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**JOINT STAFF AND
COMBATANT COMMAND
RECORDS MANAGEMENT
MANUAL: VOLUME I--
PROCEDURES**



**JOINT STAFF
WASHINGTON, D.C. 20318**

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CHAIRMAN OF THE JOINT CHIEFS OF STAFF MANUAL

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JOINT STAFF AND COMBATANT COMMAND RECORDS MANAGEMENT MANUAL: VOLUME I--PROCEDURES

References: Enclosure G

1. Purpose. In accordance with references a through e, Volume I of this manual sets forth records management administrative instructions and procedural guidance for the Joint Staff and combatant commands. Volume II comprises the Joint Staff and combatant command records disposition schedule.
2. Cancellation. CJCSM 5760.01, 10 March 2003, is hereby canceled.
3. Applicability. This manual applies to:
 - a. All Joint Staff directorates, separate offices, activities, and agencies responsive to the Chairman of the Joint Chiefs of Staff.
 - b. All combatant command headquarters, their subordinate unified commands, joint task forces, and all other subordinate functional components, or operational forces that are immediately 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: USSOCOM Service components will maintain records generated because 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 electronic information systems (EIS), local area networks, and microcomputers.
4. Definitions. Terms used in this manual are explained in the text. The Society of American Archivists' electronic publication, "A Glossary of Archival

and Records Terminology,” (available via the Internet at <http://www.archivists.org/glossary>) provides definitions of other common records management terms.

5. Procedures. See Enclosures A through F. The Joint Staff and combatant commands may issue supplemental guidance to this manual in any format appropriate and in compliance with higher level authority to issue specific procedures that pertain to their organizations.

6. Summary. This manual updates the initial CJCSM 5760.01, Volume I. It also removes material that applies only to the Joint Staff.

7. Releasability. This manual 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 manual via the Internet from the CJCS Directives Home Page at http://www.dtic.mil/cjcs_directives.

8. Effective Date. This manual is effective upon receipt.

For the Chairman of the Joint Chiefs of Staff:



WALTER L. SHARP
Lieutenant General, USA
Director, Joint Staff

Enclosures:

- A -- GENERAL PROVISIONS
- B -- SPECIAL PROVISIONS
- C -- RECORDS SCHEDULING AND FILING
- D -- RECORDS MAINTENANCE AND DISPOSITION
- E -- RECORDS RETIREMENT, TRANSFER, AND RECALL
- F -- FORMS AND SAMPLES
- G -- REFERENCES



CHAIRMAN OF THE JOINT CHIEFS OF STAFF NOTICE

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CJCSM 5760.01A, VOL I CH 1
1 January 2009

CHANGE 1 TO CJCSM 5760.01A, VOL I

1. Holders of CJCSM 5760.01A, VOL I, 7 February 2008, "JOINT STAFF AND COMBATANT COMMAND RECORDS MANAGEMENT MANUAL: VOLUME I--PROCEDURES," are requested to make the following page substitutions:

Remove Page(s)

i to iv
B-1 to B-8

Add Page(s)

i to iv
B-1 to B-10

2. Summary of the changes is as follows. Incorporates data collection into the Special Provisions Enclosure.
3. When the prescribed action has been taken, this transmittal should be filed behind the basic document.
4. This manual 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 manual through the Internet from the CJCS Directives Home Page--http://www.dtic.mil/cjcs_directives.

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W. E. GASKIN
Major General, USMC
Vice Director, Joint Staff

Enclosure(s):
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Change Pages B-1 to B-10



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION

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CJCSM 5760.01A, Vol. I CH 2
13 July 2009

CHANGE 2 TO CJCSM 5760.01A, VOL. I

References: See Enclosure G

1. Holders of CJCSM 5760.01A, VOL. I, 7 February 2008, "Joint Staff and Combatant Command Records Management Manual: Volume I--Procedures," are requested to make the following page substitutions:

Remove Pages

B-1 to B-2
B-9 to B-10
F-11 to F-12
G-1 to G-2

Add Pages

B-1 to B-2
B-9 to B-12
F-11 to F-12
G-1 to G-2

2. Summary of the changes is as follows: Incorporates the revision of JS Form 32, adds information on Electronic Information System archiving, and updates references in Enclosure B.

3. When the prescribed action has been taken, this transmittal should be filed behind the basic document.

4. This manual 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 manual through the Internet from the CJCS Directives Home Page--http://www.dtic.mil/cjcs_directives.

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DANIEL J. SCHEBLER
Captain, U.S. Navy
Secretary, Joint Staff

Enclosures:

- Change Pages to B-1 to B-2
- Change Pages to B-9 to B-12
- Change Pages to F-11 & F-12
- Change Pages to G-1 & G-2

LIST OF EFFECTIVE PAGES

The following is a list of effective pages for. Use this list to verify the currency and completeness of the document. An "O" indicates a page in the original document.

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i thru iv	1	D-1 thru D-8	O
v thru vi	O	E-1 thru E-2	O
A-1 thru A-8	O	F-1 thru F-10	1
B-1	2	F-11 thru F-12	2
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ENCLOSURE A

GENERAL PROVISIONS

1. Purpose

a. This enclosure provides core principles for the conduct of Joint Staff and combatant command records management.

b. All Joint Staff and combatant command organizations will maintain and dispose of the records they create as prescribed in Volumes I and II of this manual. The dispositions in Volume II of this manual constitute authority for retention, transfer, temporary or permanent retirement, and/or destruction of record and nonrecord material.

2. Privacy. Pursuant to references f and g, it is DOD policy to safeguard personal information contained in any system of records. Each office maintaining records and information about individuals shall establish appropriate administrative, technical, and physical safeguards to protect personal information from misuse, alteration, or unauthorized disclosure

3. Key Concepts

a. Records Management. Every federal agency action, decision, or policy results in some kind of record that documents the agency's operational, fiscal, legal, and historical experience. As the memory of an agency, records must be properly managed to ensure that valuable information is available to support both current operations and historical research. This goal is only attainable through continuous, systematic, and effective controls over the creation, maintenance, and disposition of records in accordance with established principles -- i.e., through a disciplined records management program.

b. Records and Nonrecords

(1) Section 3301 of reference a.(4) defines records as: “. . . books, papers, maps, photographs, machine-readable materials, or 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.”

(2) Nonrecords are materials that cannot be categorized as records but must still be managed. Section 3301 of reference a.(4) defines nonrecord material as: “Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents” In addition to these types of materials, nonrecord materials may include routing slips, transmittal sheets, and blank forms; reading file and suspense copies of correspondence; materials concerning fringe activities of the agency such as employee charitable activities; and physical exhibits, artifacts, and material objects having no documentary value.

(3) Distinguishing between record and nonrecord material is often difficult and care should be exercised in doing so. For example, papers normally considered nonrecord such as transmittal or routing slips, may acquire record status if their contents are necessary to clearly explain or document the matter to which they are attached. As a rule, if there are questions as to the proper category, the material should be treated as record.

c. Permanent and Temporary Records. All records are either permanent or temporary.

(1) Permanent records are records of enduring value that warrant permanent preservation by the federal government. The value of records is determined by their use as administrative tools, as legal or other official evidence, and as material for historical or other research. In general, the records that are most authoritative and informative in conducting office operations are the most valuable. Permanent records are normally transferred to the legal custody of the National Archives and Records Administration (NARA) for preservation before they are 30 years old. Very small portions of federal records are permanent.

(2) Temporary records have a limited life span during which the information they contain is useful. They are destroyed when no longer needed, usually after a fixed time or after an event. The time may range from a few days or months to longer periods such as 3 years, 7 years, or even longer. Most federal records are temporary.

d. Records Appraisal, Scheduling, and Disposition

(1) Disposition refers to the actions taken when records and nonrecord materials are no longer needed for current government business. Records scheduling is the process of determining these actions and securing the legal authority to take them. The Archivist of the United States holds this authority.

(2) Appraisal refers to the assessment process used to determine the value of records. The Joint Staff and combatant commands are responsible to

identify records and nonrecord materials. NARA is responsible to appraise permanent federal records. NARA will secure the Archivist's approval to schedule them as temporary or permanent, and, for permanent records, will take custody of, preserve, and make them available to the public. Disposition actions include destruction of temporary records, retirement of records to inactive storage facilities (ISFs) for ultimate destruction or for transfer to NARA, and transfer of records directly to NARA.

(3) The Archivist grants approval of disposition standards by signing a Standard Form (SF) 115, "Request for Records Disposition Authority," also known as a Records Schedule. The SF 115 is filled out by the record holder and when approved by NARA provides mandatory instructions for retaining and disposing of federal records and nonrecord materials.

(a) The General Records Schedule (GRS) is the NARA-issued schedule governing the disposition of administrative records common to federal agencies, such as personnel, budget, and supply records.

(b) The Joint Staff and Combatant Command Records Schedule in Volume II of this manual is the NARA-approved schedule governing the disposition of records specific to the Joint Staff and combatant commands. The disposition authorities are a combination of authorities from the GRS and authorities approved by NARA on previously submitted SF 115s.

4. Responsibilities. The following generic position and office titles are used throughout this manual for consistency in referring to the various levels of responsibility for records management throughout the Joint Staff and combatant commands.

a. Joint Staff Records Manager. The Joint Staff Records Manager is the position within the Joint Staff responsible for oversight of the Joint Staff and Combatant Command Records Management Program. The Chief of the Records, Research, and Content Branch (RRCB), Information Management Division (IMD), Secretariat of the Joint Staff (SJS), is designated the Joint Staff Records Manager.

b. Headquarters Combatant Command Records Manager. The Headquarters Combatant Command Records Manager (hereafter referred to as the Combatant Command Records Manager) is the position designated by the combatant commander to administer the combatant command's records management program for all records in the command including records held by subordinate joint elements. Combatant Command Records Managers will periodically conduct Staff Assistance Visits (SAV) to Directorates, Special Staffs, Security Assistance Officer Liaisons and Joint Task Forces in order to ensure adherence to the policies, procedures, and standards in this manual. In performing this function, the Combatant Command Records Manager will

submit an annual records management report through RRCB/IMD/SJS to the Chairman of the Joint Chiefs of Staff, as prescribed by and in the format provided in reference d.

c. Corporate Office of Record. The Corporate Office of Record is the office designated by the Chairman of the Joint Chiefs of Staff for the Joint Staff, and by the combatant commanders for their respective commands, as responsible for the physical custody, maintenance, and disposition of their corporate records.

(1) Joint Staff corporate records are all records made or received, or signed by or for, the Top 5 leadership positions in the Joint Staff, listed below. Joint Staff corporate records may also include certain other records made or received, or signed by or for, the Secretary, Joint Staff.

- (a) Chairman of the Joint Chiefs of Staff.
- (b) Vice Chairman of the Joint Chiefs of Staff.
- (c) Assistant to the Chairman of the Joint Chiefs of Staff.
- (d) Director, Joint Staff.
- (e) Vice Director, Joint Staff.

(2) Combatant command corporate records are those made or received by, or signed by or for, the senior leadership of the command. The definition of “senior leadership” may vary from command to command, but may consist of the combatant commander, deputy combatant commander, and the chief of staff/director of staff/joint secretary, or equivalent position as defined in the respective combatant command’s internal directives.

d. Directorate Records Officer. The Directorate Records Officer (hereafter referred to as the Records Officer) is the position designated by the head of a Joint Staff or combatant command directorate, separate office, or other activity or organizational element (hereafter referred to as a “directorate”) to administer the records management program for the directorate. The Records Officer will:

(1) Serve as the directorate point of contact for the controlling Joint Staff or Combatant Command Records Manager.

(2) Designate the office of record within the directorate that is responsible for the custody, maintenance, and disposal of the directorate’s records; designate the Files Custodian that is responsible for the files within the office of record. Depending upon the size and complexity of directorate operations and functions, the Records Officer may designate more than one

office of record and Files Custodian. In this case, the Records Officer will publicize the designations throughout the directorate to avoid confusion as to which office is responsible for a given record.

(3) Create and/or maintain the directorate file plan. The Joint Staff will use JS Form 31, "Joint Staff/Combatant Command List of Selected File Numbers," for file planning. (See subparagraph 2.a. of Enclosure D for requirements and Enclosure F for an example.) The combatant commands may use a similar form or format.

(4) Advise the directorate on all records management matters, including publishing written procedures on files maintenance within the directorate -- as appropriate to the size and complexity of the directorate.

(5) Ensure adherence to the policies, procedures, and standards in this manual; periodically review the directorate records management program for compliance with them, to include conducting periodic inspections and assistance visits to all subordinate offices and activities. Joint Staff Records Officers will use JS Form 32, "Records Management Checklist," for conducting inspections and assistance visits. (See Enclosure F for an example.) Combatant Command Records Officers may use this form or an equivalent more suited to their specific organization.

(6) Ensure that records are scheduled and that the current Joint Staff and combatant command Records Schedule is used; ensure proper records maintenance, retention, and disposition.

e. Office-of-Record Files Custodian. The Office-of-Record Files Custodian (hereafter referred to as the Files Custodian) is the position designated by the Records Officer to be responsible for the physical custody, maintenance, and disposition of records in an office-of-record. There may be more than one office-of-record and corresponding Files Custodian within a directorate. Files custodians will:

- (1) Create and/or maintain the file plan for the office-of-record.
- (2) Maintain the official record copy of materials created in the office-of-record.
- (3) Prepare records for disposition.
- (4) Consult with the Records Officer on records management issues.

f. Electronic System Functional Manager. The Electronic System Functional Manager (hereafter referred to as the Electronic System Manager) is the position within the Joint Staff or combatant command responsible for a particular automated system or systems, or EIS. Electronic system managers will:

(1) Identify EIS and EIS-related records for which they are responsible to the Files Custodian for entry into the office-of-record file plan.

(2) Oversee the creation and use of the records within and generated from the EIS; oversee the operation of the EIS.

(3) For EIS and related records designated for permanent retention, ensure that documentation adequate for servicing the EIS and interpreting the records is developed and maintained throughout the life of the system.

(4) Upon deactivation or termination of the EIS, ensure the system and all data and documentation are disposed of according to the Records Schedule in Volume II.

5. Prohibitions and Restrictions

a. Destruction and/or Removal of Records

(1) Pursuant to sections 2905 and 3106 of reference b, it is unlawful to:

(a) Deface, alter, erase, damage, or destroy any Joint Staff or combatant command record material except as authorized by the Archivist of the United States for temporary records in Volume II.

(b) Remove any record material from Joint Staff or combatant command files, including electronic files and any other type of record or records storage media, except as required for the conduct of official business and only with the proper authority, or when the material is determined to be a personal file and not a Joint Staff or combatant command official file. (See section 2d of Enclosure B.)

(2) Removal of records from Joint Staff and combatant command files when required for the conduct of official business will be documented on a charge-out form identifying the record (number, title or subject, and date), the person and office charged to, and the date withdrawn. The form will be inserted in the files at the exact position the record was located, and removed only when the record is returned.

b. Handling Classified and Specially-Marked Records

(1) Records and nonrecord materials that contain controlled unclassified, for official use only, classified, restricted, and formerly restricted information; that include other special markings; and that are designated Special Access Program materials will be handled and maintained in accordance with reference h.

(2) The intermingling of classified and unclassified material will be kept to a minimum and restricted to those papers that directly support, explain, or document the record of an action.

