



# CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

DOM/SJS  
DISTRIBUTION: A, C, J, S

CJCSI 5760.01  
10 March 2003

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## RECORDS MANAGEMENT POLICY FOR THE JOINT STAFF AND COMBATANT COMMANDS

References: Enclosure B

1. Purpose. In accordance with references a through i, this instruction provides policy and guidance for the Joint Staff and the combatant commanders in the conduct of records management.
2. Cancellation. JSI 5760.02, 28 February 1994, is canceled.
3. Applicability. This instruction applies to:
  - a. All Joint Staff directorates, separate offices, activities and agencies responsive to the Chairman of the Joint Chiefs of Staff.
  - b. All headquarters of the combatant commands, their subordinate unified commands, joint task forces and all other subordinate functional components or operational forces that include members of the several Services and remain directly responsive to the combatant commanders. This excludes the Service components assigned to the combatant commands and other functional components or operational forces consisting of members of a single Service. Exception: US Special Operations Command (USSOCOM) Service components will maintain records generated as a result of Component expenditure of Major Forces Protection 11 funds separate from Service records and will control them in accordance with this manual.
  - c. All Joint Staff and combatant command records in any media, including electronic records created or stored in any automated information system, the Defense Information Services Organization Joint Information Service Center and Joint Staff and combatant command local area networks and computers.
4. Policy. The objectives of the Joint Staff and Combatant Command Records Management Program are to:

- a. Create, maintain and preserve information as records that document the role and activities of the Joint Staff and combatant commands in the conduct of their assigned missions.
- b. Provide for a continuous set of records reflecting the organization, functions, policies, procedures, operations and other actions of the Joint Staff and combatant commands that have historical, legal, research or public interest value.
- c. Establish policies, standards, criteria and procedures that ensure:
  - (1) Joint Staff and combatant command compliance with the statutes applicable to the creation, maintenance, use, preservation and disposal of official records.
  - (2) Effective and efficient management of the life cycle of records.
  - (3) Maintenance of document holdings at the minimum level necessary to support current operations.
- d. Foster unity of effort on records management matters among the Joint Staff, combatant commands and Services.
- e. Provide for the effective and economical operation of Joint Staff electronic record-keeping systems.

## 5. Definitions

a. Record. A record is information in any medium, including operational, logistical, support and other materials created or received by the DOD components in training, contingency and wartime operations as well as in all routine and peacetime business. As further defined in reference f, Section 3301: "Records include all books, papers, maps, photographs, machine-readable materials and other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the Government or because of the informational value of the data in them."

b. Electronic Record. As defined in reference d, 36 CFR 1234.2, an electronic record is: "Any information that is recorded in a form that requires a computer or other machine to process it and that satisfies the legal definition of a record in 44 USC 3301 [reference f]."

c. Nonrecord. As defined in reference d, 36 CFR 1222.34: "Nonrecord materials are those Federally owned informational materials that do not meet the statutory definition of records contained within 44 USC Section 3301 [reference e] or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents and library or museum materials intended solely for reference or exhibit."

d. Records Management. As defined in reference f, Section 2901: "Records management is the planning, controlling, directing, organizing, training, promoting and other managerial activities involved with respect to records creation, records maintenance and use and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations."

## 6. Responsibilities

a. Secretary, Joint Staff. The Secretary, Joint Staff, will provide for the proper creation, maintenance, disposition and preservation of Joint Staff and combatant command records through direction of an active Joint Staff and Combatant Command Records Management Program.

b. Chief, Joint Staff Information Management Division (IMD). The Chief, IMD, is responsible for implementation and overall supervision of the Joint Staff and Combatant Command Records Management Program.

c. Joint Staff Records Manager. The Chief, Records Management and Automation Support Branch (RMAS Br), is the Joint Staff Records Manager, and as such is responsible for oversight of the Joint Staff and Combatant Command Records Management Program. The Chief, RMAS Br, is directly responsible to:

(1) Publish and periodically review, update and revise a Joint Staff and Combatant Command Records Management Procedural Manual, to include a records disposition schedule (reference b).

(2) Coordinate the records management programs of the Joint Staff, combatant commands and Services to ensure full and proper coverage of joint activities and operations; maintain liaison with the records offices of the combatant commands to facilitate proper coordination among them, their Service components, and their sub-combatant and combined commands.

(3) Conduct periodic staff assistance visits and inspections of Joint Staff and combatant command records management activities and products;

advise the Joint Staff and combatant commanders about the adequacy of their records management programs and about document retention and declassification requirements; review annual combatant command records management reports for quality, completeness and conformance with current guidance.

(4) Maintain liaison with National Archives and Records Administration (NARA) on records matters.

