**Inspectors General Checklist**

|  |  |  |
| --- | --- | --- |
|

|  |
| --- |
| **RECORDS MANAGEMENT 5210.11** |
| This checklist applies to ALL commands. *Records Management is everyone’s responsibility* per MCO 5210.11F. Records Management is a set of activities required to control how organizations identify, collect, store, manage, retrieve, and dispose of records, regardless of location or format (i.e., know what records you have, where they are located, and how long they must be retained.)Per OMB M-23-07, “Update to Transition to Electronic Records,” all federal agencies are required to transition to a fully electronic record keeping environment by 30 June 2024. To date, the Marine Corps has begun this transition via guidance provided in the Inspector General of the Marine Corps (IGMC) Functional Area Checklist (FAC) 5210 and strategic communication from the Records, Reports, Directives, and Forms Management Section (ARDB). MCBul 5210 W/ ADMIN CH, “Update to the Marine Corps Electronic Records Management Migration Plan” is the policy that outlines the Marine Corps’ three-phased transition to ERM compliance. |

 |
|  |
| **Functional Area Sponsor**:Records, Reports, Directives, and Forms Management Section (ARDB) | **Name of Command** |
| **Subject Matter Expert:** Ms. Kristen Meehan HQMCREC-MGR@usmc.mil  | **Date.** |
| (571) 256-9043 | **Inspector** |
| **Revised**: 5 June 2023 | **Final Assessment****Discrepancies: Findings:**  |
| **Overall Comments:** Place Here   |
| Subsection 1 – ELECTRONIC RECORDS MANAGEMENT (ERM) (applies to all commands)ERM compliance for the purpose the current inspection checklist is as follows: **Phase 1: Implementation of the Command Records Operational Support Site** **(**[**CROSS**](https://eis.usmc.mil/sites/cross/)**).** Note: To access CROSS, you must request an account. Refer to the ARDB public website for instructions on CROSS Account creation/validation: [Records, Reports, Directives, and Forms Management (marines.mil)](https://www.hqmc.marines.mil/ar/Branches/Publishing-and-Logistics-Management/Records-Reports-Directives-and-Forms/#:~:text=ARDB%20serves%20as%20the%20Program%20Manager,%20Marine%20Corps,ARDE%20for%20review%20and%20approval%20prior%20to%20staffing.). Commands that achieve Phase 1 compliance must notify HQMC ARDB at HQMCREC-MGR@usmc.mil include CC to SMB\_HQMC\_RMOUTREACH@usmc.mil. Upon validation of Phase 1 Completion, ARDB will respond with further instructions.Completion of Phase 1 will be required prior to implementation of Phase 2. Commands will only be inspected based on Phase 1 requirements. Separate guidance will be published to USMC Total Force at a later time. Reference: MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4.a.(2)(a); OMB M-12-18 part 1, par 1.1; Government Reform and Reorganization Plan, item #26; SECNAVINST 5210.8F, encl 5, par 4; and MCO 5210.11F, par 4a(1), par 4a(1)(b)3, and chap 2 |
| 0101 | Has the command appointed a Command Designated Records Manager (CDRM) in CROSS? Note: Appointed CDRMs must be of the grade E-6 or higher. (Hardcopy appointment letters can be scanned and uploaded to a CDRM profile via CROSS if not listed in CROSS). Reference: MCO 5210.11F, par 4b(5)(a), par 4c(2)(c); MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4b(1)(c) |
| Result | Comments  |
| 0102 | Has the Commanding Officer signed NAVMC 10030 form, “*Commander’s Records Management Acknowledgement Agreement,”* within 30 days of assuming command?Reference: MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4a(2)(d) and 4b(1)(f) |
| Result | Comments  |
| 0103 | Has the appointed CDRM completed annual Records Management training and uploaded their certificate/shown proof of completion in CROSS? RM Training can be accessed at any of the following locations: 1) Total Workforce Management Site (TWMS): <https://twms.dc3n.navy.mil/login.asp> (Course Title: *“Records Management in the DON: Everyone’s Responsibility”*) 2) CROSS under “Search CROSS Articles & Documents.” (Course Title: *“RM Everyone’s Responsibility*.”) https://usmc.sharepoint-mil.us/sites/USMC\_CROSS 3) The ARDB public website, under “Training and Tools”: [Records, Reports, Directives, and Forms Management (marines.mil)](https://www.hqmc.marines.mil/ar/Branches/Publishing-and-Logistics-Management/Records-Reports-Directives-and-Forms/#:~:text=ARDB%20serves%20as%20the%20Program%20Manager,%20Marine%20Corps,ARDE%20for%20review%20and%20approval%20prior%20to%20staffing.) (Course Title: *“RM Everyone’s Responsibility*.”)Note: Options #2-3 do not generate certificates of completion. CDRMs can upload a signed training roster in PDF format or Marine Corps Training Information Management System (MCTIMS) occasion to show proof of completion. Reference: NARA Bulletin 2017-01, par 3.A., SECNAV Instruction 5210.8F, par 5.l., encl (4) par 2.b.(2) and par 4.j., DON CIO Memo DTG 151431Z Jun 16, par 1& 2 and MCO 5210.11F, chap 8, par 5 |
| Result | Comments  |