(3) Records containing nuclear command and control-extremely sensitive information (NC2-ESI) (previously Single Integrated Operational Plan-ESI), both temporary and permanent, will not be retired to Federal Records Centers (FRCs) or any other non-DOD records repository. Such records requiring long-term storage will be stored in an agency ISF or archive approved for NC2-ESI storage prior to transfer of permanent materials to NARA. Personnel handling and maintaining NC2-ESI materials at agency ISFs and archives must have the appropriate clearances.

c. Handling NATO Records

(1) NATO records must be handled and maintained in accordance with reference i. NATO material may be stored in the same approved security container as non-NATO material provided it is separated by a file divider. In addition, COSMIC, ATOMAL, and special category documents must be filed separately by category.

(2) Combatant Command Records Managers may request an exception to the requirement to separate NATO files. The request must be made to the Chief, Central U.S. Registry, through the Joint Staff Records Manager. Interested Records Managers should contact the Joint Staff Records Manager for details.

d. Protections for Electronic Records and EIS. Electronic Records and EIS shall be protected and defended in accordance with references j and k to ensure their availability, integrity, and authenticity.

6. Requests for Records. All requests for copies of, access to, or information from official Joint Staff and combatant command records will be processed in accordance with references l and m. Recall of Joint Staff and combatant command records retired to a records center for responding to requests will be accomplished in accordance with Enclosure E.

7. Records Management Resources

a. The Joint Staff RRCB provides assistance in all aspects of Joint Staff and combatant command records management. Contact the Joint Staff Records Manager to schedule a training and assistance visit.

b. The NARA electronic publications referenced throughout this manual can be accessed via the NARA Internet home page at <http://www.archives.gov> as well as from the individual Internet addresses provided. The site also contains the electronic version of the NARA handbook, "Disposition of Federal Records: A Records Management Handbook," a current curriculum of records management courses, other current records management news and information, the complete General Records Schedule (GRS), and links to applicable sections of the United States Code, Code of Federal Regulations, and Federal Register.

c. The DOD Standard and Optional Forms referenced in this manual can be obtained from the forms library on the General Services Administration home page at <http://www.gsa.gov>

ENCLOSURE B

SPECIAL PROVISIONS

1. Purpose. This enclosure provides additional provisions for managing several types of records requiring special attention. These types of records are categorized here by content and media; however, they are by nature overlapping and interrelated, and should be evaluated in the context of, and not in isolation from, each other or from other records.

2. By Record Content

a. Vital Records

(1) As defined by reference t, “Vital records and databases are those documents, references, records, and information systems needed to support (Mission Essential Functions) MEF during a continuity event and include those records and information systems necessary for reconstitution to normal operations after (a) crisis. The DoD Component continuity plans will ensure that relocation sites provide adequate connectivity, hardware, software, information assurance, and related infrastructure to ensure access to the systems necessary to support their execution of MEF. All processes and procedures for the preservation and retrieval of all vital electronic records, databases, and information systems will be identified to and coordinated with the Component Chief Information Officer (CIO) or equivalent office.”

(a) The two basic categories of vital records and associated requirements for their management are defined as follows:

1. Emergency Operating Records. These include records (to include databases and vital data) essential to the continued functioning or the reconstitution of DOD mission-essential functions during and after a continuity event. Examples of these records are operational data, emergency plans and directives, orders of succession, delegations of authority, staffing assignments, and related policy or procedural records. These records provide continuity personnel with the guidance they need to conduct operations during a continuity situation and to resume normal operations at the conclusion of that situation.

2. Rights and Interests Records. These include records (to include databases and vital data) critical to carrying out essential legal and financial functions, and vital to the protection of the legal and financial rights of individuals who are directly affected by that agency's activities. These records include those with such value that their loss would significantly impair the execution of essential functions, to the detriment of the legal or financial rights and entitlements of DOD components and affected individuals.

(b) Under federal directives, vital records must be accessible by continuity personnel from designated alternate facilities within 12 hours after activation of continuity plans. In some cases, mission requirements will dictate more rapid or even real-time responsiveness.

(c) A vital records and data program must be incorporated into all continuity plans, to include policies, authorities, and procedures. This program must include, at minimum:

1. An ongoing training program for staff members, to include identification, inventory, protection, storage, access, and updating vital records and data.

2. At minimum, annual exercise of the capabilities for protecting vital records, and of ensuring access by continuity personnel from designated alternate locations within required timelines.

3. An annual review to address new security issues, identify problem areas, update information, and incorporate new vital records and data.

(d) Program managers must determine which records within their physical or legal custody are vital. Program managers, in consultation with component Records Managers, should then take steps to ensure that copies of these vital records are properly managed throughout their life, as they are updated, stored, and cycled. In addition, original vital records must be properly maintained until their authorized destruction.

(e) Component Records Managers will work with the heads of operational activities/program managers to conduct a vital records (to include databases and vital data) risk assessment, comprising of at least the following:

1. Identify risks involved if vital records (to include databases and vital data) are retained in their current locations and media, and the difficulty of reconstituting those records if they are destroyed.

2. Identify off-site storage locations and requirements.

(2) Vital Data Survivability. Vital data represent vital records in electronic format, which require the same level of protection against loss and nonavailability as other vital records.

(a) Custodians of authoritative vital data sources must ensure that business continuity planning, disaster recovery, fault tolerance and contingency planning are addressed for those mission-critical systems, infrastructure, systems architecture, integration testing and data center operations their authoritative data sources depend upon.

1. Data is an essential enabler of network-centric warfare and must be rendered visible, accessible, and understandable to any potential authorized user as early as possible in the life cycle to support mission objectives.

2. DoD policy directs employment of net-centric or shared environments, which improves data survivability. Systems in a shared environment leverage a single set of processes and procedures for replication and synchronization reducing opportunities for data loss.

(b) Sound, consistent, and well-documented management of electronic records as directed in this publication is central to ensuring vital records are survivable, and that they can be quickly discovered and reconstituted from alternate locations and by alternate personnel when required.

1. Components shall clearly identify, segregate and regularly review their vital records to ensure preparedness for a continuity event.

2. According to Reference (y), “agencies will pre-position and regularly update duplicate Emergency Operating Records.” Components are responsible for ensuring vital record update (or “cycle”) periods are appropriate to maintain data currency, as dictated by the type and volatility of the data, but not less frequently than once per year.

3. An individual’s personal electronic mail data file is not acceptable as the primary storage location for vital record data, even if the personal data file is replicated, as it does not meet the requirement of rapid accessibility by alternate personnel and organizations during and after a continuity event.

(3) The NARA electronic publication, “Vital Records and Records Disaster Mitigation and Recovery,” provides additional guidance for managing vital records (available via the Internet at <http://www.archives.gov/records-mgmt/vital-records/>).

b. Records of Crisis and Contingency Operations. In accordance with section 3506 of reference a.(5) and reference n, the Joint Staff and combatant commands will manage records generated from crisis or contingency operations as follows:

(1) Essential Records. At a minimum, the records inventoried in Figure B-1 will be preserved.

Essential Crisis and Contingency Operations Records
✓ Accident/incident case files including case files of nuclear, chemical, and biological incidents
✓ Agreements
✓ Command reports, incident reports, health reports, special reports, maps, and overlays
✓ Counter-intelligence collection files
✓ Daily staff journals and tactical operations center logs, with coordinates of locations and events
✓ Document registers and indexes
✓ Field medical records and clinic logs
✓ Historians' background material files including historians' journals and oral history audio and videotapes
✓ Inspector general investigations
✓ Intelligence collections and reports including captured records/documents and POW/MIA/detainee information
✓ Meeting and teleconference minutes
✓ Military police journals
✓ News/media reports and releases
✓ Operations plans
✓ Organizational history files
✓ Personnel records including permanent orders, temporary duty orders, absentees, and passenger manifests
✓ Property books and supporting documents covering loss, theft, recovery, and survey of equipment

Figure B-1. Essential Crisis and Contingency Operations Records

(2) Procedures. The Joint Staff and combatant commands will take the following actions upon determination of a crisis or contingency operation.

(a) Joint Staff or Combatant Command Records Manager. The controlling Records Manager will:

1. Notify the activities (and/or units/separate offices) involved in the operation of their responsibilities to manage operational records.

2. Provide a central repository for collecting and safeguarding operational records.

(b) Heads of Operational Activities. The heads of activities involved in the operation will:

1. Provide for the preservation of official operational records including designating a records management single point of contact (POC) at the appropriate organizational level.

2. When the records are no longer needed for current operations, ensure they are shipped to the central repository designated by the controlling Records Manager.

(c) Operational Activity Records Management POCs. The activity records managements POCs will:

1. Identify operational records and inventory them on SF 135, "Records Transmittal and Receipt." (See Enclosure F for an example.)

2. Collect and transfer records to the central repository on a monthly basis. Local commanders may elect to retain records required for operations until the next collection cycle or until no longer needed; however, all records will be transferred prior to re-deployment.

c. Contractor Records

(1) Contractors performing government functions are required to create and maintain records to document the fulfillment of specified tasks. These records and any other records created and stored by contractors in support of Joint Staff and combatant command requirements are subject to the same management provisions as records created and stored by Joint Staff and combatant command personnel. To ensure these provisions are met, the Joint Staff and combatant commands will:

(a) Include in contracts explicit requirements for delivery of all pertinent documentation of contractor program execution.

(b) Supply the contractor with the requisite instructions for file identification, technical documentation, and disposition of records to be delivered to the government.

(c) Ensure that contractor staff complies with all applicable recordkeeping disposition requirements in Volume II of this manual.

(d) Upon acceptance of contractor-produced records, follow the disposition procedures in Volume II.

(2) Special care should be taken to schedule audiovisual and electronic records maintained for the agency by contractors. The contract should clearly state the government's ownership of such records and that the agency will take physical possession of them when needed.

(3) The NARA electronic publication, "Records Management Language for Contracts," provides standard language for satisfying these requirements (available via the Internet at <http://www.archives.gov/records-mgmt/handbook/records-mgmt-language.html>).

d. Personal Files

(1) Legal Context. According to part 1222.36 of reference b, personal files are materials created solely at the discretion and for the convenience of an individual while working for the government and belong to the individual, not the government.

(a) Personal files include materials unrelated to government business, such as family and personal correspondence; personal e-mail; personal reference files, books, and other items obtained from private sources; and files documenting an individual's previous professional activities or other outside pursuits.

(b) Personal files may include materials indirectly related to government business, such as work-related personal diaries, journals, logs, notes, calendars, and e-mail. These materials can be considered personal only if they are used as reminders and personal observations and not for the transaction of government business.

(2) Procedures. Joint Staff and combatant command Records Managers will:

(a) Ensure that individuals within their respective organizations:

1. Maintain personal files separately from Joint Staff and combatant command files.

2. Do not combine personal and official information in e-mails.

3. Review their personal files annually to ensure they are separate from official files; where the distinction is unclear, consult with their records management chain of command.

(b) Elevate any questions concerning the distinction between personal files and government records to the organization's legal counsel.

(c) Encourage Presidential appointees and other officials in similar high-level, policymaking positions to donate personal papers created during their tenure to the National Defense University, a Presidential Library, or NARA for historical retention.

(3) Additional Resources. The NARA electronic publication, "Documenting Your Public Service," provides additional guidance for Joint Staff and combatant command officials who may maintain both official records and personal papers (available via the Internet at <http://www.archives.gov/records-mgmt/publications/documenting-your-public-service.html>).

3. By Record Media. Records in other than paper format are customarily maintained separately from paper records because their unique physical characteristics require special care. The requirements for prompt transfer to NARA of permanent records in media other than paper are especially important.

a. Audiovisual Records

(1) General

(a) Audiovisual records are records in pictorial or aural form including posters and other graphic materials, still and motion pictures, sound and video recordings, and combinations of media such as slide-tape and other multimedia productions. These records usually consist of a set of records rather than a single copy, possibly in audiovisual form or other form such as paper or electronic, having the following components.

1. The record itself in its original form, a copy or copies, and any element of the record needed for duplication.

2. Any production files or other files documenting the record's origin, ownership, and purpose.

3. Any finding aides used to identify or access the record, such as indexes, catalogs, and captions.

(b) DOD visual information (VI) records are audiovisual records created or received by DOD personnel using government resources. Combat camera

(COMCAM) records are DOD VI records created using DOD Joint COMCAM Program assets. Joint-interest imagery is DOD VI that depicts subjects of known or probable interest to the Office of the Secretary of Defense, the Chairman of the Joint Chiefs of Staff, or more than one DOD component. References o, p, and q provide complete definitions and govern the management of DOD VI, COMCAM, and joint-interest audiovisual records.

(2) Handling, Scheduling, and Maintenance

(a) Part 1232 of reference b provides specific requirements for handling and storing audiovisual records. These include specifications for environmental conditions, the composition of storage enclosures and containers, and, for permanent records, captioning, numbering, and filing the master and use copies separately.

(b) As the retention period for audiovisual records determines how they must be maintained, they should be scheduled as early as possible and retired and/or transferred in strict accordance with the schedule.

1. Permanent Records. Permanent audiovisual records should be scheduled for transfer to the NARA Special Media Archives Division as soon as they are no longer needed.

2. DOD VI Records. In accordance with references o, p, and q the Defense Visual Information Center (DVIC) is responsible to preserve DOD VI records, make them available to the government and the public, and dispose of them by destruction or transfer to NARA. Custody of COMCAM and joint-interest imagery will be transferred to the DOD Joint COMCAM Center (JCCC), a DVIC field activity, as soon as reasonably possible following its identification as COMCAM or joint-interest imagery. Custody of all other DOD VI records will be transferred directly to DVIC.

(3) Additional Resources

(a) The NARA electronic publication, "Managing Audiovisual Records: An Instructional Guide," provides detailed guidance including guidance on handling and storage of audiovisual records by physical format (available via the Internet at <http://www.archives.gov/records-mgmt/publications/managing-audiovisual-records.html>).

(b) The DVIC Web site at <http://www.dodmedia.osd.mil> provides information about and access to DOD VI, including a link to the JCCC Web site and contact information for both centers.

+ (b) The DVIC Web site at <http://www.dodmedia.osd.mil> provides information about and access to DOD VI, including a link to the JCCC Web site and contact information for both centers.

b. Electronic Records and EIS

(1) General

(a) An electronic record is any information stored in a form that only a computer can process and that satisfies the definition of a record. Electronic records include, but are not limited to, magnetic tapes, disks, drums, video files, and optical disks; data files and databases; word processing files and electronic spreadsheets; machine-readable indexes; electronic mail (e-mail) and messages; and other electronic textual or numeric information.

(b) An EIS is any computer processing system that contains electronic records, regardless of whether the system resides on a micro-, mini-, or mainframe computer or in a network or stand-alone configuration, and regardless of the media used to store the records. EIS functions include collecting, storing, assembling, processing, transmitting, and disseminating information electronically according to defined procedures.

(c) As with audiovisual records, EIS consist of a set of records whose components may also be electronic or in a different form, such as paper or audiovisual. Unlike audiovisual records, however, EIS components may or may not be scheduled together, depending upon their respective values and related retention periods. Electronic records that are within an EIS are best scheduled in the context of the EIS. EIS components comprise the following.

1. Input (source) records.
2. Records held within the EIS, which are solely electronic.
3. Output (system-generated) records.
4. Documentation required to maintain the system and to read and process the records within it.
5. Related indexes or catalogs.