(5) Prior to discontinuation of any Joint Staff special office or function, coordinate with NARA and the head of that office/function to determine the appropriate disposition action for all records it created.

d. Joint Staff Directorates and Separate Offices. Directors and heads of separate offices are responsible for implementation and supervision of the Joint Staff Records Management Program within their staff elements. Each Joint Staff director and separate office head will designate a Records Officer to maintain cognizance of records management within their area of responsibility and will provide the name, rank/grade, room and telephone number of the designated Records Officer to the Joint Staff Records Manager. The Records Officer will be a senior NCO or higher, normally the directorate Military Secretary or agency or office secretary.

e. Heads of Other Joint Staff Activities. Chairpersons, presidents, project managers, directors and heads of special boards, study or working groups, committees, commissions, councils and other projects responsive to the Chairman of the Joint Chiefs of Staff are responsible for implementation and supervision of the Joint Staff Records Management Program within their staff elements.

(1) Upon establishment of a special activity, the activity head will designate a Records Officer (senior NCO or higher) to maintain cognizance of records management for that staff element; provide the name, rank, room and telephone number of the Records Officer to the Joint Staff Records Manager; ensure that files are established immediately in accordance with this instruction and reference b.

(2) Upon completion of the activity and prior to discontinuation, deactivation or termination of the function, the activity head will notify the Joint Staff Records Manager to request records disposition guidance and assistance.

f. Records Officer: Joint Staff Directorates, Separate Offices, and Other Joint Staff Activities. The Records Officer will serve as point of contact for the

Joint Staff Records Manager. Within his or her staff area of responsibility, the Records Officer will:

(1) Ensure each office and file station has a current copy of this instruction and reference b; ensure adherence to the policies, procedures and standards set forth in this instruction, reference b and other appropriate directives.

(2) Advise the directorate, office or activity on all records management matters; i.e., filing, screening and disposition of all materials addressed in this instruction, including electronic machine-readable records.

(3) Conduct records management assistance visits to subordinate offices at least annually to ensure proper implementation of this instruction; provide written results of these visits to the Joint Staff Records Manager.

(4) Prior to submission of transfer records to the Joint Staff Records Manager, provide initial screening and documentation review of all records offered by the directorate or office to NARA, the Washington National Records Center or the Joint Staff Records Holding Area, Site R.

g. Joint Staff Personnel. All Joint Staff personnel are responsible to familiarize themselves with the policies and procedures contained in this instruction and in reference b. This includes maintaining personal papers separate from official files, removing from records only those items authorized in reference b and disposing of materials only in accordance with the disposition standards established in reference b. All Joint Staff personnel will further ensure that responsible officials are informed of any actual, impending or threatened unlawful removal, alteration or destruction of Federal records.

h. Combatant Commanders. Combatant commanders are responsible for the proper creation, maintenance, preservation and disposition of the records of the combatant commands. Combatant commanders will:

(1) Establish an internal Combatant Command Records Management Program consistent with references a through h that provides life cycle management of combatant command records recorded on any media, to include records identification, maintenance, storage, retirement and destruction.

(2) Designate a dedicated position to administer the Combatant Command Records Management Program for all command records to facilitate collection of all relevant documentation, including Top Secret-Sensitive Compartmented Information, Special Access Programs and Focal Point records; provide the name, rank/grade, room and telephone number of the designated

Headquarters Combatant Command Records Manager to the Joint Staff  
Records Manager.

(3) Ensure personnel engaged in combatant command records management are trained to meet joint records management requirements, including conducting periodic assistance visits to all subordinate joint activities and agencies.

(4) Provide for records collection and retention in mobilization planning and crisis action procedures to include command operations center records; ensure inclusion of records management annexes in appropriate operations plans, concept plans and operations orders specifying how records will be collected and retained.

(5) Ensure the adequacy of the command's records management program from a historical perspective; facilitate liaison between the historian and the command records manager to ensure key documents, including electronic records, are reviewed, organized and secured in accordance with reference i.

(6) Submit annual records management reports through RMAS Br, IMD, Office of the Secretary, Joint Staff, to the Chairman of the Joint Chiefs of Staff (see Enclosure A).

i. Service Components. The Service components are responsible to provide the Joint Staff and Combatant Command Records Management Program with administrative and logistical support consistent with reference c.

7. Summary of Changes. This instruction updates the Joint Staff Records Management Program and establishes a requirement for the combatant commanders to institute their own internal Records Management Programs.

8. Releasability. This instruction is approved for public release; distribution is unlimited. DOD components (to include the combatant commands), other Federal agencies and the public may obtain copies of this instruction through the Internet from the CJCS Directives Home Page--<http://www.dtic.mil/doctrine>. Copies are also available through the Government Printing Office on the Joint Electronic Library CD-ROM.

9. Effective Date

a. Joint Staff. This instruction is effective upon receipt.

b. Combatant Commands

(1) Start date for program implementation is no later than 1 April 2003. Full implementation at headquarters level will be accomplished no later than 1 October 2003 for fiscal year (FY) records and 1 January 2004 for calendar year (CY) records. Full implementation throughout combatant command subordinate elements identified in paragraph 3.b. of this directive will be accomplished no later than 1 October 2004 for FY records and 1 January 2005 for CY records.

(2) Earlier implementation is authorized and encouraged.