| 0104 | Is the CDRM monitoring annual RM training for the command?Note: RM training is a FY requirement for all USMC personnel: uniform, civilian, and contractor. Commands must upload an electronic training roster or MCTIMS training occasion (recommended) in CROSS as proof of completion. Reference: NARA Bulletin 2017-01, par 3.A., SECNAV Instruction 5210.8F, par 5.l., encl (4) par 2.b.(2) and par 4.j., DON CIO Memo DTG 151431Z Jun 16, par 1& 2 and MCO 5210.11F, chap 8, par 5 |
| Result | Comments  |
| 0105 | Has the command developed and maintained Standard Operating Procedures (SOP) that govern both the creation and maintenance of command records (regardless of location or format) and transition plan to ERM by 30 June 2024? Must upload an electronic copy to CROSS. Templates are available on CROSS under “Search CROSS Articles & Documents.” Note: An Order, Bulletin, or SOP satisfies this question.Reference: MCO 5210.11F, par 4b(5)(a-c), par 4c(3)(a), par 4c(2)(a-q) |
| Result | Comments  |
| 0106 | Does the command have a current organizational structure in CROSS? The organizational structure should reflect all staff sections, offices, departments, etc., that create/maintain records. Reference: MCO 5210.11F, par 4c(3)(b), par 4b(5)(a), par 4c(2)(c) and MCBul 5210 par 4a(2)(a)1 |
|  Result | Comments  |
| 0107 | Has the command assigned Staff Section Records Managers in CROSS to manage records across all staff sections (i.e., S-shops, directorates, etc., outside of the traditional G1/S1)?Reference: MCO 5210.11F, par 4c(3)(b), par 4b(5)(a), par 4c(2)(c) and  |
| Result | Comments  |
| 0108 | Has the command completed a comprehensive electronic file plan in CROSS with the appropriate disposition schedules to their records per SECNAV M-5210.1?Note: It is the responsibility of the Staff Section RMs to input file plan information for their specific section(s); all section file plans “roll up” to inform the overall command file plan. Commands are required to use the new disposition schedules approved by National Archives and Records Administration (NARA). The File Plan feature within CROSS uses the new record schedules. The new record schedules are published on the [SECNAV portal](https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx) for reference (link is provided below. Copy/paste link into web browser to gain direct access). <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>Reference: MCO 5210.11F, chap 3, par 3, and fig 3-3; MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 5b(2), and SECNAV M-5210.1, Part III, para 2.b. |
| Result | Comments  |
| 0109 | If the command has identified a requirement to maintain physical (paper) records, have those exclusions been submitted to ARDB for consideration via NAVMC Form 10030/1, Records Management Paper Waiver Request,” and annotated in the file plan in CROSS?Note 1: The file plan feature within CROSS allows for annotation of exclusions/logistical limitations that would delay or inhibit the transition to ERM. Note 2: NAVMC Form 10030/1 will be available on the Navy Forms Online (NFOL) website at <https://forms.documentservices.dla.mil/order/> and is to be submitted by unit CDRM to ARDB via email at HQMCREC-MGR@usmc.mil. Please include CC on submissions to SMB\_HQMC\_RMOUTREACH@USMC.MIL. ARDB will receive, consolidate, and provide response to all waiver requests. ARDB will retain a list of all approved paper records waivers. This list will be audited annually to evaluate updates and extend or rescind waiver statuses. Reference: Government Reform and Reorganization Plan, item #26; National Archives 2018-2022 Strategic Plan, Strategic Goal 3, 3.2, and MCBul 5210 dtd 23 Jun 22, par 4a(2)(b), par 4b(2)(c), and par 5c(1)(a) |
| Result | Comments  |
| 0110 | Is the command submitting record transfer requests via [ARCIS](https://www.archives.gov/frc/arcis)?Note 1: [ARCIS](https://www.archives.gov/frc/arcis) has replaced the SF-135 form, “Records Transmittal and Receipt,” for transfer approval to the applicable Federal Records Center (FRC). Note 2: For commands using ERM systems this question does not apply. Electronic records within these systems will stay resident on the network until their disposition.Note 3: Go to the [ARDB public website](https://www.hqmc.marines.mil/ar/Branches/Publishing-and-Logistics-Management/Records-Reports-Directives-and-Forms/) for instructions on how to obtain an ARCIS account: Reference: MCO 5210.11F, chap 3, par 1f(1) and par 3c(3)(b) 2nd note |
| Result | Comments  |
| Subsection 2 - PAPER RECORDS MANAGEMENT (applies to all commands) |
| 0201 | Does the command have any permanentpaper records? If NO, go to Subsection 3.Reference: OMB M-23-07, Section 1.2 |
| Result | Comments  |
| 0202 | Has the command transferred or the all *permanent* paper records to NARA for direct accession to meet the June 30, 2024 deadline?Reference: OMB M-23-07, Section 1.2 |
| Result | Comments  |
| Subsection 3 - ESSENTIAL RECORDS (applies to all commands) |