(d) EIS Archiving - An EIS that is chosen by the OPR to be shut down or made non-operational must go through a multi-step archiving process to ensure that software, hardware, and the data maintained on the system are dispositioned properly in accordance with current Joint Staff and National Archives regulations. This process can involve many offices: IT/OCIO, Information/Records Management, Comptroller, Security, and the OPR

that must work together as the system goes offline.

1. In the context of records management, all system data (inputs, outputs, masterfile) must be scheduled with retention instructions at the time the system is ready to become non-operational. If a schedule exists, then it must be followed to ensure the life cycle of the records. If one does not exist, then a schedule must be written and NARA approval obtained. No EIS or data contained therein can be destroyed without a NARA-authorized Records Schedule.

2. The records officer/electronic system functional manager is responsible for coordination with the OPR and other offices to ensure that all data is archived properly. Some items that must be considered:

a. Are the records Permanent or Temporary? Classified or Unclassified?

b. Are all or part of the records going to be migrated to another system?

c. In what media format will the data be retained? – Electronic recordkeeping system, CDs or other magnetic media?

3. A checklist for archiving EIS can be found by contacting the Joint Staff Information Management Division and is available at https://www.intelink.gov/wiki/joint_staff_%26_combatant_command_electronic_information_system_scheduling for .gov and .mil users.

(2) Handling, Scheduling, and Maintenance

(a) Part 1234 of reference b provides specific requirements for handling and storing electronic records. These include specifications for temperature and humidity, composition of storage media, backing-up records on separate media, testing the readability of an annual sample, and migrating records of continuing value to a new EIS when either hardware or software is replaced. Specifications for electronic recordkeeping systems that maintain the official copy of records are also provided. Reference r implements these electronic recordkeeping specifications within the Department of Defense.

(b) As with audiovisual records, electronic records and EIS should be scheduled as early as possible. This facilitates not only proper handling and maintenance it avoids unnecessary costs by promoting the recycling of media when the records on them are no longer needed.

(c) Permanent electronic records should be transferred to NARA as soon as they are no longer needed for current operations. Pre-accessioning

should also be considered. This is the process whereby an agency provides NARA a copy of permanent electronic records while retaining legal custody and control over access to them. The agency maintains the responsibility to respond to inquiries about the records until legal custody is transferred. NARA assumes responsibility for physical preservation and maintenance only until custody transfer, at which point they assume responsibility to respond to records-related inquiries as well. Early transfer and pre-accessioning of permanent electronic records permits NARA to ensure the records are maintained in the most current electronic storage system.

(3) Additional Resources. NARA provides the following electronic records management publications through its home page on the Internet.

- (a) “Electronic Records Management (ERM)”
(<http://www.archives.gov/records-mgmt/initiatives/erm-overview.html>).
- (b) “Electronic Records Management Guidance”
(<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>).
- (c) “Toolkit for Managing Electronic Records”
(<http://toolkit.archives.gov/pls/htmldb/f?p=102:1:17726571268907494496>).
- (d) “Electronic Records Archives Program (ERA)”
(<http://www.archives.gov/era/>).

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ENCLOSURE C

RECORDS SCHEDULING AND FILING

1. Purpose. This enclosure describes the Joint Staff and Combatant Command Records Schedule and file system. It provides procedures for assigning disposition standards and file numbers to Joint Staff and combatant command records and for requesting amendments to the schedule.

2. Records Schedule/File System Components

a. The Joint Staff and combatant command file system mirrors the Records Schedule in Volume II of this manual. The system and schedule were developed by the Joint Staff and Combatant Command Records Managers in conjunction with NARA and in accordance with disposition guidance in NARA regulations and DOD guidelines.

b. The file system divides records into series to reflect the functions performed by the Joint Staff and combatant commands. The Records Schedule contains the series identifiers, descriptions of the records within each series, and instructions for retention and disposition of each record.

c. Twelve major functional series are currently identified for Joint Staff and combatant command records. These are divided into subfunctional groups that further define the type and content of the records. A dash divides the groups into subfunctional areas that indicate the different ways the records are used, and correlate each use to a specific disposition standard. (See Figures C-1 and C-2.)

Series	Function
0000	Corporate Joint Staff and Headquarters Combatant Command Records
0100	Organization and Manpower
0200	Personnel/Payroll
0300	Intelligence and Security
0400	Information and Legal
0500	Operations, Planning, Command, and Control
0600	Logistics, Supply, Services, and Budget
0700	Communications and Electronics
0800	International
0900	General Administration and Management
1000	Info Technology Procurement, Planning, Operations, and Management
1100	Medical

Figure C-1. Joint Staff and Combatant Command File System Functional Series

File System Component	File Number	Record Title, Content, Use, and Disposition
Functional Series (Record Title)	0000	Corporate Joint Staff and Headquarters Combatant Command Records
Subfunctional Group (Record Content)	0013	Instructions, manuals, and notices containing statements of policy and procedural information approved by the Chairman of the Joint Chiefs of Staff and issued for the guidance of the Joint Staff, combatant commands, and Services
Subfunctional Areas (Record Use) and <i>Disposition Instructions (How Long to Keep and Where to House)</i>	0013-01	Which are: maintained by Records Management Team as the official Joint Staff record copy <i>After incorporation into the official Joint Staff case file, disposition is in accordance with 0001-01 Authority: NC1-218-84-1 item 53</i>
	0013-02	Which are: the duplicate set of records retained for relocation and reconstitution (R&R) purposes at the R&R Section, Ft Ritchie, MD <i>Retain until superseded or canceled, hold for 5 years and then destroy/delete. Authority: N1-218-86-1 item 11</i>
	0013-03	0013-03 Reserved
	0013-04	Which are: maintained by any activity in a reference library (nonrecord) <i>Retain until superseded or canceled and then destroy/delete</i>
Subfunctional Group (Record Content)	0033	Combatant command instructions containing policies, procedures, and guidance for combatant command activities
Subfunctional Areas (Record use) and <i>Disposition Instructions (How Long to Keep and Where to House)</i>	0033-01	Which are: maintained by any combatant command activity as the official record copy <i>Permanent. Cut off when superseded or canceled, hold 2 years, and then retire to ISF. Transfer to NARA 25 years after cutoff, after declassification review. Authority: N1-218-00-1 item 45</i>
	0033-02	Which are: maintained by any activity for reference (nonrecord) <i>Destroy/delete when canceled or superseded</i>

Figure C-2. Joint Staff and Combatant Command File Number/Records Schedule Components

3. Applying the Schedule

a. General Provisions

(1) Joint Staff and combatant command Files Custodians will select and apply appropriate file numbers and disposition instructions from Volume II to the files maintained in their respective offices of record. Use of these numbers and standards is mandatory within the Joint Staff and combatant commands.

(2) Selection of major functional series will be based upon the functions to which the records pertain.

(3) Selection of subfunctional groups will be based upon the types and contents of the records within the series.

(4) Selection of subfunctional areas will be based upon the origin of the record (where it was created) and how the office uses it. This determination is crucial. Assignment of a subfunctional area number and concurrent application of a disposition to a record must take into careful consideration whether the holding office created the record and has office-of-record responsibility for it, or is retaining it for reference or convenience. If the holding office is determined to be the office of record, subfunctional areas must be selected for any copies of the record, such as reference or suspense copies, as well as for the original record itself.

b. Documentation. Documentation concerns the collection and assembly of background materials that fully explain or support an action into a logical sequence in the file. As lack of documentation can lead to misinterpretation or misunderstanding, Files Custodians will ensure that files contain complete accounts of actions taken, commitments made, and results. Documentation should be placed in chronological order, with the latest action or result upfront.

c. Special Provisions

(1) Some of the special records discussed in Enclosure B are contained in a single Joint Staff and combatant command Records Schedule series. These are shown in Figure C-3. Exception: For electronic records, e-mail is currently scheduled in the same series as the subject of the mail, as are combatant command electronic feeder systems (combatant command EIS that provide input to a Joint Staff EIS wherein all input data is transferred to the Joint Staff EIS). For special provisions for scheduling EIS, see subparagraph 3b(2).

(2) NATO records are consolidated in two series, shown in Figure C-3.

Record	Functional Series, Subfunctional Groups, and Areas	
EMERGENCY OPERATING RECORDS	0507-05 and -06	Mobility forces
	0507-07	Civil defense operations
	0516-01 thru -05	EMERGENCY PLANNING
AUDIO-VISUAL RECORDS	0936-01 thru -05	STILL PHOTOGRAPHY
	0937-01 thru -05	GRAPHIC ARTS
	0938-01 thru -06	VIDEO RECORDINGS
	0939-01 thru -04	AUDIO RECORDINGS
	0940-01 thru -04	MOTION PICTURES
	0941-01	AUDIOVISUAL RECORDS DOCUMENTATION
ELECTRONIC RECORDS	1015-01 thru -04	TECHNICAL DOCUMENTATION, METADATA, AND SOFTWARE NECESSARY TO RETAIN, ACCESS, RETRIEVE, AND USE ELECTRONIC RECORDS
	1016-01 thru -02	TEMPORARY INPUT/OUTPUT FILES
	1017-01	WORK FILES AND INTERMEDIATE FILES
NATO RECORDS	0317 and 0319	NATO Security Incidents and Security Protection
	0811-01 thru -06	NATO FILES

Figure C-3. Joint Staff and Combatant Command File Numbers for Special Records

4. Amending the Schedule

a. Requirements

(1) Electronic technologies are rapidly expanding, and electronic records are increasingly supplementing and sometimes replacing paper records. For this reason, it is critical to the preservation of permanent records that the Joint Staff and combatant commands routinely identify and schedule EIS and related electronic records.

(2) The Joint Staff and combatant commands will also on occasion create, receive, or locate records that are not covered by the Joint Staff and Combatant Command Records Schedule, and they may identify errors and/or omissions in Records Schedule descriptions and disposition standards. These findings must be evaluated to determine if an addition to the schedule or a change to an existing item is required.

(3) All unscheduled records must be retained until disposition authority has been approved.

b. Scheduling Unscheduled Records

(1) Responsibilities

(a) Files Custodian and Records Officer. The Files Custodian and Records Officer for the unscheduled material, as the subject matter experts for the functions of the office of record, will collaborate with the controlling Records Manager to:

1. Develop a complete description of the records, including their current and anticipated volume, inclusive dates, and frequency of use.
2. Assess their value to current and future operations or as historical documentation.
3. Recommend and provide full justification for disposition of the records.

(b) Controlling Joint Staff Records Officer or Combatant Command Records Managers. The controlling Joint Staff Records Officer or combatant command Records Manager, as the official authorized to certify that the proposed disposition meets the agency's needs, will document the description and recommendation on JS Form 30, "Joint Staff Records Survey," (or for the combatant command Records Manager, a similar form or format) and forward it to the Joint Staff Records Manager for action. (See Enclosure F for a sample JS Form 30.)

(c) Joint Staff Records Manager. The Joint Staff Records Manager will:

1. Coordinate the request for disposition with NARA as appropriate, including submitting an SF 115.
2. Advise all Joint Staff Records Officers and combatant command Records Managers of the results of the NARA appraisal.
3. Where authority is granted, take the required actions to amend the Joint Staff and Combatant Command Records Schedule.

(2) Additional Responsibilities for Electronic Records and EIS

(a) In addition to collaboration among the controlling Joint Staff or combatant command Records Manager, Records Officer, and Files Custodian, electronic records scheduling requires coordination with the System Functional Manager. The process may also benefit from coordination with the users of the information and/or EIS.

(b) Joint Staff and combatant command records management personnel will use NARA's 20 questions (20 Q's) at Figure C-4 to facilitate this collaboration, to describe and evaluate the records and systems, and to document the assessment for submission with JS Form 30. For permanent records, all 20 questions must be answered. For temporary records, only the first four must be answered. (Note: NARA no longer requires completion of National Archives (NA) Forms 14097, "Technical Description for Transfer of Electronic Records to the National Archives," and 14028, "Information System Description" except as provided in subparagraph 3a(2)(a) of Enclosure 2).

Basic Questions: For All Systems Whether Temporary or Permanent

1. What is the name of the system? List commonly used name and acronym.
2. What is the purpose of the system and which agency programs does it support? Describe what the system does, the requirements it meets, and any authorizing laws or directives.
3. What is the content of the system and what dates does it cover? Describe the principal information (persons, places, or things) that are recorded in the system and who provides the information. Provide names and numbers of forms used for data input, if appropriate. Indicate the beginning and ending dates for the data.
4. Does this system link to or support any other system? List names of other systems, either inside or outside the agency, that provide data to or receive data from this system.

Advanced Questions: For Permanent Systems Only

5. What are the sources of input for this system?
6. What are the outputs from this system?
7. What are the applications this system supports; i.e., how are the records or the data that make up the records manipulated once they have been input?
8. What is the primary key/unit of analysis for each file? (Question applies primarily to database management systems.)
9. Provide the record layout and codes for the files in this system. (Question applies primarily to database management systems.)
10. What (other) documentation is available for this system?
11. What is/are the name(s) of the agency(ies) responsible for this system?
12. What major subdivision(s) of the agency(ies) above are responsible for this system?
13. What minor subdivision(s) of the agency(ies) above are responsible for this system?
14. Are there restrictions on the release of these records? If no, skip to next question. If yes, cite the authority for the restrictions and indicate whether any segregable portions of the file(s) may be released.
15. Does the system produce a public-use version of the records?
16. Are the records or the data that make up the records in this system duplicated in electronic form elsewhere? If yes, explain.

17. Explain the update and backup process for this system.
18. What hardware is used for this system?
19. What software is used for this system?
20. Can you produce files from this system that meet the following specifications?
 - a. Independent logical files.
 - b. Hardware and software independent files.
 - c. ASCII or EBCDIC character set.
 - d. No internal control characters.
 - e. Blocked no higher than 32,760 bytes.
 - f. 1/2 inch magnetic tape – OR –
 - g. 9 track open-reel at 800, 1600 or 6250 bpi – OR –
 - h. 18 track 3480-class cartridge at 37,871 bpi – OR –
 - i. CD-ROM's which include fielded data files or text files scheduled to be preserved in the National Archives that are:
 - (1) In conformance with the International Standards Organization (ISO) 9660 standard;
 - (2) In compliance with the American Standard Code for Information Interchange standard as defined in the Federal Information Processing Standard 1-2 (11/14/84);
 - (3) Not dependent on control characters or codes that are not defined in the ASCII character set;
 - (4) Not compressed unless NARA has approved the transfer of the compressed form in advance;
 - (5) Individually addressable; and
 - (6) In compliance with the documentation requirements of 36 CFR 1228.188.

Figure C-4. NARA's 20 Q's for Electronic Systems Appraisal

c. Rescheduling Scheduled Records. Joint Staff and combatant command records management personnel will follow the procedures in subparagraph 3b to request changes to existing items in the Joint Staff and Combatant Command Records Schedule. The Joint Staff Records Manager will coordinate the request with NARA to determine the appropriate course of action, communicate the results to all Joint Staff Records Officers and combatant command Records Managers, and, as necessary, take the required actions to amend the schedule.

d. Implementing Media-Neutral Guidance

- (1) GRS Transmittal No. 18 and revised GRS 20, "Electronic Records,"

(reference e), effective 17 December 2007, provide that all Records Schedule items approved subsequent to that date are considered media neutral. In general, this means the schedule will apply to the records regardless of the media in which they are created and maintained, unless the item explicitly limits the media to which it applies. The revised schedule also:

(a) Broadens agency authority to apply previously approved schedules to electronic records and to destroy many hard-copy records that have been converted to electronic format. Hard-copy records include, in addition to textual files, media such as photographs and slides, maps and drawings, and sound recordings and motion picture film.

