



CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION DRAFT

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DISTRIBUTION: A, C, J, S

CJCSI 5760.01
1 October 2000

RECORDS MANAGEMENT POLICY FOR THE COMBATANT COMMANDS

References: See Enclosure B

1. Purpose. To provide Joint Staff policy and guidance for the commanders in chiefs of the combatant commands (CINCs) in the conduct of their Records Management Program.
2. Cancellation. None.
3. Applicability. This policy applies to the records management programs of the CINC Headquarters, Joint Task Force (JTF) Headquarters, Military Advisory and Assistance Groups (MAAG), Joint Special Operations Command (SOC) Headquarters, etc. This excludes the Service components.
4. Policy. The Objectives of the CINC Records Management Program are to:
 - a. Create, maintain, and preserve information as records, in any media (including electronic), that document the role of the CINCs in the conduct of their assigned mission.
 - b. Manage the life cycle of records effectively and efficiently in compliance with reference b and other applicable guidance - references d, e, f, and g.
 - c. Preserve the records of joint activities and operations.
 - d. Foster unity of effort on CINC records management matters among the Joint Staff, the Services, and the CINCs.

5. Definitions. See Glossary.

6. Responsibilities.

a. Secretary, Joint Staff. The Secretary, Joint Staff, will plan, implement, and manage the CINC Records Management Program to ensure the proper creation, maintenance, disposition, and preservation of CINC records.

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

c. The Joint Staff Records Manager. The Chief, Records Management and Automation Support Branch, will act as the Joint Staff (JS) Records Manager. The JS Records Manager will provide management oversight of the CINC Records Management Program and will be directly responsible for:

(1) Publishing a CINC records disposition schedule and procedural manual and conducting a periodic review and update of the disposition schedule.

(2) Advising and coordinating the preparation of the CINC records management procedural manual and disposition schedules.

(3) Reviewing periodic records management reports of the CINCs for quality, completeness, and conformance with current guidance.

(4) Making periodic staff assistance visits and inspections of combatant command records management activities and products.

(5) Advising the CINCs about the adequacy of their records management programs.

(6) Coordinating the records management programs of the CINCs with the Joint Staff and the Services to ensure full and proper coverage of joint activities and operations.

(7) Maintaining liaison with the records offices of the CINCs to facilitate proper coordination between them and the Service components as well as with sub-combatant and combined commands.

(8) Ensuring access for all personnel of the Records Management Program to all sources necessary for their research.

(9) Maintaining liaison with the National Archives and Records Administration (NARA) on records matters and providing advice to CINC records offices on document retention and declassification.

d. CINCs. Responsible for the proper creation, maintenance, preservation, and disposition of the Combatant Commands records. The CINCs will:

(1) Establish an internal CINC Records Management Program consistent with the references noted at Enclosure B.

(2) Designate a dedicated position to administer the CINC Records Management Program for all command records, including Top Secret-Sensitive Compartmented Information (TS-SCI), Special Access Programs (SAPs), and Focal Point records, to facilitate collection of all relevant documentation.

(3) Provide life cycle management of CINC records, recorded on any media, to include identification, maintenance, storage, retirement, and destruction.

(4) Submit annual records reports, through the Joint Secretariat, to the Chairman of the Joint Chiefs of Staff (See Enclosure A).

(5) Provide for records collection and retention in mobilization planning and crisis action procedures, to include command operations center records.

(6) Ensure that records management annexes are included in appropriate operations plans, operations orders, and concept plans. These annexes will specify how records will be collected and retained.

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

(8) Ensure command personnel are trained to meet joint record management requirements.

(9) Ensure bi annual records management assistance visits to all subordinate activities/agencies.

e. Service Components. Provide administrative and logistical support consistent with reference c.

f. CINC/Joint Staff Personnel. Individual records management responsibilities include:

(1) Being familiar with the policies and procedures contained in this instruction and reference a.

(2) Maintaining personal papers separate from official files in accordance reference a.