| 0301 | Has the command developed and maintained an Essential Records (formerly Vital Records) program (i.e., can be included as part of the command’s RM SOP)? Note: Must upload to CROSS and store Essential Records Program if not part of the SOP or bulletin.Reference: MCO 5210.11F, par 4a(1)(b)6, par 4b(5)(b-c), par 4c(2)(q), chap 7, par 5b(3-4); and MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4a(2)(a)1 |
| Result | Comments  |
| 0302 | Has the command integrated its Essential Records program into the Command’s Continuity of Operations Plan (COOP), safety, and/or Emergency Action Plan (EAP) and uploaded in CROSS? COOP templates are available at: <https://www.hqmc.marines.mil/ppo/Units/Operations-Division-PO/Current-Operations-Branch-POC/Continuity-of-Operations-COOP/>)Essential Records Definition can be found at:[Essential Records Information | National Archives](https://www.archives.gov/records-mgmt/essential-records)Reference: MCO 5210.11F, par 4a(1)(b)6, 4c(2)(q), and MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4a(2)(a)1 |
| Result | Comments  |
| 0303 | Have all RM staff sections and subordinate units identified their respective types of essential records? Note: All staff sections and subordinate units shall determine what records are considered essential to continuity of operations in the event of a natural disaster or emergency.Reference: MCO 5210.11F, chap 7, par 2 and par 3 |
| Result | Comments  |
| 0304 | Has the command conducted an annual inventory of all essential records?Note: Must provide textual and/or electronic evidence that an inventory was conducted to include name of essential records and date of annual inventory was conducted. If possible, upload inventory to CROSS.Reference: MCO 5210.11F, chap 7, par 5b(1) and par 5b(3) |
| Result | Comments  |
| 0305 | Are all identified essential records current and properly managed throughout their lifecycle? Note: Essential records shall be managed and maintained by using the appropriate record schedule.Reference: MCO 5210.11F, chap 7, par 5b(3) and par 5b(5) |
| Result | Comments  |
| Subsection 4 - CAPSTONE (applies to commands with a billet identified on [GRS-6-1-0127-2022-0001 (archives.gov)](https://www.archives.gov/files/records-mgmt/rcs/schedules/departments/department-of-defense/department-of-the-navy/rg-0127/grs-6-1-0127-2022-0001-c.pdf) and on CROSS) |
| 0401 | Does the command have a Capstone official? If so, is record schedule 2000-47 annotated as part of the command file plan?If there is NO Capstone Official for the command, end inspection. Reference: MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4a(2)(c) |
| Result | Comments  |
| 0402 | Has the command updated the name(s) and email address of their Capstone Official(s) in CROSS?Reference: MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4a(2)(c) |
| Result | Comments  |
| 0403 | Upon change/rotation/departure of Capstone Official, was ARDB immediately notified by official tasker via Enterprise Task Management Software Solution (ETMS2), providing the name and email of the inbound and/or acting replacement?Note: Please assign ETMS2 tasker to the “USMC HQMC AR ARD ARDB RECORDS” organization using subject “Capstone Official Update” and include both NIPR and SIPR email address.Note: Tasker details for Capstone official updates to ARDB must include the following data fields:1. Capstone official rank, name, billet title
2. NIPR email address
3. SIPR email address
4. Estimated date of rotation (start & end dates)

Reference: OMB M-19-21, section1.1. (supersedes OMB M-12-18, part 1.2); SECNAVINST 5210.8F, enclosure 4, par 6.g. and enclosure 5, par 4.; SECNAV-M 5210.1, Part I, par 16.b.(e), MCO 5210.11F, chap 1, 1.b.(1)(a); MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4a(2)(c); and DON Record Schedule 2000-47 |
|  Result | Comments  |
| 0404 | Has the command taken appropriate steps to coordinate with the appropriate personnel (i.e., G2/S2; G6/S6) for the capture and storage of Capstone Officials’ SIPR email prior to departing the billet?Note: Currently there is no SIPR ERM solution in place to capture Capstone emails. Therefore, the command must continue to manually capture these records prior to the Capstone Official vacating the billet. Reference: OMB M-19-21, section 1.1. (supersedes OMB M-12-18, Part I, 1.2.); MCO 5210.11F, chap 1, 1.b.(1)(a); and DON Record Schedule 2000-47, MARADMIN 192/19, MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, 4a(2)(e) |
| Result | Comments  |
| 0405 | Has the command taken appropriate steps to capture and store the Capstone Official’s records (unclassified and classified) prior to departing the billet?Note 1: Records generated by a Capstone Official are Permanent.Note 2: Use NAVMC Form 11786, “Records Management Checklist for Departing USMC Employees,” form.Reference: OMB M-19-21 part 1.1 (supersedes OMB M-12-18, Part 1, 1.1.); MCO 5210.11F, chap 1, 1.b.(1)(b); and DON Record schedule 3000-2, 3000-3, and 3000-4, MARADMIN 192/19, MCBul 5210 W/ ADMIN CH dtd 19 Jan 23, par 4a(2)(e) |
| Result | Comments  |