(b) Extends these provisions to electronic versions of records authorized for disposal in other GRS schedules.

(2) Basic principles for application of the new schedule to previously scheduled records are below. Additional information is available at <http://www.archives.gov/records-mgmt/ardor/grs-trs18.html>.

(a) Hard-Copy Records Previously Scheduled as Temporary

1. When scanned into an image format, the hard copy may be destroyed and the electronic record maintained and disposed of as provided in the disposition schedule.

2. When converted to an electronic format that permits searching or other manipulation of the information, the electronic record must be considered for rescheduling due to the possibility that enhanced access to the information enhances its value. For such records, upon conversion from hard-copy to electronic format and prior to destruction of the hard copy, the controlling Joint Staff Records Officer or combatant command Records Manager will submit JS Form 30, with completed NARA 20 Q's attached, to the Joint Staff Records Manager for consideration by NARA.

(b) Hard-Copy Records Previously Scheduled as Permanent. When converted to electronic format, the electronic record may be retained as the official record copy only if it meets NARA standards for creation, maintenance, and transfer of permanent electronic records. (See subparagraph 3b(2) of Enclosure B and parts 1228 and 1234 of reference b.) No rescheduling is required; however, to ensure the standards are met, upon conversion from hard-copy to electronic format and prior to destruction of the hard copy, the Files Custodian and Records Officer for the records, will, through their chain of command, contact NARA for an assessment of the electronic records and confirmation that they meet the standards for retention as the official record copy.

ENCLOSURE D

RECORDS MAINTENANCE AND DISPOSITION

1. Purpose. This enclosure provides procedures for ensuring records are readily available for business purposes, are protected, and properly maintained during their retention period, and are destroyed or transferred to NARA according to the Records Schedule in Volume II of this manual.

2. File Planning

a. Requirements

(1) The Joint Staff and Combatant Command Records Managers, Records Officers, and Files Custodians will maintain file plans for the records at their respective organizational levels to assist authorized users in accessing them and to facilitate annual disposition actions.

(2) The Joint Staff will use JS Form 31, "Joint Staff/Combatant Command List of Selected File Numbers," for file planning. The combatant commands may also use this form or they may develop similar forms tailored to their organizational needs. Regardless of file plan structure, all records maintained by an office of record must be identified on the plan, including electronic records, EIS, and related documentation. The plan must include, for each record, the file number, the title, and a brief description of the contents, the disposition instructions, and the location of the file.

b. Responsibilities

(1) Joint Staff and Combatant Command Records Managers. Joint Staff and combatant command Records Managers will approve and maintain copies of all file plans within their respective organizations.

(2) Records Officers. Records Officers will maintain a consolidated directorate file plan, or they may maintain copies of the file plan(s) of their subordinate Files Custodian(s) as the directorate file plan.

(3) Files Custodians. Files Custodians will:

(a) Submit initial versions of their file plans through their records management chain of command to the controlling Joint Staff or Combatant Command Records Manager for approval. Upon approval, they will place the original plan as the first document in the related file drawer or, in the case of nonstandard filing equipment, on the record container in a conspicuous location.

(b) Review their file plans annually. Update them as required and secure approval for revisions from the controlling Joint Staff or Combatant Command Records Manager. The annual review should be conducted with sufficient lead-time for the plan to be approved and in place when new files are created at the beginning of a calendar year (CY) or fiscal year (FY).

3. File Labeling. Proper labeling is essential for accurate filing and for retrieval, retention, and disposition of records regardless of the form or format of the record or the container in which it is kept.

a. All Records

(1) All record labels will contain the following information, whether on paper files, folders, or envelopes; binders or boxes; filing cabinets, safes, shelves, or drawers; or other types of containers such as those in which audiovisual and electronic records are stored (e.g., cans, cases, disks, CD- and DVD-ROMs, and external hard drives).

(a) File number.

(b) File title.

(c) Disposition instructions.

(d) Year of accumulation when appropriate. (See subparagraph 4c(1)(b) concerning blocking records.)

(e) Security classification and/or other applicable handling instructions.

(2) The common abbreviations on the reverse of JS Form 31 will be used to reduce label length.

b. Audiovisual Records. Labels will also identify:

(1) For still photographs, the date, location, names of people, and event the photograph documents. To avoid damage, the label will be attached to the container -- not to the photo.

(2) For motion picture films, videotapes, and audiotapes, the date and subject of the record and any other pertinent identification not contained within the record itself when viewed or listened to.

c. Electronic Records

(1) External Electronic Labels. Labels on electronic record containers will also identify:

- (a) The hardware and software that will read the record.
- (b) The originating office symbol.
- (c) The subject of the record.
- (d) The begin and end dates of the information contained therein.

(2) Internal Electronic Labels

(a) Labels within electronic records, commonly known as “file names” (or folder or directory names) are those labels within CD-ROMs, internal hard drives, local networks, and other electronic records/EIS that can only be entered and read by machine.

(b) Internal electronic labeling does not lend itself to the same level of detail as external labeling. However, file labeling/naming conventions, at a minimum, will be standardized within each office of record in a way that is readily understandable throughout that office. Subdirectory labels might contain the major functional series numbers and names that characterize the activities of the office. Folder labels might identify the names and numbers of subfunctional groups. Subordinate folder labels and electronic file labels should be sufficiently descriptive of the information within them that they need not be opened to determine the nature of the contents.

4. Files Cutoff, Retention, and Disposition. Joint Staff and combatant command files will be cutoff, inactive files separated from active ones, and material retained and disposed of in accordance with the records disposition schedule in Volume II.

a. Cutoff. Files cutoff is the process of closing out files at regular intervals, placing them in inactive status, and establishing the start of the retention period. Files cutoff is essential to controlling the accumulation of records and assuring their proper retention and disposition.

(1) Where the instructions in Volume II do not specify, Joint Staff, and combatant command files will be cutoff at the end of the CY.

(2) Files maintained on a CY basis will be cutoff on 31 December of each year, placed in the inactive CY files area, and new CY files established.

(3) Files maintained on an FY basis will be cutoff on 30 September of each year, placed in the inactive FY files area, and new FY files established.

(4) Files cutoff on the occurrence of an event will be cutoff upon occurrence of that event. For purposes of establishing the retention period, the cutoff date, and date of relocation to the inactive files area will be the end of the CY or FY, as applicable.

(5) Files with a retention period of less than 1 year will be cutoff on a daily, weekly, or monthly basis to facilitate timely disposal. For example, large accumulations of records that are to be destroyed after 6 months could be cutoff at the end of each month, a new file started, and the cutoff file disposed of after 6 months.

(6) Files having no retention period are scheduled to be disposed of when no longer needed, when superseded or obsolete, or on occurrence of an event. For these types of files the Records Schedule may read: "Destroy when superseded or rescinded" – or – "Destroy on receipt of next inspection report." These types of files, along with all reference material, will be reviewed on an annual basis, and all files, records, and materials that are not current or are no longer needed will be destroyed.

b. Hold. Volume II uses the term "hold" to designate the period of time files are required to be retained in the inactive files area. For example: "Cutoff monthly, hold 3 months" – or – "Cutoff annually, hold 1 year" – or – "Cutoff at end of FY, hold 2 years."

c. Retire and/or Transfer

(1) Disposition Instructions. Following the hold period, the schedule instructs the user in disposing of the records.

(a) The instructions customarily use the term retire to designate the physical relocation of records from the office of record to another facility or area, called an inactive storage facility (ISF), for an additional retention period prior to final disposition. In some cases, however, the term transfer is used in lieu of the term retire to refer to this physical relocation. In these cases, the meaning of the term should not be confused with its meaning in instructions for permanent records. For permanent records, the disposition instructions always use the wording transfer to NARA to designate transfer of legal as well as physical custody.

(b) The disposition instructions also direct the user to block some records. Blocking is the chronological grouping of cutoff records with the same file number for retiring them to an ISF or transferring them to NARA as a unit.

For example, files numbered 802-01 include the instruction “retire by CY block to ISF,” which means that all such numbered records that are cutoff at the end of the same CY will be relocated to the ISF together. The subsequent instruction, “transfer to NARA in 5-year blocks,” means that five consecutive CY blocks of records numbered 802-01 will be transferred to NARA together.

(c) ISF is a general term for any facility or space used to store inactive records until they are eligible for destruction or transfer to NARA. The facility/space can be located within the agency’s current files area but separate from the active files, or it may be an agency records center, a commercial records center, or an FRC that complies with federal guidelines, and has been approved as a records storage facility by NARA. FRC’s are operated by NARA. Among the Services FRC’s, provide in addition to records storage is the disposal of both temporary and permanent records in their holdings at such time as the records become eligible and the disposal is authorized by the controlling Joint Staff or Combatant Command Records Manager.

(2) Temporary Records. Following the hold period, the Joint Staff and Combatant Command Records Schedule instructs the user to destroy temporary records or to relocate them to an ISF for an additional retention period prior to destroying them. For example:

(a) “Cutoff annually, hold 1 year, then destroy/delete.”

(b) “Cutoff annually, hold 7 years, then retire by CY block to ISF. Destroy/delete 20 years after cutoff.”

(3) Permanent Records. For permanent records, the hold period may be followed by immediate transfer of physical and legal custody from the office of record to NARA, or by relocation to an ISF for an additional retention period prior to transfer of custody. For example:

(a) “Permanent. Cut off annually, hold 25 years, and then transfer to NARA after declassification review.”

(b) “Permanent. Cut off annually, hold 4 years, and then retire by CY block to ISF. Transfer to NARA in 5-year blocks 25 years after cutoff, after declassification review.”

(c) “Permanent. Cut off on revision, suppression, or cancellation; hold 5 years; then retire by FY block to ISF. Transfer to NARA in 5-year blocks 25 years after cutoff, after declassification review.”

(4) Classified Records. Classified material will be retired only to facilities cleared for the level of classification and special handling of the material. In the case that no such ISF is available, the material will be retained

in the office of record for the retirement period. All classified information will be reviewed systematically for declassification as it becomes 25 years old as set forth in reference s. When disposing of classified material, the security requirements of reference h will be observed.

(5) NATO Records. Reference i contains control instructions for NATO documents and refers to applicable disposal authorities. Document receipts, destruction certificates, and registers relating to all classifications of NATO COSMIC, TOP SECRET, and ATOMAL documents that reflect the final disposition of the documents in a subregistry (control point) will be disposed of in accordance with reference i and Volume II. Document receipts, destruction certificates, and other control files relating to NATO documents having a lower security classification will be disposed of in accordance with Volume II.

5. Disposition on Organizational Change. The following procedures apply equally to the Joint Staff and combatant commands and to any specially organized element within them, such as a board, committee, council, commission, or task force.

a. Transfer of Function. DOD component transfer of files to the custody of an entity outside the component is permitted only when provided for by transfer of function. When the transfer is from one DOD component to another, or to an FRC or NARA, NARA approval is not required. For transfers from a DOD component to any other entity, NARA prior approval is required except when the transfer of function is required by statute, Executive Order, Presidential Reorganization Plan, or Treaty. (See part 1228.136 of reference b).

(1) Transfers Not Requiring NARA Approval

(a) The losing office-of-record Files Custodian will:

1. Prior to initiating the transfer, dispose of all locally-maintained records that are authorized for immediate disposal and for records stored in an FRC authorize the disposal of those that are eligible.

2. Transfer physical and legal custody of all remaining records of the transferred function to the Files Custodian of the gaining element, through their respective chains of command.

3. Include with the transfer a complete inventory of both the active and inactive files, including the location of any inactive files that have been retired to an ISF; provide a copy of the inventory to the controlling Joint Staff or Combatant Command Records Manager of the losing component and to the Records Manager of the gaining component.

(b) Upon taking custody of the transferred files, the gaining component will be responsible for their maintenance and disposition regardless of where they are located. This includes responsibility for any costs incurred in storing them, and for responding to requests for reference services on them.

(2) Transfers Requiring NARA Approval. The transferring office-of-record Files Custodian, will, through his or her chain of command, notify the Joint Staff Records Manager, who will assist in coordinating the transfer with NARA.

b. Redesignation or Reorganization. When an organization is redesignated or reorganized without transfer of function, the office-of-record Files Custodian will continue to maintain the files as though no change had occurred.

c. Discontinuance. When an organization or organizational element (e.g., board, commission, task force) is discontinued without transfer of function:

(1) The Files Custodian of the discontinued element will:

(a) Dispose of all locally-maintained records that are authorized for immediate disposal, authorize the disposal of any eligible records stored in an FRC, and retire those records that are not authorized for disposal to an FRC.

(b) Provide a complete inventory of all remaining records and their location to the Files Custodian of the organization administratively responsible for the discontinued element, with a copy to the controlling Joint Staff or Combatant Command Records Manager of the administrative organization.

(2) The administrative organization will be responsible for the maintenance and disposition of the records of the discontinued element. This includes responsibility for costs incurred in storing them and for responding to requests for reference services on them.

(INTENTIONALLY BLANK)

ENCLOSURE E

RECORDS RETIREMENT, TRANSFER, AND RECALL

1. Purpose. This enclosure provides procedures for retiring records to an ISF, transferring records to another organization because of transfer of function, transferring permanent records to NARA, and recalling and returning retired records.

2. Responsibilities

a. Joint Staff and Combatant Command Records Managers. The controlling Joint Staff or Combatant Command Records Manager is responsible for arranging the retirement and transfer of records, and to coordinate the recall and return of records. This includes serving as the focal point for communications with NARA as well as with the ISFs employed by their respective organizations.

b. Records Officers. Records Officers are responsible to assist in the retirement and transfer of records, and to make and/or oversee arrangements for the recall and return of retired records. This includes providing the controlling Joint Staff or Combatant Command Records Manager a list of personnel within their directorate that are authorized to recall records. The list will include each office of record and, for each individual authorized in each office, the person's name, date of birth, position title, level and date of clearance and by whom granted, and date briefed on the recall and return process by the controlling Joint Staff or Combatant Command Records Manager.

c. Files Custodians. Files Custodians are responsible to identify and prepare records eligible for disposition, to coordinate the disposal of records through their records management chain of command, and to assist in the recall and return of records as authorized by their respective Records Officers.

3. Retirement and Transfer

a. Documentation

(1) All Records

(a) SF 135. Records to be retired or transferred will be identified on SF 135. The SF 135 serves as a packing list, as a means of controlling the location and disposition of files in an ISF, and as a receipt for the transaction. Upon approval of the retirement by the controlling Joint Staff or Combatant Command Records Manager, the receiving ISF will return the signed SF 135

acknowledging receipt of the records to the office of record. It is imperative that the office of record retain the return copy, as it is the sole source of information regarding the transfer. Recall of records from an ISF can only be accomplished by reference to a signed SF 135.

(b) SF 258. Permanent records will be transferred to NARA on SF 258, "Agreement to Transfer Records to the National Archives of the United States," with the records listed on attached SF 135s.

(2) Electronic Records and EIS

(a) NARA no longer requires additional documentation for the transfer of electronic records and EIS, unless the information provided when the records were appraised is insufficient for NARA purposes. In this case, NARA will contact the controlling Joint Staff or Combatant Command Records Manager to obtain the additional information, and may require completion of NA Forms 14097 or 14028.

