7999	Financial Management
8000 - 8999	Ordnance Material
9000 - 9999	Not used by Marine Corps
10000 - 10999	General Material
11000 - 11999	Facilities and Activities Ashore
12000 - 12999	Civilian Personnel
13000 - 13999	Aeronautical and Astro-nautical Material

(e) File permanent records separately from temporary records and annotate records with the letter P or T respectively.

(f) Ensure files are opened and closed fiscally or annually, as appropriate, and open and close dates are in the correct format. Refer to the example below for a sample file label.

Examples

CALENDAR YEAR FILES	
OPEN:	01 JAN 17
CLOSE:	31 DEC 17

FISCAL YEAR FILES	
OPEN:	01 OCT 17
CLOSE:	30 SEP 18

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(g) Ensure file labels correspond with the command's file outline.

Examples

1650 DECORATION, MEDALS AND AWARDS	1650/1 DECORATIONS, MEDALS AND AWARDS (NMCCM)

(h) Ensure hard copy records are closed when they exceed 3/4 of an inch thick, with the appropriate date, and a subsequent file folder is opened.

(i) Ensure all documents in each folder are arranged in chronological order from latest to earliest.

(j) Apply retention standards to records that have been coordinated with HQMC Records, Reports, Directives & Forms Management Section and approved by the National Archives and Records Administration (NARA).

Examples

TEMPORARY RECORD   PERMANENT RECORD

TEMP – JAN 2014 – DESTROY SECNAV M-5210.1, PART III, CHAP. 1, PARA. 1010.1 – 2 YRS	PERM – TRANSFER – JAN 2016 TRANSFER TO WRNC WHEN 4 YRS OLD SECNAV M-5210.1, PART III, CHAP. 1, PARA. 1000.1C – 30 YRS

c. Coordinating Instructions

(1) Records Maintenance (Non-Electronic Records). Ensure all non-electronic records are maintained per references (a) and (b), and this Order.

(2) Records Maintenance (Electronic Records)

(a) Ensure electronic records are created, maintained, and stored to prevent degradation of the files and support access and retrieval of information according to a NARA approved disposition, and in accordance with references (a) and (d).

(b) Recordkeeping of electronic formatted records will be maintained on a shared drive and in a folder identified by SSIC and Subject.

(c) Within each folder, files will be identified by date (DDMMYYYY) format and document title.

(d) Ensure all documents in each folder can be arranged in chronological order from latest to earliest.

(e) Ensure electronic formatted records are opened and closed on a fiscal and/or annual basis as required by reference (a).

(f) If required per reference (a), retain e-mail records and route sheets as part of the official files.

(3) <u>Records Archive</u>

(a) Ensure permanent non-electronic records are submitted to HQMC Records, Reports, Directives and Forms Management Section (ARDB) utilizing SF-135 forms for transfer approval to the applicable Federal Records Center (FRC), per reference (a).

(b) Maintain SF-135 forms for permanent non-electronic records until notification of record transfer or destruction by HQMC ARDB.

(c) Forward all permanent records to NARA, according to the approved schedule contained in reference (d).

(d) Convert permanent electronic records earmarked for eventual transfer to NARA, per the medium authorized in reference (a); PDF files are the preferred method.

(e) Transfer permanent electronic records to NARA via open-reel magnetic tape, 3480-class tape cartridges, Compact Disc-Read Only Memory, Digital Linear Tape media, and media-less File Transfer Protocol.

(4) <u>Privacy Act (PA) Statement</u>. Post a PA Statement on all non-electronic record file cabinet drawers if applicable.

Example

"These correspondence files are indexed and retrieved by individual personal identifiers and contain protected personal information. THE PRIVACY ACT OF 1974 [USC552a] and implementing regulation (SECNAVINST 5211.5E) 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 [5USC 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."

(5) <u>Frozen Records</u>. Frozen records are placed on hold in response to litigation, or anticipation of litigation, claims, or an investigation. Temporary records may not be destroyed according to the disposition instructions if the records are frozen.

(6) <u>Methods of Destruction and Proper Disposal</u>

(a) All records containing PA and/or Personally Identifiable Information (PII) shall be destroyed when no longer required per the disposition instructions contained in reference (d). Refer to references (i) and (j) for additional guidance and responsibilities concerning PA and PII.

(b) Proper disposal of PII is any means of destruction that renders documents or records, physical or electronic, unrecognizable and beyond reconstruction.

(7) <u>Release of Personal and Government Records</u>. Refer to reference (i) concerning release of PA Records, and reference (j) for records releasable under the Freedom of Information Act.

4. Administration and Logistics

    a. MCAS Beaufort Adjuant shall maintain overall staff cognizance over the Records Management Program.

    b. Training Links. Records Management training is available on MarineNet for personnel with a MarineNet account or other multi-media means for use in large or small group settings for those without access to MarineNet or a computer network. Use the following links to access these valuable tools.

       (1) Records Management, Everyone's Responsibility: https://www.marinenet.usmc.mil/MarineNet/Courses/CourseDetails.aspx?from=SearchResults

       (2) Records Management, Advanced Topics: https://www.marinenet.usmc.mil/MarineNet/Courses/CourseDetails.aspx?from=SearchResults

       (3) Personnel without access to MarineNet may utilize the training provided on the MCIEAST-MCB CAMLEJ Adjutant website: http://www.mcieast.marines.mil/StaffOffices/Adjutant/RecordsManagementProgram.aspx

    c. Records Management Forms

       (1) A Request for Records Disposition Authority, Standard Form (SF) 115 is used to obtain authority for the disposition of records.

       (2) A Records Transmittal and Receipt, SF135 is used to store records at the NARA Federal Records Center (FRC) according to fee-for-service.

       (3) An Agreement to Transfer Records to the National Archives, SF258 is used to transfer legal custody of permanent records to NARA.

       (4) A Notice of Eligibility for Disposal, NA13001 is a notice sent from NARA FRC to ARDB notifying the USMC that records are due for destruction.

5. Command and Signal

    a. Command. This Order is applicable to all MCAS Beaufort department heads and HQHQRON.

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

T. P. MILLER