(3) Disposing of materials only in accordance with the disposition standards established in reference a.

(4) Removing from records only those items authorized in reference a.

(5) Ensuring that responsible officials are informed on any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

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

9. Effective Date. This instruction is effective upon receipt. CINC implementation date is 1 January 2001.

{NAME1}

{Rank1}

{Title1}

Enclosure(s):

A - Report Format

B - References

Glossary

DISTRIBUTION

Distribution A, C, and J plus the following:

	<u>Copies</u>
Secretary of Defense	5
National Archives and Records Administration.....	10
Naval War College	2
National Defense University.....	2
Army War College.....	2
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ENCLOSURE A

Annual Report Format

1. Primary CINC Records Management (RM) Officer
 - Name:
 - Rank/GS grade level:
 - Title:
 - Organizational Placement:
 - Is this a full time position?
 - RM professional development training received during the past year?
2. Describe your RM training program.
 - Level of training provided.
 - Number of personnel trained.
 - Number of training sessions conducted.
3. RM staff assistance visits/inspections
 - Number conducted?
 - Percentage of command coverage.
4. Records Disposition:
 - Volume of records destroyed on site.
 - Volume of records transferred to records centers (local, NARA, etc.).
 - Volume of records transferred to the National Archives.
 - Number/type of records created, but not covered by SF 15.
 - Status of accountability for electronic systems or databases.
5. Describe the major RM related accomplishments within your command during the past year.
6. Describe the most significant RM-related challenges within your command during the past year.
7. Describe your major objectives to enhance the command's RM program for the coming year.

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ENCLOSURE B

REFERENCES

- a. CJCSM 5760.01 Series, "CINC Records Management Procedures and Disposition Manual"
- b. DOD Directive 5015.2, March 6, 2000, "Records Management Program"
- c. DOD Directive 5100.3, "Support of the Headquarters of Combatant and Subordinate Joint Commands," November 15, 1999
- d. Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management," current edition
- e. Chapters 29, 31, 33, and 35 of Title 44, United States Code
- f. DOD 5400.11-R, Department of Defense Privacy Program," August 1983, authorized by DoD Directive 5400.11, December, 13, 1999.
- g. DOD 5015.2-STD, Design Criteria Standard for Electronic Records Management Software Applications, November 97
- h. CJCSI 5320.01 series, "Guidance for the Joint History Program"

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GLOSSARY

Definitions

1. Records Management. As defined in Section 2901 of reference (e): “Records management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.”
2. Record. As defined, in part, in Section 3301 of reference (e): “Records include all books, papers, maps, photographs, machine-readable materials, and other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures operations, or other activities of the Government or because of the informational value of the data in them.” A record covers information in any medium, and includes operational logistics, support and other materials created or received by the DoD Components in training, contingency, and wartime operations as well as in all routine and peacetime business.
3. Electronic Record. As defined in 36 CFR 1234.2 ref I: “Any information that is recorded in a form that requires a computer or other machine to process it and that satisfies the legal definition of a record in 44 U.S.C. 3301, reference bb.”
4. Nonrecord. As defined in 36 CFR 1222.34 of reference (d): “Nonrecord materials are those Federally owned informational materials that do not meet the statutory definition of records contained within Section 3301 of reference (e) or that have been excluded from coverage by the definition. Excluded materials are extra copies of documents, and library or museum materials intended solely for reference or exhibit.”
5. Combatant Command. As defined in the DOD dictionary: “A unified or specified command with a broad continuing mission under a single

commander established and so designated by the President, through the Secretary of Defense and with the advice and assistance of the Chairman of the Joint Chiefs of Staff. Combatant Commands typically have geographic or functional responsibilities.” For the purposes of this instruction, the term Combatant Command describes the headquarters elements of CINCs, JTFs, MAAGs and other headquarters elements of the Combatant Commands but, excludes the elements of the military services aligned to the Combatant Commands.