(b) NARA provides current information on acceptable transfer format and media in the electronic publication "Electronic Records Management Guidance" (<http://www.archives.gov/records-mgmt/initiatives/erm-guidance.html>).

b. Shipping. Records will be shipped in standard-sized record containers each holding one cubic-foot. These are currently available only from the General Services Administration (GSA) Federal Supply Service at www.gsaadvantage.gov. Special containers for oversized materials may also be obtained from GSA. Prior written approval from the receiving agency is required for shipments in any other type of container.

4. Recall and Return

a. Only the controlling Joint Staff or Combatant Command Records Manager, and those individuals designated by the respective Records Officer as set forth in subparagraph 2b, are authorized to recall records from an ISF. Requests will be made using Optional Form 11, "Reference Request – Federal Records Centers." A separate form will be completed for each record requested using the information provided on the returned SF 135 for the requested record. Recalled records will be returned to the ISF as soon as possible in the container in which they were received.

b. Requests for reference services on records that have been transferred to NARA will be accomplished only through the controlling Joint Staff or Combatant Command Records Manager.

VOLUME EQUIVALENTS

1. The volume of records is stated in cubic feet, as this expression provides a realistic geometric image of the amount of space actually occupied. The conversion factors below should be applied to determine the volume of records on hand.

2. Precise volume measurements are not necessary, but reasonable accuracy may be obtained by using the conversion equivalents. Measurements should be expressed to the nearest cubic foot. If the file contains a mixture of letter and legal-size material, the larger expression of legal-size should be used.

Filing cabinets:

One letter-size drawer = 1 1/2 cubic feet
One legal-size drawer = 2 cubic feet

Filing cases:

One 3-by 5-inch case = 1/10 cubic foot
One 4-by 6-inch case = 1/4 cubic foot
One 5-by 8-inch case = 1/4 cubic foot

Shelf files:

Letter-size, 1 linear foot = 4/5 cubic foot
Legal-size, 1 linear foot = 1 cubic foot

Tabulating cards:

10,000 cards = 1 cubic foot

Outsized equipment:

Inside cubic measurement

Magnetic tape:

Seven reels = 1 cubic foot

Microfilm:

100 16mm reels (100 feet) = 1 cubic foot
50 35mm reels (100 feet) = 1 cubic foot

Still pictures:

Negatives

2300 35mm 6 exposure strips = 1 cubic foot
8640 2-by 2-inch mounted slides = 1 cubic foot
2184 4-by 5-inch film sheets = 1 cubic foot
5960 2 1/4-by 3 1/4-inch film sheets = 1 cubic foot

Prints

2350 8-by 10-inch glossies or contact sheets = 1 cubic foot
9400 4-by 5-inch glossies = 1 cubic foot

Motion pictures:

Six 35mm reels (1000 feet) = 1 cubic foot
11 16mm reels (1200 feet) = 1 cubic foot
15 16mm reels (800 feet) = 1 cubic foot
32 16mm reels (400 feet) = 1 cubic foot

Sound recording:

76 16 inch disc recordings = 1 cubic foot
144 12 inch disc recordings = 1 cubic foot
48 7 inch audiotape reels = 1 cubic foot
16 10 inch audiotape reels = 1 cubic foot

Video recordings:

Ten 3/4 inch cassettes = 1 cubic foot
Three 2 inch reels = 1 cubic foot
Nine 1 inch reels = 1 cubic foot

Remarks (continued)

JOINT STAFF RECORDS MANAGEMENT SURVEY	
1. Directorates/Other Joint Staff Offices:	2. Division/Branch & Room Number:
3. Record Series Description:	
4. Security Classification: [] UNCLAS [] CONFIDENTIAL [] SECRET [] TOP SECRET [] Other (Specify)	Special Access: [] SCI Channels [] Special Control Channels [] None
5.a. Filing Arrangement: [] Alphabetical (subject) [] Chronological [] Numerical [] Geographical (country/region) [] Other (specify)	c. Files cut off by [] Calendar Year [] Fiscal Year [] Other (Specify) d. Index/table of contents? [] Yes [] No [] Other (Specify)
b. Maintained in [] file folders [] binders [] other (specify)	
6. Current Volume & Inclusive Dates: _____ cu ft _____ to _____ (mo/yr) (mo/yr)	8. Frequency of Retrieval (after 1 year old): [] Weekly [] Once per month [] Once every 6 months [] Once per year [] Once every 3 years [] Never
7. Rate of Accumulation: _____ cubic feet/year ---or--- _____ linear inches/year	
9. Current Disposition: [] Retained for _____ yr(s) and destroyed. [] Retained for _____ yr(s) and transferred to _____. [] Retained indefinitely. [] Other (Specify)	
10. Material is [] the official Joint Staff record copy [] extra copy	
11. Recommended Disposition: (select a or b) After retention in current files area for [] 1 yr [] 2 yrs [] _____ yrs a. [] Recommend authority to destroy. b. [] Recommend transfer of the series to a records holding area for: (select 1 or 2) (1) [] Further temporary storage of [] 3 yrs [] 5 yrs [] 10 yrs [] _____ yrs (2) [] Permanent retention.	
12. Remarks: (continue on reverse, if necessary)	
13. Name, Rank, & Telephone Number:	14. Date:

VOLUME EQUIVALENTS

1. The volume of records is stated in cubic feet, as this expression provides a realistic geometric image of the amount of space actually occupied. The conversion factors below should be applied to determine the volume of records on hand.

2. Precise volume measurements are not necessary, but reasonable accuracy may be obtained by using the conversion equivalents. Measurements should be expressed to the nearest cubic foot. If the file contains a mixture of letter and legal-size material, the larger expression of legal-size should be used.

Filing cabinets:

One letter-size drawer = 1 1/2 cubic feet
One legal-size drawer = 2 cubic feet

Filing cases:

One 3-by 5-inch case = 1/10 cubic foot
One 4-by 6-inch case = 1/4 cubic foot
One 5-by 8-inch case = 1/4 cubic foot

Shelf files:

Letter-size, 1 linear foot = 4/5 cubic foot
Legal-size, 1 linear foot = 1 cubic foot

Tabulating cards:

10,000 cards = 1 cubic foot

Outsized equipment:

Inside cubic measurement

Magnetic tape:

Seven reels = 1 cubic foot

Microfilm:

100 16mm reels (100 feet) = 1 cubic foot
50 35mm reels (100 feet) = 1 cubic foot

Still pictures:

Negatives

2300 35mm 6 exposure strips = 1 cubic foot
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16 10 inch audiotape reels = 1 cubic foot

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Three 2 inch reels = 1 cubic foot
Nine 1 inch reels = 1 cubic foot

Remarks (continued)

JOINT STAFF/COMBATANT COMMAND LIST OF SELECTED FILE NUMBERS			
Page 1 of 3 Pages			
1. FROM (Dir., Div., Br., Sec, & Rm Num.) J-3, JOD, Special Ops Br, Rm 2B901		2. Files Custodian/AO Name & Phone Major John E. Doe, x697-4321	3. Date 15 Jan 2001
4. Initial Plan <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		5. Date of Superseded Plan (Fill in only when plan is revised) 22 January 1999	
6. Directorate Records Officer Capt William M. Jones	Date 21 Jan 2001	7. Joint Staff/Agency RMO Major Thomas C. Reimer	Date 23 Jan 2001
(A)	(B)	(C)	
8. File No.	Title, Description, Arrangement and Location	Disposition Instructions	
0000	<u>JOINT STAFF/COMBATANT COMMAND RECORDS</u>		
0001-04	<u>JOINT STAFF PAPERS</u> Reference copies of Joint Staff Papers - num	COFF annually, hold 2 yrs dest/delete when no longer needed, unless needed for cont ref.	
0004-03	<u>JS MEMORANDUMS OF INFORMATION (IMs)</u> Reference copies of IMs - num	COFF annually, hold 2 yrs dest/delete when no longer needed.	
0014-04	<u>JOINT PUBLICATION (JT PUBS)</u> Reference library copies - num - located in bookcase	Retain until ss or canc, then dest/delete.	
0021-04	<u>JCS/JS HISTORIES</u> Reference copies of Special Ops JS Histories - chron	Destroy/delete when no longer needed for ref.	
0022-01	<u>J-3# MEMORANDUMS</u> Official records set of J-3 Memos - num-chron	COFF annually at end of CY, hold 2 yrs, retire to WNRC, dest/delete when 10 yrs olds	
0028-02	<u>JOINT REQUIREMENT OVERSIGHT COUNCIL (JROC)</u> Routine Admin Support files - Chron	COFF annually, hold 6 yrs then dest/delete no longer needed for ref.	
0031-01	<u>COMBATANT COMMAND CDR/DEPCDR/COS CORRESPONDENCE</u> Official records copies of Combatant Command correspondence - Chron	COFF annually, hold until end of Combatant Command Officials tour, after 2 yrs retire to inactive record storage area, trf to NARA when 25 yrs old after declass review.	
0036-01	<u>CORPORATE JS AND HQ COMBATANT COMMAND ELECTRONIC MAIL AND WORD PROCESSING</u> Working copies Electronic Mail and Word processing documents received for CJCS/Combatant Command held for reference only - chron - located on "G" Drive - G:/CJCS/Reference Working Files	Dest/delete with 180 days after recordkeeping copy has been produced.	
0100	<u>ORGANIZATION AND MANPOWER</u>		
0105-01	<u>UNIT MANNING DOCUMENTS (UMDs)</u> Official records of UMDs forwarded OSD - num	COFF every 3 mos, hold 3 mos, then dest/delete	

(A) 8. File No.	(B) Title, Description, Arrangement and Location	(C) Disposition Instructions
0200 0223-01	<u>PERSONNEL/PAYROLL</u> <u>SUPERVISOR'S EMPLOYEE RECORDS</u> Copies of civilian employee's history, training, personnel actions not appropriate of official file or dupl. - alpha	Review annually, dest/delete ss or obs docs, dest/delete all docs relating to an ind employee 1 yr after separation or trf.
0300	<u>INTELLIGENCE AND SECURITY</u>	
0303-01	<u>DOCUMENT RECEIPTS (SECRET & BELOW)</u> Active Document Receipts - num	PIF after disp, trf, dwgrd, or dest/deletion of doc.
0303-01	Inactive Document Receipts - chron	COFF annually, hold 2 years then dest/delete.
0400	<u>INFORMATION AND LEGAL</u>	
0402-02	<u>CONGRESSIONAL CORRESPONDENCE</u> Routine correspondence with no historical value - chron	COFF annually, hold 1 yr, then retire to inactive storage facility hold 7 yrs, and then dest/delete.
0500	<u>OPERATIONS, PLANNING, COMMAND AND CONTROL</u>	
0502-01	<u>OPERATIONS SUMMARY</u> Ops Sum Rpts/Logs/Memos - chron	COFF annually at end of CY, hold 7 yrs, retire by CY block to JS RHA, trf to NARA when 25 yrs old after declass review.
0600	<u>LOGISTICS, SUPPLY, SERVICES, AND BUDGET</u>	
0603-01	<u>NUCLEAR, BIOLOGICAL, AND CHEMICAL WEAPONS LOGISTICS</u> Nuclear, Biological, & Chemical Weapons policy docs - chron	COFF after revision, ss, or canc, hold 5 yrs, retire to inactive storage facility, trf to NARA when 25 yrs old after declass review.
0900	<u>GENERAL ADMINISTRATION AND MANAGEMENT</u>	
0901-01	<u>GENERAL OFFICE ADMINISTRATION</u>	COFF annually at end of CY, hold 2 yrs, then dest/delete
0901-01A	Office Operating Policy Memos - chron	
0901-01B	Space Management Memos - chron	
0901-01C	Repair of Office Equipment - chron	
0903-01	<u>REFERENCE PUBLICATIONS AND LIBRARY MATERIAL</u> Reference copies of JS and other agencies directives - num - located in bookcase and electronic on "G" drive in library G:/JS Reference Pub	Dest/delete when ss, obs, or no longer needed for ref

(A) 8. File No.	(B) Title, Description, Arrangement and Location	(C) Disposition Instructions
<p>0916-01</p> <p>0916-01.1</p> <p>0916-01.2</p> <p>0916-01.3</p> <p>0916-01.3A</p> <p>0916-01.3B</p> <p>0916-01.4</p> <p>0916-01.4A</p> <p>0916-01.4B</p> <p>0916-01.5</p>	<p><u>ACTION OFFICER CASE FILES</u> Reference/Duplicate copies of tasking documents, draft papers.</p> <p>Nuclear Weapons Storage - num</p> <p>Biological Weapons Special Study - chron</p> <p>Chemical Weapons Incidents - chron</p> <p>Special Clean-up Program - subj.</p> <p>Relocation Guidance - chron</p> <p>Special Operations Planning - chron</p> <p>NATO Operations Projects - geog</p> <p>Middle East Operations - chron</p> <p>Miscellaneous Reports - chron - located in SCIF</p>	<p>Review annually, purge extraneous papers and duplicates copies. Those background materials pertaining to official actions will be incorporated in the official JS/combatant command case file. Other materials may be dest/deleted when no longer needed for ref.</p>
<p>0921-01</p>	<p><u>ORIENTATION AND BRIEFING FILES</u> Special Operations Briefings - subj</p>	<p>Dest/delete when ss or obs</p>
<p>0945-01</p>	<p><u>GENERAL ADMINISTRATION AND MANAGEMENT ELECTRONIC MAIL AND WORD PROCESSING</u> Working copies Electronic Mail and Word processing held for reference only - chron - located on "N" Drive - N:/Personal Files</p>	<p>Dest/delete with 180 days after recordkeeping copy has been produced.</p>
<p>1000</p>	<p><u>INFORMATION TECHNOLOGY (IT) PROCUREMENT, PLANNING, OPERATIONS AND MANAGEMENT RECORDS</u></p>	
<p>1002-01</p>	<p><u>IT PLANNING FILES</u> Special Operations long-term IT planning documents - chron</p>	<p>COFF when plan is ss or terminated, hold 3 yrs then dest/delete</p>
<p>1100</p>	<p><u>MEDICAL RECORDS</u></p>	
<p>1108-01</p>	<p><u>MEDICAL EXERCISE/OPERATONS</u> Medical Exercise in conjunction with Special Ops Exercise - chron</p>	<p>COFF upon completion of final rpt, hold 5 yrs, then dest/delete unless needed longer for ref.</p>

USES:

1. List of file numbers selected for within an office.
2. Obtain Joint Staff/combatant command records manager approval of disposition rules selected.

INSTRUCTIONS FOR PREPARATIONS:

1. Prepare in duplicate and forward through directorate Records Officer to appropriate agency Records Manager for approval. Approval original will be returned for placement in file drawer for reference.
2. Ensure that all files within an office are listed.
3. Review annually and revise as necessary prior to beginning a calendar or fiscal year as appropriate.
4. Column A: File number designation from CJCSM 5760.01, Volume II - The Joint Staff and Combatant Command Disposition Manual.
5. Column B: Brief title, description and filing arrangement of each file. Cite inclusive dates if applicable. ¹
6. Column C: Abbreviated disposition instruction from CJCSM 5760.01, Volume II - The Joint Staff and Combatant Command Disposition Manual.