(3) Commands requiring extensions to the full implementation dates for subordinate elements will submit a request with justification and proposed alternative timeline to the Joint Staff Records Manager no later than 1 July 2004 for FY records and 1 October 2004 for CY records.

For the Chairman of the Joint Chiefs of Staff:



JAMES A. HAWKINS  
Major General, USAF  
Vice Director, Joint Staff

Enclosures

A--JS Form 33, Combatant Command Records Management Annual Report  
to the CJCS

B—References

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DISTRIBUTION

Distribution A, C, D, and J plus the following:

Copies

Secretary of Defense..... 5  
National Archives and Records Administration ..... 10

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ENCLOSURE A

JS FORM 33

<b>COMBATANT COMMAND RECORDS MANAGEMENT (RM) ANNUAL REPORT TO THE CJCS</b>		
<b>PART I. POSITION AND REPORTING INFORMATION</b>		
THRU: CHIEF, RECORDS MANAGEMENT AND AUTOMATION SUPPORT BRANCH INFORMATION MANAGEMENT DIVISION THE JOINT STAFF, WASHINGTON DC 20318	FROM: RM OFFICER NAME, RANK/GS LEVEL, TITLE, OFFICE, COMMAND/ ORGANIZATION, AND LOCATION	
REPORTING PERIOD:		
DDMMYY	THRU	
DDMMYY ASSIGNED AS RM OFFICER:	IS THIS A FULL-TIME POSITION? YES <input type="checkbox"/> NO <input type="checkbox"/>	IF NO, WHAT PERCENT OF YOUR TIME IS DEDICATED TO THIS POSITION? 5-10% <input type="checkbox"/> 10-25% <input type="checkbox"/> 25-50% <input type="checkbox"/> 50-75% <input type="checkbox"/> OTHER % _____
<b>PART II. PROGRAM TRAINING AND ASSESSMENT</b>		
A. DESCRIBE RM TRAINING AND PROFESSIONAL DEVELOPMENT YOU RECEIVED DURING THE REPORTING PERIOD. INCLUDE STAFF ASSISTANCE VISITS AND INSPECTIONS.		
B. DESCRIBE RM TRAINING YOU PROVIDED DURING THE REPORTING PERIOD. INCLUDE LEVEL OF TRAINING, AUDIENCE, NUMBER OF SESSIONS, NUMBER OF PERSONNEL PER SESSION, AND ANY OTHER FACTORS YOU CONSIDER PERTINENT.		
PERCENT OF YOUR ORGANIZATION TRAINED: _____		
C. HOW MANY RM STAFF ASSISTANCE VISITS DID YOU CONDUCT, WITH WHOM, AND WITH WHAT RESULTS?		
PERCENT OF YOUR ORGANIZATION VISITED: _____		
D. HOW MANY RM INSPECTIONS DID YOU CONDUCT, WITH WHOM, AND WITH WHAT RESULTS?		
PERCENT OF YOUR ORGANIZATION INSPECTED: _____		

JS FORM 33, 0103

COMMAND/ORGANIZATION, AND LOCATION:		REPORTING PERIOD:	
		DDMMYY	THRU
<b>PART III. RECORDS CREATION, MAINTENANCE, AND DISPOSITION</b>			
A. IDENTIFY ANY UNSCHEDULED RECORDS YOU CREATED DURING THE YEAR.			
B. STATUS OF ACCOUNTABILITY FOR ELECTRONIC SYSTEMS AND/OR DATABASES?			
C. * VOLUME OF RECORDS DESTROYED ON SITE:		B. VOLUME OF RECORDS TRANSFERRED TO:	
_____		RECORDS CENTERS _____ NARA _____	
<b>PART IV. PROGRAM MANAGEMENT</b>			
A. TOP THREE RM-RELATED ACCOMPLISHMENTS WITHIN YOUR ORGANIZATION DURING THE REPORTING PERIOD.			
1.			
2.			
3.			
B. TOP THREE RM-RELATED CHALLENGES FOR YOUR ORGANIZATION DURING THE REPORTING PERIOD.			
1.			
2.			
3.			
C. TOP THREE OBJECTIVES FOR ENHANCING YOUR ORGANIZATION'S RM PROGRAM.			
1.			
2.			
3.			

ENCLOSURE B

REFERENCES

- a. DoD Directive 5015.2, 6 March 2000, "Records Management Program"
- b. CJCSM 5760.01 Series, Joint Staff and Combatant Command Records Management
- c. DoD Directive 5100.3, "Support of the Headquarters of Combatant and Subordinate Joint Commands," 15 November 1999
- d. Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management," current edition
- e. Title 41, Code of Federal Regulations, Chapter 201, "Federal Information Resources Management Regulation"
- f. Title 44, United States Code, Chapters 21, 29, 31, 33, and 35
- g. DoD 5400.11-R, August 1993, "Department of Defense Privacy Program," authorized by DoD Directive 5400.11, 13 December 1999
- h. DoD 5015.2-STD, June 2002, "Design Criteria Standard for Electronic Records Management Software Applications"
- i. CJCSI 5320.01 Series, "Guidance for the Joint History Program"

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