ABBREVIATIONS:

In addition to commonly used abbreviations, the following should be used when preparing JS Form 31 or File Plan:

alpha	alphabetically	orgn.....	organizationally
canc.....	cancelled	perm.....	permanent
CFA.....	current files area	PIF.....	place in inactive file
chron.....	chronologically	ref.....	reference
COFF.....	cut off	resc.....	rescinded
cont.....	continue(d)	ret.....	retire(d)
CY.....	calendar year	rev.....	revised
dest.....	destroy	RHA.....	records holding area
declass.....	declassification	ss.....	superseded
disp.....	dispatch	subj.....	subject
dwgrd.....	downgrade(d)	temp.....	temporary
FY.....	fiscal year	trf.....	transfer
geog.....	geographically	WNRC.....	Washington National Records Center
IAW.....	in accordance with	yr.....	year(s)
NARA.....	National Archives & Records Administration		
num.....	numerical		
obs.....	obsolete		

¹ If a file is not maintained with the majority of the files, indicate location.

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alpha	alphabetically	orgn.....	organizationally
canc.....	cancelled	perm.....	permanent
CFA.....	current files area	PIF.....	place in inactive file
chron.....	chronologically	ref.....	reference
COFF.....	cut off	resc.....	rescinded
cont.....	continue(d)	ret.....	retire(d)
CY.....	calendar year	rev.....	revised
dest.....	destroy	RHA.....	records holding area
declass.....	declassification	ss.....	superseded
disp.....	dispatch	subj.....	subject
dwgrd.....	downgrade(d)	temp.....	temporary
FY.....	fiscal year	trf.....	transfer
geog.....	geographically	WNRC.....	Washington National Records Center
IAW.....	in accordance with	yr.....	year(s)
NARA.....	National Archives & Records Administration		
num.....	numerical		
obs.....	obsolete		

¹ If a file is not maintained with the majority of the files, indicate location.

JOINT STAFF/COMBATANT COMMAND RECORDS MANAGEMENT INSPECTION CHECKLIST	
DIRECTORATE / DIVISION / BRANCH / SECTION / UNIT / OTHER ACTIVITY	DATE
ADMINISTRATIVE	
<p>YES NO</p> <p>_____ 1. Has a records officer (RO) been designated and contact information made available to all applicable organizations (including all JS blogs, wikis, websites, etc.)? (CJCSI 5760.01, subparas 6.d.e.f.h.; CJCSM 5760.01, Vol I, subpara 4.a.b.d)</p> <p>_____ 2. Does the records officer conduct periodic assistance visits to subordinate offices? (CJCSI 5760.01A, subparas 6.f.h.) Date of Last Visit: _____</p> <p>_____ 3. Is Non-Record material separated from Record material and purged on at least an annual basis? (CJCSM 5760.01, Vol I, Encl A, subpara 3.b)</p> <p>_____ 4. Is there a process in place for managing records of departing personnel? (CJCSM 5760.01, Vol. I, Encl A, subpara 3.a; Encl A, Subparas 7)</p>	<p>_____ 13. Are active & inactive audiovisual records and records on electronic storage devices (CDs, DVDs, Floppy diskettes, external hard drives, etc.) stored physically apart from paper files with appropriate temperature and humidity controls, periodically reviewed for obsolescence, and if needed, migrated to new storage media? (CJCSM 5760.01, Vol I, Encl E, subparas 16; Encl F, subparas h, 1-3; Encl b, subparas 2)</p> <p>_____ 14. Is there a cross-reference for copies kept in other media (for coordinated disposition)? (CJCSM 5760.01, Vol I, Encl A, subpara 3.b; Encl A, subparas 4.c)</p>
RM TRAINING	
<p>_____ 5. Has the records officer been trained and/or been briefed regarding his/her recordkeeping responsibilities? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)</p> <p>_____ 6. Are Senior Leaders briefed concerning ongoing or significant records issues? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)</p> <p>_____ 7. Have all personnel completed basic records management training? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)</p>	<p style="text-align: center;">E-MAIL REQUIREMENTS</p> <p>_____ 15. Are personnel filing record-worthy e-mails appropriately? (CJCSM 5760.01, Vol I, Encl A, subparas 2)</p> <p>_____ 16. Are electronic copies of e-mails purged after the hard record copy has been stored? (CJCSM 5760.01, Vol I, Encl A, subparas 2)</p> <p>_____ 17. Are electronic copies of e-mails stored in Outlook or in any other un-certified recordkeeping system? (CJCSM 5760.01, Vol I, Encl A, subparas 2)</p>
FILE PLANS	
<p>_____ 8. Is JS Form 31 (or equivalent) been prepared to reflect all files/records (paper and electronic) maintained by the office? (CJCSM 5760.01, Vol I, Encl D, subpara 2.a.b)</p> <p>_____ 9. Has the JS Form 31 been approved by the JS or HQ COCOM records officer? Is it available for all personnel to use? (CJCSM 5760.01, Vol I, Encl D, subpara 2.b)</p> <p>_____ 10. Is the JS Form 31 reviewed & updated annually and are procedures in place to identify new record series with dispositions reviewed for appropriateness? (CJCSM 5760.01, Vol I, Encl D, subpara 2.b)</p> <p>_____ 11. Are recommended changes or additions to the disposition standards contained in Vol II of CJCSM 5760.01 submitted on JS Form 30 with full justification to the JS/HQ Records Manager for evaluation? (CJCSM 5760.01, Vol I, Encl D)</p>	<p style="text-align: center;">ELECTRONIC INFORMATION SYSTEMS (EIS) / WEB-BASED INFORMATION</p> <p>_____ 18. Are EIS (i.e. access databases or other databases unique to your office) identified as record series and scheduled, with current copies on file with JS IMD? (CJCSM 5760.01, Vol I, Encl B, subpara 3.b; Encl C, Subpara 4)</p> <p>_____ 19. If records are created or maintained on web-based information systems (portals, e-rooms, wikis, blogs, etc.), are they identified as such and dispositioned according to approved retention schedules? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)</p>
RECORDS MAINTENANCE	
<p>_____ 12. Are active and inactive paper/hardcopy files stored in an area safe from environmental dangers (water, fire, insects, etc.) with appropriate temperature and humidity controls? (CJCSM 5760.01, Vol I, Encl A, subpara 2.a)</p>	<p style="text-align: center;">CONTENT MANAGEMENT</p> <p>_____ 20. Are records stored on shared drives appropriately identified, accessible to users, and structured IAW the JS Form 31 file plan for that office? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)</p> <p>_____ 21. Are shared drives and portable electronic storage devices periodically reviewed for record material and managed according to approved retention periods? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)</p>
PERSONAL PAPERS	
	<p>_____ 22. Are personal papers maintained separately from official records? (CJCSM 5760.01, Vol I, Encl B, subpara 2.d)</p> <p>_____ 23. When matters of official business are included in personal correspondence, is the portion concerning official business extracted and made part of official records? (CJCSM 5760.01, Vol I, Encl B, subpara 2.d)</p>

HARDCOPY RECORD FILING

- YES NO
- ____ 24. Are accurate and complete records filed on a daily basis or as required? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)
- ____ 25. Before Filing, are the following materials removed from the records? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)
- Envelopes?
 - Routing slips, cover sheets, and control forms that contain no significant information?
 - Superseded drafts showing no substantive changes?
 - Duplicate copies of correspondence and reports (other than those needed for cross reference?)
- ____ 26. Are all file cabinet drawers labeled accurately and legibly? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)
- ____ 27. Are all file folders/binders labeled accurately with the required disposition instructions? (CJCSM 5760.01, Vol. I, Encl A, subpara 1)

STORAGE REQUIREMENTS (INTERNAL RHAS)
(CJCSM 5760.01, Vol I, Encl D, Subparas 4.c)

- ____ 28. Are there appropriate containers for magnetic media?
- ____ 29. Does eating and drinking occur in storage area?
- ____ 30. Are magnetic fields present in storage area?
- ____ 31. Is media protected from dirt and dust?

RECORDS DISPOSITION

- ____ 32. Do File Custodians follow approved disposition instructions and take prompt action to: (CJCSM 5760.01, Vol I, Encl E)
- ____ Execute file breaks?
- ____ Retire inactive records to agency storage areas or a suitable equivalent area for electronic records?
- ____ Retire inactive records to FRC?
- ____ Transfer permanent retired records to the National Archives?
- ____ Destroy disposable records?
- ____ Create new files as required for new calendar or fiscal years?
- ____ 33. Has the records officer identified individuals authorized to pick-up and deliver agency records to Federal Records Centers? (CJCSM 5760.01, Vol I, Encl E, 2b)
- ____ 34. Is an SF 135 prepared for records eligible to be retired to a FRC in accordance with the JS/HQ instructions/manuals? (CJCSM 5760.01, Vol I, Encl E)
- ____ 35. Are records shipped to the FRC in accordance with JS/HQ procedures? (CJCSM 5760.01, Vol I, Encl E)

SECURITY

- ____ 36. Are folders that contain classified materials marked with the highest classification? (CJCSM 5760.01, Vol I, Encl A, subpara 5.b)
- ____ 37. If NATO documents are filed in the same folder as non-NATO materials, are the NATO documents maintained separate from non-NATO material? (USSAN 1-69, Atch 1, Encl, subpara 56.b; CJCSM 5760.01, Encl A, subpara 5.c; JSM 5220.03A, subpara 4.e) (Exception to policy – see SM 749-85, 12 Nov 85)
- ____ 38. Are folders marked to show that the file contains NATO material? (CJCSM 5760.01, Vol I, Encl A, subpara 5.b)
- ____ 39. Are charge-out cards used whenever documents or files are removed from official file stations? (CJCSM 5760.01, Vol I, Encl A, subpara 1)
- ____ 40. Does filing equipment containing classified records meet security storage requirements? (CJCSM 5760.01, Vol I, Encl A, subpara 1)
- ____ 41. Is the area vaulted? (CJCSM 5760.01, Vol I, Encl A, subpara 1)

RESULTS OF LAST RECORDS INSPECTION

- Date _____ Rating _____
- ____ No discrepancies noted - no corrective action required.
- ____ Discrepancies noted and:
- ____ Have been corrected.
 - ____ No corrective action taken.
 - ____ Other.

OVERALL EVALUATION

- ____ Outstanding – Files are in excellent condition, well organized, and in full compliance with current JS/HQ records management instructions/manuals.
No discrepancies noted.
- ____ Excellent – Files are well organized and in compliance with current JS/HQ records management instructions/manuals except for minor discrepancies noted above.
- ____ Satisfactory – Files are organized and in compliance with current JS/HQ records management instructions/manuals except for discrepancies noted above.
- ____ Marginal – Several major discrepancies noted – see above – additional work required before files are in compliance with current JS/HQ records management instructions/manuals.
- ____ Unsatisfactory – Several major discrepancies noted – see above and below – overall records management program is below acceptable standards.

RECORDS TRANSMITTAL AND RECEIPT		Send original and one copy of this form to the appropriate Federal Records Center for approval prior to shipment of records. See instructions.			PAGE 1	OF 2 PAGES						
1 TO <i>(Complete the address for the records center serving your area as shown in 36 CFR 1228.150.)</i> Enter address of FRC (or other ISF) serving your area. For the Joint Staff, this will be <i>Directorate</i>		Washington National Records Center 4205 Suitland Road Suitland, MD 20746-8001			5 FROM <i>(Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address.)</i> For the Combatant Commands, enter complete name or title and address of individual and/or position to whom the signed receipt of this form will be sent according to your Combatant Command internal procedures. For the Joint Staff this will be Joint Staff Records Manager Joint Secretariat/Information Management Division ATTN: Records, Research, and Content Branch 400 Joint Staff Pentagon Washington, DC 20318-0400							
2 AGENCY TRANSFER AUTHORITY	TRANSFERRING AGENCY OFFICIAL <i>(signature and title)</i> The transferring authority is the Joint Staff or Headquarters Combatant	DATE Of signature.										
3 AGENCY CONTACT	TRANSFERRING AGENCY LIAISON OFFICIAL <i>(Name, office and telephone No)</i> The liaison official is the directorate/office Records Officer. Include his/her office symbol and email here.											
4 RECORDS CENTER RECEIPT	RECORDS RECEIVED BY <i>(Signature and Title)</i> Leave blank. Signature on return copy serves as your receipt for the transfer.	DATE										
6 RECORDS DATA												
ACCESSION NUMBER			VOLUME <i>(cu. ft.)</i>	AGENCY BOX NUMBERS	SERIES DESCRIPTION <i>(with inclusive dates of records)</i>	RESTRICTION	DISPOSAL AUTHORITY <i>(schedule and item number)</i>	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
<i>(a)</i>	<i>(b)</i>	<i>(c)</i>	<i>(d)</i>	<i>(e)</i>	<i>(f)</i>	<i>(g)</i>	<i>(h)</i>	<i>(i)</i>	<i>(j)</i>	<i>(k)</i>	<i>(l)</i>	<i>(m)</i>
123	08	5678	2	1-2	J-5 Numbered Memorandums with Master Index, 1 Jan – 31 Dec 99 (J-5M 99-0001 – J-5M 99-8990)	T	CJCSM 5760.01, Vol II – 0022-01	Jan 2010				
				1	Master Index and J-5 Memos, 1 Jan – 30 Jun 99 (J-5M 99-0001 – J-5M 99-5150)							
				2	J-5 Memos, 31 Jun – 31 Dec 99 (J-5M 99-5151 – J-5M 99-8990)							
SEE ATTACHMENT LISTING TOP SECRET RECORDS. ACCESS TO THESE RECORDS IS RESTRICTED TO THE JOINT STAFF J-5.												
N 7540-00-634-4093			135-107				Standard Form 135 (Rev. 7-85) Facs Prescribed by NARA 36 CFR 1228.152					

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Joint Staff/Combatant Command INSTRUCTIONS FOR COMPLETING SF 135

(General instructions are available at
<http://www.archives.gov/frc/forms/sf-135-general-instructions.html>.)

ITEM 1. Enter address of records center serving your area. (For FRCs, see <http://www.archives.gov/frc/contact.html>).

ITEM 2. Upon completion of form, forward to the controlling Joint Staff or Headquarters Combatant Command Records Manager for review and signature. Place the originally signed SF 135 in the first box of the shipment.

ITEM 3. Enter name, complete commercial phone number, and e-mail address of the directorate/office Records Officer.

ITEM 4. Leave blank. Completed by the records center representative. The signed return copy serves as a receipt for the records transfer. **It is imperative that you retain the return copy of the SF 135 containing this signature: it is the only source of information regarding the material transferred.** Records can be recalled only when the accession number and location on the SF 135 can be cited on the request.

ITEM 5. Combatant Commands: Enter the complete mailing address of the office retiring the records, or other office according to Combatant Command internal procedures. Joint Staff: Enter the complete mailing address of the Joint Staff Records Manager. (Upon receipt of the signed SF 135, the Joint Staff Records Manager will retain a copy and forward the original to the directorate Records Officer entered in item 3.)

ITEMS 6 (a) (b) (c). Obtain accession numbers from the controlling Joint Staff or Headquarters Combatant Command Records Manager. Each series of records (item 6 (f)) requires a separate accession number. In this context, a series refers to all records that are shipped together under the same disposition schedule authority and have the same disposal date. (Joint Staff Note: WNRC prefers one accession number per SF 135.)

ITEM 6 (d). A standard-size box equals one cubic foot. Count the boxes and enter the total for each accession. Contact the Joint Staff or Headquarters Combatant Command Records Manager for guidance if other than standard boxes are used.

ITEM 6 (e). Enter the inclusive box numbers for each series of records being transferred, then list the number of each box.

ITEM 6 (f). Describe the records in sufficient detail to allow the records center to check for proper application of the disposition schedule. The description must be unclassified even if the records it describes are classified. Enter inclusive dates of records for each box. Combatant Commands: Enter the organizational component that created the records when other than that entered in item 5. Joint Staff: Enter the organizational component that created the records. The following specific guidance also applies to the series description.

- a. Pack different series in separate boxes. Accessions of less than one full box will not be accepted.

b. For permanent records, attach to the SF 135 a list of folder titles of the box contents or equivalent detailed description. At the top of the first page of the list, enter the address from item 5.

c. For TOP SECRET records, attach to the SF 135 a continuation sheet listing all TOP SECRET records. (See sample and fillable sample on pages F-10 and F-12.)

d. For non-textual records, include in the description a non-textual code from pages F-15 and F-16 of this manual.

ITEM 6 (g). If material is sensitive to disclosure, enter appropriate code from the list below. A single classification will be shown for each accession number. Do not show the classification of each document in the box; indicate the highest classification contained in the box. Avoid filing classified documents in an accession number that is predominantly unclassified. Do NOT transfer or retire NATO, NC2, SIOP, or Secret Compartmented Information.

6 (g) Code	Restriction
T	TOP SECRET
S	SECRET
C	CONFIDENTIAL
E	Restricted Data (RD), Formerly Restricted Data (FRD), and/or Critical Nuclear Weapons Design Information (CNWDI). Also enter appropriate classification code and specify in column (f) that access is restricted to individuals of the office of record transferring the records who are cleared for RD/FRD/CNWDI, as appropriate.
R	Restricted use. Witnessed disposal not required. Specify in column (f).
W	Restricted use. Witnessed disposal required. Specify in column (f). Also use this code for unclassified Privacy Act system records. Explain any special restrictions at the bottom of the page, if needed.
N	No restrictions

ITEM 6 (h). For each accession, cite the Joint Staff/Combatant Command Records Disposition Schedule (CJCSM 5760.01, Volume II) and specific item number authorizing disposal or retention.

ITEM 6: (i). Apply the authority cited in column (h). Enter the month and year in which the record will be destroyed. If the authority is permanent, enter "P" followed by the year the record is scheduled to be transferred to NARA, e.g., "P2010."

ITEMS 6(j)-(m). To be completed by records center.

SAMPLE ATTACHMENT TO SF 135 LISTING TOP SECRET DOCUMENTS

RECORDS TRANSMITTAL AND RECEIPT: LIST OF TOP SECRET DOCUMENTS			Attach a copy to each SF 135 requesting transmission of TOP SECRET documents to a Federal Records Center or other inactive storage facility. Continue pagination from applicable SF 135. Enter date from item 2 of SF 135 (signature date of agency transfer authorization).		PAGE 2	OF 2 PAGES
RECORDS DATA					DATE	
ACCESSION NUMBER			AGENCY BOX NUMBERS		ITEM DESCRIPTION	
Enter accession numbers from items 6 (a), (b), and (c) of SF 135.			Enter box number(s) containing TS material from item 6 (e) of SF 135.		Enter complete UNCLASSIFIED description of each TOP SECRET record included in each box, with inclusive date(s) of each. Describe records in sufficient detail to allow for accessibility, accountability, and future declassification review.	
RG	FY	NUMBER				
123	08	5678	1	J-5M 99-0036, 15 Jan 99, Subject: Nuclear Testing Restrictions (U), Copy #34, TS Control # 99-3456 J-5M 00-0234, 4 Feb 99, Subject: Special Troop Movements (U), Copy # 78, TS Control # 99-6798 J5-M 99-2345, 11 Apr 99, Subject: Weapons Negotiation Requirements (U), Copy # 110, TS Control # 99-11234		
			2	J-5M 99-8734, 25 Nov 99, Subject: Partnership for Peace Policy Recommendations (U), Copy #3, TS Control # 99-12367		
			////////// NOTHING FOLLOWS //////////////////////////////////////			

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FILLABLE ATTACHMENT TO SF 135 LISTING TOP SECRET DOCUMENTS

RECORDS TRANSMITTAL AND RECEIPT: LIST OF TOP SECRET DOCUMENTS			Attach a copy to each SF 135 requesting transmission of TOP SECRET documents to a Federal Records Center or other inactive storage facility. Continue pagination from applicable SF 135. Enter date from item 2 of SF 135 (signature date of agency transfer authorization).		PAGE 2	OF 2 PAGES
RECORDS DATA					DATE	
ACCESSION NUMBER		AGENCY BOX NUMBERS		ITEM DESCRIPTION		
Enter accession numbers from items 6 (a), (b), and (c) of SF 135.			Enter box number(s) containing TS material from item 6 (e) of SF 135.		Enter complete UNCLASSIFIED description of each TOP SECRET record included in each box, with inclusive date(s) of each. Describe records in sufficient detail to allow for accessibility, accountability, and future declassification review.	
RG	FY	NUMBER				

(INTENTIONALLY BLANK)

NONTEXTUAL CODES FOR SF 135, BLOCK 6.(F), "SERIES DESCRIPTION,"
AND LIST OF TOP SECRET DOCUMENTS, "ITEM DESCRIPTION"

<u>CODE</u>	<u>DESCRIPTION</u>
ARF	ARTIFACTS (INCLUDES MUSEUM ITEMS)
AVM	AUDIOVISUAL MATERIAL
BND	BOUND VOLUMES
DRA	ARCHITECTURAL AND ENGINEERING DRAWINGS
EDD	ELECTRONIC DATA PROCESSING, FLEXIBLE DISKS
EDH	ELECTRONIC DATA PROCESSING, HARD DISKS
EDO	ELECTRONIC DATA PROCESSING, OPTICAL DIGITAL DATA DISKS
EDP	ELECTRONIC DATA PROCESSING, UNSPECIFIED
EDT	ELECTRONIC DATA PROCESSING, MAGNETIC TAPE
EIR	ELECTRONIC IMAGING RECORDS
FDN	MICROFICHE, DIAZO NEGATIVE
FON	MICROFICHE, OTHER NEGATIVE
FSN	MICROFICHE, SILVER HALIDE NEGATIVE
FSP	MICROFICHE, SILVER HALIDE POSITIVE
FUN	MICROFICHE
FVN	MICROFICHE, VESICULAR NEGATIVE
FVP	MICROFICHE, VESICULAR POSITIVE
GRA	GRAPHIC ART
MAP	MAP
MBN	MOTION PICTURE FILM, BLACK AND WHITE NEGATIVE
MBP	MOTION PICTURE FILM, BLACK AND WHITE POSITIVE
MCN	MOTION PICTURE FILM, COLOR NEGATIVE
MCP	MOTION PICTURE FILM, COLOR POSITIVE
MDN	MICROFILM, DIAZO NEGATIVE
MDP	MICROFILM, DIAZO POSITIVE
MIC	MICROFILM, UNSPECIFIED
MON	MICROFILM, OTHER NEGATIVE
MOP	MICROFILM, OTHER POSITIVE
MPF	MOTION PICTURE FILM, UNSPECIFIED
MSN	MICROFILM, SILVER HALIDE NEGATIVE
MSP	MICROFILM, SILVER HALIDE POSITIVE
MVN	MICROFILM, VESICULAR NEGATIVE
MVP	MICROFILM, VESICULAR POSITIVE
MYL	MYLAR SHEETS

<u>CODE</u>	<u>DESCRIPTION</u>
PBN	PHOTOGRAPHS, BLACK AND WHITE NEGATIVE
PBO	PHOTOGRAPHS, BLACK AND WHITE OTHER
PBP	PHOTOGRAPHS, BLACK AND WHITE PRINTS
PCN	PHOTOGRAPHS, COLOR NEGATIVES
PCO	PHOTOGRAPHS, COLOR OTHER
PCP	PHOTOGRAPHS, COLOR PRINTS
PHA	PHOTOGRAPHS, AERIAL
PHO	PHOTOGRAPHS, UNSPECIFIED
PRM	PRINTED MATERIAL
ROX	ROCK, CORE, AND PETROGRAPHIC SAMPLES
SEI	SEISMOGRAMS
SRC	SOUND RECORDINGS, TAPE CASSETTE
SRD	SOUND RECORDINGS, DISC
SRE	SOUND RECORDINGS, 8-TRACK CARTRIDGE
SRF	SOUND RECORDINGS, 45 RPM
SRL	SOUND RECORDINGS, LP
SRO	SOUND RECORDINGS, OTHER
SRT	SOUND RECORDINGS, OPEN TAPE (REEL TO REEL)
SRU	SOUND RECORDS, UNSPECIFIED
TEX	TEXTUAL
TRN	TRANSPARENCIES
VDB	VIDEO RECORDINGS, BETA FORMAT TAPE CASSETTE
VDP	VIDEO RECORDINGS, "PROFESSIONAL" TAPE CASSETTE
VDV	VIDEO RECORDINGS, VHS FORMAT TAPE CASSETTE
VID	VIDEO RECORDINGS, UNSPECIFIED
XRA	XRAYs

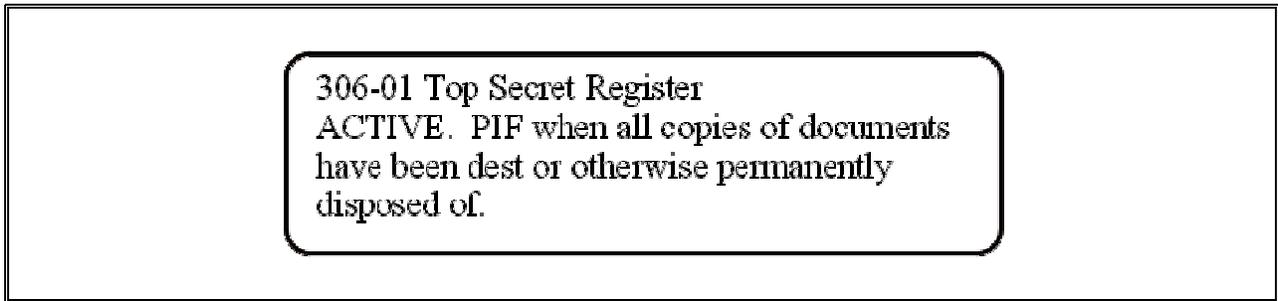


Figure F-1. Label for File Cut Off (Inactive)
on Occurrence of an Action or Event

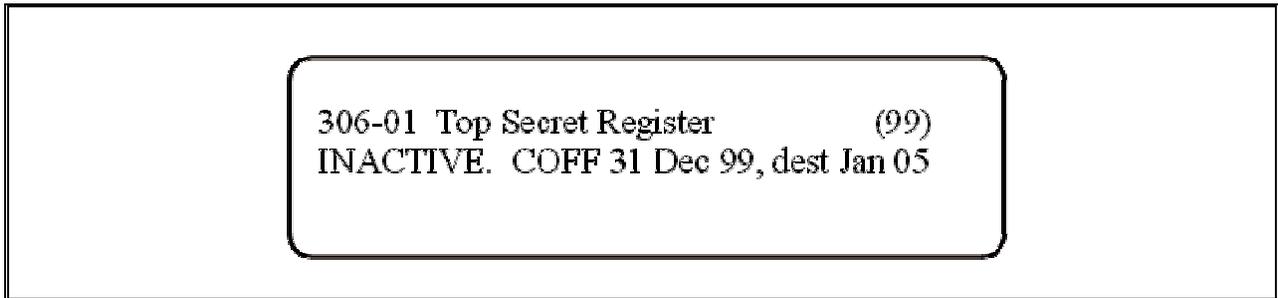


Figure F-2. Label for Inactive File

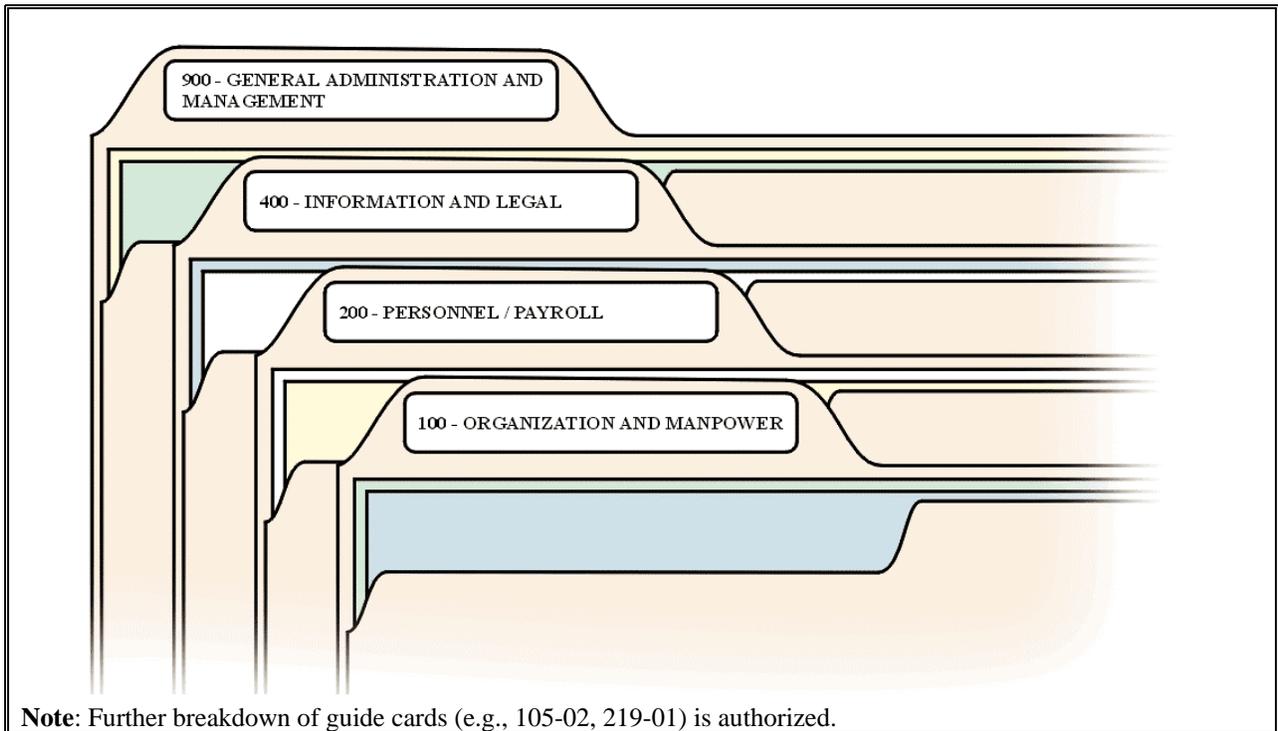


Figure F-3. Guide Card Labels

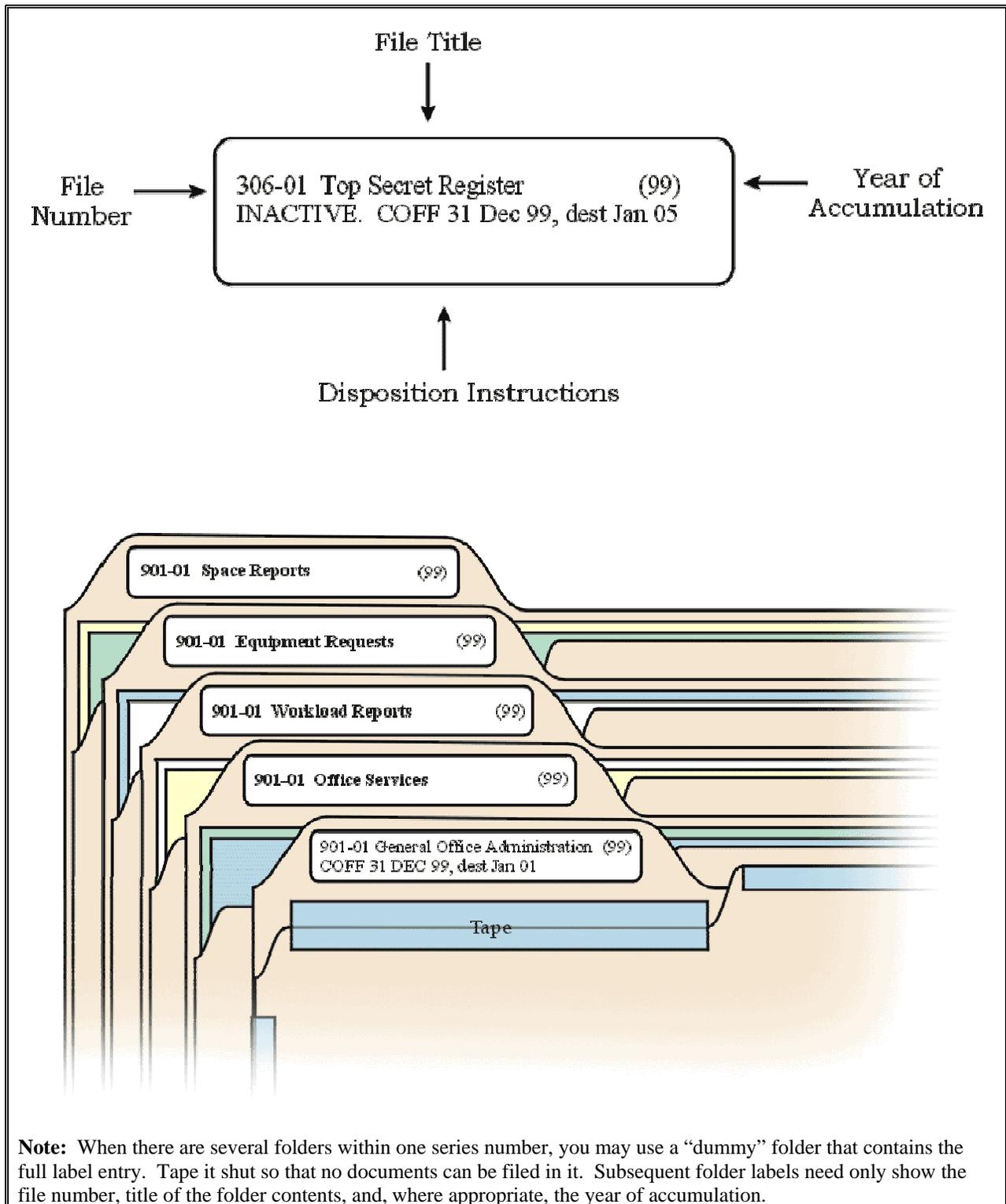


Figure F-4. Use of a "Dummy" Folder

ENCLOSURE G

REFERENCES

- a. Title 44, United States Code
 - (1) Chapter 21, "National Archives and Records Administration"
 - (2) Chapter 29, "Records Management by the Archivist of the United States and by the Administrator of General Services"
 - (3) Chapter 31, "Records Management by the Federal Agencies"
 - (4) Chapter 33, "Disposal of Records"
 - (5) Chapter 35, "Coordination of Federal Information Policy"
- b. Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management"
- c. DOD Directive 5015.2, 6 March 2000, "DoD Records Management Program"
- d. CJCSI 5760.01 Series, "Records Management Policy for the Joint Staff and Combatant Commands"
- e. NARA General Records Schedules, Transmittals, and Bulletins
- f. DOD 5400.11-R, 14 May 2007, "Department of Defense Privacy Program"
- g. Title 5, United States Code, Section 552a, "Privacy Act of 1974," as amended
- h. DOD 5200.1-R, 14 January 1997, "Information Security Program"
- i. DOD Directive 5100.55, 27 February 2006, "United States Security Authority for North Atlantic Treaty Organization Affairs (USSAN)"
- j. DOD Directive 8500.01E, 24 October 2002, "Information Assurance (IA)"
- k. DOD Instruction 5200.40, 30 December 1997, "DoD Information Technology Security Certification and Accreditation Process (DITSCAP)"

- l. DOD Directive 5230.9, 9 April 1996, "Clearance of DoD Information for Public Release"
- m. CJCSI 5714.01 Series, "Policy for the Release of Joint Information"
- n. EO 12656, 18 November 1988, "Assignment of Emergency Preparedness Responsibilities," as amended by EO 13074, 9 February 1998; and EO 13228, 8 October 2001; and EO 13286, 6 February 2003
- o. DOD Instruction 5040.02, 30 August 2005, "Visual Information (VI)"
- p. DOD Instruction 5040.04, 6 June 1006, "Joint Combat Camera (COMCAM) Program"
- q. DOD Instruction 5040.6, 10 April 2001, "Life Cycle Management of DoD Visual Information (VI)"
- r. DOD 5015.02-STD, 25 April 2007, "Electronic Records Management Software Applications Design Criteria Standard"
- s. EO 12958, 23 March 2003, "Classified National Security Information," as amended by EO 12972, 18 September 1995; EO 13142, 19 November 1999; and EO 13292, 25 March 2003
- t. DOD Instruction 3020.42, 17 February 2006, "Defense Continuity Plan Development"

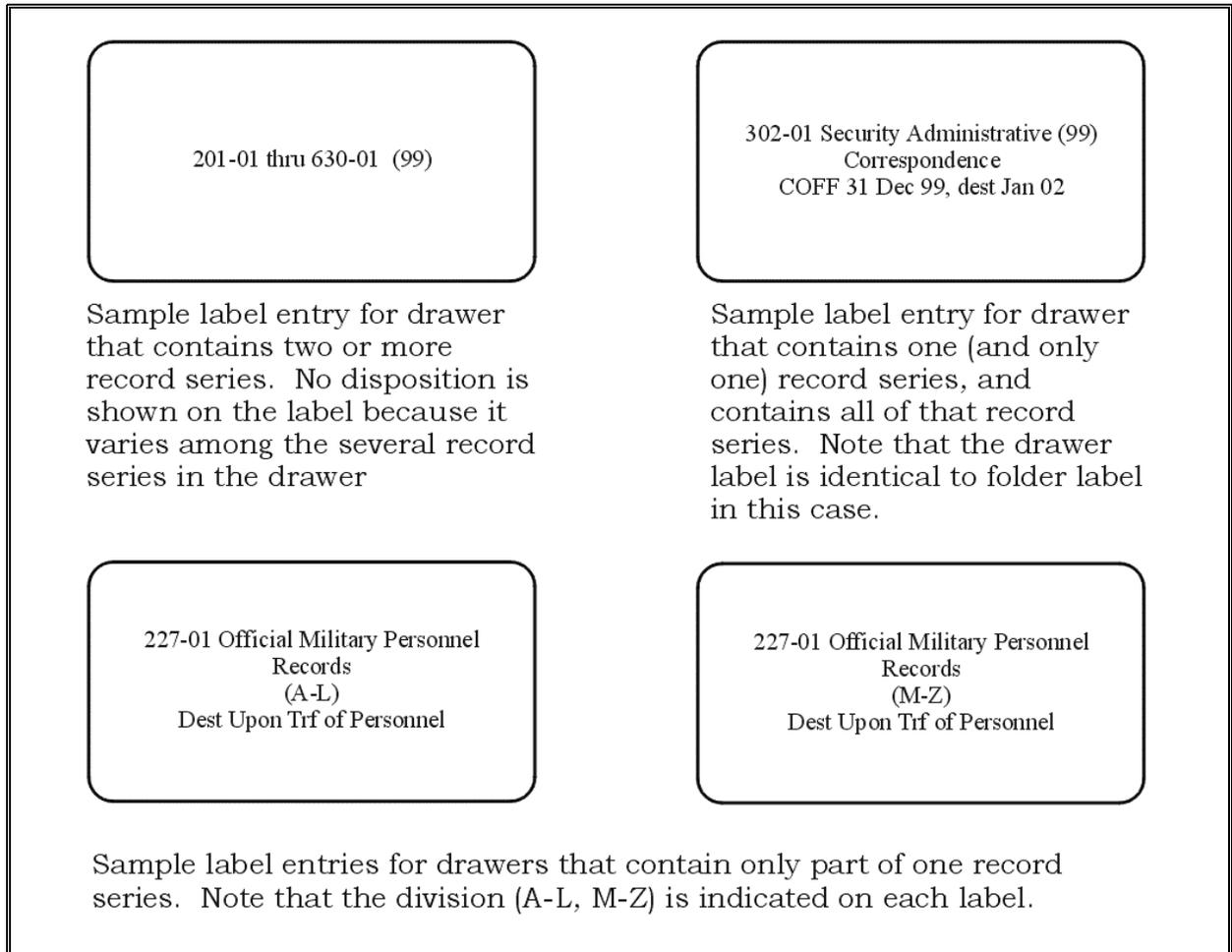


Figure F-5. Drawer Labels

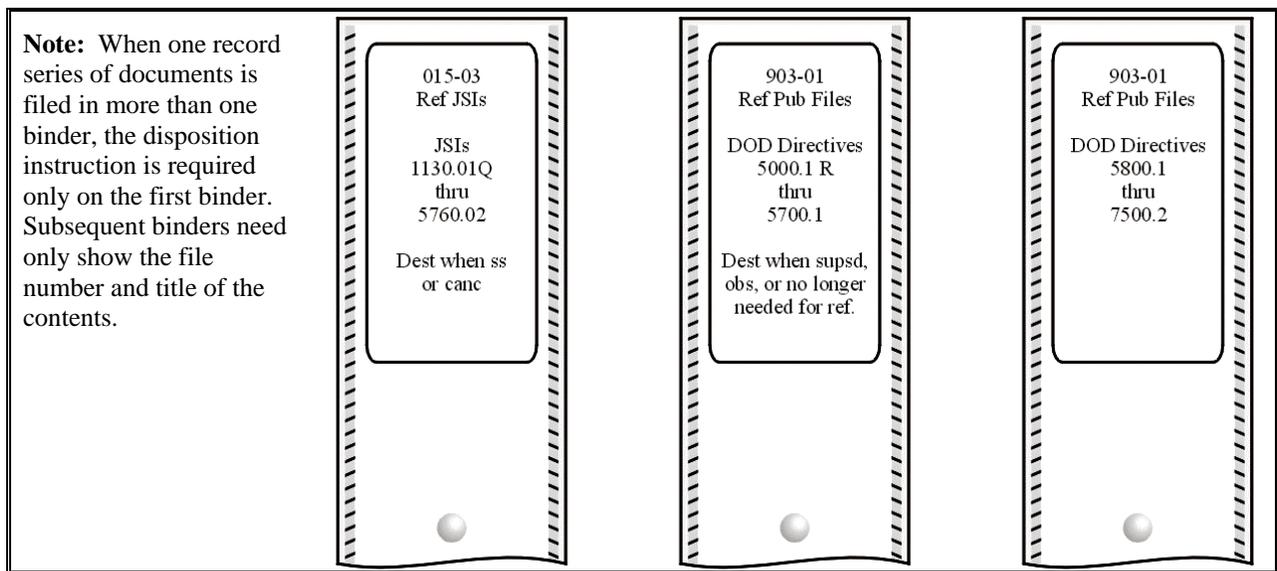


Figure F-6. Binder Labels

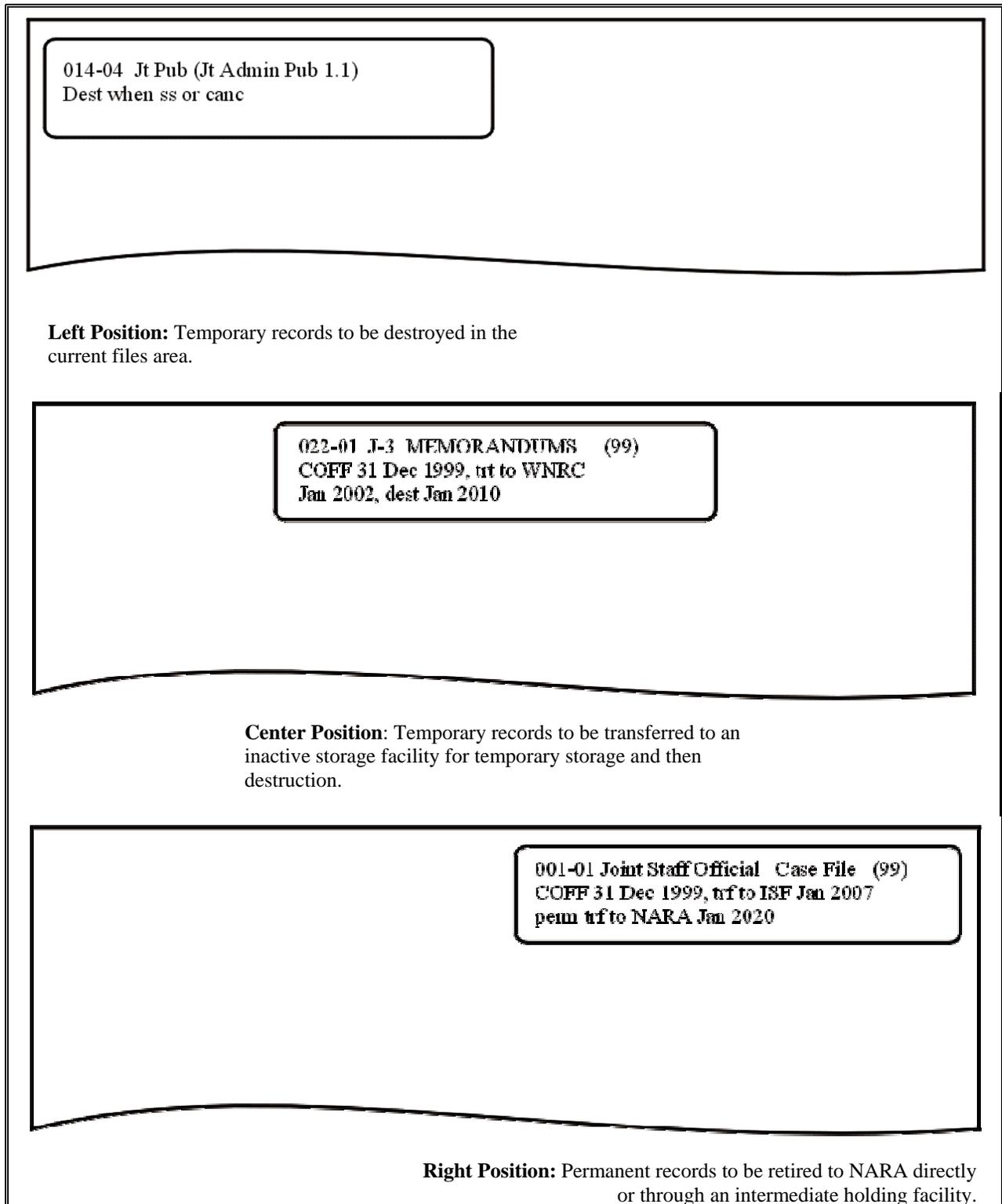


Figure F-7. Positioning File Folder Labels